Evaluating Technical Assistance:

Taking Stock of the Practices of International Financial Institutions

Final Report

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Acronyms

3IE	International Initiative for Impact Evaluation
AfDF	African Development Fund (AfDB)
AsDF	Asian Development Fund (AsDB)
AfDB	African Development Bank
AS	Advisory Services (WBG-IFC, IsDB-ICD, IADB-IIC)
AsDB	Asian Development Bank
BETF	Bank-Executed Trust Fund (WBG)
BSTDB	Black Sea Trade and Development Bank
CAPE	Country Assistance Program Evaluation (AsDB)
CDRF	Capacity Development Results Framework (WBG)
CDTA	Capacity Development Technical Assistance (AsDB)
CEB	Council of Europe Development Bank
CED	Central Evaluation Department
COMESA	Common Market for Eastern and Southern Africa
EBRD	European Bank for Reconstruction and Development
ECG	Evaluation Cooperation Group
EIB	European Investment Bank
ESW	Economic and Sector Work
EU	European Union
EV	Operations Evaluation (EIB)
EvD	Evaluation Department (EBRD)
FAPA	Fund for African Private Sector Assistance (AfDB)
FINE	Focused, Integrated, Nimble, and Effective
GOE	Group Operations Evaluation Department (IsDB)
GPS	Good Practice Standards
GRM	Grant Reporting and Monitoring (WBG)
IADB	Inter-American Development Bank
ICD	Islamic Corporation for the Development of the Private Sector (IsDB)
ICIEC	Islamic Corporation for Insurance of Investment and Export Credit (IsDB)
ICM	Implementation Completion Memorandum (WBG)
IED	Independent Evaluation Department (AsDB)
IEG	Independent Evaluation Group (WBG)
IEO	Independent Evaluation Office (IMF)
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation (WBG)
IFI	International Financial Institution
IIC	Inter-American Investment Corporation (IADB)
IMF	International Monetary Fund
IsDB	Islamic Development Bank
ITFC	Islamic Trade Finance Corporation (IsDB)
JICA	Japan International Cooperation Agency
MIF	Multilateral Investment Fund (IADB)
OCR	Ordinary Capital Resources (AsDB)

OECD-DAC	Organization for Economic Cooperation and Development/Development Assistance Committee
OPCS	Operations Policy and Country Services (WBG)
OPEV	Operations Evaluation Department (AfDB)
OVE	Office of Evaluation and Oversight (IADB)
PATA	Policy and Advisory Technical Assistance (AsDB)
PBL	Policy Based Loan
PCR	Project Completion Report (AfDB, EBRD)
PPTA	Project Preparation Technical Assistance (AsDB)
PSR	Project Status Report (IADB)
RDTA	Research and Development Technical Assistance (AsDB)
RETF	Recipient-Executed Trust Fund (WBG)
RTAC	Regional Technical Assistance Center (IMF)
SME	Small- and Medium-Scale Enterprise
TA	Technical Assistance
TACR	Technical Assistance Completion Report (IsDB)
TAIMS	Technical Assistance Information and Management System (IMF)
TAPER	Technical Assistance Post-Evaluation Report (IsDB)
TC	Technical Cooperation (IADB, EBRD)
TCR	Technical Assistance Completion Report (AsDB)
TPER	Technical Assistance Performance Evaluation Report (AsDB)
WB	World Bank (WBG)
WBG	World Bank Group
WBI	World Bank Institute (WBG)
XPSR	Expanded Project Supervision Report (IsDB)

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This report was prepared by Kris Hallberg (Consultant) for the Technical Assistance Working Group of the Evaluation Cooperation Group, under the direction of Co-Chairs Cheryl Gray (Director, Office of Evaluation and Oversight, Inter-American Development Bank) and Marvin Taylor-Dormond (Director of Private Sector Evaluation, Independent Evaluation Group, World Bank Group).

Summary

1. The provision of non-lending technical assistance (TA) by International Financial Institutions (IFIs) has grown steadily in recent years and has become a significant part of IFI assistance to client countries. Many IFIs are taking steps to improve the strategic relevance of TA as well as their systems to monitor and evaluate TA results. Taking note of these developments, the Evaluation Cooperation Group (ECG) has renewed its efforts to develop Good Practice Standards for the evaluation of TA.

2. The objective of this report is to take stock of the types of technical assistance offered by ECG members to clients, and members' practices with regard to evaluation of those technical assistance activities. From these comparisons, the report identifies methodological issues that need to be considered in designing Good Practice Standards (GPS) for Evaluation of Technical Assistance. Eight ECG members participated in the stocktaking exercise: African Development Bank (AfDB), Asian Development Bank (AsDB), Inter-American Development Bank (IADB), European Investment Bank (EIB), European Bank for Reconstruction and Development (EBRD), International Monetary Fund (IMF), Islamic Development Bank (IsDB), and World Bank Group (WBG).

3. Most IFIs have two goals in offering TA: to improve the design and execution of IFI-financed projects, and thus their ultimate developmental or policy 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 toward the latter objective. Although IFIs vary in their definitions of what is included in TA, most cover activities related to the preparation and implementation of IFI-financed projects, advisory services, capacity development, training, and sector studies. Most IFIs exclude basic research from the definition of TA; also excluded are internal knowledge-sharing activities such as training of IFI staff. There is a wide range of TA outputs, including analytical studies; training; conferences and seminars; short-term expert advice, often delivered in a brief visit to the client country; and the services of short- or long-term experts that reside in the client country. The variety of TA activities raises the question of the extent to which they can be evaluated using a common methodology. In addition, since TA is often packaged with lending operations, TA can be evaluated either separately or included in the evaluation of the lending operation.

4. It is difficult to compare the volume of TA across IFIs because of differences in their definitions of TA, but rough estimates show that the annual amount of TA provided by ECG members ranges from $44 million for IsDB to $634 million for the WBG. Although the WBG supplies the largest absolute amount of TA, it accounts for a smaller share of total assistance (at 1.1 percent) than in EBRD (4.0 percent), AsDB (2.6 percent), AfDB (1.6 percent), and IADB (1.4 percent). For the other ECG members, TA accounts for less than 1 percent of total support. The small size of the typical TA operation raises the question of how many resources should be devoted to evaluating operations of this size.

5. Generally, TA is funded from three sources: donor funding, the IFI's own resources (the administrative budget and/or a portion of net income), and fees from clients. Donors finance a large amount of TA in most IFIs, and the donor share has been increasing in some. Donor trust funds usually have their own evaluation requirements, suggesting that IFI policies governing the

coverage of TA evaluations should take donor requirements into account to minimize duplication of effort. For some IFIs, fee-based services are becoming a more important share of TA financing, especially for TA to private sector clients and to middle-income countries.

6. Five of the eight ECG members covered in this report have self evaluation guidelines that are specific to TA, and two other members are developing them. Four of the eight have specific guidelines for independent evaluations of TA; the other four Central Evaluation Departments (CEDs) apply the same evaluation guidelines to investment operations and TA. Most CEDs are moving away from evaluating individual TA activities to evaluating clusters of TA at the country or thematic level.

7. Except for validations of TA self evaluations that are conducted by two CEDs, the selection of TA activities or programs for evaluation is done on a purposive basis. Since most TA evaluations are done on a cluster of operations, the time between TA project completion and evaluation varies. In addition, the timing of TA evaluations is often driven by donors: many donor trust funds require that an independent evaluation be prepared before funding renewal.

8. Because self evaluations of TA are prepared so soon after project closure, they often report on the achievement of outputs, or at best intermediate outcomes, rather than final outcomes. Independent evaluations of TA more frequently are able to report on both intermediate and final outcomes, depending on the timing of the evaluation and the nature of the activity evaluated. However, the use of a counterfactual is limited: in practice, most evaluations of TA effectiveness rely on a before-and-after approach.

9. The majority of ECG members use the OECD-DAC core evaluation criteria (relevance, effectiveness, efficiency, and sustainability), or minor variations on them, in their TA evaluations. In general these criteria work well for TA, except for efficiency which in practice is often reduced to an assessment of the timeliness of the activity. Some IFIs have defined different criteria or sub-criteria for TA evaluations that allow them to focus on the distinguishing characteristics of knowledge-based interventions and to capture the complex process of institutional change.

10. The report concludes with a discussion of issues that should be considered in a future set of Good Practice Standards for Technical Assistance ("TA GPS"). The first issue is the coverage of the TA GPS. Assuming that any necessary tailoring of evaluation methodologies can be accommodated, it seems reasonable that the TA GPS could cover both public sector TA and private sector TA. Including both lending TA and non-lending TA in a single GPS seems reasonable because there is no reason to think that evaluation methodologies should be determined by the source of financing. Similar to ECG's previous decision to move the "independence" standards out of the Public Sector GPS once the Independence GPS was written, standards relating to the evaluation of TA lending could be moved from the Public Sector GPS into the TA GPS.

11. Another issue is whether a single set of standards could apply to the evaluation of the wide variety of TA activities currently offered by IFIs. If not, a TA typology could be defined to take account of differences in the time required to observe final outcomes; the different types of beneficiaries (individuals vs. organizations); the link between TA and lending operations; and the public- versus private-good nature of project benefits. Another typology might focus on the change process and the types of clients: learning and skills development by individuals, learning and change in organizations, general knowledge, and informing and supporting IFI lending operations. Different evaluation methods could apply to the different categories.

12. For a TA operation to be evaluable, the results framework at project entry must pay careful attention to the specification of intermediate outcomes, along with indicators to measure change processes. The TA GPS should contain standards on intermediate outcomes and indicators, perhaps with specific guidance for each type of TA. Standards on self evaluation also should address the scope of evaluation for different sizes of TA operations and consider how to minimize duplication of effort with the evaluation requirements of donors.

13. The TA GPS needs to recognize the broad range of independent evaluation products currently produced by CEDs. While the GPS should not mandate a particular mix of CED products, it could contain standards for a larger number of instruments than the two covered in the Public Sector GPS, namely Performance Evaluation Reports and Completion Report Validations for individual operations. At a minimum, it would be useful for the TA GPS to differentiate the standards on timing, the focus on outputs versus outcomes, and requirements for attribution analysis according to various TA evaluation instruments. The TA GPS might also propose a shorter desk-review instrument to assess the completeness of the TA CR but not validate the TA CR's ratings, as well as an instrument to review the independent evaluations of donor-funded TA programs.

14. With respect to the timing of evaluations, the TA GPS should state the general principle that evaluations should be carried out when sufficient time has elapsed for outputs, intermediate outcomes, and final outcomes to become apparent. It could then provide guidance on appropriate timeframes according to the type of TA being evaluated. For example, preparatory work for TA linked to investment operations could be evaluated in a shorter period of time than capacity building TA. For larger TA programs with long-term outcomes, the guidance could be to conduct a series of evaluations, with evaluations later in the series focusing on higher levels of the results chain.

15. Following the model of the Public Sector GPS, the TA GPS should establish the principle of establishing "plausible causality" between TA activities and outcomes, at a minimum using theory-based evaluation methods. In many cases, "contribution analysis" may be sufficient, emphasizing narrative "stories of change" anchored in quantitative evidence. Occasional impact evaluations of TA would strengthen the credibility of qualitative causal evidence.

16. With respect to evaluation criteria, the TA GPS could focus on three of the four OECD-DAC core criteria (relevance, effectiveness, and sustainability), dropping the requirement of a separate efficiency criterion as is done for evaluations of policy-based loans in the Public Sector GPS. The timeliness of the TA operation could be considered under either relevance or IFI performance. Other criteria that are particularly relevant for evaluating TA operations – such as client ownership, technical quality, and interaction with stakeholders – could be included as sub-criteria under the three core criteria. Depending on the type of TA and the timing of the evaluation, the weights given to the sub-criteria under effectiveness could vary.

17. Like the Public Sector GPS, the TA GPS should include sections on the preparation, review, and dissemination of TA evaluations. The importance of stakeholder input suggests that larger TA evaluations should involve field work.

1. Introduction

1.1 The provision of non-lending technical assistance (TA)[1] by International Financial Institutions (IFIs) has grown steadily in recent years and has become a significant part of IFI assistance to client countries. Partly this growth has been due to the interests of donors that have channeled a larger share of their aid budgets through IFIs to support special programs. Partly it reflects a recognition that the development and policy goals of the IFIs require that their lending activities be complemented by building capacity in client countries. And some IFIs now see their role as creators and disseminators of knowledge as being at least as important as their traditional role as financiers of investment projects.

1.2 As the volume and types of TA have expanded, many IFIs are finding that their processes for managing TA are inadequate. TA activities tend to be scattered, lacking a strategic connection with IFI institutional goals, country and sector strategies, and lending operations. In some IFIs, the monitoring of TA outputs and the evaluation of results have been neglected, or have been designed to fit the concrete nature of investment operations rather than the intangible and often long-term nature of knowledge sharing and institutional development. *Ex post* evaluations of TA programs often are led more by the requirements of donors than by consistent IFI policies.

1.3 Several IFIs recently have revised their TA policies to broaden the strategic role of TA, strengthen linkages with country and sector strategies and lending operations, prioritize the allocation of non-reimbursable TA, charge fees for some types of services, streamline approval and implementation processes, and improve monitoring and evaluation.

1.4 Taking note of these developments, the Evaluation Cooperation Group (ECG) has renewed its efforts to develop Good Practice Standards (GPS) for the evaluation of non-lending TA. In 2007-08, ECG sponsored an initial stocktaking of TA evaluation methodologies and the preparation of a draft GPS.[2] The draft GPS covered both public and private TA and both self- and independent evaluations of TA. In many ways it mirrored the structure and content of the Public Sector and Private Sector GPSs at the time, calling for a range of TA evaluation products: Central Evaluation Department (CED) desk reviews and validations of TA completion reports, independent stand-alone evaluations of TA activities, and occasional impact evaluations by both Management and the CED. The proposed TA evaluation criteria were similar to those contained in the Private Sector GPS at that time: strategic relevance, output achievement, achievement of results (efficacy), achievement of impact results, environmental and social effects, efficiency, and additionality.

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[1] The term "technical assistance" is used by most ECG members. Two IFIs (IADB and EBRD) use the term "technical cooperation". In some IFIs, TA provided by the private sector arm of the institution is called "advisory services" (WBG-IFC, IsDB-ICD, and IADB-IIC). Annex 1 gives equivalent terms used by IFIs.

[2] ECG (2008). *Good Practice Standards for the Evaluation of MDB Technical Assistance (TA)/Technical Cooperation (TC) Operations.* Revised draft. See also *Comparative Analysis of Frameworks for Independent Evaluation of TA/TC.* Presentation to the ECG Plenary Meeting, March 28, 2006; and Linda Morra-Imas (2007), *Comparison of MDB Practices for Evaluation of Technical Assistance/Technical Cooperation Projects.* June 7.

1.5 Following a discussion of the draft TA GPS at the April 2008 ECG meeting, further work on a TA GPS was suspended as ECG shifted its attention to revising the Private Sector GPS and the Public Sector GPS. Once those tasks were completed, the Technical Assistance Working Group turned its attention once again to the topic.

1.6 To lay the foundation for evaluation standards, the TA Working Group contracted the services of a consultant to gather basic information from ECG members on how TA is delivered, the amount of IFI resources devoted to TA, how TA is evaluated, and the need for a TA GPS.[3] The main findings of this exercise are shown in Box 1.

Box 1: Findings of the Previous Survey of IFI Technical Assistance Evaluation Activities

At its April 2011 meeting, the members of the ECG Working Group on Technical Assistance decided to contract the services of a consultant to examine the current state of evaluation of TA in their institutions and to gauge interest in completing work on a set of Good Practice Standards in this area. A short survey was sent to ten ECG members and responses were received from five. Additional information was gathered during the November 2011 ECG meeting and from the IMF's 2005 evaluation of its TA.[1] The results were summarized in a January 2012 report.[2] The report's main findings were the following:

Delivery of TA: IFIs provide TA through stand-alone activities, as add-ons to other operations (e.g., loans), or using a mix of both modalities. In at least eight IFIs, some or all TA is delivered through stand-alone operations. This suggests that a TA GPS could be aimed at such operations, with "linked" TA covered by other GPSs (e.g., those for Public Sector Operations and Private Sector Operations).

Resources devoted to TA: these generally range from 0.5 to 3 percent of the IFI administrative budget. The IMF is an outlier, devoting 7 percent of its budget for field work, 12 percent including headquarters support for that work, and 23 percent including fixed institutional costs.

Evaluation of TA: At least six IFIs have some mechanism for evaluating TA activities, and four of those have self evaluation systems for TA. The criteria used to evaluate TA vary. In one IFI they are unique to TA, in another they are the same as for other operations, in two they are a combination of both common and unique, and in two others they are *ad hoc*.

Need for a TA GPS: Seven IFIs agreed that a TA GPS is needed. Five of those considered that these should be stand-alone standards, while two others preferred they be incorporated into the Public Sector and Private Sector GPSs.

[1] International Monetary Fund (2005). *IMF Technical Assistance.* Independent Evaluation Office.
[2] Grasso, Patrick G. (2012). *Developing Good Practice Standards for Technical Assistance and Technical Cooperation.* ECG Working Group on Technical Assistance Evaluation, January.

[3] Grasso, Patrick G. (2012). *Developing Good Practice Standards for Technical Assistance and Technical Cooperation*. ECG Working Group on Technical Assistance Evaluation, January.

1.7 Following discussion of the survey results at their November 2011 meeting, ECG members agreed to proceed with a more detailed "stocktaking" exercise. The result of this exercise is this report. Its objective is to compare the types of TA offered by ECG members as well as IFI policies and practices with respect to the evaluation of TA. From these comparisons as well as information from other development and research institutions, the report identifies issues that need to be considered in a possible future set of ECG Good Practice Standards for evaluating non-lending technical assistance.

1.8 According to the terms of reference for the stocktaking exercise, TA is defined to include any IFI support offered to clients to enhance knowledge and capacity-building – including technical cooperation, advisory services, and analytical activities such as economic and sector work (ESW). The last of these is understood to include analytical work conducted by Operations units but not basic research carried out by central research departments. The definition of TA includes TA to both public sector and private sector clients, TA provided on a non-reimbursable (grant) basis, and TA that is partly or fully covered by fees from clients. TA financed by an IFI loan is excluded from the definition of TA in this report, as this type of TA is covered under the Public Sector GPS.

1.9 The report is based on:

- a review of relevant documents provided by ECG members, including Board papers, resolutions, and discussions; policy papers, staff instructions, guidelines and manuals; interdepartmental memoranda; published evaluation standards; a selection of TA evaluations (internal and external); and other written information.

- interviews with staff from IFI CEDs and operational departments responsible for self evaluation. Some of these interviews were conducted by telephone (AsDB, EIB, EBRD, and IsDB); others were done in person during a visit to Washington, D.C. (WBG, IADB, and IMF).

- information gathered from other development and research institutions via Web sites and e-mail and telephone communication with evaluation staff, including the Canadian International Development Agency (CIDA), the U.K. Department for International Development (DFID), the International Development Research Center (IDRC), the Netherlands Development Organization (SNV), the Australian Government Overseas Aid Program (AusAid), the OECD-DAC Network on Development Evaluation, and the International Initiative for Impact Evaluation (3IE).

1.10 Eight ECG members participated actively in this exercise: African Development Bank (AfDB), Asian Development Bank (AsDB), Inter-American Development Bank (IADB), European Investment Bank (EIB), European Bank for Reconstruction and Development (EBRD), International Monetary Fund (IMF), Islamic Development Bank (IsDB), and World Bank Group (WBG). The Council of Europe Development Bank (CEB), International Fund for Agricultural Development (IFAD), and Black Sea Trade and Development Bank (BSTDB) chose not to participate because TA does not form a significant part of their operations. The effort was guided by the members of the ECG TA Working Group who provided documents, organized meetings, and commented on the draft report. The author would like to express her appreciation for the patient support given by the TA Working Group.

1.11 Following this introduction, the report has three main chapters. The next chapter describes the types of TA provided by IFIs and the amount and sources of funding. The chapter highlights the variety of TA activities, the trend toward greater use of donor trust funds and fee-based services, and the implications of these characteristics for the evaluation of TA. The next chapter compares TA evaluation methodologies across IFIs, covering both self evaluation by Operations departments and independent evaluation by CEDs. The section discusses the different types of monitoring and evaluation instruments, the selection and timing of evaluations, results frameworks and performance indicators, criteria and ratings, and preparation and review processes. Implications for good practice standards in TA evaluations are discussed. The final chapter of the report summarizes the main issues and options to be considered in a future TA GPS.

2. Technical Assistance Provided by IFIs

Types of Technical Assistance

2.1 Annex 2 lists the objectives of TA for each IFI as stated in their policy documents. With varying degrees of emphasis, most IFIs have two objectives in providing TA: (i) improving the design and execution of IFI-financed projects, and thus their ultimate developmental or policy impact; and (ii) building institutional capacity, skills, and knowledge in client countries. Historically, most IFIs have emphasized the first objective, providing TA as an input to investment operations – for example, to finance project-related studies and build the capacity of executing agencies (e.g., IsDB), to achieve the best developmental results of IFI financing (AfDB), to improve the quality and sustainability of IFI investments (EIB), or to help client countries implement IFI policy advice (IMF). Increasingly, however, some IFIs have expanded the objectives of their TA beyond improving the performance of their lending operations to "stand-alone" goals such as strengthening institutions and facilitating knowledge exchange (WBG) or promoting the transfer of technology and fostering regional cooperation (AsDB).

2.2 Although the definition of technical assistance varies by IFI, there are some commonalities. Activities related to the preparation, implementation, and evaluation of IFI-financed projects usually are part of IFI TA (the exception is the IMF, which does not provide project financing). All IFIs include "capacity development" in one form or another as a category of TA. What is considered to be TA usually excludes internal activities related to IFI management (e.g., the preparation of country or sector strategies) and training provided to IFI staff.

2.3 The rest of this section describes the TA supplied by each individual IFI along with trends since 2007-2008, when the ECG did its previous work on TA evaluation. Annex 3 gives more detail on the types of TA offered by each IFI.

2.4 **AfDB**. AfDB offers three types of TA:

- Institutional capacity building (public and private).
- Project cycle operations (public and private) to finance feasibility and engineering studies.

- TA grants for Middle Income Countries.

2.5 AfDB's non-lending TA instruments include TA grants and the Project Preparation Facility. The latter is a complementary facility to TA loans and has the purpose of financing project preparatory activities on a reimbursable basis. In addition, AfDB administers bilateral trust funds that provide TA. The majority of TA goes to the poorer African Development Fund (AfDf) countries.

2.6 AfDB also engages in economic and sector work. In a recent evaluation of ESW in AfDB[4], the CED (OPEV) found that it was difficult to assess the costs, efficiency, and effectiveness of such knowledge products. The volume of ESW production has increased significantly in recent years, but the portfolio remains diffuse, untraceable, and inconsistent. There is no clear definition, governance, and procedures for quality control of AfDB ESW. Methods and procedures for dissemination are generally *ad hoc* and vary across Bank units. Moreover, the level of internal utilization of ESW products is low and it is not clear if there is a good demand for many ESW products.

2.7 **AsDB**. AsDB provides both sovereign and non-sovereign TA. Sovereign TA is TA provided by AsDB to a developing country member or in response to a request by a member government. Non-sovereign TA is any TA other than sovereign TA, and is neither requested nor guaranteed by the government.

2.8 TA is categorized into four types:

- Project preparation TA (PPTA): preparing projects for financing by AsDB and/or other external sources.
- Policy and advisory TA (PATA): financing sector-, policy-, and issues-oriented studies.
- Capacity development TA (CDTA), including support for the implementation, operation, and management of AsDB-financed projects.
- Research and development TA (RDTA) to address development issues of a global or regional nature.

2.9 The outputs of these TA activities include studies, training, seminars, conferences, workshops, and the services of short- and long-term consultants.

2.10 **EBRD**. EBRD's Technical Cooperation (TC) includes:

- Project/investment preparation: feasibility/market demand studies and due diligences.

[4] African Development Bank (2011). *Evaluation of the African Development Bank's Economic and Sector Work (2005-2010).* OPEV.

- Project/investment implementation: institution building Project Implementation Units, corporate governance, Financial and Operational Performance Improvement Program, risk management, etc.

- Advisory services, for example TurnAround Management and Business Advisory Services for small- and medium-scale enterprises (SMEs), and legal advisory work.

- Training, for example through the Trade Facilitation Program.

- Sector studies, mostly for EBRD's own purposes to scope a particular sector or business area, and other studies related to transition impact conducted by the Office of the Chief Economist.

2.11 A recent synthesis of CED (EvD) evaluations of TC operations during 2000-2010 indicated that 78 percent of the TC operations evaluated were for project preparation and implementation. Advisory services accounted for 18 percent, training 4 percent, and sector work 1 percent.[5]

2.12 In the ongoing Grant Co-Financing Strategic Review, EBRD Management acknowledged that there has been no overarching TC policy review since 1995, despite the commitment to enhance the impact of grant resources. Efforts are underway to improve the management of TC.

2.13 **EIB**. Traditionally, when EIB provided TA, it was mostly in conjunction with the projects it financed. TA was offered mainly outside of the European Union (EU) under a variety of EU mandates. The role of TA changed with the Bank's new statute under the 2009 Lisbon Treaty, which allows EIB to supply TA as a "complement" to its lending activity.

2.14 The amount of non-lending TA also grew with the introduction of the EU "J" initiatives (JASPERS, JEREMIE, JESSICA, and JASMINE) at the start of the current EU programming period (2007-2013). Under those initiatives, EIB supports the Managing Authorities of the EU regions to prepare project proposals for EU subsidies. TA in EU countries tends to be concentrated in "upstream" activities (sector studies, capacity building, and investment programming) whereas TA outside of the EU is more often for project preparation and implementation.

2.15 Thirty-eight percent of total TA funding in 2010 directly supported EIB's own lending operations, although other TA activities are often used to prepare projects that request EIB funding at a later stage. Of the thirty EIB TA facilities (programs), half are multi-sector, financing all sectors for a specific geographic area, and half are sector-specific. Energy efficiency, renewable energy, water, and environment are the sectors receiving the largest amounts of TA.

2.16 EIB organizes its TA into the following categories:

- Traditional TA to support a promoter or financial intermediary in developing, delivering, or improving the quality of a project or program that EIB will finance.

[5] European Bank for Reconstruction and Development (2012). *Findings and Insights from TC Evaluations*: *Synthesis Report.* Evaluation Department, June draft.

- TA or advisory and third party asset management services, delivered via a Joint Action partnership and often combined with third party asset management services, e.g., JASPERS or management of JEREMIE "holding funds".

- Fee-based advisory services to the European Community or third parties.

2.17 The output of TA of the second two types usually is a study of some kind. For example, a TA output of the JESSICA program, an urban development initiative, might be an urban development plan. The output of TA of the first type would typically be training, e.g., of equity fund managers.

2.18 **IADB**. IADB provides three categories of technical cooperation (TC):

- Operational Support to fund the preparation, execution, or evaluation of a loan or guarantee.

- Client Support, requested by a client country for capacity building, policy development, sector knowledge, etc. Client Support also can include feasibility studies.

- Research and Dissemination: knowledge products and dissemination activities that are originated within IADB.

2.19 A 2010 independent evaluation by the CED (OVE)[6] found that IADB processes for managing TC have so far been unable to fully support the provision of TC in the manner envisioned by the foundational mandates of the Bank. According to the report, TC activities are more closely aligned with their source of funding than with the specifics of the development objectives purportedly pursued. In other words, the Bank's mandate to use TC for developmental results has become secondary, subordinated to the short term need to secure access to concessional resources. This has led to a TC portfolio that emphasizes some level of *ex ante* documentation supporting requests for funding, but that is still non-evaluable. Furthermore, the achievement of developmental results during execution is jeopardized by a level of support from Bank specialists that is clearly skewed towards the initial stage of the TC lifecycle -- the one concerned with securing TC funding.

2.20 In recent years, IADB has adopted several new policies that relate to TC. A new TC policy approved in 2008 attempts to (i) strengthen the strategic link between TC and IADB's lending portfolio, country strategies, and regional programming; (ii) simplify and standardize approval procedures to remove barriers to access and reduce transaction costs; (iii) simplify execution procedures to allow greater flexibility to address bottlenecks and reduce transactions costs; (iv) improve the monitoring, evaluation, and reporting on the development outcomes and impacts achieved with TC; and (v) provide critical inputs for the mobilization of grant resources from the donor community, including philanthropic foundations and the private sector. The new policy expands the fields of TC activity beyond the traditional focus on development planning, pre-investment, and institutional to strengthening, to the promotion and transfer of technology and

[6] Inter-American Development Bank (2010). *Evaluation of the Bank's Processes for Managing Technical Cooperation.* OVE, May.

knowledge and the identification, preparation, and implementation of pilot projects designed to test innovative ideas.

2.21 In February 2010, IADB launched a Strategy for Knowledge and Capacity Building that reflects the growing importance of knowledge as a core business of the Bank. Based on this policy document, new operational guidelines for TC were introduced in 2011 to improve the prioritization of TC resources and streamlining programming and approval processes. The guidelines also address issues related to the monitoring and evaluation of TC.

2.22 **IMF**. The IMF's technical assistance focuses on designing and implementing appropriate policies and strengthening institutional capacity. Most IMF TA is provided via short, one-off IMF missions, short-term and long-term resident experts, and training. TA is categorized as follows by the functional department providing the services:

- Fiscal Affairs Department.
- Monetary and Capital Markets Department (central banking, regulation and supervision, macrofinance, debt management).
- Statistics Department (bringing client country data systems to international standards).
- Legal Department (legal frameworks governing economic activities).

2.23 During the last few years, IMF TA has undergone major changes. On the demand side, there is increased interest in longer-term capacity building and "second generation" reforms. On the supply side, TA is increasingly financed by donors and delivered through experts located in the field. Regional Technical Assistance Centers (RTACs) were established in six regions: the Pacific; the Caribbean; East, West, and Central Africa; and the Middle East.

2.24 A key feature of IMF TA is the institutional support ("backstopping") of consultants in the field. Backstopping is carried out by IMF staff economists to ensure focus and targeting, quality, and consistency in the delivery of assistance. This kind of quality control is only possible because TA is concentrated in a relatively narrow range of the Fund's core competencies.

2.25 Consultants funded by IMF TA tend to be very high-level experts from academics and former government positions, and there is substantial demand for a relatively small number of such experts. These experts play a steering role, for example by helping clients implement action plans for policy reforms. In addition to formal TA, the Fund provides quite a bit of "informal TA" via e-mail and telephone contact between IMF staff and their counterparts in client countries.

2.26 Donor financing, first for RTACs and increasingly through multi-donor trust funds and bilateral support for HQ-based activities (including staff), has relaxed the budget constraint significantly and has raised the strategic questions of how much TA should grow and the extent to which TA provision should be decentralized. A 2001 report by a task force on IMF technical assistance[7] called for better prioritization and quality control, a larger central reserve of funds for TA, a shift

[7] IMF (2011). *Report of the Task Force on the Fund's Technical Assistance Strategy*. October 19.

to multi-year planning, and better coordination with other TA providers. The report also recommended greater emphasis on outcomes to assess the effectiveness of TA.

2.27 The IMF's Independent Evaluation Office (IEO) evaluated the Fund's TA in 2005.[8] The evaluation called for better prioritization of TA, directed by Poverty Reduction Strategy Papers and medium-term policy frameworks. The report found that TA effectiveness has been undermined by a lack of awareness of institutional, organizational, or managerial features of the client country. More fundamentally, a weak civil service is a major obstacle to sustaining capacity-building efforts. The evaluation also noted weaknesses in the dissemination of TA reports and in the coordination between the IMF and other donors. A major conclusion of the IEO study was the need to divide the results chain into two steps: the extent to which TA has enhanced the technical capabilities of agencies receiving TA, and the ability of agencies to use that knowledge and implement their mandate. The latter often calls for political support.

2.28 The IMF's new TA strategy, approved by the Board in November 2011, promotes the "FINE" model for TA: Focused, Integrated, Nimble, and Effective. In May 2012, the Office of Technical Assistance Management merged with the IMF Institute (the training arm of the IMF) to form the Institute for Capacity Development. The reason for the merger was to increase the synergies between TA and training.

2.29 **IsDB**. IsDB began providing TA in 1975, when the Bank was created. TA is provided under several umbrellas and by several entities within the IsDB Group: the Islamic Development Bank itself, the Islamic Corporation for the Development of the Private Sector (ICD), the Islamic Corporation for Insurance of Investment and Export Credit (ICIEC), and the International Islamic Trade Finance Corporation (ITFC). However, the bulk of TA is provided by IsDB itself in the form of grants sourced from the income of the Bank and its Trust Fund.

2.30 The following types of TA are provided:

- Capacity building.
- Project-related studies (feasibility, engineering and design, etc.).
- Technical cooperation (trade facilitation/promotion, reverse linkages, south-south cooperation).
- Advisory services.

2.31 Most IsDB TA is devoted to project-related studies and capacity building of executing agencies. Recent examples include grants for feasibility studies and capacity building in project management in Chad, and grants for the development of infrastructure strategies and action plans in several African countries. In addition, TA is provided under a number of special programs:

- The Technical Cooperation Program, a South-South program focusing on transfer and exchange of skills, knowledge, and know-how amongst member countries.

[8] International Monetary Fund (2005). *IMF Technical Assistance*. Independent Evaluation Office.

- The Science and Technology Program, aimed at enhancing institutional capacity and promoting the acquisition and dissemination of knowledge.

- The Investment Promotion and Technical Assistance Program, managed by ICIEC, to assist member countries in improving their investment climate and promoting foreign direct investment.

- The Trade Cooperation and Promotion Program to enhance intra-trade and promote trade cooperation among member countries, and build capacity in trade-related subjects.

- Private Sector Advisory Services, carried out mainly by ICD, to provide advice on reforms to improve the business environment.

2.32 **WBG**. Since the mid-1990s, the World Bank (WB) has positioned itself as a "knowledge bank" -- not just a lending bank – with the goal of creating, sharing, and applying knowledge for development. Reforms over the ensuing years culminated in the 2010 Knowledge Strategy.[9] Soon afterward, the Bank launched its Open Knowledge initiative with the aim of making its knowledge work more accessible to a broad base of stakeholders in client countries.

2.33 The World Bank has steadily allocated a larger share of its administrative budget to "core" knowledge work, which includes TA, ESW, impact evaluations, external client training, research, global monitoring, and new product development.[10] In 2011 these core knowledge services amounted to 31 percent of the Bank's budget, compared with 24 percent in 2002. The amount spent on TA nearly quadrupled between 2002 and 2010. In its analytical work, WBG-WB is producing fewer of the longer analytical pieces and more of the shorter "just-in-time" policy notes and "how-to" guidance for clients.

2.34 IEG's 2008 evaluation of the World Bank's TA and ESW[11] found that most ESW and TA met their stated objectives to at least an average extent, although their effectiveness was greater in shaping Bank lending and strategy than in providing support directly to clients. The indirect effects of TA and ESW – through Bank lending – were greater than the direct effects. In some cases, ESW and TA had effects beyond their stated objectives. Factors leading to greater ESW and TA effectiveness were the degree of government capacity, government receptivity and buy-in, close collaboration with clients, and sustained follow-up. With respect to monitoring and evaluation, the report found that the implementation of the Bank's results tracking framework has not been enforced.

2.35 Current challenges that WBG-WB is working on include (i) establishing consistent standards for governance and the measurement of results; (ii) strengthening connectivity across the core knowledge product lines and developing a comprehensive approach to managing knowledge as a portfolio; and (iii) making Open Knowledge part and parcel of the way the Bank does business.

[9] World Bank (2010). *Transforming the Bank's Knowledge Agenda: A Framework for Action.*
[10] World Bank (2011). *Knowledge for Development: The State of World Bank Knowledge Services*.
[11] World Bank (2008). *Using Knowledge to Improve Development Effectiveness: An Evaluation of World Bank Economic and Sector Work and Technical Assistance, 2000-2006*. IEG.

2.36 In the International Finance Corporation (IFC), the rapid expansion of Advisory Services (AS) during 2000-2005 led to the recognition of AS as one of IFC's core businesses. In 2008, a Vice Presidency for Advisory Services was created with responsibility for AS policies and portfolio review. Advisory Services are provided mainly through IFC's regional facilities, of which there are now 18 in seven regions. The number of staff working on AS has increased sevenfold in the last seven years, and AS staff now make up the majority of the IFC's presence in client countries.

2.37 IFC Advisory Services are broken into four "business lines": Access to Finance (accounting for 33 percent of the AS portfolio in June 2012), Investment Climate (26 percent), Public Private Partnerships (12 percent), and Sustainable Business Advisory, mainly linkage programs and training (29 percent). Some of these services are linked to potential IFC investments and some (particularly in the Investment Climate business line) are not. Services are provided to governments as well as to private firms. The majority of AS activities (60 percent) involve some kind of training or capacity building.

2.38 A 2009 Independent Evaluation Group evaluation of IFC's advisory services[12] found that AS grew in a largely unchecked manner, fueled by donor money and IFC's own funding. The report raised concerns regarding the long run sustainability of the AS business model. To tackle these challenges, IFC has initiated a broad AS institutional realignment. To enhance its development effectiveness and additionality (unique role and contribution), in 2011 IFC developed an integrated strategy for its investment and advisory services designed to address the need for a clear vision and business framework for AS that is linked with IFC's global corporate strategy; pursue more programmatic AS interventions; improve execution of the AS pricing policy; and strengthen AS performance measurement.[13]

2.39 To summarize this section, ECG members provide a wide range of TA activities and outputs: analytical studies; training; conferences and seminars; short-term expert advice, often delivered in a brief visit to the client country; and the services of short- or long-term experts that reside in the client country. The variety of TA instruments raises the question of the extent to which they can be evaluated using the same instruments and methodology. Can one set of evaluation standards – with the same guidelines on scope, timing, criteria, etc. – apply to the entire range of TA products? For example, can analytical work be evaluated in the same way as training? In addition, sometimes the outputs of TA are intangible. For example, not all consultancies produce reports. How should these types of TA be evaluated?

2.40 Technical assistance is often packaged with other IFI assistance instruments. For TA activities that are linked to a lending operation, either at the design stage (such as a feasibility study) or the execution stage (such as support to a project implementation unit), the TA could either be evaluated separately or included in the evaluation of the lending operation. In either case, it is likely to be difficult to attribute outcomes to the TA alone.

2.41 TA that is designed to achieve institutional objectives, such as building the capacity of a government ministry to enforce regulations, often involves changes in staff and management

[12] International Finance Corporation (2009). *Knowledge for Private Sector Development: Enhancing the Performance of IFC's Advisory Services*. Independent Evaluation Group.
[13] International Finance Corporation (2012). *IFC Advisory Services - FY12 Annual Update*. August 23.

behavior that ultimately leads to better institutional performance. However, institutional outcomes may take a long time to materialize. This has implications for the timing of evaluations. A longer lapse of time between project closure and evaluation, or a series of evaluations, may be needed.

2.42 Finally, some of the benefits of TA may not be found in the TA project's formal statement of objectives. Some TA activities may have unstated objectives – such as "staying engaged in the sector" or "positioning for future involvement" – that make it difficult for evaluators to construct an ex post results framework. Sometimes the TA is intentionally opportunistic, allowing detailed objectives and activities to be defined during implementation under a general objective that was adopted at appraisal. And there may be unintended benefits of TA that are even more important than the intended outcomes expressed in the statement of objectives.

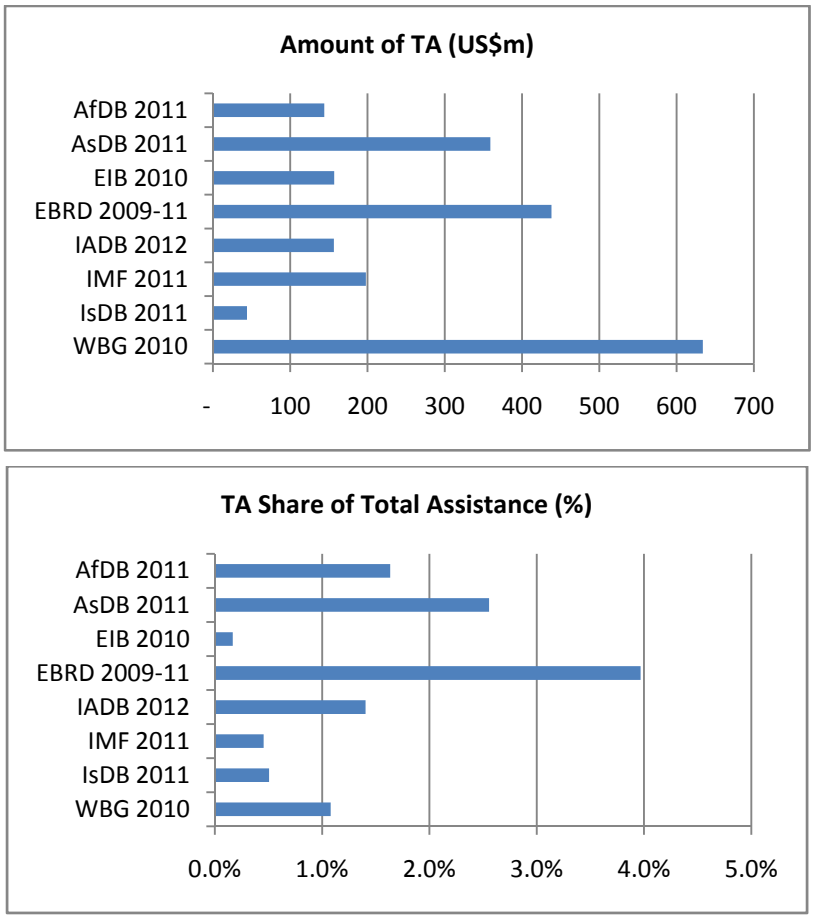
Amount and Funding of Technical Assistance

2.43 It is difficult to compare the volume of TA across IFIs because of differences in their definitions of TA. In particular, ESW (sector-, policy-, and issues-oriented analytical work) is excluded from the definition of TA by AfDB, IADB, and WBG. Most IFIs exclude basic research from their definition of TA, but such research is included by AsDB and IADB. The figures for AfDB include TA funded by loans.

2.44 With these caveats in mind, Figure 1 shows rough comparisons of the amount of TA provided by each IFI and the share of TA in total IFI assistance. Figures for WBG, IADB, and AfDB add in ESW in order to be comparable with the other IFIs. "Total TA" includes both public sector and private sector TA. For WBG and IADB, advisory services provided by the private sector arms of those institutions are included (IFC for WBG and the Inter-American Investment Corporation (IIC) and the Multilateral Investment Fund (MIF) for IADB). Data covers a single year between 2010 and 2012, depending on the IFI (figures for EBRD are an average of 2009-2011).

2.45 The annual volume of TA ranges from $44 million for IsDB to $634 million for WBG. Although the WBG supplies the largest absolute volume of TA, TA is a smaller share of total assistance (at 1.1 percent) than in EBRD (4.0 percent), AsDB (2.6 percent), AfDB (1.6 percent), and IADB (1.4 percent). In the other IFIs, TA accounts for less than 1 percent of total support to client countries.

Figure 1: Volume of Technical Assistance



Sources: ECG TA Working Group submissions; IFI annual reports

2.46 Generally, IFI TA is funded from three sources: donor trust funds, the IFI's own resources (administrative budget and/or a portion of net income), and fees from clients. Donors finance a large amount of TA in most IFIs, and the donor share has been increasing in some. For some IFIs, fee-based services are becoming a more important source of TA financing.

- AsDB's technical assistance projects are funded from the Technical Assistance Special Fund, which in turn is funded by AsDB's core resources, and from external resources including the Japan Special Fund. In 2011, funding from external resources increased significantly, while the funding from AsDB's core resources remained around the 2010 level. In contrast to WBG, AsDB does not administer a large number of donor trust funds established for particular sectors, countries, or regions. Most TA is given on a grant basis except for Project Preparation TA to private sector clients and TA to graduated countries.

- In WBG-WB, donor trust funds and fee-based services are becoming more important sources of funds for TA. Trust funds finance 53 percent of TA (including ESW). Fee-based services provided about $19 million in 2010 – less than 5 percent of all knowledge services, but the predominant practice in some middle-income countries.

- In WBG-IFC, the 2007 AS pricing policy allows IFC to cover up to 100 percent of project costs for AS to governments and public sector agencies, depending on the level income of the country and expected impact of the intervention. For private sector firms, IFC's share of project costs reflects the mix of private and public benefits associated with the project. IFC recognizes client contributions in three forms: payment of cash fees to IFC, in-kind (e.g., dedicated staff and facilities), and parallel (payments to third parties for specific project inputs), with the expectation that cash fees will dominate. Among the 2012 approvals, 50 percent of the cost of AS to private firms was expected to come from private firms in the form of cash fees, in-kind, and parallel contributions (however, IEG's analysis of pricing policy compliance found that there was a large discrepancy between expected and actual contributions). For all AS, the shares were 43 percent IFC, 15 percent private firms, and 42 percent donors.

- In EIB, 87 percent of TA resources come from the EU in the form of grants.

- In IADB, donor trust funds and IADB net income have become the main sources of funding for TA. IADB has set aside a minimum of $100 million per year from its income on ordinary capital to fund TA, and this has expanded the total resources available. The use of fee-based services is increasing, particularly from private sector clients and from the public sector in middle-income countries.

- In the IMF, although the share of funding from external donors is increasing, about 70 percent of TA is financed from the Fund's own resources.

2.47 Information gathered for the previous ECG consultant's report on TA shows that, for four IFIs, the share of the IFI administrative budget spent on TA ranges from 0.5 percent to 3 percent.[14] Because the IMF funds a larger share of its TA from its administrative budget, the share of its budget spent on TA is much higher: 7 percent for TA missions, 12 percent including headquarters backstopping support and other direct costs, and 23 percent including fixed institutional costs.[15]

2.48 TA activities are small in size. In WBG-WB, the average TA activity during 2000-2006 was $151,000. In WB-IFC, the average project cost for projects closed during 2008-2010 was $698,000. In IADB, the average over 2007-2012 was $482,000. IADB TA to small- and medium-sized enterprises through the Multilateral Investment Fund (MIF) averaged $884,000 in 2011. In AsDB, the average size of TA is less than $1 million. In EBRD, the typical TA operation is less than one million euros (approximately $1.3 million).

2.49 The current size of TA activities raises questions relevant to monitoring and evaluation. How many resources should be devoted to evaluating small TA activities compared to larger lending operations? To what degree should the size of the operation determine the evaluation

[14] Grasso, Patrick (2012). *Developing Good Practice Standards for Technical Assistance and Technical Cooperation.* Evaluation Cooperation Group Working Group on Public Sector Evaluation, January; p. 2. Data are for the period 1998-2004.

[15] International Monetary Fund (2005). *IMF Technical Assistance.* Evaluation Report, Independent Evaluation Office; p. 15.

methodology? Some would argue that the evaluation effort should be commensurate with the size of the operation, but a recent WBG independent evaluation of the Bank's Grant Reporting and Monitoring System took the opposite view, at least for monitoring: "There is little rationale for a grant's size to determine how an activity should be monitored and reported" (Box 2).

Box 2: Monitoring and Evaluating Technical Assistance: Should Size Matter?

In 2011, the World Bank's CED (IEG) assessed the adequacy of the Bank's Grant Reporting and Monitoring system as part of a larger evaluation of the trust fund portfolio. For recipient-executed activities, standard Bank supervision and completion reports are required for trust fund grants of $5 million or more. Smaller grants may use a separate reporting tool – the Grant Reporting and Monitoring (GRM) report. At completion, trust-funded activities under $1 million prepare a final version of the GRM. Larger activities prepare an Implementation Completion Memorandum (ICM), which is still less comprehensive than the completion reports required for lending operations.

The IEG evaluation found weaknesses in the GRM as a reporting and monitoring tool. GRM reports typically describe activities carried out, rather than outputs and outcomes. They do not require a results framework that juxtaposes project objectives against outputs and outcomes, nor do they require data on key performance indicators.

Beyond the inadequacy of the template itself, IEG found little rationale for a grant's size to determine how an activity should be monitored and reported. The implicit logic is that some trust-funded activities are too small to merit proper reporting. According to IEG, if an activity is "too small" to report on, then perhaps it is too small for the Bank to implement efficiently. If, on the other hand, reporting requirements are too complicated or onerous, they should be simplified for all activities, whether trust funded or otherwise, large or small.

The IEG evaluation concludes that, since the GRM and the ICM both lack a results focus and hinder accountability, the Bank and donors should phase them out completely and instead use standard World Bank monitoring and completion reports to report on the implementation of trust-funded activities.

Source: World Bank (2011). *Trust Fund Support for Development: An Evaluation of the World Bank's Trust Fund Portfolio.* Independent Evaluation Group, pp. 59-60.

2.50 Donor trust funds support an increasing share of TA in most IFIs, and donors require periodic evaluations of the programs they fund. This is expanding the number of evaluations and placing demands on IFI staff, both in terms of responding to information requests and managing evaluations. This raises the issue of how IFI policies governing the coverage of TA evaluations should take into account donor requirements. Avoiding duplication of effort may require greater efforts to harmonize evaluation methodologies across donor trust funds – a goal that an ECG Technical Assistance GPS might help achieve.

3. How IFIs Evaluate Technical Assistance

3.1 This chapter begins with a brief description of the TA monitoring and evaluation policies and practices of each IFI, along with any changes that have occurred during the past five years. Subsequent sections draw comparisons across IFIs with respect to the selection, coverage, and timing of evaluations; the levels of the results chain evaluated (outputs versus outcomes); and criteria and ratings. More detail on self- and independent evaluation policies and practices is shown in Annex 4, and a bibliography of recent sector, thematic, and global evaluations of TA by ECG members is contained in Annex 7.

Evaluation Policies and Practices

3.2 **AfDB**. Project Completion Reports (PCRs) are required for TA and advisory services for institutional capacity building, both to the public and private sectors, and a new format for TA PCRs has been developed. In practice, however, not all TA and advisory services are documented and self-evaluated. For the other two types of TA (project cycle operations and middle income country grants), requirements for monitoring and evaluation are just now being developed. No self evaluations are required for ESW, Advisory Services, or country policy dialogue.

3.3 With respect to independent evaluation, the CED (OPEV) does not have TA-specific evaluation guidelines. OPEV does not evaluate individual TA operations, but has evaluated some TA programs as well as clusters of TA under a particular theme (e.g., an evaluation of institutional capacity building financed through the Technical Assistance Fund, and an evaluation of TA to the Common Market for Eastern and Southern Africa (COMESA) for public procurement reforms). For these evaluations, OPEV used the same evaluation methodology that is applied to investment operations.

3.4 **AsDB**. AsDB's TA policy requires a TA completion report to be prepared by Operations, and there are detailed guidelines on how these reports should be prepared for the various types of TA. Independent (IED) evaluations of individual TA operations, called Technical Assistance Performance Evaluation Reports (TPERs), also follow specific guidelines. TA that is evaluated as part of a Country Assistance Program Evaluation (CAPE) and associated sector assistance program assessment follows the guidelines for CAPEs.

3.5 In line with IED's shift in focus from project-level evaluations to broader evaluations, the number of TPERs has declined from twenty-two during 2000-2004 to seven during 2005-2011 and to only one or two per year currently. Most TA evaluations are now done in the context of CAPEs, sector assessments, and special evaluation studies.

3.6 **EBRD**. A new evaluation policy, to be drafted by the end of 2012, will propose improvements to the independent evaluation of EBRD technical cooperation. In particular, the CED (EvD) is aiming to strengthen its accountability function by enhancing TC evaluation methodology, refreshing TC evaluation products, and introducing new types of assessments. It also is attempting to strengthen its learning function by increasing the incorporation of its evaluation findings into the design of future TC operations. On the operations side, EBRD management is expected to adopt a more results-oriented approach to TC and to make TC monitoring more

systematic. In addition to completion reports prepared soon after project closure, operations staff may be asked to prepare a later "impact report" that focuses on the highest level in the project's results chain.

3.7 EvD has conducted independent evaluations of individual TC operations in the past – about six per year – but the current trend is to embed them in the evaluations of investment operations (about 70 percent of EBRD TC activities are linked to investment operations).

3.8 EvD previously carried out TC project completion report assessments (validations) annually for a sample of PCRs, but they have been taken out of the current work program pending the adoption of a new PCR template. TC also is evaluated in individual operation evaluations, special studies, and synthesis papers.

3.9 **EIB**. EIB does not have a systematic approach to monitoring TA; each TA program has its own reporting requirements. Some EIB TA programs require evaluations to be prepared by the EU Directorate managing the program, not by EIB. Similarly, there is no single set of guidelines for independent evaluation of TA. To date, there have been only two independent evaluations of TA programs: the mid-term evaluation of the JASPERS initiative and the evaluation of the first phase of the JEREMIE initiative. A third TA evaluation – of TA linked to microfinance funds – was commissioned by the TA programs themselves. The CED (EV) was represented on the steering group for that evaluation.

3.10 **IADB.** Currently there is no system for monitoring and self evaluation of public sector Technical Cooperation activities, other than those required by donors. This is because a previous monitoring and completion reporting system for TC was abandoned when IADB's new TC policy was adopted in 2008. A new TC evaluation system is currently under preparation and is to be introduced in 2013.

3.11 Advisory services provided by the Inter-American Investment Corporation (IIC), IADB's private sector arm, are not required to prepare regular monitoring and evaluation reports. The IIC is currently conducting an external evaluation of its advisory services.

3.12 IADB's central evaluation department, OVE, has evaluated some TC programs and also reviewed IADB processes for managing TC. OVE also evaluates TC as part of its country program evaluations.

3.13 **IMF.** Traditionally, the IMF's self evaluation system for TA focused on the front end: vetting experts, exerting quality control over terms of reference, and reviewing post-TA mission reports. Now, according to IMF staff, donors are asking the Fund to be more systematic in evaluations of TA. As a result, the number of self evaluations of TA has increased, and there have been improvements in TA results frameworks and in TA monitoring and reporting.

3.14 Although a Technical Assistance Information and Management System (TAIMS) was established to monitor TA, this format is used by only one of the four functional departments; the other three follow their own monitoring guidelines. Thematic and country-level evaluations are conducted by the three functional departments responsible for most of the Fund's TA. Every three years, the Office of Technical Assistance Management publishes a review of TA

evaluations prepared during the period. In addition, there have been several evaluations of TA provided through the Regional Technical Assistance Centers.

3.15 As a small CED, the Independent Evaluation Office (IEO) produces only about three thematic evaluations per year. Only some of these cover TA issues as part of their studies. The last Fund-wide IEO evaluation of TA was conducted in 2005.

3.16 **IsDB**. Self evaluation of public sector TA is not done systematically. The new Vice Presidency for TA is developing TA evaluation guidelines. Similarly, self evaluation of private sector advisory services is just beginning to be done in the wake of the 2012 Development Effectiveness Framework.

3.17 Independent evaluation guidelines for TA were published in 2006 and are being revised. IsDB also has been moving away from evaluating individual TA operations to evaluating TA programs and TA clusters at the country level.

3.18 **WBG**. In WBG-WB, the self evaluation system is governed by an institution-wide policy. Both TA and ESW require a completion report, and there is a list of standardized indicators for both TA and ESW. The CED (IEG) is piloting a methodology for independent evaluation of TA and ESW, mainly to be done as part of country and thematic evaluations. IEG is considering whether or not to validate TA completion reports, or just continue to conduct periodic TA evaluations as part of broader studies. At the Bank-wide level, IEG recently conducted an evaluation of the Bank's knowledge activities. IEG also has prepared occasional impact evaluations of TA.

3.19 The department responsible for measuring the results of IFC's advisory services (the Development Impact Department, DAI) developed guidelines for completion reports for AS jointly with IEG. As a result, the self evaluation and independent evaluation methodologies for IFC AS are largely harmonized. DAI validates the Development Effectiveness ratings in AS completion reports. Subsequently, a sample of the AS completion reports is validated by IEG. In fact, most IEG resources for AS evaluations go into completion report validations rather than into cluster or thematic evaluations. However, some AS are evaluated as part of joint public sector-private sector IEG evaluations.

3.20 To summarize this section, five of the eight ECG members covered in this report have self evaluation guidelines that are specific to TA (AfDB, AsDB, EBRD, IMF, and WBG). EIB, IADB, and IsDB do not, although the latter two are developing them. In most IFIs, TA evaluation policies are defined at the institution-wide level. The exception is the IMF, where the methodology is defined at the departmental level. Four of the eight CEDs have or are developing specific guidelines for independent evaluations of TA (AsDB, EBRD, IsDB, and WBG). The other four CEDs apply the same evaluation guidelines to investment operations and TA.

3.21 The trend in most IFIs is to move away from independent evaluations of individual TA activities toward evaluating clusters of TA at the country or thematic level. Only EBRD and WBG (IEG-Private Sector) prepare independent evaluations at the level of individual TA activities, either through validations of completion reports or through stand-alone TA project evaluations – and EBRD is moving away from this practice.

Selection, Coverage, and Timing

3.22 Except for the validations of TA completion reports by the EBRD and WBG (IEG-Private Sector), the selection of TA activities or programs for evaluation is done on a purposive basis. Within a TA program or theme that is chosen for evaluation, the sample of TA activities may be purposive (AsDB) or representative (AfDB) or cover the whole population of TA activities in a particular country (IsDB).

3.23 In the IMF, the selection of TA activities to be self evaluated traditionally has been done at the country level, with priority to the most important country clients (in terms of TA volume). All TA activities within the functional department's responsibility and for the time period are covered. However, the trend in some departments is to base the selection on themes rather than countries.

3.24 Data on the coverage of self- and independent evaluations is incomplete, but there are some examples:

- WBG (IEG-Private Sector) validates a sample of AS completion reports received. In the first two years of this practice, IEG validated 100 percent of AS PCRs. Subsequently IEG moved to annual sampling (70 to 80 percent coverage) for two years; this year the sample will be 51 percent based on a three-year rolling average.

- EBRD (EvD) selects a random sample of about 20 TA operations for PCR Assessments (desk reviews). EvD's TA Performance Evaluation Reviews averaged about six per year in the past, but recently have been eliminated from the work program.

- In 2011, IsDB's CED (GOED) evaluated a cluster of 10 TA operations in Tajikistan and a cluster of 11 in Benin. This compares with an average of 94 public sector TA operations per year between 2007 and 2011.

3.25 In most IFIs, the time between TA completion and self evaluation is six to twelve months, the same as for investment operations. The timing of independent evaluations varies. The timing of TA evaluations conducted as part of broader country or thematic studies depends on the period of time covered in the broader evaluation. Similarly, for TA cluster evaluations, some activities in the cluster would have closed more recently than others. IsDB's CED (GOED) has a policy of evaluating "mature" TA operations, defined as those that have had two to five years since project completion.

3.26 The timing of evaluations of TA financed by donor trust funds depends on the requirements of the donor. Often, donors require an independent evaluation before funding renewal. Especially in the early years of a trust-funded program, the activities evaluated may not have had time to mature.

3.27 In the IMF, discussions with staff indicated that the timing of TA evaluations is often driven by donors, but that Fund staff try to manage donor expectations of what can be measured at various points in the "evaluation cycle" (one year, two years, five years, etc.). For some TA programs, IFI staff interviewed suggested that TA evaluations be repeated at later points in time.

3.28 In WBG, a Post Implementation Monitoring System is about to be launched in IFC, and the CED (IEG) and IFC are discussing how this might be linked to IFC's self evaluation system. Post-implementation reviews could help solve the problem that many advisory services are not sufficiently mature at completion to evaluate.

3.29 Most of those interviewed agreed that, compared to investment operations, TA activities need a longer timeframe to be able to show evidence on final outcomes. Viewed another way, this means that shorter-term evaluations may be able to show progress on intermediate outcomes, but not on broader goals (see below). Some of those interviewed suggested that, for some TA, the time needed to observe final outcomes could be quite long, even up to ten years.

Levels of the Results Chain Evaluated

3.30 Because TA self evaluations are prepared so soon after project closure, they often report on the achievement of outputs, or at best intermediate outcomes, rather than final outcomes. In AsDB, self evaluations done at completion are generally output-based. To some extent the same is true in WBG-IFC, where many advisory services projects do not achieve results at the level of final outcomes by the time they close. During 2008-2010, 22 percent of IFC AS completion reports did not have a "Development Effectiveness" rating (11 percent were "too soon to tell", 6 percent were "cannot verify" due to poor CR quality, and 6 percent were exempted from a Development Effectiveness rating due to the nature of the project). Sixty percent did not have an "Impact" rating (equivalent to "final outcome").[16] IMF self evaluations of TA also focus on intermediate outcomes rather than final outcomes (impacts).

3.31 TA self evaluations may not even report on outputs. IADB's 2011 review of non-reimbursable technical cooperation noted the emphasis in TC completion reports was centered on disbursements and inputs rather than on outputs delivered and results achieved.[17] Evidence of TC success was often anecdotal. This made it difficult to report at the aggregate sector or country level.

3.32 Current practice in the WBG-WB is to monitor and evaluate the results of knowledge activities by focusing on intermediate outcomes (i.e., the level of results where the Bank has more control), but efforts are underway to move more toward measuring final outcomes.[18] However, a recent IEG evaluation of Bank-wide TA and ESW noted the difficulty of attributing long-term development outcomes (growth and poverty reduction) to these activities. Instead, the evaluation focused on intermediate objectives and success indicators.[19]

[16] Johnson, Kelly Andrews (2012). "Advisory Services Private Sector Project Evaluation." Powerpoint presentation, IEG-Private Sector, July.
[17] IADB (2011). *Review of the Bank's Non-Reimbursable Technical Cooperation Products: Findings and Recommendations*. Report to the Operations Policy Committee, June 1.
[18] World Bank (2011). *The State of the World Bank's Knowledge Services: Framing the Issues*. Operations Policy and Country Services, September 7.
[19] World Bank (2008). *Using Knowledge to Improve Development Effectiveness: An Evaluation of World Bank Economic and Sector Work and Technical Assistance, 2000-2006*. IEG; p. 5.

3.33 Assessing the achievement of long-term development or policy objectives may not be necessary for TA activities that support the preparation and/or implementation of IFI lending operations. In those cases, it may be reasonable for objectives and performance indicators to focus on outputs and intermediate outcomes. The developmental or policy results of the TA may then be viewed through the results of the lending operation.

3.34 Some IFIs are beginning to define standardized performance indicators for TA.

- WBG-WB has defined a standardized menu of intermediate outcome indicators for TA and ESW (Box 3) that capture the project's change objective and enable aggregation at the corporate level.

- WBG-IFC has developed a list of standardized indicators for each AS business line and, in some cases, by AS product. For example, under the Investment Climate business line, there are a set of indicators for outputs (e.g., "number of entities receiving advisory services"), outcomes (e.g., "number of recommended laws/regulations/amendments/codes enacted") and impacts (e.g., "value of aggregate private sector savings from recommended changes").

- In IADB, a recent proposal for a monitoring and evaluation system for TC products[20] defined four types of indicators: (i) general quantitative, expressed numerically and measure for all TC projects regardless of their thematic orientation or financing source; (ii) specific quantitative, expressed numerically and vary depending on the source of financing or thematic orientation of the TC project; (iii) general qualitative, expressed in text through a discursive account in a specified format, and describe issues pertaining to all projects regardless of their source of financing or orientation; and (iv) specific qualitative, expressed in text through a discursive account, in a specified format, and vary depending on the type of TC project. The system allows for reporting on aggregate indicators as well as preserving specific indicators tailored to the objectives of the TC project.

3.35 Depending on the timing of the evaluation and the nature of the intervention evaluated, independent evaluations of TA are more frequently able to report on intermediate and final outcomes. However, in practice the use of a counterfactual is limited. Except for infrequent quantitative impact evaluations of TA, most IFIs reported that they did not use counterfactual analysis to attribute results to the TA (although some stated that they employed "contribution analysis"). In AfDB, for example, an effort is made to assess the Bank's contribution to results, but no attribution of outcomes to AfDB is done. Even when evaluation policies call for attribution of results to the TA activity (e.g., WBG-IFC), in practice most rely on a before-and-after approach.

3.36 Discussions with several IFIs indicated that, because of the difficulty of measuring final outcomes and attributing them to the TA activity, TA evaluations would benefit from more intermediate outcome indicators. This is particularly the case in TA directed toward institutional change and skills development, in which there is a need to capture a complex change process.

[20] Szekely, Miguel (2012). A Monitoring and Evaluation System for Technical Cooperation Products at Inter-American Development Bank. SPD, April; p. 11.

Box 3: Intermediate Outcome Indicators for TA and ESW in the World Bank

The World Bank is piloting a set of standardized intermediate outcome indicators for TA and ESW. Both at project entry (Concept Note) and completion (Completion Summary), TA and ESW results frameworks would select indicators from the following menu.

Intermediate Outcome	Indicators
Development financing informed	• Preparation of new operation informed • Existing operations informed • Mobilization of non-Bank resources informed • Government expenditure informed
Policy/strategy informed	• Government policy/strategy informed • Public debate stimulated/initiated • Contributed to Stakeholder involvement • Development community/partner policy/strategy informed • Bank country strategy informed • Bank sector strategy informed
Client capacity increased	• Design capacity strengthened • Implementation capacity strengthened • Monitoring and evaluation capacity strengthened
Knowledge shared	• Facilitated exchange of best practices among clients • Facilitated exchange of best practices among partners • Disseminated best practices
Innovative approaches and solutions generated	• New innovative approach fostered • New innovative approach developed

Source: World Bank (2011). *The State of the World Bank's Knowledge Services: Framing the Issues*. Operations Policy and Country Services, September 7; p. 78.

Criteria and Ratings

3.37 The evaluation criteria and ratings used by IFIs for self- and independent evaluations of TA are shown in Annexes 5 and 6. The majority of IFIs use the OECD/DAC core evaluation criteria (relevance, effectiveness, efficiency, and sustainability), or minor variations on them. This is true of AfDB, AsDB independent evaluation, EBRD, EIB independent evaluation, IMF self evaluation, IsDB and WBG-IFC.

3.38 The exceptions are IADB and WBG-WB. In IADB, a proposed approach to evaluating TA is contained in the Development Effectiveness Framework for TA. TA activities are to be assessed according to relevance, policy development, knowledge management, customer service, and project management. The framework has not yet been tested on a wide scale since IADB is in the process of revising its TA completion reporting system. In WBG-WB, self evaluations of TA and ESW have two main criteria: activity performance and Bank performance. Within these

two criteria, the sub-criteria pick up the usual elements of relevance, effectiveness, and efficiency: the extent to which the TA activity achieved its development objective, strategic relevance and/or ownership, and timeliness. Missing is an explicit criterion or sub-criterion on sustainability.

3.39 Some IFIs have defined different criteria for TA evaluations that allow them to focus on some of the distinguishing features of knowledge-based interventions. For example, AsDB self evaluation criteria include "client satisfaction" and "performance of consultants" as sub-criteria. The WBG CED (IEG) is piloting an evaluation methodology for public sector TA and ESW that uses four evaluation criteria: results, strategic relevance and ownership, technical quality, and dissemination and sustained dialogue. Each of these criteria has a set of associated questions to guide the evaluator.

3.40 Other development and research institutions have used different evaluation criteria to evaluate capacity development and training programs that could suggest options to be considered in the TA GPS.

- The World Bank Institute (part of the WBG) has developed a Capacity Development and Results Framework (CDRF) that evaluates the success of institutional capacity building operations in terms of their effect on intermediate behavioral outcomes as well as on broader institutional outcomes (Box 4). The CDRF defines certain "immediate capacity outcomes" that focus on behavioral change and the use of enhanced knowledge and skills. For each of these capacity outcomes, a set of performance indicators is defined. The indicators can be customized to fit the TA activity being evaluated.

- A recent Dutch evaluation of capacity development in developing countries was based on five "core capabilities" that in turn were linked to the outputs and outcomes of capacity building initiatives (Box 5). Again, the method relied on criteria and indicators that focus on behavioral change in the institutions receiving assistance.

- In the literature on evaluating training programs, the classic model assesses interventions using four levels of evaluation: reaction, learning, behavior, and results (Box 6). The criteria focus on the extent to which training changes the attitudes and behaviors of trainees, the extent to which newly acquired skills are put to use on the job, and the ultimate impact of the training on the larger organization.

Box 4: Capacity Development Evaluation Criteria Used by the World Bank Institute

The World Bank Institute (WBI) has designed a Capacity Development and Results Framework (CDRF) to monitor and evaluate capacity development outcomes. The CDRF attempts to capture the processes through which people are empowered by learning, knowledge, and innovation to improve institutional environments.

The CDRF supports a guided project review, starting from an understanding of the initial institutional capacity constraints and needed change processes, to identifying the indicators and measures assigned to track these changes.

Two types of results are defined and measured: (i) immediate capacity outcomes (behaviors, relationships and processes, and products and services that result from capacity development activities, measured at the level of the agent of change); and (ii) institutional outcomes that reflect changes in capacities, measured at the institutional level.

In each of these areas, the CDRF defines "standardized" characteristics. For example, the CDRF defines six types of immediate capacity outcomes: raised awareness, enhanced knowledge and skills, improved consensus and teamwork, strengthened coalitions, enhanced networks, and new implementation know-how.

Measures for these outcomes can be customized for each project to capture changes in behaviors, relationships, processes and actions of individuals and groups.

Source: World Bank Institute (2011). *Overview of WBI's Capacity Development and Results Framework: Approach to Guide the Assessment, Design, Monitoring, and Evaluation of Capacity Development Efforts*; and World Bank Institute (2011), *Reviewing Project Results Retrospectively Using a Results-Focused Approach to Capacity Development*.

Box 5: Evaluating Capacity Development: a Dutch Example

An evaluation of Dutch support for capacity development in developing countries was conducted under the auspices of the Policy and Operations Evaluation department of the Netherlands Ministry of Foreign Affairs. The analysis of 26 case studies was done on the basis of the following evaluation questions:

(1) What changes have taken place in the capacity of Southern organizations?
(2) What effects have changes in the capacity of these organizations had on the realization of their development objectives (outputs and outcomes)?
(3) How effective have Dutch Development Partner interventions been in terms of strengthening the capacity of Southern partners?
(4) What factors explain the level of effectiveness of Dutch Development Partner interventions? What lessons can be learned?

The evaluation worked on the assumption that every organization needs basic capabilities if it is to achieve its development goals. The evaluation used the five core capabilities identified in a 2008 European Centre for Development Policy Management study on capacity, change, and performance:

- The capability to act and commit
- The capability to deliver on development objectives
- The capability to adapt and self-renew
- The capability to relate to external stakeholders
- The capability to achieve coherence

For each of these capacities, a set of common indicators emerged from the case studies. For example, for the "capability to act and commit", the indicators were:

- Can plan, take decisions, and act in a concerted way.
- Has a legal basis for engaging in binding commitments.
- Can properly mobilize financial and human resources within the organization.
- Has committed and stable leadership.

The evaluation found that 20 out of the 26 Southern organizations strengthened their capacity with at least one of the five core capabilities. Out of these 20 cases, 11 strengthened three or more core capabilities. The case studies illustrated clearly that the development of core capabilities, and how that permeates outputs and outcomes, are dynamic processes that are influenced by many internal and external factors. However, it may take considerable time for that to take place.

Sources: Ministry of Foreign Affairs of the Netherlands (2011). *Facilitating Resourcefulness: Evaluation of Dutch Support to Capacity Development.* Report No. 336.
European Centre for Development Policy Management (2008). *Capacity Change and Performance: Insights and Implications for Development Cooperation.* Policy Management Brief No. 21, Maastricht: ECDPM.

Box 6: A Model of Evaluation for Training

By far the most popular approach to the evaluation of training in organizations today is Kirkpatrick's (1976) framework of four 'levels' of evaluation.

- **Reaction**: how those who participate in the program react to it. This level is often measured with attitude questionnaires ("smile sheets") that are distributed after training classes.

- **Learning**: the extent to which participants change attitudes, improve knowledge, and increase skills as a result of attending the training. It addresses the question, "Did the participants learn anything?" Level 2 evaluations require pre- and post-testing to ascertain what learning occurred during the training program.

- **Behavior**: the extent to which a change in behavior occurred because the participants attended the training program. It addresses the question, "Do people use their newly acquired skills, attitudes, or knowledge on the job?" The evaluation can be performed formally (testing) or informally (observation).

- **Results**: the impact of training on the larger organization. It addresses the question, "Are the learning outcomes working for, adding value to, and having an impact on the organization more broadly, beyond the individual participants?" This impact may be on finances, efficiency, morale, teams, etc.

More recent research into training effectiveness over the last decade has led to the development of more complete models of evaluation that have the potential to effectively assess training outcomes and provide information needed to improve the training process. In addition, a number of valid, reliable, and easy-to-use assessment scales and instruments are available to help evaluators examine a range of key input variables into the training process. For instance, recent research has led to the development of instruments measuring key pre-training factors, factors affecting learning transfer, and other contextual factors influencing training effectiveness.

Sources: Kirkpatrick, D. L. (1976). "Evaluation of Training", in R. L. Craig (ed.), *Training and Development Handbook: A Guide to Human Resource Development*. New York: McGraw Hill.
Bates, Reid (2004). "A Critical Analysis of Evaluation Practice: the Kirkpatrick Model and the Principle of Beneficence. " *Evaluation and Program Planning* 27, pp. 341–347.

3.41 With respect to ratings, most IFIs use the same system for TA evaluations that they apply to investment operations, most rating a four-point scale. WBG (IEG-Private Sector) allows ratings of "too early to judge", "cannot verify", and "not applicable" for Development Effectiveness, using a six-point scale. Some IFIs do not assign ratings in TA evaluations (AsDB self evaluation, IsDB independent evaluations of TA clusters) and some do not assign an overall rating (AfDB self evaluation, WBG-WB).

4. Issues for a Technical Assistance GPS

4.1 This chapter explores issues that should be considered in a future set of Good Practice Standards for Technical Assistance. Various options are presented along with arguments for and

against. In many cases, more discussion and research may be needed before identifying options.

Scope of a Technical Assistance GPS

4.2 In the November 2011 ECG meeting, seven members voiced their support for the preparation of a set of Good Practice Standards for TA. Five of the seven considered that these should be stand-alone standards, while two others preferred that they be incorporated into the Public and Private Sector GPS for lending operations.

4.3 Assuming that a separate GPS for TA is written, there are decisions to be made regarding its scope. Should the standards apply to TA offered by both the public sector and private sector arms of IFIs (e.g., WB and IFC in the WBG, IsDB and ICD in the IsDB Group)? Should the GPS cover both TA provided to public sector institutions and private sector companies? Should the standards for evaluating TA loans remain in the Public Sector GPS or be moved to the TA GPS?

4.4 Assuming that any necessary tailoring of evaluation methodologies can be accommodated, it seems reasonable that the TA GPS could cover both public sector TA and private sector TA. Including both lending TA and non-lending TA in a single GPS seems reasonable because there is no reason to think that the evaluation method should be determined by the source of financing. Similar to ECG's previous decision to move the "independence" standards out of the Public Sector GPS once the Independence GPS was written, standards relating to the evaluation of TA lending could be moved from the Public Sector GPS into the TA GPS.

4.5 Another option would be to cover certain types of TA – in particular, TA that is closely linked with investment loans or PBLs – in the Public Sector GPS, and cover all other TA types in the TA GPS. The argument would be that it is appropriate to evaluate this type of TA jointly with the investment operation or PBL, so that the same methods and criteria should be applied.

4.6 A related question is: Can one set of standards apply to all types of TA? If not, how would evaluation methodologies differ for the various categories of TA? For example, would the criterion of Relevance be the same for fee-based services, where the market determines the relevance of the TA activity, as for donor- or IFI-funded services? Should the evaluation criteria (or sub-criteria) be the same for training as for policy advice?

4.7 A TA typology could be defined to take account of differences in the time required to observe final outcomes; the different types of beneficiaries (individuals vs. organizations); the link between TA and lending operations; and the public- versus private-good nature of project benefits. These distinctions might suggest the following typology:

- fee-for service TA (because of different questions regarding relevance).
- training (in order to apply the reaction/learning/behavior/results framework).
- policy/implementation advice.

- preparatory work or implementation support for investment operations or PBLs (because part of the effectiveness of the TA is seen in the results of the larger operation).

- analytical work not tied to operations (ESW, investment climate assessments, etc.).

- capacity building.

4.8 Another typology might focus on the change process and the types of clients: learning/skills by individuals, learning/change in organizations, general knowledge, and informing/supporting IFI operations. Different evaluation methods could apply to the different categories.

Monitoring and Self Evaluation

4.9 Similar to the Public Sector GPS and the Private Sector GPS, the TA GPS should contain standards for monitoring and self evaluation as well as independent evaluation. Like the Public Sector GPS, the TA GPS should call for (i) the publication of IFI self evaluation policies and procedures that are specific to TA activities; and (ii) harmonization of evaluation methods and criteria between IFI self evaluation and independent evaluation.

4.10 As is the case for other IFI interventions, an important determinant of the quality of both self- and independent evaluations is the evaluability of the project, which in turn depends on the quality of the results framework designed at project entry. The main elements of a quality results framework are a set of project objectives that are clearly stated, realistic, and achievable within the timeframe of the project; a logical framework that shows the intended links between activities, outputs, and outcomes; clearly defined and measurable indicators of outputs and outcomes; and baseline data.

4.11 For TA activities in particular, the aspect of the results framework that needs careful attention is the specification of intermediate outcomes – for example, changes in behavior that show how training is being put to use, or behavioral responses to changes in incentives in organizations – along with indicators to measure these change processes. Going into detail in this part of the results chain is particularly important if the final outcomes of TA take time to become apparent. The TA GPS should contain standards on intermediate outcomes and indicators, perhaps with specific guidance for each type of TA.

4.12 There are two other issues related to self evaluation that should be considered in the TA GPS:

- Minimum size: To what extent should monitoring and evaluation instruments for TA depend on the size of the TA activity? For example, should TA completion reports be required only for TA operations above a certain size? If so, should a shorter completion summary be required of TA activities below the minimum?

- Reducing duplication: To what extent, and how, can TA monitoring and self evaluation avoid needless duplication of the reporting and evaluation requirements of donors? What can the TA GPS say about this?

Independent Evaluation Instruments

4.13 Most CEDs evaluate TA in clusters – grouped by theme, country, or TA program – rather than evaluating individual TA operations. TA that is provided as a programmatic series of operations may be evaluated just once at the end of the series. Often, TA is evaluated as part of a broader evaluation that covers investment lending as well as TA, such as a country program evaluation or a sector/thematic study. And TA that is packaged with other IFI instruments, such as an investment operation or PBL, is often evaluated as of a Performance Evaluation Report (PER) for the related operation. Most IFIs have moved in the direction of preparing these "clustered" or "linked" evaluations in recent years and have reduced the number of evaluations of individual TA activities.

4.14 The TA GPS needs to recognize this broad range of TA evaluation products. While the TA GPS should not mandate a particular mix of CED products, it could contain standards for a larger number of instruments than the two covered in the Public Sector GPS, namely Performance Evaluation Reports and Completion Report Validations for individual operations. At a minimum, it would be useful for the TA GPS to differentiate the standards on timing, the focus on outputs versus outcomes, and requirements for attribution analysis for the various TA evaluation instruments. For example, TA that is part of preparatory work for investment operations could be evaluated in a short period of time, while capacity building TA evaluations would benefit from a longer timeframe. For evaluations of programmatic TA or TA with very long-term outcomes, the strategy could be to conduct a series of evaluations, with later evaluations in the series focusing on higher levels in the results chain. The TA GPS might also propose a shorter desk-review instrument to assess the completeness of the TA CR but not validate the TA CR's ratings.

4.15 Few CEDs validate TA completion reports (WBG-Private Sector and EBRD are the exceptions). Standards for TA CR validations were included in the 2008 draft TA GPS. The issue to be considered is whether the TA GPS should have similar standards on CR validations as are contained in the GPSs for public sector operations and private sector operations.

4.16 The main advantages of conducting CR validations are (i) they provide a view on the objectivity and credibility of CR ratings; (ii) they allow for CED reporting to the Board on a representative sample of TA activities; and (iii) they provide input to broader country and thematic evaluations. The TA GPS could propose various options for TA CR validation, depending on the strategy and resources of the CED. One option would be to validate a representative sample of TA CRs every year, with a sample size sufficient to achieve a reasonable sampling error (the approach of the Public Sector GPS and Private Sector GPS). Another option would be for the CED to validate a sample of TA CRs every two to three years, such as IADB (OVE) has done for investment operations. A third option would be for the CED to validate TA CRs only for TA activities that are included in clustered or linked evaluations, as EIB does for its thematic evaluations of investment operations. However, the second two options are not entirely satisfactory from the standpoint of annual reporting to the Board.

4.17 Most donor-funded TA programs require their own periodic independent evaluations. These evaluations could be validated by the CED according to an established set of criteria. An example of how this might be done is provided by the WBG CED (IEG-Public Sector) Global Program Reviews of global and regional partnerships and programs. A Global Program Review

assesses the independence and quality of the evaluation, validates the findings of the evaluation, and assesses the extent and nature of the Bank's engagement with the global program. The review involves field visits and substantial stakeholder input. The TA GPS could contain standards for similar reviews of evaluations of donor-funded TA programs.

Evaluation Approach

4.18 Like the Public Sector GPS, the TA GPS should state that evaluations are objectives-based, and the basis of the evaluation is the statement of objectives contained in the TA project documents or as interpreted by the evaluator. However, compared to evaluations of investment operations, TA evaluations may face greater challenges in identifying the project objectives. TA objectives are often vague (e.g., broad references to "institutional development" or "capacity building"). Sometimes the objectives may be intentionally unclear or unstated, for example when the real objective is for the IFI to "stay engaged in the sector" or "be ready to design a new investment operation". The TA GPS may need to give guidance to evaluators on how to reconstruct the results chain or build a retrospective results framework.

4.19 Most IFI staff interviewed lamented the inability of TA evaluations to assess "final outcomes" ("impacts"), especially for short-term or "one-off" TA activities. Instead, staff felt that the focus of TA evaluations should be on a well-defined set of intermediate outcomes. In part, this problem can be solved by more careful attention by operations staff to writing objectives statements, so that intended outcomes are achievable within a reasonable timeframe. In part it can be solved by lengthening the time between project closure and evaluation. But in addition, the GPS may need to provide guidance on the level of outcomes that should be assessed in TA evaluations.

4.20 Similar issues arise with respect to attribution, i.e., the comparison of observed outcomes with a counterfactual. Following the model of the Public Sector GPS, the TA GPS should state the principle of establishing "plausible causality" by tracing through the results chain and providing evidence on the links between TA activities, outputs, and intermediate outcomes. The GPS could call for "contribution analysis" in most TA evaluations rather than "attribution analysis". This might suggest placing greater emphasis on narrative "stories of change" anchored in quantitative evidence where possible.

4.21 The previous draft of the TA GPS called for impact evaluations in order to quantify the results attributable to the TA activity. Although some IFIs have conducted impact evaluations on TA operations, this is not the usual TA evaluation instrument. One option would be for the TA GPS to note the value of occasional impact evaluations, and suggest the criteria for selecting TA activities for this type of evaluation (e.g., a new or innovative type of TA; a large TA program).

Criteria and Ratings

4.22 Most ECG members use the OECD-DAC core evaluation criteria (relevance, effectiveness, efficiency, and sustainability) in their evaluations of TA activities. Within these broad criteria, some IFIs have defined sub-criteria that are specific to TA evaluations. Other IFIs have moved away from strictly applying the OECD-DAC criteria toward different criteria that are tailored to the characteristics of TA. The question for the TA GPS is the extent to which the OECD-DAC

criteria can be adapted to TA by specifying sub-criteria that are relevant to TA characteristics, and whether the same set of sub-criteria be used for different types of TA.

4.23 Several of those interviewed felt that the OECD-DAC evaluation criteria worked well. One advantage of using the OECD-DAC criteria is that they facilitate TA evaluations conducted as part of a broader evaluation (such as TA supporting a PBL or investment operation) and the calculation of aggregate ratings for corporate reporting.

4.24 IFI staff interviewed suggested that Relevance was particularly important for TA since a current problem in most IFIs since it is not always designed to achieve IFI corporate goals or the priority development needs of clients. Instead, TA often is motivated by staff incentives or the interests of donors. Thus, TA evaluations should pay significant attention to strategic relevance as an evaluation criterion. Sustainability also was cited as an important criterion, and effectiveness ("achievement of results" or "achievement of outcomes") needs to be assessed in any evaluation.

4.25 Assessing efficiency in TA evaluations is more problematic. As is the case with PBL evaluations, it may be difficult to do cost-benefit analysis or calculate an economic rate of return for TA because of the difficulty in placing a monetary value on benefits. Cost effectiveness analysis might be possible for some types of TA (e.g., training) but less feasible for others (e.g., policy advice). As often happens with efficiency analysis for PBLs, many IFIs in practice base their assessment of efficiency on the timeliness of the TA activity. Reduced to timeliness only, the efficiency analysis becomes relatively unimportant.

4.26 An option for the TA GPS would be to drop efficiency as a core criterion, reducing the number of core criteria to three (as is done in the Public Sector GPS for PBL evaluations), and to include timeliness as part of another criterion such as relevance or IFI performance. Of these two options, there is a stronger argument to include timeliness under relevance, since it is an element of project strategy and design. Another option would be to include an assessment of efficiency "below the line", i.e., excluded from the calculation of the aggregate project performance indicator.

4.27 As noted above, some IFIs use non-standard criteria to evaluate TA, either as core criteria or sub-criteria. These include "output achievement", "outcome achievement", "work quality" (or "technical quality"), "IFI additionality", "ownership", "policy development", "knowledge management", "customer service", "project management", and "dissemination and sustained dialogue". Other criteria have been used by organizations outside the ECG to evaluate capacity-building TA that relate to the processes through which people and institutions learn (see Boxes 4, 5, and 6). An option for the TA GPS would be to use these elements as sub-criteria under the core criteria of relevance, effectiveness, and sustainability. The sub-criteria could vary according to the type of TA being evaluated. Alternatively, the TA GPS could use the same sub-criteria for all types of TA, but give guidance on how to apply them to different types of TA activities. Using the latter approach, Table 1 suggests possible of sub-criteria under each of the OECD-DAC core criteria, along with IFI performance and client performance. The types of TA are categorized as "TA to support the preparation and/or implementation of an investment operation"; "training"; "capacity building"; and "policy advice and ESW".

4.28 Ratings could be assigned to the sub-criteria and aggregated to ratings on the main criteria. Depending on the type of TA and the timing of the evaluation, the weights given to the sub-criteria under effectiveness (achievement of outputs, intermediate outcomes, and final outcomes) could be different (but specified in IFI evaluation guidelines). Some types of TA (e.g., project preparatory work) might assign a weight of zero to the achievement of final outcomes) if the focus of the evaluation is on outputs and intermediate outcomes only. A final summary rating (Aggregate Project Performance Indicator) could be calculated using the three core criteria.

Other Sections of a Technical Assistance GPS

4.29 Like the Public Sector GPS, the TA GPS should include sections on the preparation, review, and dissemination of TA evaluations. One standard that might be strengthened in the TA GPS is the involvement of stakeholder input in the preparation of evaluations, a point highlighted by several IFI staff interviewed for this report. This implies that larger TA evaluations should involve field work.

Next Steps

4.30 Following discussions of the issues and options presented in this report, ECG may wish to proceed with drafting a TA GPS. Of particular importance is a decision on the scope of the TA GPS and its integration with the Public Sector GPS and Private Sector GPS. The evaluation methodologies proposed in the draft TA GPS will benefit from current efforts in several ECG members to improve their monitoring and evaluation systems for TA.

4.31 An alternative to proceeding directly with a draft TA GPS would be to examine the state of evaluability of TA projects. This could be done for each IFI by reviewing a sample of TA projects to determine the quality of the results chain at the design stage, along with a sample of TA evaluations to see how they have assessed and dealt with the evaluability issue. Such a study could serve as an input into a future TA GPS.

Table 1: Possible Sub-Criteria for TA Evaluations		
Main Criteria	**Sub-Criteria**	**Comments/Customization According to Type of TA**
Relevance	Strategic Relevance	Relevance to client priorities as well as IFI priorities and strategy.
	Client Ownership	Depending on the type of TA, the "client" could be a government, NGO, private firm, etc.
	Timeliness	Captures an element of efficiency and also forms part of the relevance of design.
	Additionality	Captures "IFI's unique role" in providing the TA relative to other potential providers (e.g., other donors, the private sector).
Effectiveness	Achievement of Outputs	TA evaluations timed immediately after project closure might only be able to report on outputs.
	Achievement of Intermediate Outcomes	• For TA to support the preparation and/or implementation of investment operations, the focus would be on the effect of the TA on the relevance, effectiveness, efficiency, and/or sustainability of the investment operation. • For training, the assessment would focus on the reaction of participants, the knowledge and skills acquired, and changes in behavior (e.g., the use of new skills on the job). • For capacity building, the assessment would focus on the behaviors, relationships, and processes at the level of individuals, and changes in capacities at the level of institutions. • For policy advice and ESW, the assessment would focus on the adoption and implementation of policies and/or the design and implementation of related or complementary activities (e.g., a sector strategy, a future IFI operation).
	Achievement of Final Outcomes	• Generally would not be assessed for TA to support the preparation and/or implementation of investment operations. • For training, the assessment would focus on the impact of the training on institutions beyond the individual participants. • For capacity building, the assessment would focus on the performance of the institution. • For policy advice and ESW, the assessment would focus on the intended

Table 1: Possible Sub-Criteria for TA Evaluations		
Main Criteria	**Sub-Criteria**	**Comments/Customization According to Type of TA**
		outcomes of policy reform (e.g., increased competitiveness, stronger fiscal performance, etc.)
Sustainability	Dissemination	Relevant mainly for analytical work and TA activities intended to have demonstration effects. Includes outreach, appropriateness of dissemination approach to a range of audiences.
	Complementary and follow-up activities	• Generally not relevant for TA to support the preparation and/or implementation of investment operations, except whether or not the investment was made. • For training, the assessment would focus on institutional actions needed to support the use of new skills, continuing education and networking, etc. • For capacity building, recognizing the programmatic nature of TA needed to build capacity over the long term, the assessment would focus on the design and implementation of the next stages in capacity development. Also would include an assessment of the continued provision of human and financial resources to sustain results. • For policy advice and ESW, the assessment would focus on complementary analytical work and detailed policy reform options.
IFI Performance	Technical Quality	• For ESW, may need to add detail on the definition of quality. • For TA involving consultant services, this would include an assessment of consultant performance.
	Economic use of resources	Captures an aspect of efficiency.
	Interaction with Stakeholders (etc.)	Includes dialogue, coalition building, customer service, and coordination with other donors.
Client Performance	Project management	Similar to Implementing Agency Performance for investment operations, but covers TA provided to the private sector.
	Political and budgetary support	Similar to Government Performance for investment operations. Relevant to TA to the public sector.

Annex 1: Equivalent Terms Used by IFIs				
Term used in this report	Central Evaluation Department (CED)	Technical Assistance (TA)	Technical Assistance Completion Report (Self Evaluation) (TA CR)	Technical Assistance Performance Evaluation Report (independent evaluation) (TA PER)
AfDB	Operations Evaluation Department (OPEV)	Technical Assistance	Technical Assistance Project Completion Report (TA PCR)	n.a.
AsDB	Independent Evaluation Department (IED)	Technical Assistance	Technical Assistance Completion Report (TCR)	Technical Assistance Performance Evaluation Report (TPER)
EBRD	Evaluation Department (EvD)	Technical Cooperation	Technical Cooperation Project Completion Report (TC PCR)	Technical Cooperation Operation Evaluation (TC OE)
EIB	Operations Evaluation (EV)	Technical Assistance	n.a.	n.a.
IADB	Office of Evaluation and Oversight (OVE)	Technical Cooperation (IADB) Advisory Services (IIC)	n.a.	n.a.
IMF	Independent Evaluation Office (IEO)	Technical Assistance	Technical Assistance Evaluation Report	n.a.
IsDB	Group Operations Evaluation Department (GOED)	Technical Assistance (IsDB) Advisory Services (ICD)	Technical Assistance Completion Report (TACR)	Technical Assistance Post-Evaluation Report (TAPER)
WBG	Independent Evaluation Group (IEG)	Technical Assistance (WB) Advisory Services (IFC)	Technical Assistance Completion Summary (WB) Advisory Services Project Completion Report (AS PCR) (IFC)	IEG-Public Sector: n.a. IEG-Private Sector: PCR Evaluative Note (PCR EvNote)

Annex 1
Equivalent Terms Used by IFIs

Annex 2: Objectives of Technical Assistance	
IFI	**Objectives of TA**
AfDB	To supplement financial products in order to achieve the best developmental and poverty-reducing outcomes for projects that receive AfDB financing. Also aims to foster and sustain efforts in creating an enabling business environment and promote private sector investment and growth.
AsDB	To assist member countries in identifying, formulating, and implementing development projects and policies; improving the institutional capacities of governments and executing agencies; formulating and coordinating development strategies, plans, and programs; improving the knowledge about development issues in the Asia and Pacific Region; promoting the transfer of technology; and fostering regional cooperation and integration among developing member countries.
EBRD	To fulfill its mandate to promote the development of free market economies, the EBRD provides comprehensive technical assistance, training, and advisory services to address all aspects of economic and social transformation. The ultimate aim of EBRD's TC program is to increase the pace and sustainability of the transition process in its countries of operation by creating a sound basis and environment for direct investment, trade, and financial intermediation.
EIB	To help improve the quality and sustainability of investments, and ensure compliance with EU policies and applicable standards.
IADB	According to IADB's Charter, technical cooperation (TA) is the "third leg" of IADB support (in addition to lending to the public and private sectors) and is tied to investment operations and economic planning in client countries. More recent documents state that the TA is intended for (i) the preparation, financing, and execution of development plans and projects; and (ii) the development and advanced training of personnel. TA aims to facilitate the transfer of technical know-how and qualified experience with the purpose of complementing, strengthening, and building capacity both at the national and regional levels, as well as improve project/program design and/or delivery, and the generation of knowledge.
IMF	The objective of IMF TA is to (i) assist countries in the design of appropriate macroeconomic and structural reforms, and (ii) strengthen members' capacity to formulate and implement growth-oriented and poverty-reducing policies.
IsDB	To support project-related studies and capacity building of executing agencies (IsDB); to provide advisory services to governments and private entities of member countries in order to help create the right environment to facilitate private sector investment and to assist companies in achieving their potential (ICD).
WBG	Public Sector TA: To assist in policy implementation, strengthen institutions, and facilitate knowledge exchange; to inform lending, inform government policy, build client capacity, stimulate public debate, and influence the development community. Private Sector TA: To help the private sector in emerging markets, focusing on a regulatory environment that enables

Annex 2
Objectives of Technical Assistance

Annex 2: Objectives of Technical Assistance	
IFI	**Objectives of TA**
	entrepreneurship and advice on business best practices; to advise national and local governments on how to improve their investment climate and strengthen basic infrastructure; to help investment clients improve corporate governance and become more sustainable.

Annex 2
Objectives of Technical Assistance

Annex 3: Types of Technical Assistance		
IFI	**TA Categories**	**TA Activities and Outputs**
AfDB	• Institutional capacity building (public and private) • Project cycle operations (public and private) to finance feasibility and engineering studies • Middle Income Countries TA grant The AfDB definition of TA Includes advisory services to the private sector; excludes ESW and country policy dialogue.	• Project preparatory activities • Long term experts • Conferences and seminars • Training • Institutional support activities
AsDB	• Project preparation (PPTA): preparing projects for financing by AsDB and/or other external sources • Policy and advisory (PATA): financing sector-, policy-, and issues-oriented studies. • Capacity development (CDTA), including support for the implementation, operation, and management of AsDB-financed projects. • Research and development (RDTA) to address development issues of a global or regional nature.	• Studies • Training • Seminars, conferences, and workshops • Short- and long-term consultants
EBRD	• Project/investment preparation: feasibility/market demand studies, due diligences • Project implementation: institution building, Project Implementation Units, corporate governance, Financial and Operational Performance Improvement Program, risk management, etc. • Advisory services, for example TurnAround Management and Business Advisory Services for SMEs, and legal advisory work. • Training (e.g., Trade Facilitation Program). • Sector studies, mostly for EBRD's own purposes to scope a particular sector or business area; other studies related to transition impact conducted by the Office of the Chief	• Project Preparatory activities • Studies • Training

Annex 3
Types of Technical Assistance

Annex 3: Types of Technical Assistance		
IFI	**TA Categories**	**TA Activities and Outputs**
	Economist.	
EIB	• Traditional TA to support a promoter or financial intermediary in developing, delivering, or improving the quality of a project or program that EIB will finance. • TA or advisory and third party asset management services, delivered via a Joint Action partnership and often combined with third party asset management services, e.g., JASPERS. • Fee-based advisory services to the EC or third parties. There are about 30 TA initiatives, or programs. Virtually all EIB TA to countries outside the EU is linked to existing or potential EIB investment operations. TA within the EU is often "upstream" and is not necessarily tied to operations.	The output of TA of the second two types usually is a study of some kind. For example, a TA output of the JESSICA program (an urban development initiative) might be an urban development plan. The output of TA of the first type would typically be training, e.g., of equity fund managers.
IADB	• Operational Support: linked to lending operations. Supports the preparation, execution, or evaluation of a loan or guarantee. • Client Support: requested by the client country. Supports capacity-building, policy development, sector knowledge, etc. Includes feasibility studies. • Research and Dissemination: knowledge products and dissemination activities originated within IADB. The definition of TA excludes the Corporate Input Program, which mainly provides training to IADB staff as well as preparation of sectors strategies and other operational tools. It also excludes ESW.	• Studies • Training • In-house consultants • Courses/seminars • National policies/strategies • Investment in goods (as a rule, no more than 30%).
IMF	TA is categorized by the functional department providing the services: • Fiscal Affairs Department	Within the objectives of TA, there are a wide set of TA activities including fact finding and analytical work to enhance the IMF's knowledge in its policy dialogue and program design.

Annex 3
Types of Technical Assistance

Annex 3: Types of Technical Assistance		
IFI	**TA Categories**	**TA Activities and Outputs**
	• Monetary and Capital Markets Department (central banking, regulation and supervision, macrofinance, debt management) • Statistics Department (bringing client country data systems to international standards) • Legal Department (legal frameworks governing economic activities).	These activities may include short-term TA to advise on particular policy issues or crisis situations. At the other end of the spectrum, they may comprise longer-term TA using resident experts to improve a country's capacity to diagnose problems and design and implement policies. In general, IMF's TA activities involve: • Short one-off IMF missions • Short-term and long term-resident experts • Training About one-third of TA is for short-term diagnostic or policy advice activities, and two thirds for institutional capacity building.
IsDB	• Capacity building • Project-related studies (feasibility, engineering and design, etc.) • Technical cooperation (trade facilitation/promotion, reverse linkages, south-south cooperation) • Advisory services In addition, TA is provided under a number of special programs: • The Technical Cooperation Program, a South-South program focusing on the transfer and exchange of skills, knowledge, and know-how amongst member countries. • The Science and Technology Program, aimed at enhancing institutional capacity and promoting and encouraging the acquisition and dissemination of knowledge.	The majority of public sector TA is for feasibility studies and detailed design studies. Other activities include capacity building; upgrading of equipment; and sending staff from a ministry in one country to a similar ministry in another country. Resident experts spend between six months and three years in a country to help fill gaps in capacity. The outputs of IsDB special TA programs are as follows: • The Technical Cooperation Program finances the recruitment of experts, the provision of on-the-job training, and the organization of seminars. • The Science and Technology Program finances the IsDB Prize for Science and Technology, short-term assignments of experts, exchanges of scientists, networking amongst associations of scientists, and organization of on-the-job training and conferences. • The Investment Promotion and Technical Assistance Program finances training of staff of investment promotion

Annex 3
Types of Technical Assistance

Annex 3: Types of Technical Assistance		
IFI	**TA Categories**	**TA Activities and Outputs**
		agencies and organizing investment promotion events in cooperation with investment promotion agencies in IsDB member countries. • The Trade Cooperation and Promotion Program finances trade promotion through business meetings and trade missions; studies on issues related to trade; facilitating participation of the Least Developed Member Countries in trade fairs; disseminating trade information; seminars, workshops, conferences, and training courses on issues related to trade; and expert services in trade.
WBG	Public Sector: TA is one of six core WBG-WB knowledge activities: • Technical assistance • Economic and sector work • External training (e.g., WBI) • Internal knowledge products • Impact evaluations • Research Non-core knowledge activities include products prepared for WBG-WB management purposes (e.g., country and sector strategies), knowledge activities embedded in project preparation and implementation, etc. Private Sector: IFC Advisory Services categorized by business line: • Access to finance • Investment climate • Public-private partnerships • Sustainable business advisory (e.g., linkage programs, training).	WB: • Institutional development plans • How-To guidance • Models/Surveys • Client document reviews • Knowledge-sharing fora IFC: Increasingly, IFC Advisory Services are linked to its investment operations (e.g., feasibility studies), although currently only one-third are linked. Although Advisory Services are broken down by business line, not by outputs, the majority of AS involve training. IFC AS includes services to governments as well as private firms; some AS are provided to internal (IFC) clients.

Annex 3
Types of Technical Assistance

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
AfDB	Completion reports (PCRs) are required for all TA activities above UA 1 million. There are no self evaluations of ESW, Advisory Services, or country policy dialogue. The rate of compliance with the PCR requirement was 72 percent in 2011 (13 out of 18). There are some evaluation requirements that are specific to individual programs: • TA under the Project Preparation Facility does not have evaluation requirements or guidelines (2000). • The guidelines for the Fragile States Facility for Technical Assistance and Capacity Building (2010) require semi-annual monitoring reports. • Previously, there was no systematic monitoring or evaluation of activities financed by the Technical Assistance Fund for Middle Income Countries, but Management is proposing new reporting arrangements in the form of quarterly reports targeting a pre-established results-based framework, as well as supervision and auditing mechanisms, in the form of project completion reports, in order to measure the impact of grants after approval. • Guidelines for the Infrastructure Project Preparation Facility Special Fund require that "a Results Based Management system would be adopted to ensure that the overall objectives of the facility are achieved with quantifiable and measurable outputs." The client is required to submit a final report that would form the basis for AfDB's completion report. • The Bilateral TA Programs Handbook (2002) requires only quarterly or semi-annual progress reports as may be requested	OPEV currently does not evaluate individual TA operations, nor does it have TA-specific evaluation guidelines. *Ex post* evaluations to date have been done at the thematic and/or TA program level (e.g., an evaluation of institutional capacity building through the Technical Assistance Fund, and the evaluation of TA to COMESA for public procurement reforms). The guidelines for PERs (Project Performance Evaluation Reports) were used for these evaluations.

Annex 4
Evaluation Policies and Practices

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
	by a donor. For private sector TA, not all TA or Advisory Services are documented and self-evaluated. An annual report is prepared to take stock of the utilization of the trust fund by JICA-FAPA (Fund for African Public Sector Assistance).	
AsDB	AsDB's TA policy, contained in the Operations Manual, requires the project team leader to prepare a TA completion report with the executing agency. There are specific guidelines (2011) governing the preparation of TA completion reports for the various types of TA. On average over 2007-2011, 169 TA completion reports were prepared annually by Operations. This represented an average of 81% of the number of TA completion reports due.	IED evaluations of TA are generally undertaken as part of the preparation for a broader study (e.g., country assistance program evaluations and associated sector assessments, or special evaluation studies) or as stand-alone TA performance evaluation reports (TPERs). TPERs are prepared on a highly selective basis, generally purposive and based on AsDB-wide priorities, including strategic planning considerations and the relevance and appropriateness of lessons identified for future design and implementation of TA operations in a particular sector or country. The guidelines on preparing a TPER are contained as an addendum to IED's guidelines for PERs for public sector operations (2006). The guidelines for evaluating TA as part of a broader evaluation are found in the country assistance program evaluation (CAPE) guidelines. In line with a shift in IED's focus from project-level evaluations to broader evaluations, the number of TPERs has declined from 22 during 2000-2004 to 7 between 2005 and 2011. Currently, IED prepares only about one TPER per year.
EBRD	The EBRD Operations Manual requires that all TA activities be self evaluated at completion by the operation leader. The completion report aims to be a management tool as well as	EvD has four types of ex-post evaluation of TA: • PCR (completion report) assessments (desk reviews) based on a sample of about 20 TA completion reports. Until 2010, PCR

Annex 4
Evaluation Policies and Practices

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
	address the needs of donors. The TA self evaluation process is also described in EBRD's Evaluation Policy 2010.	assessments were carried out every two years, but it is not in the current work program. • TA Operation Performance Evaluation Reviews (including field visits), averaging about 6 per year in the past. • Special Studies that either focus on a specific TC fund or program (e.g., the Mongolian Cooperation Fund, the Japanese Economic Cooperation Fund, the Shareholder Special Fund) or on a specific theme to which TC activities are affiliated (e.g., the Transport sector policy evaluation). • Synthesis Papers summarizing the findings of existing TA evaluations by sector, theme, or country. These were just introduced in 2011. A new Evaluation Policy is being drafted and will be ready by the end of 2012. It will attempt to give greater importance to TA evaluation. Specific guidelines for TC evaluation will follow.
EIB	There is no systematic approach to evaluation of EIB TA activities within EIB. Each TA program has its own (output) reporting requirements. Some programs require evaluations to be prepared by the EU Directorate managing the program (not by EIB). To date there has been only one evaluation of a TA cluster (on TA linked to microfinance funds). This was not exactly a self-evaluation – it was an external evaluation commissioned by the TA program, and the CED (EV) was represented on the steering group for the evaluation.	There is no systematic approach to evaluation of EIB TA activities. As there is only one independent evaluation of a TA program, the methodology of that evaluation can be considered to be the current EV methodology. To date, two independent evaluations of TA programs have been conducted (for the JASPERS and JEREMIE initiatives).
IADB	Public Sector: Before 2008, monitoring and completion reporting for TA activities was governed by guidelines for Project	There is no single set of guidelines for CED (OVE) evaluation of TA activities, but there are established evaluation criteria.

Annex 4
Evaluation Policies and Practices

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
	Performance Monitoring Reports and Project Completion Reports that were not specific to TA. Currently, there is no system for monitoring and self evaluation of TA activities, other than funding source (donor) requirements. Information for donor trust funded TA activities is collected through a brief note aimed at reporting according to donor requirements. The 2011 Operational Guidelines for Technical Cooperation Products contain a proposal to Management that a new completion report be designed for TA activities. The new TA evaluation system is currently under preparation and is to be introduced in 2013. Semi-annual reports on Advisory Services are submitted to the Board. In addition, reports to donors are prepared for donor trust funds. Some of these reports are prepared by a central unit and some are prepared by the coordinators of trust-funded programs. The structure, format, and content of these reports are defined individually in an *ad hoc* way. Private Sector: IIC does not require regular monitoring and evaluation reports for its advisory services, which are funded by donor contributions or by the company itself. The Multilateral Investment Fund (MIF) has developed a Project Status Report (PSR) for all MIF TC products.	OVE has conducted evaluations of certain TA programs and also evaluates TA as part of its country program evaluations. Recent OVE evaluations include a review of non-reimbursable TC in Guyana, Nicaragua, and Bolivia (2003), Independent Evaluation of the Multilateral Investment Fund – MIF (2004), External Independent Evaluation of the Japan Trust Fund (2007), and Evaluation of the Bank's Processes for Managing Technical Cooperation (2010).
IMF	A Technical Assistance Information and Management System (TAIMS) was established to monitor TA. The final TAIMS report is the TA completion report. TAIMS is not consistently used by all	There are no specific guidelines for independent evaluations of TA. The 2005 Fund-wide evaluation of TA (see below) designed its own methodology.

Annex 4
Evaluation Policies and Practices

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
	of the functional departments. Instead, three of the four functional departments (Fiscal Affairs, Monetary and Credit Markets, and Statistics) have their own TA evaluation strategy and guidelines for evaluation. However, there are common guidelines for the periodic evaluations conducted for the Regional Technical Assistance Centers. Thematic evaluations are conducted by the three functional departments that provide the majority of TA. Some are done at the country level and others are thematic, multi-country evaluations. Every two to three years, the Office of Technical Assistance Management publishes a review of the findings of the TA evaluations conducted during the period. Thematic trust funds and the Regional Technical Assistance Centers are evaluated at the request of donors.	IEO does not evaluate individual TA activities or programs, nor does it validate the results of self evaluations. IEO conducts thematic evaluations, and occasionally TA is covered in these. The most comprehensive evaluation of IMF TA was conducted in 2005, covering the FY1999 – FY2004 period.
IsDB	Ex post self evaluation of public sector TA is not yet systematic. The new CCD Vice Presidency will write its own monitoring and evaluation guidelines. ICD (the private sector arm of IsDB) recently (2012) adopted its Development Effectiveness Framework, which outlines the guidelines for the self evaluation of its advisory services. Completion reports (XPSRs) are required of all advisory services. However, compliance with the XPSR requirement is just beginning.	GOED has separate guidelines for evaluating TA (2006, currently being revised). Since 2010, GOED has focused on cluster evaluations of TA rather than individual TA evaluations. Upon request from the Board, GOED has evaluated a number of specific TA programs, such as the Self Reliance Vaccine Program, the Science and Technology Program, and the Scholarship Program. To date, the GOED has not evaluated ICD (private sector) TA operations.
WBG	WB: Guidelines for evaluating ESW and TA are contained in overall guidelines for "discrete ESW and TA" and "just-in-time	Public Sector: IEG has been piloting methodologies for TA and ESW, prepared as part of country/thematic evaluations or

Annex 4
Evaluation Policies and Practices

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
	ESW and TA" (2012). Both TA and ESW require a completion report ("Completion Summary"). In addition, there is a list of standardized intermediate outcome indicators for TA and ESW. With respect to TA activities funded by donor trust funds, Recipient-Executed Trust Fund (RETF) grants of more than $5 million are treated just like WBG-WB projects, requiring a Implementation Completion and Results Report. RETF grants between $1 and $5 million require a simpler Implementation Completion Memorandum (ICM). RETFs of less than $1 million require a grant completion report in the Bank's Grant Reporting and Monitoring (GRM) system. Bank-Executed Trust Fund (BETF) grants require only a progress of completion report in the GRM system. External training provided by the World Bank Institute is evaluated according to established guidelines. WBI has developed a list of standardized performance indicators (which can be customized) for WBI training activities. An evaluation toolkit is under development, to be ready in 2013. An evaluation of the WB's knowledge products was completed in 2011 by OPCS. IFC: Since 2008, all Advisory Services require a Project Completion Report. Guidelines for completion reports for Advisory Services were established in 2007 as the result of a joint effort between IEG and IFC. A central unit in IFC does its own validation of the Development	evaluations of associated investment operations or development policy loans. IEG has not yet been decided whether it will adopt a "retail" approach to evaluating TA (e.g., validating TA completion reports) or just conduct periodic reviews as part of country/thematic evaluations. IEG also has guidelines for Global Program Reviews for trust-funded global and regional partnerships and programs, many of which provide TA. IEG's most recent Bank-wide evaluation of TA was in 2008 ("Using Knowledge to Improve Development Effectiveness"), covering FY2000-2006. Private sector: At the level of the individual AS activity, guidelines for independent evaluation are harmonized with those for self evaluation. IEG is currently revising these guidelines in collaboration with IFC. IEG has guidelines for approach papers for evaluations of AS. IEG validates a sample of AS completion reports produced by Operations. Currently, the coverage is 51% based on a three-year rolling average. Selected completion reports are subjected to a field validation. Occasionally, IFC AS has been covered in country program evaluations and thematic evaluations conducted jointly by IEG's public sector and private sector groups. Most IEG private sector evaluation resources go into completion report validations rather than thematic reviews.

Annex 4
Evaluation Policies and Practices

Annex 4: Evaluation Policies and Practices		
IFI	**Self Evaluation**	**Independent Evaluation**
	Outcome rating of TA completion reports before they are sent to the CED (IEG-Private Sector). Some TA projects continue to be subjected to monitoring reports after completion. External evaluations are conducted for donor-funded activities. IFC plans to expand its tracking and reporting of results and the achievement of development goals and corporate priorities, assessing them on a thematic rather than project level.	IEG has evaluated seven AS programs and focused the 2008 *Results and Performance of the World Bank Group* on AS. IEG recently launched a new product – cluster reports – and plans to cover AS themes, one of which is underway. IEG also has conducted occasional impact evaluations of IFC AS, such as the China Energy Efficiency Program, and has reviewed the impact evaluations carried out by IFC.

Annex 4
Evaluation Policies and Practices

Annex 5: Evaluation Criteria		
IFI	**Self Evaluation Criteria**	**Independent Evaluation Criteria**
AfDB	Design of Project Objectives • Relevant • Achievable Project outcome • Achievement of Outputs • Achievement of Outcomes Bank Performance • Design • Supervision Borrower Performance • Partnership with TA Provider • Implementation of Recommendations TA Provider Performance • Timeliness • Quality	Same as the evaluation criteria for CED evaluations of investment operations: • Relevance and quality at entry assessment (14 components) • Achievement of objectives & Outcomes "efficacy" (7 components and 52 possible sub-components) • Efficiency (3 major components with sub-components when needed) • Institutional Development Impact (17 components) • Sustainability (8 components or factors) • Borrower performance (5 components and 9 sub-components) • Bank performance (4 components and 19 sub-components)
AsDB	• Relevance of TA design (objective, terms of reference, implementing arrangements and schedule) and formulation (including the extent of stakeholder participation and ownership). • Delivery of inputs and conduct of activities (including the performance of AsDB and the executing agency and the performance of consultants) • Evaluation of outputs and achievement of outcomes --	In individual TA evaluations (TPERs), the CED (IED) uses four core evaluation criteria: relevance, effectiveness, efficiency, and sustainability. The evaluation also assesses non-core criteria: impact, AsDB performance, and government performance. When TA is evaluated as part of larger country- or sector-level evaluations, the evaluation criteria are (i) program relevance, efficiency, effectiveness, sustainability, and development impacts) applied to the cumulative assistance program (i.e., project/program interventions inclusive of TA); and (ii) strategic

Annex 5
Evaluation Criteria

Annex 5: Evaluation Criteria		
IFI	**Self Evaluation Criteria**	**Independent Evaluation Criteria**
	including efficiency (cost and process) effectiveness (achievement of outcomes), quality, client satisfaction, and timeliness.	positioning, to assess the design quality of the sector and country strategies. ADB and borrower performance also are assessed.
EBRD	The criteria for self evaluation of TC operations are found in the template for the TC Project Completion Report: (1) Input side: • Rating of local client's commitment • Rating of the consultant's performance on the assignment (2) Output side: • Rating of the achievement of the objectives of the TC project (including transition impact objectives) as measured by its success indicators • Rating of the achievement of the tasks/deliverables under the TC	TC evaluation criteria are adapted from those used for investment operations, and may be revised with the adoption of the new EBRD evaluation policy and guidelines for the evaluation of TC operations. They refer to the OECD-DAC criteria: • Rationale/Additionality (Relevance) • Fulfillment of Objectives (Effectiveness) • Bank Handling (Efficiency) • Transition Impact (Impact and Sustainability) Following the adoption of the new EBRD evaluation policy, the evaluation criteria for TC operations may be reviewed.
EIB	There are no established TA self-evaluation criteria.	To date, two independent evaluations of TA programs have been conducted (for the JASPERS and JEREMIE initiatives). As with evaluations of investment operations, these evaluations used OECD/DAC criteria: • Relevance • Effectiveness • Efficiency • Sustainability • EIB Contribution (financial and technical) • EIB Management of the Project Cycle (i.e., of TA assignments individually as well as the overall process)
IADB	The Development Effectiveness Framework for Capacity Products proposes that these products be evaluated according to: • Relevance	For each of its evaluations of TC programs, OVE developed and tailored a detailed evaluation template. In general the design of the template involves typical evaluative dimensions (relevance, effectiveness, efficiency, and sustainability) along

Annex 5
Evaluation Criteria

Annex 5: Evaluation Criteria		
IFI	**Self Evaluation Criteria**	**Independent Evaluation Criteria**
	• Policy development (the extent to which the activity provides elements to support policy decisions and build the required consensus, including the quality and timeliness of the supporting analytical work and the engagement with key stakeholders). • Knowledge management, including the generation of awareness and demonstrated interest among key stakeholders. • Customer service, e.g., client satisfaction with IADB work. • Project-Management, including the appropriateness of monitoring systems and evaluation, effectiveness in the production of expected outputs, and the management of risks. Currently, however, there is no system for monitoring and self evaluation of TA activities, other than funding source (donor) requirements. A new TA evaluation system is currently under preparation and is to be introduced in 2013.	with other criteria (innovation, visibility, compliance with donor covenants, etc.). In turn, all these dimensions are viewed along three moments of time -- *ex ante*, during execution, and *ex post* – in order to assess what could have been done to improve the particular evaluative dimension, e.g., relevance, effectiveness, etc.
IMF	TA evaluation methodologies are defined by the functional department in charge. For example, the Monetary and Credit Markets department methodology is based on OECD/DAC evaluation criteria: • Relevance • Effectiveness • Efficiency • Sustainability	The 2005 CED (IEO) review of IMF TA activities divided the analysis into three parts: • Prioritization and resource allocation (how TA needs are identified, relevance of the TA activity) • The delivery process (effectiveness of the modes of delivery) • Monitoring progress and evaluating impact (assessed at different points in the results chain – immediate improvements in the technical capabilities of client agencies; the ability of agencies to apply and enforce that increased capability; and ultimate outcomes on the ground).
IsDB	Self evaluation of public sector operations is not yet done systematically. The Development Effectiveness Framework for ICD (private	The criteria currently used by GOED are: • Relevance • Implementation • Effectiveness

Annex 5
Evaluation Criteria

Annex 5: Evaluation Criteria		
IFI	**Self Evaluation Criteria**	**Independent Evaluation Criteria**
	sector) TA activities requires evaluation according to OECD/DAC criteria: • Strategic alignment • Efficiency (cost effectiveness) • Effectiveness (achievement of outputs and outcomes) • Impacts on the direct recipient as well as in a wider circle of beneficiaries; includes unintended impacts.	• Efficiency • Institutional development and sustainability GOED is planning to revise its guidelines for evaluating public sector TA activities. For evaluations of ICD Advisory Services, GOED will use the same criteria used for self evaluation, i.e., those in the Development Effectiveness Framework for ICD.
WBG	WB: The following criteria are used to evaluate both ESW and TA: • Activity performance ⇒ Activity performance (extent to which the activity achieved its development objective as well as the intermediate outcomes and indicators) ⇒ Overall development objective (extent to which major intermediate outcomes have been achieved) ⇒ Intermediate outcome(s) (reflecting the extent to which related indicators were accomplished) ⇒ Indicators • Bank Performance ⇒ Overall Bank performance ⇒ Factors Affecting Impact (strategic relevance and/or ownership, technical quality, client engagement/dissemination, and timeliness) IFC: • Development Effectiveness ⇒ Strategic relevance ⇒ Output achievement ⇒ Outcome achievement	Public sector: The CED (IEG) currently is testing an evaluation methodology for TA and ESW. There are four evaluation criteria: • Results (how and to what extent the TA or ESW activity affected Bank or client actions) • Strategic relevance and ownership (the extent to which the activity was anchored in a Bank assistance or partnership strategy in the country, had a well-defined rationale, and to which the client was engaged in each exercise). • Technical quality (the extent to which the activity had the characteristics of a high quality knowledge exercise). • Dissemination and sustained dialogue (the extent to which the activity had dissemination, sustained dialogue and follow-up). Each criterion has a set of questions to guide the evaluator. Private sector: Criteria and ratings for independent evaluation are harmonized with those for self evaluation.

Annex 5
Evaluation Criteria

Annex 5: Evaluation Criteria		
IFI	**Self Evaluation Criteria**	**Independent Evaluation Criteria**
	⇒ Impact achievement (attributable consequences resulting from an intervention including improvements in clients' performance and effects beyond direct beneficiaries) ⇒ Efficiency • IFC role and contribution	

Annex 5
Evaluation Criteria

Annex 7
Recent Technical Assistance Evaluations

Annex 6: Ratings		
IFI	**Self Evaluation**	**Independent Evaluation**
AfDB	There is no information in the PCR format on ratings. No overall rating is calculated.	Same as for CED evaluations of investment operations. All criteria are rated on a four-point numeric scale. An aggregate performance rating is calculated from Relevance, Efficacy, Efficiency, IDI, and Sustainability and rated on a four-point scale: Highly Satisfactory, Satisfactory, Unsatisfactory, Highly Unsatisfactory.
AsDB	No ratings of individual criteria are required. An overall rating, including the issue of sustainability, is assigned on a four-point scale: highly successful, successful, partly successful, unsuccessful.	In individual TA evaluations, each of the seven criteria is rated on a four-point scale. An overall TA performance assessment rating is calculated based on the four core criteria (relevance, effectiveness, efficiency, and sustainability) using a four-point scale: highly successful, successful, less than successful, and unsuccessful. The overall performance rating is a simple average of the ratings on the component criteria. In country program evaluations, each of the six core criteria is rated on a four-point scale. ADB and Borrower Performance are assessed but not rated. An aggregate performance rating is a simple average of the component criteria.
EBRD	Local Client's Commitment, Consultant's Performance, and Achievement of tasks/deliverables are rated on a four-point scale: Exceeded Expectations, Met Expectations, Below Expectations, and Unsatisfactory. Achievement of Objectives is rated on a four-point scale: Exceeded, Achieved, Partly Achieved, Not Achieved. No overall rating is calculated.	Rationale/Additionality is rated on a four-point scale: Verified in all respects, verified at large, verified only in part, not verified. Fulfillment of Objectives, Bank Handling, and Transition Impact are rated on a six-point scale: Excellent, Good, Satisfactory, Marginal, Unsatisfactory, Highly Unsatisfactory. An overall performance rating is rated on a four-point scale (Highly Successful, Successful, Partly Successful, and Unsuccessful). There are no explicit guidelines on how to calculate the overall performance rating from the component

Annex 6
Ratings

Annex 7
Recent Technical Assistance Evaluations

Annex 6: Ratings		
IFI	**Self Evaluation**	**Independent Evaluation**
		ratings. Ratings for TC operations may be revised with the adoption of the new EBRD evaluation policy and guidelines for the evaluation of TC operations.
EIB	There are no established TA self-evaluation criteria or ratings system.	All criteria are rated on a four-point scale: high, significant, moderate, and low for EIB Contribution; and excellent, satisfactory, partly unsatisfactory, and unsatisfactory for all other criteria. An overall rating is based on the first four criteria (Relevance, Effectiveness, Efficiency, and Sustainability).
IADB	Not applicable, since there is no system for monitoring and self evaluation of TA activities, other than funding source (donor) requirements. A new TA evaluation system is under preparation and is to be introduced in 2013.	Developed on a case-by-case basis by OVE.
IMF	Ratings, if used, are defined by the functional department in charge. The Monetary and Credit Markets department does not use ratings. There is an overall (text) assessment of TA program performance.	IEO does not evaluate individual TA activities or programs and thus does not have a ratings system.
IsDB	Public sector TA operations: As yet there is no stand-alone self evaluation system for TA. Private sector TA operations: ICD uses a six-point scale: highly successful, successful, mostly successful, mostly unsuccessful, unsuccessful, highly unsuccessful.	Public sector TA operations: Historically, GOED rated the five criteria on a four-point scale: highly successful, successful, partly successful, and unsuccessful. However, GOED is starting to evaluate clusters of TA and does not assign ratings to the clusters. Private sector TA operations: GOED will use the same criteria as those used for self evaluation by ICD.
WBG	WB: Overall development objective and Intermediate Outcome(s), are	Public Sector: Each of the four evaluation criteria is assigned a rating on a four-point scale: high, substantial, modest,

Annex 6
Ratings

Annex 7
Recent Technical Assistance Evaluations

Annex 6: Ratings		
IFI	**Self Evaluation**	**Independent Evaluation**
	rated on a four-point scale (fully achieved, largely achieved, moderately achieved, and not achieved). "Indicator" ratings are rated only as "yes", "no", or "partially" accomplished. Bank Performance and Factors Affecting Impact are rated on a four-point scale (fully satisfactory, moderately satisfactory, moderately unsatisfactory, and unsatisfactory). No overall rating is calculated. IFC: Each of the four sub-criteria under Development Effectiveness is rated on a four-point scale: excellent, satisfactory, partly unsatisfactory, and unsatisfactory. In addition, the ratings "not yet achieved" and "not applicable" are available. A summary rating for Development Effectiveness is calculated from the sub-criteria ratings, but it is a "synthesis", not an average. The Development Effectiveness rating is on a six-point scale: highly successful, successful, mostly successful, mostly unsuccessful, unsuccessful, and highly unsuccessful.	negligible/not at all. In addition, a "not rated" rating is allowed. No overall rating is calculated. Private Sector: Criteria and ratings for independent evaluation are harmonized with those for self evaluation, with the exception that "not yet achieved" and "not applicable" are replaced with "too early to judge", "cannot verify", and "not applicable".

Annex 6
Ratings

Annex 7
Recent Technical Assistance Evaluations

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