



Technical Assistance Report

Project Number: 43454
Research and Development Technical Assistance (RDТА)
December 2009

Selected Evaluation Studies for 2009, Phase 2

ABBREVIATIONS

ADB	–	Asian Development Bank
ADF	–	Asian Development Fund
CAPE	–	country assistance program evaluation
CPS	–	country partnership strategy
DEC	–	Development Effectiveness Committee
DMC	–	developing member country
FPF	–	financial partnership facility
IED	–	Independent Evaluation Department
SAPE	–	sector assistance program evaluation
SES	–	special evaluation study
TA	–	technical assistance
WPC	–	weakly performing country

TECHNICAL ASSISTANCE CLASSIFICATION

Type	–	Research and development technical assistance (RDTA)
Targeting Classification	–	General intervention
Sector	–	Multisector
Themes	–	Economic growth, governance, gender equity, private sector development, social development

NOTE

In this report, "\$" refers to US dollars.

Director General	H. S. Rao, Independent Evaluation Department (IED)
Director	R. B. Adhikari, Independent Evaluation Division 1, IED
Team leader	S. Penjor, Principal Evaluation Specialist, IED
Team members	J. Tubadeza, Senior Evaluation Officer, IED B. Q. Cafirma, Evaluation Assistant, IED

In preparing any evaluation report, or by making any designation of or reference to a particular territory or geographic area in this document, the Independent Evaluation Department does not intend to make any judgments as to the legal or other status of any territory or area.

I. INTRODUCTION

1. In 2008, following a comprehensive review of the Operations Evaluation Department of the Asian Development Bank (ADB),¹ the ADB Board of Directors approved increasing the department's independence from ADB Management. The department was renamed the Independent Evaluation Department (IED) effective January 2009. IED streamlined its internal organization, effective February 2009, to (i) align with the regional groupings 1 and 2; (ii) increase its focus on quality, knowledge, and capacity building; and (iii) undertake adjustments in the staff skills mix.

2. IED is continuing with its efforts to ensure that its evaluation program is strategic and integrated.² It develops its 3-year work program in consultation with the Board of Director's Development Effectiveness Committee (DEC), Management, and operations departments. The work program takes into account issues of relevance to developing member countries (DMCs) and ADB's current institutional priorities. IED's 2009-2011 work program, as endorsed by the DEC, was approved by the Board in December 2008.³ IED's 2010-2012 work program, as endorsed by the DEC, has been circulated to the Board for approval, on a no-objection basis.⁴

3. ADB's Strategy 2020⁵ (strategic agenda, drivers of change, and core areas of operations) and Asian Development Fund (ADF) X, provide a foundation for the IED work program. The program has three main considerations: (i) aligning with ADB's strategic and thematic priorities, and providing input to the formulation of future policies, strategies, and programs of ADB (derived program); (ii) providing real-time feedback during loan processing and implementation, and undertaking evaluation capacity building of regional departments and DMCs (real-time feedback program); and (iii) contributing to knowledge solutions (knowledge program). Items (i) and (ii) are directly derived from ADB's future programs and IED's regular tasks to support ADB operations, while (iii) is both demand (responding to suggestions) and supply driven (IED initiating new ideas). IED will (i) continue to ensure that topics in the work program are strategically relevant to ADB and its DMCs; (ii) properly sequence evaluations so that those done early in the 3-year period feed into those planned for later years; (iii) increase the number of broad strategic evaluations of policies and themes, sectors, country operations, and institutional development issues; (iv) improve the evaluative content of IED annual reports on portfolio management and evaluation results; (v) prepare and revise evaluation guidelines; (vi) strengthen self-evaluation and the validation process of all project or program completion reports and country partnership strategy (CPS) completion reports; and (vii) promote knowledge management, including dissemination of findings and recommendations in accessible and clearly understandable ways.

4. The 2009 work program's actual and expected achievements are in Appendix 1. In addition to evaluating ADB assistance and operations, IED (i) conducted staff training on project and program completion report preparation to strengthen the self-evaluation capacity of regional departments; (ii) highlighted the need for post-project completion monitoring and sustainability;

¹ ADB. 2008. *Review of the Independence and Effectiveness of the Operations Evaluation Department*. Manila.

² IED's functions are to (i) assess the performance of completed projects and programs; (ii) review and validate the self-evaluation activities of the operations departments; (iii) provide feedback for the design and review of strategies, policies, and operations; (iv) monitor and report on responses of ADB departments and executing agencies to evaluation findings and recommendations; (v) build evaluation capacity in the developing member countries; and (vi) harmonize evaluation practices and share evaluation experience with other multilateral development banks through the Evaluation Cooperation Group.

³ IED's work program is available at http://www.adb.org/Evaluation/work_prog.asp

⁴ Board consideration of IED's work program for 2010–2012 is expected on or around 1 December 2009.

⁵ ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank, 2008–2020*. Manila.

(iii) carried out a first-time rigorous project impact evaluation;⁶ (iv) introduced evaluation information briefs⁷ and evaluation knowledge briefs to provide more timely feedback on operations;⁸ (v) introduced a management action record system with wide access for real-time monitoring of progress made by Management in implementing IED recommendations; (vi) organized a conference, held in Shanghai, on impact evaluation for DMC officials; and (vii) at the Evaluation Cooperation Group, initiated the meta evaluation on microfinance and participated in peer review of activities of the evaluation function of the International Fund for Agricultural Development and the Organisation for Economic Co-operation and Development–Development Assistance Committee Evaluation Network.

5. IED's 2010 proposed work program (Appendix 1, Table A1) comprises 40 evaluation reports and studies. Some areas of new or added emphasis in the 2010 program are (i) monitoring of outcomes and impact measurement, (ii) self-evaluation and capacity development, (iii) development of a management action record system to monitor evaluation recommendations, (iv) validation and evaluation of technical assistance (TA), (v) corporate evaluation, and (vi) development of the IED strategy 2020.

II. ISSUES

6. Evaluation at ADB has evolved in response to the institution's changing focus to cover the entire results chain of inputs, outputs, outcomes, and impacts, and their sustainability. The focus of evaluation studies has shifted from the project to the sector, country, and region. The full mix of lending and nonlending services that make up country assistance programs has become the dominant preoccupation of broader evaluations (i.e., corporate evaluations, country and sector assistance evaluations, thematic evaluations, and impact evaluations), with priority attention to relevance, efficiency, effectiveness, and sustainability. In light of the general capital increase V and ADF X, ADB is placing more emphasis on improving development effectiveness and impacts in the future, and on evidence-based independent evaluations. Accordingly, better impact analysis is needed at the macro level in core sectors that represent the current and future priorities of ADB. Also, evaluation must focus on modalities of assistance that have not been evaluated such as the multitranchise financing facility, countercyclical support, and nonsovereign operations. An immediate impact for IED will be the increase in real-time feedback for loans or grants under process (a later impact will be the increase in project (program) completion reports to be validated). New and/or expanded themes, such as TA evaluations, impact evaluations, corporate evaluations, and monitoring and evaluation capacity development of regional departments and DMCs, will also result in diversification of the IED work program.

7. Since 1997, TA has financed broader evaluations, and promotion and dissemination of evaluation products. Broader evaluations, which are multi-activity, multicountry, and multisector in nature, are more complex and have benefited from this responsive approach to providing consulting and other services. ADB's internal administrative expense budget funds other components of IED's work program, in particular the preparation of traditional project or program performance evaluation reports. This pattern of resource use will continue. An allocation of about \$1.7 million for a regional TA project is included in the indicative planning figures for 2009. The selected evaluation studies for 2009 are being undertaken in two phases, through two

⁶ ADB. 2009. *Impact Evaluation Study of Rural Water Supply and Sanitation in Punjab, Pakistan*. Manila.

⁷ ADB. 2009. *Evaluation Information Brief on Lessons from Processing and Ongoing Implementation of Loan 2273-VIE(SF): Emergency Rehabilitation of Calamity Damaged Project*. Manila; and ADB. 2009. *Evaluation Information Brief on Lessons from the Asian Development Bank's Responses to Financial Crises*. Manila.

⁸ ADB. 2009. *Evaluation Knowledge Brief on Greenhouse Gas Implications of ADB's Energy Sector Operations*. Manila.

regional research and development TA projects.⁹ The RDTA for selected evaluation studies for 2009, phase 1 was approved for \$700,000 in June 2009. The phase 2 TA for selected evaluation studies for 2009 will provide funding for part of the 2010 IED work program.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

8. The impact of the phase 2 TA will be to help ADB as a learning institution in continuously improving the development effectiveness of its operations and policies. The outcome will be the formulation and implementation of new CPSs, sector strategies, policies, and operations based on timely and practical IED findings and recommendations. The design and monitoring framework is in Appendix 2.

B. Methodology and Key Activities

9. An evaluation approach paper outlining the scope, methodology, resource requirements, and terms of reference will be prepared for each of the broad evaluation studies before consultants are engaged and the studies commence. The views of relevant ADB staff, government entities, and other stakeholders will be sought and reflected, as appropriate, in the final version of the study. Each environment approach paper will have a dissemination plan to enhance understanding, provide knowledge support, and create learning opportunities.¹⁰ The recommendations of the evaluation reports will be monitored through the management action record system. The following key activities are envisaged.

10. **Country assistance program evaluation.** Country assistance program evaluations (CAPEs) evaluate ADB's country strategy and assistance programs. Analyzing experience over the past decade, these evaluations assess the development impact of ADB assistance on a particular country and generate critical feedback for preparation of CPSs. The preparation of CAPEs for Bhutan, Lao People's Democratic Republic, and Thailand,¹¹ for example, will (i) assess and rate ADB's strategic positioning, institutional performance, value addition and/or contribution to long-term development results, and sector performance; (ii) identify forward-looking lessons and good practices; and (iii) develop directional recommendations for the next CPS. The CAPEs will assess the operations of the past decade or more, and assistance not covered by a previous CAPE. The second CAPE for Bhutan will also assess progress in implementing recommendations of the first Bhutan CAPE. The CAPE for Thailand will be the first for the country.

11. **Sector assistance program evaluation.** Depending on country and sector requirements, sector and/or thematic assessments will be undertaken early to feed into the main programmed CAPE reports. Sector assistance program evaluations appraise ADB's sector strategy, policy dialogue, and ongoing and completed projects and TA projects, and ADB's performance within a given sector in one country. They focus on sectors that received the most assistance or are key sectors in ADB strategies in a country.

12. **Impact evaluation of rural electrification in Bhutan.** The objective of the study is to assess performance of the three completed rural electrification projects, and identify lessons for maximizing development effectiveness of rural electrification interventions. The impact evaluation aims to (i) quantify the impact of rural electrification assistance on household welfare with a focus on health, education, and income; and (ii) evaluate sustainability of rural

⁹ The TA first appeared in the business opportunities section of ADB's website on 19 October 2009.

¹⁰ ADB's existing knowledge products and services will be used for dissemination.

¹¹ Preparation of the Thailand CAPE, which is included in IED's 2011 work program, will start in 2010.

electrification interventions. The study will include a portfolio review of rural electrification financed by ADB in its DMCs covering three projects implemented from 1995 to 2006.¹² The impact evaluation is expected to provide quantitative estimates of the impact of ADB assistance on rural electrification using appropriate methods.¹³ The study will be conducted in two phases: (i) a comprehensive review of rural electrification literature and ADB's rural electrification portfolio; and (ii) field research based on household surveys, focus group discussions, and key informant interviews. The findings from the study will feed into the CAPE for Bhutan.

13. Special evaluation study: Is multisector approach the way to go for urban development? Urban centers or cities in Asia are important centers of economic growth and industrialization, as they attract human, financial, and material resources in one location. Cities provide their residents with trade and business that link domestic producers and international markets. At the same time, rapid urbanization poses major challenges because urban infrastructure, land for housing, environmental quality, and urban management capacities are pushed to the limit, and severely constrained. During the past decade, many ADB urban sector projects have used the multisector approach. The objective of the special evaluation study (SES) is to evaluate and identify lessons from the design and implementation of urban projects under the category of "multisector," by assessing project components in the delivery of urban services, encompassing various subsectors including water supply, urban road, drainage, sanitation and/or sewerage, solid waste management, slum upgrading, and livelihood improvement (microcredit).

14. Special evaluation study: Independent review of ADB's financial partnership facilities. The objective of the SES is to evaluate and identify lessons from the implementation of ADB's financial partnership facilities (FPFs) in the areas of water, clean energy, and regional cooperation and integration as established under the Financing Partnership Strategy.¹⁴ The SES will include a desk review of existing documents for the operations of FPFs, interviews with the project department staff and executing agency staff who are applying the funds from the FPFs, assessment of appropriateness and efficiency of the FPF governance structure and functions, and on-site evaluations for the FPFs with projects in advanced stages of implementation.

15. Special evaluation study: Transport sector assistance to Pacific developing member countries. The objective of the SES is to evaluate and identify lessons from the implementation of transport projects in the Pacific DMCs of the Cook Islands, Fiji Islands, Kiribati, Marshall Islands, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, and Vanuatu. This involves highlighting factors that led to successful performance as well as key constraining issues. The SES will identify recommendations to improve the program. It will conduct a desk review of project performance evaluation reports and project completion reports of transport projects in these countries, and a field evaluation of a sample of projects to assess socioeconomic impacts.

16. Special evaluation study: ADB support for weakly performing countries. Prior to Strategy 2020, the Medium-Term Strategy II¹⁵ noted the need for a more flexible approach to meet the needs of weakly performing countries (WPCs) in terms of (i) special fields and

¹² ADB. 1995. *Report and Recommendation of the President to the Board of Directors: Proposed Loan to the Kingdom of Bhutan for Rural Electrification*. Manila; ADB. 1999. *Report and Recommendation of the President to the Board of Directors: Proposed Loan to the Kingdom of Bhutan for Sustainable Rural Electrification*. Manila; and ADB. 2003. *Report and Recommendation of the President to the Board of Directors: Proposed Loan to the Kingdom of Bhutan for Rural Electrification and Network Expansion*. Manila.

¹³ Among other options, one feasible option could be to have a cross-section study with a "with and without" framework using matched pairs of villages that are similar in population, ethnicity, and agroclimatic conditions.

¹⁴ ADB. 2006. *ADB's Financing Partnership Strategy*. Manila.

¹⁵ ADB. 2006. *Medium-Term Strategy II: 2006–2008*. Manila (p. 15).

modalities of intervention and resource allocation, (ii) special forms of partnership with the government and development partners, (iii) flexibility in the application of policies and procedures, and (iv) staff with appropriate skills to tackle the unique problems of these countries with suitable incentives. In May 2007, ADB Management endorsed a framework for guiding, planning, and implementing assistance to WPCs, including the methodology for identifying and defining appropriate interventions.¹⁶ The objectives of the SES are to (i) assess the relevance and effectiveness of ADB's response to WPCs in the context of (a) the approaches of other development partners; (b) ADB's own core competencies; and (c) the special WPC challenges in 2007, and current and/or evolving issues; and (ii) identify lessons from the operationalization of ADB assistance to selected WPCs through 2–3 specific country-based case studies.

17. **Regional centers for monitoring and evaluation activities.** This activity is to provide support for research and development related to monitoring and evaluation of four regional centers (one each in East Asia, South Asia, Africa, and Latin America and the Caribbean).¹⁷

C. Cost and Financing

18. The cost of the TA is estimated at \$1,269,000. The TA will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF–IV) for \$1.0 million, and TASF–other sources for \$269,000. The cost estimates and financing plan are in Appendix 3.

D. Implementation Arrangements

19. ADB will be the executing agency for the TA. IED will implement the TA and supervise the preparation of reports for each evaluation study. Based on experience with similar studies, about 31 person-months of international and about 60 person-months of national consulting services will be required. The outline terms of reference are in Appendix 4. Detailed terms of reference will be developed in the evaluation approach papers before action is taken to engage consultants. ADB will engage consultants on an individual basis in accordance with Guidelines on the Use of Consultants (2007, as amended from time to time). Disbursements under the TA will be made in accordance with ADB's *Technical Assistance Disbursement Handbook*,¹⁸ as amended from time to time. The TA is estimated to start in January 2010 and be completed in December 2011. Implementation arrangements will be flexible enough to allow changes should IED's work program be altered, including, as needed, responding to priorities under the long-term strategic framework, 2008–2020 (Strategy 2020, footnote 5) and ADF X. ADB will obtain a no-objection from the DMC government prior to commencing any activity financed under this TA in the territory of the DMC concerned.

IV. THE PRESIDENT'S DECISION

20. The President, acting under the authority delegated by the Board, has approved the provision of technical assistance not exceeding the equivalent of \$1,269,000 on a grant basis for Selected Evaluation Studies for 2009, Phase 2, and hereby reports this action to the Board.

¹⁶ An ADF paper on a possible WPC approach was first circulated in February 2004 for the ADF IX Donors' Meeting for soliciting donor guidance on WPC's development, financial, and organizational issues; discussions have been sustained through ADF X.

¹⁷ Seven donors including ADB's IED, the African Development Bank, the Inter-American Development Bank, the International Food and Agriculture Development, the Department for International Development of the United Kingdom, the Swedish International Development Agency, and the World Bank's Independent Evaluation Group expressed interest in joining this program. IED's contribution will be used only for monitoring and evaluation-related activities for two of the four regional centers located in ADB's DMCs—one in East Asia and the other in South Asia.

¹⁸ ADB. 2008. *Technical Assistance Disbursement Handbook*. Manila.

INDEPENDENT EVALUATION DEPARTMENT'S 2009 WORK PROGRAM

A. Key Accomplishments

1. The Independent Evaluation Department's (IED) 2009 work program is designed to meet the twin purposes of (i) accountability for results and (ii) learning for performance improvement. The topics selected for evaluation are of strategic relevance to the Asian Development Bank (ADB) and developing member countries (DMCs), and sequenced properly so that findings and recommendations are provided in a timely manner. In addition to the evaluation reports and studies, IED comments on operations documents and participates in management review meetings. IED's other activities include (i) publishing and disseminating knowledge products and services, and introducing new ones to increase IED's outreach and the utilization of its findings; (ii) undertaking evaluation capacity development initiatives; and (iii) participating in international networking.

B. Report Completions

2. Annual evaluation reports are flagship publications of IED. Three annual evaluation reports have been circulated and discussed by the Development Effectiveness Committee of the ADB Board of Directors: (i) *2009 Annual Evaluation Review: Role and Direction of Self-Evaluation Practices*,¹ (ii) *Annual Report on 2008 Portfolio Performance*,² and (iii) *Acting on Recommendations in 2008*.³

3. **Higher-level evaluations.** IED will have completed 19 evaluations that assess impacts and lessons from groups of sector, country, and regional operations; or address institutional development issues, themes, approaches, or policies.

- (i) Country assistance program evaluations (CAPEs) evaluate ADB's country strategy and assistance programs. Analyzing experience over a longer period, these evaluations assess the development impact of ADB assistance on a particular country and generate critical feedback for preparation of country partnership strategies (CPSs). IED completed four CAPEs in 2009: for Bangladesh, Cambodia, Nepal, and Viet Nam.
- (ii) Sector assistance program evaluations are undertaken in countries and sectors where ADB has a large ongoing portfolio and expected future operations. They provide information for the CAPEs, knowledge products (e.g., sector syntheses of findings), and cross-country comparisons in special evaluation studies. Six sector assistance program evaluations were completed: one for the Bangladesh CAPE; one for the Nepal CAPE; two for the Viet Nam CAPE, and two for the Cambodia CAPE: (a) Urban Services and Water Supply and Sanitation in Bangladesh,⁴ (b) ADB's Agriculture and Natural Resources Sector Operations in Nepal,⁵ (c) ADB Support for the Transport Sector in Viet Nam,⁶ (d) Urban Services and Water Supply and Sanitation Sector in Viet Nam,⁷ (e) Transport

¹ ADB. 2009. *2009 Annual Evaluation Review: Role and Direction of Self-Evaluation Practices*. Manila.

² ADB. 2009. *Annual Report on 2008 Portfolio Performance*. Manila.

³ ADB. 2009. *Acting on Recommendations in 2008*. Manila.

⁴ ADB. 2009. *Sector Assistance Program Evaluation for the Urban Services and Water Supply and Sanitation in Bangladesh*. Manila.

⁵ ADB. 2009. *Sector Assistance Program Evaluation for the Agriculture and Natural Resources Sector in Nepal*. Manila.

⁶ ADB. 2009. *Sector Assistance Program Evaluation for the Asian Development Bank Support for the Transport Sector in Viet Nam*. Manila.

⁷ ADB. 2009. *Sector Assistance Program Evaluation for the Urban Services and Water Supply and Sanitation Sector in Viet Nam*. Manila.

Sector in Cambodia,⁸ and (f) Agriculture and Rural Development Sector in Cambodia.⁹ In addition, five rapid sector assessments (financial sector, private sector development, education, and governance) were completed to provide information for the Cambodia CAPE.

- (iii) Special evaluation studies look at operations from a cross-country perspective by sector or theme, as well as evaluate the impact of operations policies, modalities, and business processes on the performance of operations. By the end of the year, IED will have completed five special evaluation studies: (a) ADB Support for Public–Private Partnerships in Infrastructure; (b) ADB Support to Gender and Development, Phase 1; (c) ADB Technical Assistance Support for Justice Reform in DMCs; (d) ADB Support for Public Sector Reforms in the Pacific, and (e) ADB's Contribution to Inclusive Development through Assistance for Rural Roads.
- (iv) Impact evaluation. As part of IED's proposed thrust on impact evaluations, an impact evaluation on Rural Water Supply and Sanitation in Punjab, Pakistan,¹⁰ was completed. It aims to (a) quantify the impact of water supply and sanitation (WSS) assistance on household welfare with a focus on health, education, and employment; and (b) evaluate the sustainability of WSS interventions. IED plans to conduct one impact evaluation in 2010 and two impact evaluations per year thereafter. Additionally, IED is working closely with ADB Management to train staff in impact evaluation and start a pilot program in the regional departments to mainstream impact evaluation.

4. **Evaluation information briefs and/or evaluation knowledge brief.** IED undertook real-time evaluation of an ongoing ADB project in Viet Nam.¹¹ The resulting evaluation information brief was circulated to the Board of Directors in early 2009. Another evaluation information brief was prepared and circulated on Lessons from the Asian Development Bank's Responses to Financial Crises.¹² An evaluation knowledge brief on Greenhouse Gas Implications of ADB's Energy Sector Operations was also completed in 2009.¹³

5. **Project performance evaluation reports.** Performance evaluation reports for 10 sovereign and one nonsovereign project and/or programs will have been completed by December 2009.

6. **Other reports.** IED embarked on a pilot program to validate project or program evaluation reports from 2007 onward to improve accountability and enhance quality of completion reports. About 35 validation reports are expected to be completed this year.

C. Feedback and Dissemination of Evaluation Findings (Knowledge Products)

7. On a continuous basis, IED takes every opportunity to promote and disseminate its knowledge products and services using various channels and venues. Workshops were held in DMCs to obtain feedback from major evaluations. IED continues to provide feedback to operations departments through comments on operations documents and participation in

⁸ ADB. 2009. *Sector Assistance Program Evaluation for the Transport Sector in Cambodia—Focusing on Results*. Manila.

⁹ ADB. 2009. *Sector Assistance Program Evaluation for the Agriculture and Rural Development Sector in Cambodia*. Manila.

¹⁰ ADB. 2009. *Impact Evaluation Study on Rural Water Supply and Sanitation in Punjab, Pakistan*. Manila.

¹¹ ADB. 2006. *Report and Recommendation of the President to the Board of Directors: Proposed Loan to the Socialist Republic of Viet Nam for the Emergency Rehabilitation of Calamity Damage Project*. Manila.

¹² ADB. 2009. *Evaluation Information Brief on Lessons from the Asian Development Bank's Responses to Financial Crises*. Manila.

¹³ ADB. 2009. *Evaluation Knowledge Brief on Greenhouse Gas Implications of ADB's Energy Sector Operations*. Manila.

management review meetings. Management expressed appreciation for IED participation and comments at the management review meeting stage, to help strengthen project design and implementation. By year end, IED expects to have commented on more than 100 operations documents and different stages of processing.

D. Building Evaluation Capacity within Developing Member Countries

8. As a part of IED's mandate to improve self-evaluation capacity within ADB and assist client countries to develop results-based monitoring and evaluation systems, in October 2009 IED held a workshop in the Peoples Republic of China on impact evaluation in collaboration with the World Bank.

E. International Networking

9. IED continues its participation in the Evaluation Cooperation Group (ECG) and Organisation for Economic Co-operation and Development–Development Assistance Committee Evaluation Network activities including (i) harmonization, benchmarking, and good practice standards for evaluating public and private sector operations, country strategies, and technical assistance; (ii) joint evaluations, meta-evaluations, and peer reviews of evaluation functions of ECG members; and (v) the ECG website. The ECG adopted good practice standards for country assistance evaluation—IED led preparation of the standards. IED also maintains the ECG website. IED initiated a meta-evaluation on microfinance and the IED director general is participating as a member of the three-person panel for peer review of the International Fund for Agricultural Development.

Table A1: Independent Evaluation Department's 2010 Work Program^a

Derived Program: Operations**A. Country Operations**

1. CAPE, Lao PDR
2. CAPE, Bhutan
- 3–4. CPS-CR Validation Reports^b
5. SAPE, Lao PDR (Transport)
6. SAPE, Lao PDR (Energy)
7. SAPE, Uzbekistan (Education)
8. SAPE, Pakistan (Energy)
- 9–21. PPERs for Sovereign and Nonsovereign Operations (13)
- 22–23. TPERs^c (2)

B. Annual Reports

1. Annual Evaluation Review^d
2. Acting on Recommendations and Lessons
3. Annual Report on Portfolio Performance

Real-Time Feedback, Capacity Development, and Other Regular Activities

- A. Comment on ADB Documents
- B. Substantial Participation in QAE Exercise
- C. Selective Participation in MTR, CPS Review, CPRM
- D. PCR Validations (40)
- E. TCR Validations (>\$1.5 million)
- F. Postcompletion Benefits Monitoring
- G. Continuation of Learning Curves, Success Rates
- H. Continued Upgrading of the Evaluation Website and its Features
- I. ECG Activities and Part-Time Secretariat
- J. Support Peer Review of Independent Evaluation Function in ADB by ECG
- K. Participate in the Evaluation Network of OECD–DAC Activities
- L. Training and Evaluation Capacity Development^e

Knowledge Program

1. SES, Reducing Carbon Emissions from Transport Projects
 2. SES, Performance of ADB's Water Sector Policy and Operations
 3. SES, Gender and Development, Phase 2 (Renamed)
 4. SES, Effectiveness of Operations in Fragile States and Conflict Areas
 5. SES, Corporate Governance in ADB
 6. SES, Is Multisector Approach Way to Go for Urban Development?
 7. SES, Financing Partnership Facilities
 8. SES, ADB Support for Decentralization in Indonesia
 9. SES, Post-completion Sustainability of ADB Assistance
 10. IED Strategy 2020
 11. Impact Evaluation E, Rural Electrification in Bhutan
 12. Brief, Good Practices from Capacity Development and Support for Environment
 13. Brief, Good Practices from Education Swaps
 14. Joint Evaluation, Donor Anticorruption Support
 15. Joint Evaluation, Environment Indicators and Monitoring Systems for PRC Cities in the People's Republic of China
 16. Development Guidelines to Evaluate Regional Cooperation Programs
-

ADB = Asian Development Bank, CAPE = country assistance program evaluation, CPRM = country portfolio review mission, CPS = country partnership strategy, CPS-CR = country partnership strategy completion report, ECG = evaluation cooperation group, Lao PDR = Lao People's Democratic Republic, MTR = midterm review, OECD-DAC = Organisation for Economic Co-operation and Development-Development Assistance Committee, PCR = project (or program completion) report, PPER = project (or program) performance evaluation report, PRC = People's Republic of China, QAE = quality at entry, SAPE = sector assistance program evaluation, SES = special evaluation study, TA = technical assistance, TCR = technical assistance completion report, TPER = technical assistance performance evaluation report.

^a Board consideration expected on or around 1 December 2009.

^b To be determined.

^c For advisory TA projects over \$1.5 million.

^d Includes preparation of ADB Independent Evaluation Department 2011–2013 work program and budget.

^e Includes providing resource persons.

Source: Independent Evaluation Department.

DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets and/or Indicators	Data Sources and/or Reporting Mechanisms	Assumptions and Risks
Impact ADB, as a learning institution, to continuously improve the development effectiveness of its operations and policies	Continued positive trend in project performance ratings Improved quality at entry of projects and programs Improved quality of CPS papers Strategic evaluations discussed by the DEC, sequenced in timely manner, and incorporated in CPSs	Project completion report and project performance evaluation report ratings Project or program performance ratings Periodic assessment of the quality of project frameworks Biannual CPS and project quality-at-entry assessment process Country portfolio review mission back-to-office reports	Assumptions ADB finds ways to manage the accumulating number of IED recommendations Findings and recommendations are increasingly specific, doable, and monitorable ADB Management accepts and acts on findings and recommendations
Outcome ADB increasingly formulates and implements its strategies, policies, procedures, programs, and projects based on timely and practical evaluation findings and recommendations	Demonstrated use of evaluation report recommendations in CPSs, strategy and policy papers, and the formulation and implementation of ADB-financed projects and programs DEC endorsement and Management adoption of recommendations in evaluation reports	Management responses to evaluation reports CPSs, strategy and policy papers, reports and recommendations of the President Report on the follow-up of IED recommendations in the annual report on acting on recommendations Minutes of DEC meetings	Assumptions Cumulative findings and recommendations are manageable by ADB and internal clients Agencies involved have a clear vision of the outcome of each IED evaluation and how it is to be achieved
Outputs CAPE(s) Sector assistance program evaluation as inputs to CAPEs Impact Evaluation Rural Electrification in Bhutan SES on Is Multisector Approach the Way to Go for Urban Development?	Strategic evaluations (in consultation with stakeholders) approved for circulation More hits on evaluation pages in ADB's website; more requests for information	Data sources 1. Desk review including review of literature and project documents 2. Primary data collection including surveys, semi-structured interviews, key informant interviews, and focus group discussions	Assumptions Evaluation studies are adequately resourced Ownership of each evaluation is achieved in key target audiences Demand for outputs from evaluation reports is realized Consultants deliver quality knowledge products

Design Summary	Performance Targets and/or Indicators	Data Sources and/or Reporting Mechanisms	Assumptions and Risks
<p>SES on Independent Review of ADB's Financial Partnership Facilities</p> <p>SES on Effectiveness of Operations in Fragile States and Conflict Areas</p> <p>SES on Reducing Carbon Emissions from Transport Projects</p> <p>Regional Centers for Monitoring and Evaluation (East and South Asia)</p> <p>Publication of selected evaluation reports</p>	<p>Performance indicators and methodologies harmonized</p> <p>Capacity in evaluation and evaluative thinking developed</p> <p>Opportunity for joint evaluations with partner governments and other development agencies increased</p>	<p>3. Secondary data collection from development partners, government agencies, and statistical institutions</p> <p>Reporting Mechanisms</p> <p>1. Evaluation approach papers, and inception and progress reports</p> <p>2. Department of External Relations reports</p>	<p>Engagement of consultants is not delayed</p>
<p>Activities with Milestones</p> <p>Consultants' reports, back-to-office reports, missions, desk reviews, peer reviews, interdepartmental reviews, surveys, workshops, consultations with governments and other stakeholders, all according to deadlines agreed on in evaluation approach papers</p>			<p>Inputs</p> <p>\$1,269,000 in ADB financing to cover the costs of (i) consulting services from international consultants (31 person-months, intermittently), and national consultants (60 person-months, intermittently); and (ii) surveys and workshops</p> <p>ADB staff inputs budgeted at 70 person-months of professional staff time</p>

ADB = Asian Development Bank, CAPE = country assistance program evaluation, CPS = country partnership strategy, DEC = Development Effectiveness Committee, DMC = developing member country, IED = Independent Evaluation Department, SES = special evaluation study, TA = technical assistance.

Source: Independent Evaluation Department.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Total Cost
Asian Development Bank (ADB) Financing^a	
1. Consultants	
a. Remuneration and Per Diem	
i. International Consultants ^b	585.00
ii. National Consultants ^c	180.00
b. International and Local Travel	119.00
c. Reports and Communications	10.00
2. Workshops, Training, Seminars, and Conferences ^d	195.00
3. Surveys	50.00
4. Miscellaneous Administration and Support Costs	15.00
5. Contingencies	115.00
Total	1,269.00

^a Financed by ADB's Technical Assistance Special Fund (TASF-IV [\$1.0 million] and TASF-other sources [\$0.269 million]).

^b Assumes 31 person-months of international consultant inputs at an average rate of \$19,500 per person-month.

^c Assumes 60 person-months of national consultant inputs at \$3,000 per person-month.

^d Seminars and workshops are not technical assistance outputs, but are held either to acquire inputs for draft reports or to disseminate results. This category also includes support to the Evaluation Cooperation Group's work on the establishment of regional centers for monitoring and evaluation activities in East Asia and South Asia (\$150,000) and to promote and disseminate ADB Independent Evaluation Department's knowledge products and services using various channels and venues (\$35,000).

Source: Asian Development Bank estimates.

SUMMARY TERMS OF REFERENCE FOR CONSULTANTS

1. **Country assistance program evaluation.** The preparation of country assistance program evaluations (CAPEs) (such as Bhutan and Thailand) will require the services of an international evaluation specialist for about 3 person-months, macroeconomist for 2 person-months, and several sector specialists for a total of 4 person-months. The international macroeconomist will (i) assess relative sector contributions to economic growth in the country since 1998, (ii) identify and assess linkages between national and district economic growth and poverty reduction, and (iii) quantify the impact of infrastructure investments on economic and social development. The international impact evaluation specialist will design and implement stakeholder and/or beneficiary assessments to evaluate the socioeconomic impact of Asian Development Bank (ADB) assistance, which will include the selection of localities for field surveys, design of structured questionnaires, selection of interviewees (beneficiaries and nonbeneficiaries), preparation of a timetable and modalities for interviews, testing of field instruments, supervision of national consultants and enumerators undertaking the surveys and data collection, and analysis and presentation of findings from stakeholder and/or beneficiary surveys. The sector specialists will (i) evaluate ADB-financed sector assistance programs and assess their relevance, effectiveness, efficiency, sustainability, and impact; (ii) identify critical factors affecting executing agency capacity and performance in the relevant sectors, and evaluate the effectiveness of ADB's approaches to addressing identified capacity problems; (iii) participate in key informant and/or focus group interviews with selected stakeholders and/or beneficiaries of ADB assistance on outcome and impact of ADB assistance; (iv) assess the validity of ADB's sector development strategies in the country; (v) identify any ADB performance issues; and (vi) make recommendations on how to address identified sector assistance issues.

2. The preparation of CAPEs will also require the services of several national consultants for total input of about 20 person-months to (i) organize key informant interviews; (ii) conduct stakeholder surveys required for the CAPEs under the guidance and supervision of the international impact evaluation specialist; (iii) organize and conduct focus group interviews; and (iv) collect and collate relevant data related to relevant sector development outcomes and outputs, as required.

3. **Sector assistance program evaluations.** Depending on country and sector requirements, sector and/or thematic assessments will be undertaken to feed into the main CAPE reports. Sector assistance program evaluations assess ADB's sector, strategy, policy dialogue, ongoing and completed projects and technical assistance, and performance within a given sector in one country. Their preparation will require the services of sector and/or theme specialists (both international and national). The international consultants (about 4 person-months of total inputs) are expected to (i) update reviews of ADB-financed assistance programs and assess their relevance, effectiveness, sustainability, and impact to and on the strategic sector objectives; (ii) undertake key informant interviews and conduct stakeholder surveys on the outcome and impact of ADB assistance, and discuss sector development issues and concerns with executing agencies and other government and nongovernment entities, as appropriate; and (iii) help assess the validity of ADB's sector development strategies in their respective study country.

4. With attention to country and sector requirements, national sector and/or theme specialists (6 person-months of total inputs) with previous exposure to sector development issues in the study country will be recruited to (i) present an overview of the relevance and implementation of ADB sector strategies; (ii) assess and rate the achievement of project and program objectives, and the delivery of core sectors and crosscutting and thematic programs;

(iii) comment on ADB's institutional positioning and performance in a sector; (iv) organize and facilitate focus group discussions, workshops, and meetings; and (v) identify important issues and lessons in a sector's operations.

5. **Impact evaluation on rural electrification in Bhutan.** This study will require services of one international consultant (4 person-months of total input) to assist in conducting the study. The consultant will help refine the conceptual framework, develop data collection instruments, train enumerators, control data quality, provide quantitative and/or econometric analysis, interpret results, and prepare the draft report. In addition, services of a domestic firm and/or a group of individual consultants will be required to help with background research and desk review of the rural electrification portfolio; document case study impact stories; identify counterfactual villages and households; collect, clarify, and verify data; and conduct focus group discussions and key informant interviews.

6. **Special evaluation study: Is multisector approach the way to go for urban development?** The study will be supported by an international consultant (urban economist for 3 person-months), three national water supply and sanitation (WSS) specialists based in the selected countries (6 person-months total for the three), another international urban development sector specialist (2 person-months) for consolidation and critical review of data and findings from three countries, and a Manila-based research associate (5 person-months).

7. The international urban economist will review the economic and financial performance of completed urban and WSS sector projects. The national WSS specialist will address ADB water supply and sanitation program relevance to governments' midterm development programs. The urban development sector specialist will provide reports as input in the policy analysis, policy evolution, and government fiscal system reforms. Both the national consultants will support the international consultant on a local technical and engineering standards, requirements and/or regulations, practices, and assessment, and setting up meeting and /field visits arrangements. The Manila-based research associate and the international consultants will help the team with the archived document and/or data study, questionnaire sheet preparation, statistics compilation, data consistency check, and later preparing document material for the special evaluation study.

8. **Special evaluation study: Independent review of ADB's financial partnership facilities.** This study will require one international consultant (2 person-months of total inputs), to provide individual assessments of each of the three existing financial partnership facilities. The work will entail project on-site evaluations for each of the financial partnership facilities with projects in advanced stages of implementation.

9. This study will also require one national consultant (6 person-months of total inputs) primarily to (i) carry out all logistical and secretariat works relating to the study, (ii) be the focal point for receiving all information, written communications, and documents relating to the review works, (iii) assist the team leader in setting internal coordination meetings, and (iv) prepare any materials required for meetings.

10. **Special evaluation study: Transport sector assistance to Pacific developing member countries.** The study will use the services of (i) one international consultant (4 person-months of total inputs) who will carry out a desk review as well as field visits; (ii) socioeconomic impact consultants (national) to carry out field surveys in three sample countries; (iii) transport consultant (national) to carry out technical surveys in three sample countries; and

(iv) environment consultant (national) to carry out environment assessment in three sample countries.

11. **Special evaluation study: ADB support to weakly performing countries.** This study will require the services of international consultants (for about 3 person-months) to (i) undertake a review of literature pertaining to weakly performing countries within ADB and other development partners; (ii) design and assist in conducting structured interviews for key resource people within ADB, selected governments, other development partners, and other stakeholders; (iii) plan and manage field visits for the selected country results case studies; (iv) compile and analyze macroeconomic and governance indicators, and prepare a situation update for the selected countries; (v) consolidate and analyze findings; and (vi) prepare specific inputs to a draft final report based on the strategy reviews and country results case studies. The study will also need the services of one national consultant based in ADB headquarters and possible in-country consultants to help with document review and data collection.