

**CARIBBEAN DEVELOPMENT BANK**



**NOTIFICATION OF APPROVAL BY THE PRESIDENT OF THE USE OF FUNDS  
TECHNICAL ASSISTANCE - THEMATIC EVALUATION OF CDB'S TECHNICAL  
ASSISTANCE SUPPORT (2010-18)**

This Document is being made publicly available in accordance with the Bank's Information Disclosure Policy. The Bank does not accept responsibility for the accuracy or completeness of the Document.

Notified at the Two Hundred and Eighty-Seventh Meeting  
of the Board of Directors on September 26, 2019

*President  
Caribbean Development Bank*

*Dr. W<sup>m</sup> Warren Smith*

*Head  
Office of Independent Evaluation*

*Mr. James Melanson*

**SEPTEMBER 2019**

**Any designation or demarcation of, or reference to, a particular territory or geographic area in this Document is not intended to imply any opinion or judgment on the part of the Bank as to the legal or other status of any territory or area or as to the delimitation of frontiers or boundaries.**

**CARIBBEAN DEVELOPMENT BANK**

**TWO HUNDRED AND EIGHTY-SEVENTH MEETING OF THE BOARD OF DIRECTORS**

**TO BE HELD IN BARBADOS**

**SEPTEMBER 26, 2019**

**PAPER BD 65/19**

**NOTIFICATION OF APPROVAL BY THE PRESIDENT OF THE USE OF FUNDS  
TECHNICAL ASSISTANCE - THEMATIC EVALUATION OF CDB'S TECHNICAL  
ASSISTANCE SUPPORT (2010-18)**

In accordance with the authority delegated by the Board of Directors at its Two Hundred and Eighty-Third Meeting (Minute 283.27), the President approved the Use of Funds for an independent thematic evaluation of the Caribbean Development Bank's (CDB) Technical Assistance support of an amount not exceeding the equivalent of two hundred and forty-four thousand five hundred and forty United States dollars (USD244,540) from the Special Development Resources of the Caribbean Development Bank to carry out an independent thematic evaluation of CDB's Technical Assistance support.

2. It is a condition of the aforementioned authority that each technical assistance project approved by the President and the terms and conditions thereof be reported to the Board at its first convenient scheduled Meeting after approval of the project.
3. The Board is therefore asked to note the approval by the President of the above-mentioned project.

**CARIBBEAN DEVELOPMENT BANK**

**RECOMMENDATION AND APPROVAL OF TECHNICAL ASSISTANCE  
(Under USD750,000)**

1. <b>Country:</b> N/A	2. <b>Project Title:</b> Thematic Evaluation of CDB's Technical Assistance Support (2010-18)	3. <b>PRN:</b> 4156
4. <b>Grantee:</b> N/A	5. <b>Beneficiary:</b> Caribbean Development Bank (CDB)	6. <b>Executing/Implementing Agency:</b> Office of Independent Evaluation (OIE)
7. <b>Sector:</b> Multi-sectoral	8. <b>Date of Application:</b> May 2019	9. <b>Type of Financing:</b> Use of Funds (UOF)

10. **Source of Funds:** Special Development Funds (SDF)

11. **Legal Status:** N/A

**12. Objectives and Priorities:**

<b>CDB's Strategic Objective/s:</b>	Enhancing Organisational Efficiency and Effectiveness.
<b>CDB's Corporate Priority/ies:</b>	Improve Selectivity and Focus Promote Value for Money Strengthen Results Measuring, Monitoring and Reporting
<b>CDB's Country Objective/s:</b>	N/A
<b>Regional/National Objective/s:</b>	N/A
<b>CDB's Special Development Fund (SDF) 9 Strategic Theme:</b>	BMC Institutional Strengthening and CTCS Governance and Capacity Building Private Sector Enabling Environment Regional Cooperation and Integration
<b>CDB's Technical Assistance Policy and Operational Strategy:</b>	The project is an evaluation of the effectiveness, efficiency and relevance of technical assistance (TA) support, and the degree to which this is guided by and supported by the Technical Assistance Policy and Operational Strategy (TAPOS)

**13. Gender Marker:**

The Gender Marker Analysis is summarised in Table 1 below. The project is GM.

<b>Gender Marker</b>	<b>Analysis</b>	<b>Design</b>	<b>Score</b>	<b>Code</b>
	<b>2</b>	<b>2</b>	<b>4</b>	<b>GM</b>

Further details on the Gender Marker Analysis are outlined in Appendix 1.

14. **Budget:** The Proposed Budget is summarised below. Details provided at Appendix 2.

<b>Contributors</b>	<b>Amount USD</b>	<b>%</b>
CDB	244,540	100
<b>Total</b>	<b>244,540</b>	<b>100</b>

## 15. Project Background:

Technical assistance (TA) is defined as the transfer, adaptation, mobilisation and utilisation of services, skills, knowledge, technology and engineering to build national capacity on a sustainable basis.<sup>1</sup>

The provision of TA by International Financial Institutions (IFIs) has grown steadily in recent years and has increasingly become a significant part of IFI assistance to client countries. Many IFIs have taken steps to improve the strategic relevance of TA, as well as their systems to monitor and evaluate TA results. The Evaluation Cooperation Group has also renewed its efforts to develop Good Practice Standards for the evaluation of TA.<sup>2</sup>

Most TA activities cover those initiatives related to the preparation and implementation of IFI-financed capital projects, advisory services, capacity development, training and sector studies. IFIs generally have two goals in offering TA: to improve the design and execution of IFI-financed projects (and thus their ultimate development results); and to build institutional capacity, skills and knowledge in client countries, whether or not the TA is linked with an IFI operation. Increasingly, the emphasis has shifted towards the latter objective.

The provision of TA is a core function of the Caribbean Development Bank (CDB) in carrying out its purpose which is to “contribute to the harmonious economic growth and development of the member countries in the Caribbean...and to promote economic cooperation and integration among them” as stated in Article 1 of the Bank’s Charter. The Charter includes reference to using TAs for pre-investment surveys and for assisting in the identification and preparation of project proposals. TA operations are designed to assist Borrowing Member Countries (BMCs) in accelerating their economic development through planning, programme development and implementation, and institutional support, both at the level of individual projects and in national economic management. The Bank also makes use of TA to support interventions that are regional in scope.

TAs are funded through both SDF and Ordinary Capital Resources (OCR) and Other Special Funds (OSF), with the majority of TA interventions provided to BMCs either by way of grant or at concessionary rates associated with SDF financing. TA operations can therefore have a high payoff for both BMCs and CDB in terms of the BMCs’ development agendas and national/strategic priorities. TA interventions also provide support for the Bank’s investment-related project operations and its policy-based lending. New categories of TA interventions have emerged in more recent years which are consistent with the Bank’s evolving policy in areas related to economic management, poverty reduction, environment, good governance, gender, regional/sub-regional integration and enhanced operational effectiveness of CDB itself.<sup>3</sup> TA operations include TA loans, TA grants (including capital grants), and TA loans and grants blended. The table below provides a summary of TA grants and loans of \$1mn and over as at December 31, 2016-17.

Category	2016		2017	
	\$ mn	%	\$ mn	%
(a) TA Loans	14.7	29	14.7	27
(b) TA Loans and Grants Blended	-	-	5.4	10
(c) TA Grants	36.6	71	54.3	63
<b>Total</b>	<b>51.3</b>	<b>100</b>	<b>74.4</b>	<b>100</b>

*Source: Annual Review of the Performance of the Portfolio of Projects/Loans under implementation for the year ended Dec 31, 2017*

<sup>1</sup> Operational Policies and Procedures Manual (OPPM) of the Caribbean Development Bank. 2014.

<sup>2</sup> Evaluating Technical Assistance: Taking Stock of the Practices of International Financial Institutions Final Report. December 2012.

<sup>3</sup> An Evaluation Study of the Technical Assistance Operations of the Caribbean Development Bank 2000 to 2004.

The following table outlines stand-alone TAs (i.e. it does not include TAs within Investment Projects) from the 2010-2017 period.<sup>4</sup>

Description	2010	2011	2012	2013	2014	2015	2016	2017
Amount Approved	32,677,711	12,407,893	9,696,068	17,382,439	23,248,854	19,474,952	32,606,543	32,188,949
Number Approved	63	63	47	35	46	72	69	77
Average Amount Approved	518,694	196,951	206,299	496,641	505,410	270,485	472,559	418,038

The Technical Cooperation Division (TCD) of the Projects Departments is responsible for building capacity, knowledge and skills, and strengthening institutions in BMCs by working closely with other Divisions, BMCs and development partners.<sup>5</sup> They also play a coordinating role for TA operations that arise in other Bank departments. Along with the Corporate Strategy Division, TCD produces annual reports on the TA portfolio.

The last evaluation of TA covered the period 2000-04. It highlighted existing weaknesses in: the strategic relevance and programmatic coherence of the TA portfolio; overall coordination; management of TA performance; TA supervision and reporting; monitoring and evaluation of TA interventions; management of TA information; and the skills-mix to support effective management of the Bank's TA operations. CDB's stakeholders indicated that the decentralised structure for TA management was not considered optimal. In the absence of systematic and continuous staff training, the quality of TA preparation, appraisal documents, supervision and monitoring tended to vary.

The main recommendations from the report were to: (i) develop a TA operational framework / strategy to provide greater strategic focus for and coherence of TA operations; and include ongoing monitoring of results in TA design; (ii) create a comprehensive database of all types of TA, including historical information for comparison and analysis; (iii) revise PPMS to make it a results-oriented tool to assess TA at entry; (iv) provide incentives so that PCRs are prepared at the end of every TA with OIE reviewing a sample of them; (v) establish a TA focal point; (vi) provide ongoing training / follow-up workshops on TA management, results, lessons; (vii) dedicate more resources for TA fieldwork including portfolio reviews, inception and supervision missions, particularly for higher risk institutional development TAs and those involving several partners; and (viii) that OIE develop guidelines for scoring TAs against standard criteria, as well as tracking against key results. Finally, there was room for greater synergy between TA and investment lending, including the use of targeted TA to address problems of project implementation as they arise.<sup>6</sup>

The most recent CDB TA Policy and Operational Strategy (TAPOS) was approved by the Board of Directors in December 2012 (Paper BD 55/12), and is based on the findings and recommendations of the evaluation report. It focuses on TA interventions which are financed from CDB's resources and which are managed using CDB's institutional arrangements (the "core" TA programme), as well as on TA interventions which have separate financing arrangements (e.g. Basic Needs Trust Fund). As part of the Bank's recent business process improvements (beginning this year) further process changes are being made to the management and implementation of TAs, towards greater value to the client.

<sup>4</sup> 2017 is still being verified.

<sup>5</sup> Taken from TCD Mission statement (from July 24, 2018 PPT: "Stepping Up Our Management of Technical Assistance")

<sup>6</sup> Ibid.

The goal of TAPOS is to enhance the development effectiveness of the Bank's TA programme by clearly presenting the objectives and core commitments of CDB's TA operations.<sup>7</sup> It includes four objectives: (i) to align TA to CDB's strategic objectives and SDF and OCR commitments, as well as to anchor new TA interventions within the development of Country Strategy Papers; (ii) to strengthen the operational focus for TA programming, monitoring, reporting and control; (iii) to reinforce the application of "best practice" at each stage of TA / project management cycle; (iv) to inculcate adherence to the principles of development effectiveness in the management of TA interventions within CDB and its BMCs. TAPOS is based on four main strategic pillars: (a) Strengthening Strategic and Organisational Focus on TAs; (b) Improving TA Performance; (c) Improving TA Operational Efficiency; and (d) Building Capacity in TA Management.

#### **16. Proposal/Description:**

It is proposed the Use of Funds be approved for an amount not exceeding the equivalent of two hundred and forty-four thousand, five hundred and forty United States dollars (USD244,540) from SDF to undertake an independent thematic evaluation of the Bank's TA support over the period 2010-18 (which will also consider the effectiveness of the implementation of TAPOS, introduced in 2012). This is part of OIE's five-year work plan for evaluation activity, endorsed by the Oversight and Assurance Committee.

Key users of the evaluation will be Bank stakeholders that design, manage and supervise TA projects. TCD in the Projects Department would be a primary user of the improvements and lessons for TA policy and management processes.

The objectives of the evaluation will be to examine:

- (a) the strategic focus and relevance of Bank-funded TA;
- (b) the extent, appropriateness and potential of TA integration with lending activities and for creating new investment opportunities and transformational change;
- (c) TA effectiveness in achieving strategic and project level objectives; and
- (d) the efficiency and effectiveness of management processes to plan, implement and assess TA, primarily within CDB but also in BMCs.

The evaluation will also take note of unintended benefits of TA interventions.

Part of the analysis will be an assessment of the extent to which TAPOS and subsequent TA implementation is appropriately responding to the 2008 evaluation recommendations. Lessons and possible recommendations for strengthened effectiveness, efficiency and strategic relevance of TA will be expected.

A portfolio analysis of TA operations will cover as wide a range of TA operations as possible (including special programmes and TAs under the Projects department), based on available data, to understand over time the average size of TA projects, the use of loan funding for TA projects, the resources dedicated to regional versus country-specific projects, and the shifts in composition of TA programming to reflect newer themes and / or changing country priorities. Analysis will also specifically include (i) an assessment of the percentage of TAs which have led (or partially led) to investment / new or expanded business opportunities; and (ii) an assessment of the use of the Gender Marker for TAs (number of TAs and their Gender Mainstreaming scores).

A principal element of the evaluation will be the analysis of the performance of a selected sample of TA projects approved since TAPOS was introduced, in other words during the 2012-18 period. The sample of projects will be purposeful, and will not cover all types of CDB TA (i.e. it will not include more specialised TA programmes that carry out separate evaluations (BNTF, PPAM/PCM, UK-CIF), apart from CTCS, which will be included in the evaluation).

In light of these objectives, the evaluation will be designed to answer the following broad questions:

---

<sup>7</sup> TAPOS

### **Relevance**

- (a) To what extent has TA been strategically focused to serve the Bank's corporate priorities, specifically gender equality, and country strategies, and has this been improved since the introduction of TAPOS and improvements to the TA business processes?
- (b) To what extent have there been appropriate synergies between TA and lending activities (for both investment and policy-based lending), and how has TAPOS contributed to boosting these synergies? What focus has gender equality and disaster risk reduction / climate change adaptation been given in designing these synergies?
- (c) To what extent have TA activities addressed implementation constraints in BMCs?
- (d) How has TA played an appropriate role in support of regional cooperation and integration?

### **Effectiveness**

- (a) To what extent have TA activities achieved their stated objectives and contributed to corporate priorities, particularly gender equality, and country strategy objectives?
- (b) How have TA operations led to innovations, investments and / or new business (or expanded) business opportunities?
- (c) How effective have TA operations been in assisting BMCs with improvements in the area of governance, such as policy and programme development and implementation, and institutional and individual capacity building?
- (d) What good practices can be identified? What are the unique benefits and qualities of TA as an instrument / modality and how does TAPOS support these qualities?

### **Management & Efficiency**

- (a) To what extent have management arrangements through TAPOS and TA process review facilitated the strategic focus, and effective planning, implementation and evaluation of TAs, considering their diverse categories (based on specific characteristics i.e. sources of funding, types of financing, size, special funds, etc.)?
- (b) How have TAPOS contributed to enhanced TA operations management? Were the recommendations from the previous TA evaluation adhered to and institutionalised?
- (c) What opportunities exist for clarified or streamlined processes and arrangements outside of the TA process review?
- (d) What lessons in TA management can be drawn from other multilateral development banks or development agencies that CDB could benefit from?

### **Sustainability**

- (a) How have TA operations led to sustainable improvements in their targeted outcomes?
- (b) What recommendations can the evaluation put forth for the strategic use of TA and implementation of TAPOS (including a clearer articulation of the vision for technical cooperation)?



It is expected that the evaluators will work with OIE to devise appropriate sub-questions during the inception phase.

**Scope:** The TA Evaluation will assess Bank TA operations over the period 2010-18 and the effectiveness and usefulness of TAPOS as a guiding policy document introduced in 2012.

**Approach:** The Consultant Team, working with OIE, will be expected to design and implement a robust evaluation, including a comprehensive portfolio review, a strategy for developing a purposive sample selection of TA's, and criteria for rating institutional readiness for designing, implementing, managing and assessing TA projects. The following will form part of a more detailed work plan:

- Specific evaluation questions, derived from the general questions outlined in the ToR, developed in consultation with OIE.
- A portfolio review that analyses a broad range of TA projects.
- A methodology that makes best use of existing but limited secondary data, but also devises efficient means of primary data collection to support findings and conclusions will need to be devised. It should be based on an adequately representative sample of the TA portfolio over the period.
- A document review, including CDB and other multilateral institution TA operations, related evaluations by OIE and other evaluation offices, and available portfolio documentation (appraisal reports, Project Supervision Reports (PSRs), Project Completion Reports (PCRs), Project Completion Validation Reports (PCVRs) will be a starting point.
- Stakeholder engagement through (face to face and virtual) interviews, focus group discussions, and surveys, as well as site visits and direct observation will play a significant role. The evaluator together with OIE will determine the appropriate methodologies and tools.
- Formal ratings of criteria and Bank performance scale will not be required in this evaluation. Rather, areas of strength and weakness, lessons, and opportunities for improvement will be identified.

Detailed Terms of Reference (TOR) for the consultancy services are set out at Appendix 3.

#### **17. Project Outcome:**

Enhanced knowledge of the efficiency, effectiveness, relevance and sustainability of CDB's TA programmes / support.

A Results Framework for the Project is presented at Appendix 4.

#### **18. Project Justification and Benefits:**

The last evaluation of TA covered the period 2000-04. Significant changes in the CDB's strategic priorities, policy framework and approach to results management have taken place since then. It would be opportune to assess how it has evolved, and what lessons and further improvements may be possible. In particular, the evaluation will devise recommendations for improved management of TAs based on the findings, responding to the evaluation questions of efficiency and effectiveness.

TA operations draw significantly on SDF resources. An evaluation of TA operations from 2012-18, which includes financing from SDF resources, will provide information for the SDF review process, as well as the Bank's next strategic planning cycle.

The Project's Performance Assessment Score is 3.5 or Satisfactory/Highly Satisfactory, indicating that the Project is very likely to achieve its outcomes and that project performance is expected to be of an acceptable standard. The Performance Assessment Summary is at Appendix 6.

<b>19. Risks and Mitigation Measures:</b>			
<b>Risk Category</b>	<b>Risk Type</b>	<b>Description of Risk</b>	<b>Mitigation Measures</b>
Developmental	None		
Operational	Monitoring and Evaluation	Data availability: Incomplete data (TAs are not required to submit PSRs and PCRs), which can result in incomplete data sets and limited triangulation, increase in costs and time required for data collection, delays in completing data collection and submitting deliverables.	<p>The evaluation Inception Report will clearly identify data gaps and implications for data analysis early in the data analysis process.</p> <p>Primary data collection tools and sources carefully considered in order to fill in information gaps by consulting a broad range of stakeholders where possible, including government ministries, implementing partners and beneficiaries of CDB TA interventions.</p> <p>Continuous communication with TCD/Evaluation Advisory Group.</p>
Strategic	Monitoring and Evaluation	Evaluation fatigue: There is always the potential for general evaluation fatigue in institutions such as CDB where evaluations are regularly undertaken.	OIE will engage in regular feedback loops with key stakeholders in the CDB and BMCs as necessary to ensure the utility of the evaluation.
Financial	None		
<b>20. Environmental Impact:</b> Major Minor Not Applicable✓			
<b>Social Impact:</b> Major Minor Not Applicable✓			
<b>21. Project Implementation:</b>			
<p>The project will be executed by CDB’s OIE. An evaluation team will be commissioned to work with OIE to carry out the evaluation.</p> <p>OIE will convene an Advisory Committee to accompany this evaluation. The Projects Department will designate at least two representatives to sit on the committee, including at least one individual from TCD. It will review and provide feedback on evaluation issues and questions, design, implementation, draft findings, conclusions, and recommendations. OIE will retain responsibility for overall quality and integrity of the evaluation.</p> <p>A consultancy will be commissioned for a period of roughly 10 months commencing September 2019. The Consultants shall be required to develop an Evaluation Inception Report, carry out data gathering and analysis, produce Draft and Final Evaluation Reports, and validate findings with CDB staff. A Provisional Implementation Plan is set out at Appendix 5.</p>			

**22. Cost and Financing**

Details of the Proposed Budget are provided at Appendix 2.

The total cost of the Project is estimated at USD244,540. CDB will fund 100% (USD244,540) of the project. The budget is at Appendix 2. CDB's contribution will be met through a grant/loan from its UOF. Funds are available from within existing resources and/or programmes.

**23. Procurement:**

Procurement will be in accordance with CDB's procedures for UOF.

**24. Loans Committee Recommendation:**

Loans Committee considered this proposal on May 17, 2019 and agreed to recommend it for the approval of the President.

**25. Recommendation:**

It is recommended that the President approve the *Use of Funds* of an amount not exceeding the equivalent of two hundred and forty-four thousand, five hundred and forty United States dollars (USD244,540) from CDB's SDF to carry out an independent evaluation of CDB's TA support.

DANIEL BEST

31 MAY 2019

\_\_\_\_\_  
Director, Projects Department

\_\_\_\_\_  
Date

**25. Approved by:**

W<sup>m</sup> WARREN SMITH

31 MAY 2019

\_\_\_\_\_  
President

\_\_\_\_\_  
Date

SUPPORTING DOCUMENTATION

Appendix 1	Gender Marker
Appendix 2	Proposed Budget
Appendix 3	Draft Terms of Reference: Consultancy Services for The Evaluation Of Caribbean Development Bank Technical Assistance Operations (2010-2018)
Appendix 4	Results Framework
Appendix 5	Provisional Implementation Plan
Appendix 6	Performance Assessment Summary

**GENDER MARKER**

Project Cycle Stage	Criteria	Score
<b>Analysis: Background</b>	Sex-disaggregated data included in the background analysis, and/or baselines and indicators, or collection of sex-disaggregated data required in TOR.	1
	Socioeconomic/Sector/Institutional analysis considers gender disparities, or TOR require the identification of socioeconomic, sectoral and institutional gender issues.	1
<b>Design: Project Proposal/Definition /Objective</b>	TA interventions are designed, or will be identified as part of the project, that address gender disparities or enhance gender capacities.	1
	Project objective/outcome includes the enhancement of gender capacities, gender data collection, gender equality or the design of gender-responsive policies or guidelines.	1
<b>Maximum Score</b>		
<i>Based on scoring code below, insert relevant description here, e.g. GM: gender mainstreamed: the project has the potential to contribute significantly to gender equality</i>		

**PROPOSED BUDGET**

(USD)

<b>Item</b>	<b>CDB</b>	<b>Total</b>
Evaluation	222,400	222,400
<b>Contingency (10%)</b>		22,140
<b>Total Project Costs</b>		<b>244,540</b>

**DRAFT TERMS OF REFERENCE**

**CONSULTANCY SERVICES FOR THE  
EVALUATION OF CARIBBEAN DEVELOPMENT BANK TECHNICAL ASSISTANCE  
OPERATIONS (2010-2018)**

**1. BACKGROUND**

1.01 The Office of Independent Evaluation (OIE) Five-Year Plan highlights an evaluation of its Technical Assistance operations as one of its key evaluation activities. Technical assistance (TA) is defined as the transfer, adaptation, mobilization and utilization of services, skills, knowledge, technology and engineering to build national capacity on a sustainable basis. The provision of technical assistance (TA) is a core function of the Caribbean Development Bank (CDB) in carrying out its purpose which is to “contribute to the harmonious economic growth and development of the member countries in the Caribbean...and to promote economic cooperation and integration among them” as stated in Article 1 of the Bank’s Charter.

1.02 TAs are funded through both Special Fund Resources (SFR) and Ordinary Capital Resources (OCR), including as loans, with the majority of TA interventions provided to BMCs at concessionary rates associated with SDF financing. TA operations can therefore have a high payoff for both BMCs and CDB in terms of the BMCs’ development agendas and national/strategic priorities. TA interventions also provide support for the Bank’s investment-related project operations and its policy-based lending. New categories of TA interventions have emerged in more recent years which are consistent with the Bank’s evolving policy in areas related to economic management, poverty reduction, environment, good governance, gender, regional/sub-regional integration and enhanced operational effectiveness of CDB itself.

1.03 The Technical Cooperation Division (TCD) of the Projects Departments is responsible for building capacity, knowledge and skills, and strengthening institutions in BMCs by working closely with other Divisions, BMCs and development partners.<sup>1</sup> They also play a coordinating role for TA operations that arise in other Bank departments, who are responsible for the administrative and technical outputs.

1.04 The last evaluation of TA covered the period 2000-2004. The Technical Assistance Policy and Operational Strategy (TAPOS) was approved in 2012, and is based on the findings and recommendations of the evaluation report. It focuses on TA interventions which are financed from CDB’s resources and which are managed using CDB’s institutional arrangements (the “core” TA programme) as well as on TA interventions which have separate financing arrangements (i.e. Basic Needs Trust Fund). As part of the Bank’s business process improvements, since 2019 further process changes are being made to the management and implementation of TAs, towards greater value to the customer.

**2. OBJECTIVE**

2.01 The objective of this consultancy is to undertake an independent thematic evaluation of the Bank’s Technical Assistance contributions over the period **2010-2018** (which will also consider the effectiveness of the implementation of TAPOS, introduced in 2012). This is part of OIE’s five year work plan for evaluation activity, approved by the Oversight and Assurance Committee.

2.02 ***Evaluation use:*** The intended audience would be the Technical Cooperation Division specifically, as well as other Bank divisions that design, manage and supervise TA projects.

---

<sup>1</sup> Taken from TCD Mission statement (from July 24, 2018 PPT: “Stepping Up Our Management of Technical Assistance”)

2.03 **Objective of the Evaluation:** The evaluation will assess Bank performance of its TA operations. This accountability and lesson identification exercise will use the criteria of relevance, effectiveness, efficiency and sustainability to assess the portfolio of Technical Assistance, as well as a selected sample of TA projects. It will also assess TAPOS as a guiding document for TA operations. By assessing and interpreting past performance, the TA evaluation will provide forward-looking conclusions and recommendations, which will in turn be useful in informing the scope, design and management of future TA operations. Thus, the evaluation will examine how TA, through TAPOS, has contributed to:

- (a) the strategic focus and **relevance** of Bank-funded TA;
- (b) the extent, appropriateness and potential of TA integration with lending activities and for creating **new investment opportunities and transformational change**;
- (c) TA effectiveness in achieving **strategic and project level objectives**; and
- (d) the efficiency and effectiveness of **management processes** to plan, implement and assess TA, primarily within CDB but also in BMCs.

The evaluation will also capture unintended benefits of TA interventions.

2.04 **Evaluation Questions:** The evaluation will be designed to answer the following broad questions:

**Relevance:**

- (a) To what extent has TA been strategically focused to serve the Bank's corporate priorities, specifically gender equality, and country strategies, and has this been improved since the introduction of TAPOS and improvements to the TA business processes?
- (b) To what extent have there been appropriate synergies between TA and lending activities (for both investment and policy-based lending), and how has TAPOS contributed to boosting these synergies? What focus has gender equality and disaster risk reduction / climate change adaptation been given in designing these synergies?
- (c) To what extent have TA activities addressed implementation constraints in BMCs?
- (d) How has TA played an appropriate role in support of regional cooperation and integration?

**Effectiveness:**

- (a) To what extent have TA activities achieved their stated objectives, and contributed to corporate priorities, particularly gender equality, and country strategy objectives?
- (b) How effective have TA operations been in assisting BMCs with improvements in the area of governance, such as policy and programme development and implementation, and institutional and individual capacity building?
- (c) What good practices can be identified? What are the unique benefits and qualities of TA as an instrument / modality, and how does TAPOS support these qualities?

**Management and Efficiency:**

- (a) To what extent have management arrangements through TAPOS and TA process review facilitated the strategic focus, and effective planning, implementation and evaluation of TAs, considering their diverse categories (based on specific characteristics i.e. sources of funding, types of financing, size, special funds, etc.)?
- (b) How have TAPOS contributed to enhanced TA operations management? Were the recommendations from the previous TA evaluation adhered to and institutionalised?
- (c) What opportunities exist for clarified or streamlined processes and arrangements outside of the TA process review?
- (d) What lessons in TA management can be drawn from other MDBs or development agencies that CDB could benefit from?



**Sustainability:**

- (a) How have TA operations led to sustainable improvements in their targeted outcomes?
- (b) What recommendations can the evaluation put forth for the strategic use of TA and implementation of TAPOS (including a clearer articulation of the vision for technical cooperation)?

It is expected that the evaluators will work with OIE to devise appropriate sub-questions during the inception phase.

**3. SCOPE OF SERVICE**

3.01 The TA Evaluation will assess Bank TA operations over the period 2010-2018 and the effectiveness and usefulness of TAPOS as a guiding policy document introduced in 2012.

3.02 **Approach:** The Consultant Team will be expected to design and implement a robust evaluation, including a comprehensive portfolio review, a strategy for developing a purposive sample selection of projects, and criteria for rating institutional readiness for designing, implementing, managing and assessing TA projects. The following guidelines should be considered for developing the TA Evaluation methodology:

- Specific evaluation questions, derived from the general questions outline in the ToR, will be developed in consultation with OIE.
- A portfolio review that analyses a broad range of TA projects.
- A methodology that makes best use of existing but limited secondary data, but also devises efficient means of primary data collection to support findings and conclusions will need to be devised. It should be based on an adequately representative sample of the TA portfolio over the period.
- A document review, including CDB and other multilateral institution TA operations, related evaluations by OIE and other evaluation offices, and available portfolio documentation (appraisal reports, PSRs, PCRs, PCVRs) will be a starting point.
- Stakeholder engagement through (face to face and virtual) interviews, focus group discussions, and surveys, as well as site visits and direct observation will play a significant role. The evaluator together with OIE will determine the appropriate methodologies and tools.
- Formal ratings of criteria and Bank performance on a Likert scale will not be required in this evaluation. Rather, areas of strength and weakness, lessons, and opportunities for improvement will be identified.

3.03 A portfolio analysis of TA operations will cover as wide a range of TA operations as possible (including special programmes and TAs under the Projects department), based on available data, to understand over time the average size of TA projects, the use of loan funding for TA projects, the resources dedicated to regional versus country-specific projects, and the shifts in composition of TA programming to reflect newer themes and/or changing country priorities. Analysis will also specifically include a) an assessment of the percentage of TAs which have led (or partially led) to investment / new or expanded business opportunities; and b) an assessment of the use of the Gender Marker for TAs (number of TAs and their Gender Mainstreaming scores).

3.04 A principal element of the evaluation will be the analysis of the performance of a selected sample of TA projects approved since TAPOS was introduced, in other words during the 2012-18 period. The sample of projects will be purposeful, and will not cover all types of CDB TA (i.e. it will not include more specialized TA programmes that carry out separate evaluations (BNTF, PPAM/PCM, UK-CIF), apart from CTCS, which will be included in the evaluation in a reduced number.

3.05 Part of the analysis will be an assessment of the extent to which TAPOS and subsequent TA implementation appropriately responded to the 2008 evaluation recommendations. Lessons and possible recommendations for strengthened effectiveness, efficiency and strategic relevance of TA will be expected.

#### **4. REPORTING REQUIREMENTS**

4.01 The evaluation consultants shall provide the following documents and reports to OIE:

- (a) *Deliverable 1- Inception Report*: The Inception report will be based on an initial review of documents, and discussions with Bank staff, and will include a full evaluation design including: overall approach; specific evaluation questions; methods; sampling, data collection and analysis plan; draft interview or survey instruments; measures to ensure ethical conduct and confidentiality; and calendar of activities. The inception report should include an evaluation matrix. Comments from OIE will be provided within two weeks of submission.
- (b) *Deliverable 2 – Findings and Conclusions Report & PowerPoint*: The Findings and Conclusions will contain the initial compiled, organised and analysed evidence from the document review, portfolio analysis, internal interviews and survey, and field visits. Comments to be provided by OIE (after consultation with Advisory committee) within two weeks of submission. The report, along with a complementary PowerPoint must be prepared and delivered in advance of the SDF Replenishment exercise in March.
- (c) *Deliverable 3 - Draft Final Evaluation Report*: (maximum 35 pages minus annexes) to include validated findings and conclusions, and will present lessons and recommendations, and a strategy for dissemination. Comments from OIE (in consultation with the Advisory committee) to be provided within two weeks of submission.
- (d) *Deliverable 4 - Final Evaluation Report*: The Final Evaluation Report will include executive summary (no longer than 5 pages) and an accompanying PowerPoint presentation summarising highlights of the evaluation for presentation to different Divisions at CDB as well as the Board.

#### **5. IMPLEMENTATION ARRANGEMENTS**

5.01 The consultants will report to CDB's Office of Independent Evaluation (OIE) which will providing overall direction and guidance, and approval of deliverables. The OIE will convene an Advisory committee of principal stakeholders from the Operations area of the Bank for this evaluation. The Group will provide feedback on the scope of work, evaluation design and work plan, findings, and draft reports.

5.02 An estimated level of effort of approximately 180 person days by a multi-disciplinary evaluation team will be required for this assignment. It is expected the evaluation will commence in September/October 2019, and the submission of the final evaluation report to take place in early June 2020. The evaluation will include onsite work at CDB offices in Barbados as well as travel to BMCs.

**6. QUALIFICATIONS AND EXPERIENCE**

6.01 The evaluation team should comprise individuals with the following expertise:

- (a) Experience in the design and conduct of large multi-country, multi-thematic evaluations;
- (b) An appropriate mix of qualifications to address the thematic areas identified;
- (c) Knowledge of development issues in the Caribbean, including the context of poverty and vulnerability, institutional and policy development, regional cooperation and integration, and gender equality;
- (d) Experience working with multi-lateral banks and government clients.
- (e) Strong inter-cultural communication skills in English;
- (f) Ability to integrate qualitative and quantitative data;
- (g) Strong report writing and presentation skills, ability and experience in communicating concepts using non-technical language to diverse audiences;
- (h) Ability to work in an iterative, collaborative, team approach; and to give and receive constructive feedback.

## RESULTS FRAMEWORK

Narrative Summary	Performance Indicators	Disaggregation (Male/Female)	Baseline	Target	Data Sources/Reporting Mechanisms/ Reporting Frequency
<b>Project Impact:</b> Use of lessons and recommendations for improved TA programming.					
<b>Outcome:</b> Enhanced knowledge of the efficiency, effectiveness, relevance and sustainability of CDB's TA programmes / support.	Management response completed by May 2020.  Board approval by June 2020.				Management response. Board documents.
<b>Assumptions for Achieving Outcomes:</b> The appropriate internal stakeholders review and comment on the report / recommendations in a timely fashion.					
<b>Outputs:</b>  1. Evaluation report for OAC approval.  2. Knowledge management products developed.	Evidence-based assessment of relevance, effectiveness, efficiency and sustainability by May 2020.  At least one communications product for BMCs developed by September 2020.				Draft and Final reports.  4-page Evaluation Brief
<b>Assumptions for Achieving Outputs:</b> Availability of sufficient data.					
Activities/Inputs	Cost and Funding USD				Assumptions for Activities/Inputs
	CDB	Counterpart	Co-financing	Total	
Refer to budget in Annex 2					
<b>Total</b>	<b>244,540</b>			<b>244,540</b>	

**PROVISIONAL IMPLEMENTATION PLAN**

Task	2019				2020			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
TA Paper								
Call for Expressions of Interest								
Contract signature								
Inception								
Document Review								
Mission to BMCs								
Draft Findings and Validation <sup>9</sup>								
Final Report								
Management Response								
OAC and Board Review								
Dissemination								

---

<sup>9</sup> Initial findings report and PPT to be prepared for SDF Replenishment exercise in March.

**PERFORMANCE ASSESSMENT SUMMARY**

<b>Criteria</b>	<b>Score</b>	<b>Justification</b>
Relevance	4	The provision of TA is a core function of CDB in carrying out its purpose to contribute to economic growth and development of BMCs. As such, TA operations are designed to assist BMCs in accelerating their economic development through planning, programme development and implementation and institutional support, in individual projects, in national economic management, and in regional interventions. TA interventions also provide support for the Bank's investment-related project operations and its policy-based lending. In order to understand the relevance, effectiveness, efficiency and sustainability of TA support, it is necessary to take stock of existing strengths and weaknesses in the TA portfolio, TA management and effects of TA support. The last evaluation of TA support covered the period 2000 – 2004. A new independent evaluation is due.
Effectiveness	4	The independent evaluation will examine how different types of TA have been relevant, have created new investment opportunities and transformational change, have contributed to achieving CDB's strategic objectives as well as project level objectives, and if and how the management process of TAs has been efficient and effective. The evaluation will also capture unintended benefits of TA interventions. The analysis of both the portfolio as well as a selected sample of TA projects will provide insight, lessons and recommendations to TCD as well as to other Bank divisions that design, manage and supervise TA projects.
Efficiency	3	A competitive REOI process will be undertaken to commission the evaluation team with the most competitive financial proposal combined with the highest quality technical proposal. In selecting the sample size for the country visits, care will be taken to determine those countries with the largest number of TAs.
Sustainability	3	Part of the objectives of the evaluation is to determine how TA operations have led to sustainable improvements in their targeted outcomes, as well as to put forth recommendations on how to improve this sustainability. By documenting and sharing lessons and recommendations, TCD will be able to improve TA support and ensure that support are meeting the needs of both BMCs and CDB.
<b>Overall Score</b>	<b>3.5</b>	<b>Highly Satisfactory</b>

Highly Satisfactory (HS) > 3.25 and ≤ 4.00

Satisfactory (S) > 2.50 and ≤ 3.25

Marginally Unsatisfactory (MUS) > 1.75 and ≤ 2.50

Unsatisfactory (US) > 1.00 and ≤ 1.75