



Evaluation of the PHRD Technical Assistance Program

FINAL REPORT

Prepared for PHRD World Bank

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Acronyms and Abbreviations

ACS	Activity Completion Summary
ASA	Advisory Services and Analytics
BETF	Bank Executed Trust Fund
DFIVP	Development Finance Vice Presidency (World Bank)
DFTPR	Trust Funds and Partner Relations Department (World Bank)
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
FCS	Fragile and Conflict-Affected Situation
FGD	Focus Group Discussion
GFF	Global Financing Facility
GoJ	Government of Japan
GP	Global Practice
HNP	Health, Nutrition and Population Practice (World Bank Global Practice)
HRH	Human Resources for Health
IBRD	International Bank for Reconstruction and Development
ICR	Implementation Completion Report
IDA	International Development Association
JICA	Japan International Cooperation Agency
JJWBGSP	Joint Japan/World Bank Graduate Scholarship Program
JSDF	Japan Social Development Fund
KII	Key Informant Interview
M&E	Monitoring & Evaluation
MoF	Ministry of Finance
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
PDO	Project Development Objective
PHRD	Policy and Human Resource Development
PP	Project Preparation
PRIME	Performance and Results with Improved Monitoring and Evaluation
RETF	Recipient Executed Trust Fund
RFP	Request for Proposal
QA	Quality Assurance
TA	Technical Assistance
TICAD	Tokyo International Conference on African Development
ToR	Terms of Reference
TTL	Task Team Leader
UHC	Universal Health Coverage
UNEG	United Nations Evaluation Group
WAAPP	West Africa Agricultural Productivity Program
WBG	World Bank Group

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Executive Summary

Introduction

Established over 30 years ago, the Policy and Human Resource Development (PHRD) Trust Fund is a long-standing partnership between the Government of Japan (GoJ) and the World Bank Group. While the overarching PHRD supports several sub-programs, this evaluation was commissioned to specifically investigate the Technical Assistance (TA) program. The evaluation covered a 10-year period from 2012 through 2022. During this timeframe, the TA program funded 76 projects across seven thematic areas (“Windows”). These Windows focused on agricultural productivity in Africa, disaster reduction and recovery, disability and development, rural access to energy, universal health coverage, and strengthening M&E systems.

The primary objective of the evaluation was to determine how and to what extent the TA program has achieved its objectives within the defined timeframe. To do so, the evaluation team assessed elements of coherence, effectiveness, efficiency, and sustainability. Assessments have been made at both program and project levels. Findings from both levels have informed a selection of recommendations to further strengthen the operation and effectiveness of the PHRD TA program going forward. This report is designed to be of use to the World Bank Group’s Trust Fund and Partner Relations (DFTPR) department, specifically the PHRD Fund Manager, and the Japanese Government. We also hope the report may be useful for Task Team Leaders (TTLs) considering applying for PHRD TA funds.

The evaluation was conducted using a phased mixed methods approach and was carried out between November 2023 and June 2024. The inception phase focused on refining the methodology, conducting inception interviews, and completing a light touch document review. The inception report was shared and approved by the evaluation reference group. Data collection and analysis was split into two phases. The first phase was oriented around a comprehensive document review of project documents and key informant interviews with TTLs who led PHRD TA-funded projects. The second phase included ‘deep dives’ into key areas for further investigation, an examination of PHRD management structures and processes, and a review of the previous program evaluation recommendations which were published in 2008. Following data collection and a group analysis session, the evaluation team drafted the final report for review by the reference group and the Government of Japan.

Main Findings

Coherence – Evidence suggests that the TA program is guided by the development strategies and objectives of the Japanese Government, and that these are coherent with World Bank thematic and country objectives. Grants have also been well aligned with the priorities of recipient countries. The thematic areas within the purview of PHRD TA are designed to be flexible and adaptive to shifting priorities so that the Fund can continue to remain relevant to the needs of the Bank, the GoJ, and recipient countries. However, the evaluation raised questions about how priority areas for PHRD TA funding are decided and thus how decisions are made to open and close thematic Windows given a lack of evidence of clear criteria for making these choices. Some TTLs felt that certain Windows (especially Window III Disability and Development) which were fulfilling a clear role and leading to positive outcomes were closed prematurely. Similarly, there was a view that the discontinuation of recipient executed grants was a lost opportunity given the perceived value these were seen to provide in certain Windows and the limited number of instruments in the Bank that can utilize them.

Effectiveness – The evaluation team leveraged project-level documentary evidence to assess PHRD TA performance at the outcome level and found that projects have been effective and contributed to positive change in line with Fund objectives. The assessment of effectiveness covered the performance of individual grants, the utility of the program-level results framework, the visibility of Japan, and the extent to which recommendations from the 2008 evaluation have informed current operations. Though the PHRD TA results framework has not been extensively used to design projects or track results, grants have been effectively monitored through Bank processes and systems. Though it is challenging to demonstrate the unique value add of PHRD TA given projects are often part of broader intervention strategies with their own theories of change and performance metrics, there is a need to track project results to be able to report positive and negative results and the contribution of PHRD TA to outcome level change.

It is evident that TTLs are clear on the expectations for highlighting Japan's support and have made conscious efforts to promote Japan's role in supporting PHRD TA grants. The value add of Japanese engagement was most significant in countries where Japan had a presence on the ground. The local presence enabled strong collaboration with Japanese institutions and allowed TTLs to utilize Japan's network and convening power with Ministries and other stakeholders. TTLs struggled to recruit and effectively utilize Japanese technical expertise in countries where Japan had only limited historical ties or engagement.

Efficiency – PHRD TA projects in general delivered results in an economic and timely way. Though more than half of interviewed TTLs responded that they required extensions to deliver expected outputs, most often these were due to circumstances out of the project team's control. Additionally, disbursement rates across projects were very strong, suggesting that planned activities were achieved in an economic manner. The evaluation also looked at grant approval processes and specifically examined donor involvement at the project level. Evidence suggests that grant approval processes take longer and there are additional required steps compared to standard Bank procedures for small grants. This has had an impact on the perceptions that some TTLs have of the PHRD TA program and their willingness to apply for grants. However, it is important, though to acknowledge the importance of effective oversight for the Japanese Government. Any revisions to the approval processes will need to find a balance between grant approval efficiency and involvement at key stages from appropriate bodies within the GoJ.

Sustainability – Despite difficulties in assessing the degree of sustainability of project results given the significant time lag between project completion and outcome level change, the team found good examples of changes that have been initiated that have continued beyond the lifetime of the projects. Several key factors which influence the likelihood of sustainable project outcomes were identified and include a) the continued commitment and leadership from government and other relevant stakeholders such as Bank operations, b) no significant unexpected shifts in the enabling environment and c) for access to resources to ensure change processes continue to receive sufficient support and funding.

Recommendations

The suggested recommendations have been developed based on the key evaluation findings.

Criteria	Recommendation
Coherence	1. Undertake a strategic review of how priority areas/sectors for PHRD TA funding are decided, both within existing Windows but also for the possible selection of new Windows. Broaden group of stakeholders involved to include wider groups of World Bank Global Practices and representatives from JICA/Embassies where Japan has a strong presence/country strategy. ¹ The review could also look to outline criteria for opening and closing Windows, highlight clearly where sectors/areas are not being selected due to duplication with other instruments and outline the Fund's approach to risk management.
Effectiveness	2. Review whether to revisit recipient executed grants in new Windows. While there may be valid reasons for phasing these grants out in some Windows, TTLs feel strongly that there are cases where RETFs provide value in ways that BETFs are unable to. 3. To look to prioritize grants in countries where Japan has a strong presence or history of engaging. This seems to maximize the degree of visibility for Japan of the benefit of PHRD TA grants and can also support other Japanese funded initiatives.
Efficiency	4. Review the governance and processing of grants to address issues/concerns over efficiency and to explore possibilities for flexibility. Options to consider may include: <ul style="list-style-type: none"> a) require the Bank to submit annual work plans and indicative budgets of proposed projects to the GoJ for substantive discussions and approval during annual consultations, removing the requirements for GoJ approval at project level, and be flexible about the level of consultations with JICA and local Japanese embassies at the project level (particularly in the case of Bank executed projects) b) in the event of retaining GoJ approvals at the project level, introduce the modality of non-objections c) in the event of retaining consultations with JICA at the project level, define and agree on specific criteria for applying this requirement (i.e. local presence, expertise) d) discontinue the requirement of GoJ approvals for grant extensions and restructurings²
Sustainability	5. Ensure the results framework is updated so that it provides a useful mechanism for reporting the contribution of PHRD TA to agreed outcomes. The framework need not be overly complex, but it should provide a mechanism by which the various project contributions can be synthesized based on the types of change they are contributing to. The PHRD Secretariat could take responsibility for the following tasks: <ul style="list-style-type: none"> a) updating the results framework with additional intended outcomes as Windows are introduced b) monitoring PHRD TA-funded projects to ensure progress is adequately tracked following standard Bank protocols c) aggregating outcome-level project results by Window and reporting against intended outcomes in annual reporting

¹ Verbal evidence suggests that the process of defining priorities for new initiatives under TA Window IV 'Other Priorities' has become more consultative in recent years, involving strategic discussions between DFTPR, World Bank Global Practices and Country Management Units, and GoJ. However, these adjustments took place after the scope of the 2012-2022 evaluation period.

² Verbal evidence suggests the discontinuation of the requirement of MoF approvals for grant extensions and restructurings may have been implemented under the UHC Window in its Phase III iteration which took place in 2020

1. Introduction

1.1. Purpose and Scope

Evaluation Purpose

The PHRD is a long-standing partnership between the Government of Japan and the World Bank Group. It was the first, and is currently one of the Bank's largest, global programmatic trust funds. It was established in 1990 through a joint agreement between the Bank and the GoJ. The PHRD currently supports four main programs:

- PHRD Technical Assistance (TA) Program
- Joint Japan/World Bank Graduate Scholarship Program (JJWBGSP)
- Japan-World Bank Partnership Program
- Japan Staff Grants Program

This evaluation is focused on the PHRD TA program. Its primary purpose as outlined in the Terms of Reference, is to determine how and to what extent the PHRD TA program has achieved its objectives between 2012 and 2022. This is the first independent evaluation of the PHRD TA program since 2008.

The objectives of the evaluation have been to:

- Assess the coherence, effectiveness, efficiency, and sustainability of the PHRD TA program based on the OECD-defined evaluation criteria
- Assess the extent to which the recommendations from the 2008 evaluation were executed
- Propose recommendations to further strengthen the operation and effectiveness of the PHRD TA program

Scope

The scope of the evaluation has been the 76 grants approved from 2012 and closed by 2022.

The evaluation has addressed the following key questions:

- Have the objectives of the PHRD TA program been achieved?
- Has the PHRD TA program been able to deliver results in an economic and timely way?
- Does the results framework lend itself to measuring these results?
- Has the Program been managed efficiently? Are there any inefficiencies in current operating structures and internal procedures which can be addressed?
- To what extent has the visibility of Japan in the use of the PHRD funds been secured (e.g. publicity of Japanese assistance to the recipient countries; involvement of Japanese stakeholders such as embassies, aid agencies, and consultants)?

The evaluation has also looked to identify factors that determine the effectiveness and efficiency of the administration of the PHRD TA program within the WBG's Trust Fund and Partner Relations (DFTPR) department in the Development Finance Vice Presidency (DFIVP).

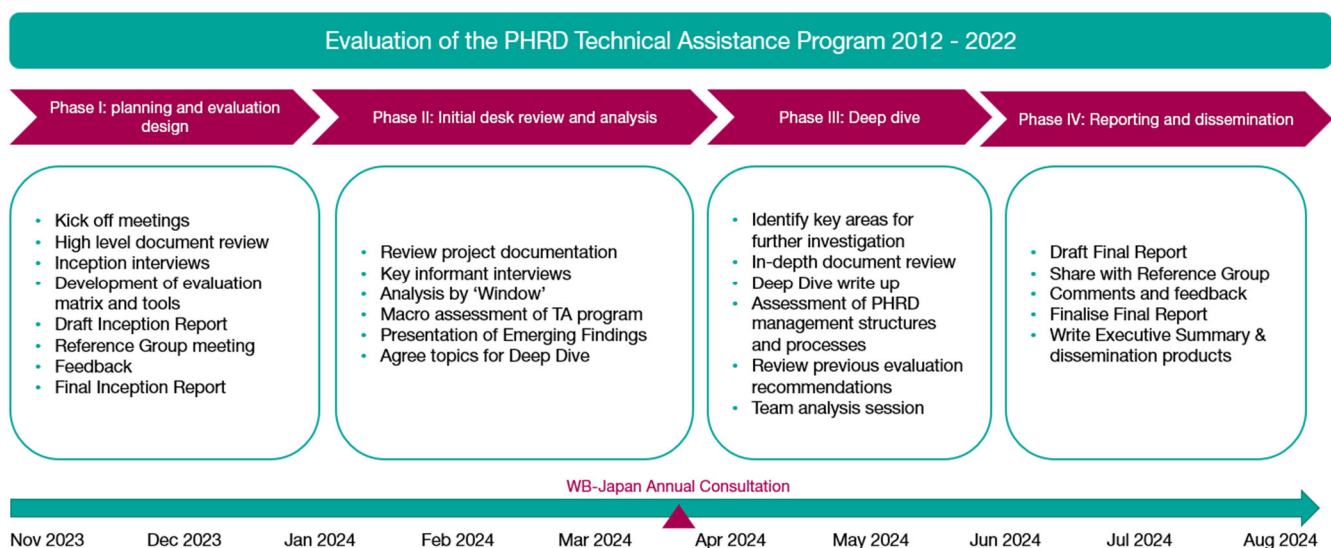
1.2. Users and uses

The primary users of this evaluation will be the World Bank Group’s Trust Fund and Partner Relations (DFTPR) department and specifically the PHRD Fund Manager. The other main user will be the Japanese Government. It is hoped that the evaluation might also inform World Bank TTLs who may be looking to apply for PHRD TA grants.

2. Methodology

The evaluation used a mixed methods approach based on four stages as shown in Figure 1.

Figure 1: Evaluation approach



Phase 1 focused on refining the proposed methodology and the creation of the evaluation framework. It involved a light touch review of documents, prioritized by the TTL and PHRD program manager - including annual reports, policy and governance documents - and inception discussions with nine interviewees from the DFTPR, Global Practice Groups and the Office of the World Bank Executive Director for Japan. Consultations were held with the evaluation reference group and the final approach and methodology was approved through an inception report.

Phase 2 involved a high-level ‘Macro’ assessment of the performance and results of all 76 projects within the scope of this evaluation. The full list of projects, their locations, size, start and finish dates are included in Annex 1. The assessment included a detailed review of core documents across all projects. For recipient executed grants (RETFs) these were the Funding Proposal, 2-3 Implementation Status & Results reports, Aide Memoires (if available) and Implementation Completion Report (if available). For Bank executed grants (BETFs) these were the initial Concept Note, Progress Reviews (if available) and the Activity Completion Summary. A list of documents reviewed is included in Annex 2. The high-level and sub-questions agreed during inception are set out below in Table 1. The full evaluation matrix is included in Annex 3.

Table 1: Evaluation questions

Key evaluation question	Sub questions
Coherence	
To what extent is the PHRD TA program coherent with the strategies and objectives of the Japanese Government, the World Bank and the international community?	<ol style="list-style-type: none"> I. How well do PHRD TA priorities align with priorities of the World Bank and the international community? II. What are the criteria for selecting/closing thematic Windows?
Effectiveness	
To what extent has the PHRD TA program achieved its intended objectives and its results?	<ol style="list-style-type: none"> I. Have the objectives of the PHRD TA program been achieved? II. Does the results framework lend itself to measuring these results? III. To what extent have recommendations from past evaluations informed current operations? IV. What were the critical success factors for PHRD projects to achieve results? V. To what degree did the results framework inform project design and be used to monitor the trajectory towards results? VI. To what extent is Japan visible in the various stages of PHRD fund allocation and reporting of results?
Efficiency	
To what extent has the PHRD TA program delivered results in an economic and timely way?	<ol style="list-style-type: none"> I. Has the PHRD TA program been able to deliver results in an economic and timely way? II. Are there any inefficiencies in current operating structures and internal procedures which can be addressed? III. How well do PHRD management mechanisms coordinate with Global Practice Teams?
Sustainability	
To what degree are the benefits of PHRD TA results sustainable and to what extent are they likely continue?	<ol style="list-style-type: none"> I. What evidence is there of sustainable changes being facilitated by PHRD TA? II. What factors within TA design and implementation influence sustainable change?

All TTLs who had led projects were approached for interviews and 30 were interviewed covering 34 projects provides a full list of those interviewed in the evaluation. Table 2 shows the spread of interviews across the seven Windows. The evaluation team included specialists with expertise linked to the topic areas of each Window. Interviews were semi structured and included both quantitative ‘scoring questions’ as well as more open-ended qualitative questions aimed at capturing TTLs opinions and experiences. Interviews were undertaken by the technical specialist as well as one of the three core team members.

Table 2: Interviewed TTLs across PHRD TA Windows

Window	TTLs Interviewed	Projects Discussed	% Projects within Window
Window I – TICAD IV	1	1	14%
Window II – Disaster Reduction & Recovery	6	7	58%
Window III – Disability & Development	7	7	88%
Window IV – TICAD V	0	0	0%
Window V – UHC	11	14	39%
Window VI – PRIME	3	3	50%
Window VII – Other Activities	2	2	100%
Total	30	34	45%

Following this initial phase of inquiry a PowerPoint presentation was developed outlining emerging findings. This was produced to coincide with the annual World Bank-GoJ consultation event held in Tokyo in March. The approach for a set of ‘deep dives’ was also agreed. Initially it had been envisaged that these would focus on individual projects and include stakeholder interviews as well as more in-depth document reviews. Given challenges in identifying and contacting possible interviewees given the time period being covered by the evaluation it was decided these would be desk based and focused on key emergent themes across a number of projects within a TA Window.

Phase 3 involved three parallel inquiry streams. The four ‘deep dives’ undertaken by technical specialists, focusing on: Sustainability, through an exploration of the WAAPP rice projects in West Africa; Innovation, looking at how projects in DRR have catalyzed additional investment; Coherence, how a shared approach in disability grants led to lesson learning across contexts; and adaptability, how UHC projects responded to COVID-19.

Alongside the project ‘deep dives’ an assessment of PHRD governance, management and policy structures was undertaken. This was done through an in-depth document review of annual reports, policy guidelines and consultation minutes. 8 qualitative key informant interviews were also held with current and former DFTPR Directors, staff and managers and representatives from the GoJ.

Phase 4 A group analysis session formed the basis for writing the draft evaluation report. This was shared with the reference group and then with the GoJ. Following feedback, an executive summary has been completed which has also been translated into Japanese.

2.1. Analysis, triangulation, and validation

The evaluation framework was used to analyze data from the main data sources and to organize and tabulate it in relation to the evaluation questions. The team used systematic analytical tools, including Excel tabulation and content analysis software (MAXQDA) to organize and code interview and documentary data. These systematic approaches ensure ‘traceability’ from findings to conclusions and to recommendations.

We have used three types of triangulation: cross referencing of different data sources (interviews, and documentation); triangulation within team through team analysis workshops and evaluation team members’ own process of verification of findings and information post-data collection. The triangulation efforts test for consistency of results, noting that inconsistencies do not necessarily weaken the credibility of results, but reflect the sensitivity of different data collection methods and the diverse nature of PHRD TA grants and the contexts in which they were implemented. These processes ensure validity, establish common threads and trends, and identify divergent views. External validation has also been

obtained through feedback from the Reference Group on the emerging findings presentation as well as the first draft of the report.

2.2. Limitations

The primary challenge facing the team has been the scope of the evaluation in relation to the 10-year time period it covers. Staff in the World Bank move positions periodically and also retire as do GoJ staff. This has meant it has been challenging to contact relevant stakeholders across all 7 PHRD TA Windows. To mitigate this the evaluation team did not use a sampling approach but instead identified and contacted the TTLs from all 76 projects to try and maximize coverage as well as contacting previous DFTPR Directors and staff. Follow up emails were sent by current DFTPR management to reiterate the importance of the evaluation and to maximize engagement. It was felt that the inquiry method most likely to get useful and good data was semi-structured interviews, with interview guidance and questions sent out prior to interviews taking place. This would also allow the evaluation team to prompt interviewees, based on having read core documentation prior to the interview, recognizing that interviewees may have forgotten some of the precise details. It was felt a survey would be unlikely to get a strong response rate, so quantitative scoring questions were asked as well as qualitative questions.

As shown in Table 2 there is not an even distribution of interviewees across the 7 Windows with Windows I and Windows IV having low levels of representation given the number of projects they supported. The evaluation team believes that the strong document review undertaken does to a large degree mitigate this.

3. Overview of the PHRD TA Program

3.1. The PHRD Fund

The concept of the PHRD Fund was to build professional and technical competencies so that countries could formulate sound economic policies and development projects. In this respect, the Administrative Agreement (AA)³ (as revised in March 1999) states that,

“The Fund may be used for the purposes of financing technical assistance and other grant activities in respect of the formulation and implementation of Bank-supported projects and programs and activities to develop human resources in developing member countries of the Bank, to assist developing member countries of the Bank to formulate and implement development policy and to strengthen the partnership between the Government of Japan and the Bank.”

Over the years, the focus of the PHRD Fund has evolved, as it addressed the ever-increasing complexity of the development challenges faced by the Bank’s member countries, while maintaining its original mission to strengthen human resources and institutional capacity. The GoJ has contributed close to US\$4.1 billion to the PHRD, which has funded a variety of activities across over 150 countries.

³ According to documentation received by the evaluation team from the Bank, the AA was amended on the following dates: March 19, 1999; June 26, 2000; June 4, 2004; December 11, 2006; July 21, 2016, and September 9, 2016.

As well as its four main programs, in addition, transfers are made from the PHRD Fund to provide GoJ support to other Bank-administered programs, primarily through the multilateral account of the PHRD.⁴

The PHRD Fund is administered by the WBG's Trust Fund and Partner Relations (DFTPR) department in the Development Finance Vice Presidency (DFIVP) as the Trustee of the PHRD. Within the above department, there is a small secretariat under the leadership of DFTPR's Director that manages the day-to-day operations of the Fund. Its functions include the following:

- Policy and program formulation and business development—specifically, leading the formulation of strategic priorities of the programs, establishing sector/thematic Windows, and managing the development of proposals and the program-level results framework
- Conduct quality at entry reviews of concept notes and grant proposals submitted by the task team leaders (TTLs) prior to submission to the Ministry of Finance of the GoJ (MoF) for approval
- Management of the funds flow from the GoJ
- Review and clearance of restructuring papers, Implementation Completion Reports, and Project Operations Manuals
- Ensure the timely submission of Letters of Representation by TTLs that confirm the eligible expenses under the project and the undertaking of an audit; and
- Carry out oversight missions to visit project sites to assess implementation performance and interact with stakeholders and project beneficiaries

The DFTPR Management and the PHRD Program Manager participate in annual and periodic consultations with the GoJ to discuss progress in achieving the key results of the PHRD and the strategic directions. These consultations take place in Tokyo as part of the Annual Consultations on the overall partnership between Japan and the Bank. The consultations cover the PHRD as well as the Japanese Social Development Fund (JSDF).

3.2. The PHRD Technical Assistance (TA) Program

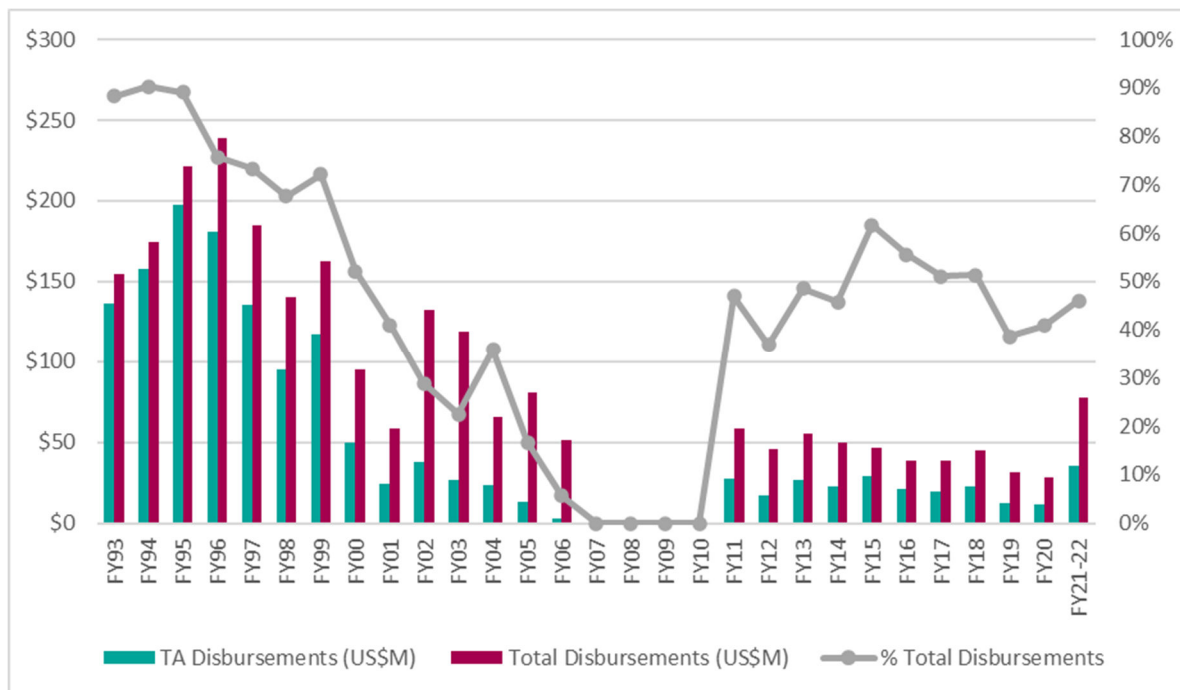
The PHRD TA program remains the core component of the PHRD Trust Fund, with cumulative contributions amounting to US\$1.8 billion since inception. Figure 2 shows the disbursements made since 1993.⁵ It illustrates how funding levels have changed over time and in general have dropped over time, including a brief hiatus from 2007-2010 where no disbursements were made.

The objective of the PHRD TA program is to assist eligible countries of the World Bank Group in enhancing their technical and institutional capacities to formulate and implement development policies and programs.

⁴ These programs include the following umbrella trust funds: Health Emergency and Preparedness Response (HEPR); Consultative Group to Assist the Poorest Development Fund (CGAP); Ukraine Relief, Recover and Reconstruction; Afghanistan Resilience Trust Fund; Health System Transformation and Resilience; Extractive Global Programmatic Support; Quality Infrastructure Investment Partnership (QIIP); Global Tax Program (GTP); Pandemic Emergency Facility (PEF); Platform for Collaboration on Tax; Debt Management Facility (DMF); Knowledge for Change Program; Global Infrastructure Facility (GIF); Global Facility for Disaster Reduction and Recovery (GFDRR); Food Systems 2030; Energy Sector Management Assistance Program; Healthy Lives, Nutrition and Population; Partnership for Market Implementation Facility

⁵ Please note the latest figures for years 2021/2022 cover both years so should not be seen as a sign of a significant increase in disbursement

Figure 2: PHRD disbursements over time



The PHRD TA program has evolved over the years and the share of the TA program relative to other Windows within the PHRD portfolio has likewise changed over time in line with adjustments in the partnership between the GoJ and the Bank. For over 20 years, the PHRD TA program predominantly supported grants for project preparation, implementation support, co-financing, and climate change initiatives.

The above activities were the subject of the previous independent evaluation in 2008. The key findings of the evaluation were as follows:

- Projects prepared with PHRD support were associated with “more robust and better quality projects.” Data analysis showed that 98.5 percent of projects prepared with PHRD support were given “satisfactory” or better ratings by the WBG’s Quality Assurance Group
- The GoJ’s original rationale for funding project preparation remained relevant as countries continued with government decentralization—the transfer of political, fiscal and administrative powers to subnational governments—and civil society participation in project design and implementation
- Without PHRD support, countries would have been less able to implement WBG-funded operations in support of their national development strategies
- The grants did not duplicate other official development assistance (ODA) resources
- As investments, they led to high-level outputs and good quality results for the resources expended. Although PP grants were generally less than US\$1.0 million, they were rated highly by both the World Bank and recipient countries, particularly in terms of the quality of project preparation
- PP grants also contributed to policy development and to specific policy changes⁶

⁶ See Box 2.2. of the PHRD 2019-2020 Annual Report

This original TA program (mostly supporting project preparation grants) was discontinued by the GoJ. In 2008, GoJ and the Bank approved a new, restructured TA program for the period FY 2009-2013, consisting of a set of new thematic Windows or pillars: food insecurity, particularly in Sub-Saharan Africa; natural disaster management; and “other activities” as agreed between Japan and the Bank (including the Pacific Catastrophe Risk Financing Initiative Phase 2). In FY 2011, a new thematic Window was added (disability and development) and a specific activity under the Window “Other Activities” (the Manila Flood Protection Feasibility Study). The implementation of this new TA program was slow at the beginning, becoming fully operational by FY 2012.

In FYs 2015 and 2016, the TA program was restructured again. There was a shift from the three 2009-2014 thematic Windows (these were discontinued) to a set of new ones, namely: agricultural development of small and marginal farmers and access to rural energy; universal health coverage; performance results with an improved monitoring and evaluation; and “other activities”.

3.3. Thematic Areas (“Windows”)

Seven Windows have been supported by PHRD TA grants during the 2012-2022 period, though at the time of this independent evaluation, Window V – Universal Health Coverage (UHC) is the only active Window.

Window I – 4th Tokyo International Conference on African Development (TICAD IV)

Developing the Next Generation of Rice Varieties: support was provided to multilateral research organizations—CGIAR, International Rice Research Institute (IRRI), and Africa Rice Research Center (ARRC)—for the development of rice seeds resistant to heat and drought.

Africa Agriculture Productivity Enhancement Program: recipient executed grants were provided to support seven operations focusing on: strengthening institutional and human resource capacity in rice production research, extension, and policy making and scaling up and improving the effectiveness of rice production techniques.

Window II – Disaster Reduction and Recovery

Reducing vulnerability to natural hazards in disaster prone countries, particularly in the Asia region, by strengthening disaster resilience of cities, improving early warning systems, and implementing a strong knowledge and learning agenda to improve awareness and capacity.

Window III – Disability and Development

Contributing to better understanding of the issues surrounding disabilities in the grant recipient countries, develop appropriate policies and development interventions to address these issues, and to finance programs which directly benefit the disabled people.

Window IV – 5th Tokyo International Conference on African Development (TICAD V)

Agriculture: to build institutional capacity and knowledge base of small and marginal farmers to reduce vulnerability, deliver services, and improve household food production and consumption.

Rural Access to Energy Supply: to increase the delivery of modern energy services in rural areas of African countries. Priority was given to activities in FCS countries.

Window V – Universal Health Coverage (UHC) Phases I, II and III

Providing development assistance within the framework of the joint World Bank-Japan UHC Initiative that builds on the recommendations of Ise-Shima G7 Summit to promote UHC in

developing countries. The fundamental premise of this effort is that everyone should have access to the health services they need without financial burden. Within this framework, the PHRD is providing an enabling environment for people to lead healthy and productive lives and supporting countries to build more equitable societies and improve their fiscal performance.

Window VI – Performance and Results with Improved Monitoring and Evaluation (PRIME)

Enhancing the use of government systems to promote evidence-based decision making through strengthening the M&E systems of recipient Ministries and implementing agencies in priority sectors in developing countries with tailored to specific context and capacity of recipient ministries and implementing agencies.

Window VII – Other Activities

Activities consulted and agreed with between the Ministry of Finance, Japan and the World Bank that do not fall under the above listed Windows.

During the period under evaluation, the TA program has provided a total of 76 grants (approved since 2012 and closed by 2022) valued at US\$142 million in 53 countries. Figure 3 below shows the geographic distribution of PHRD TA projects, Figure 4 shows grant value by region, and Figure 5 shows grant value by Window.

Figure 3: Distribution of PHRD TA projects (2012-2022)

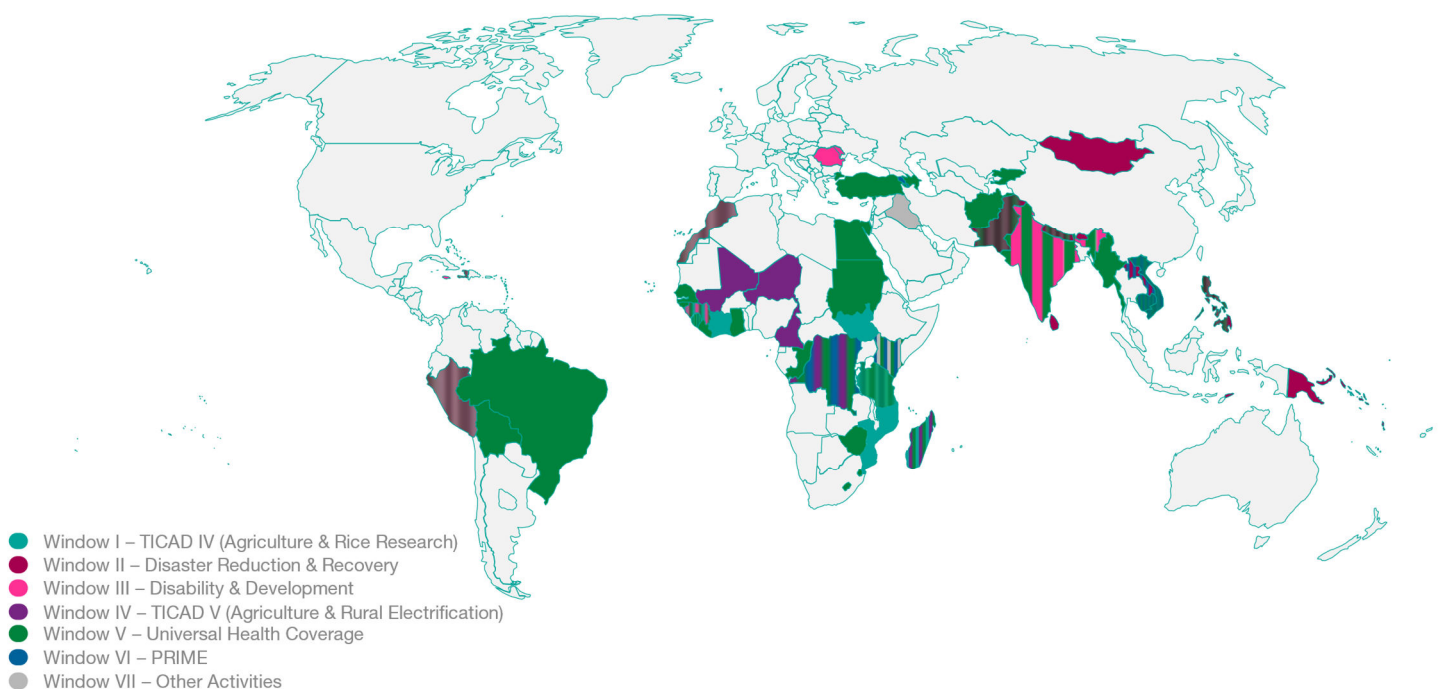


Figure 4: Grant amount (US\$M) by region

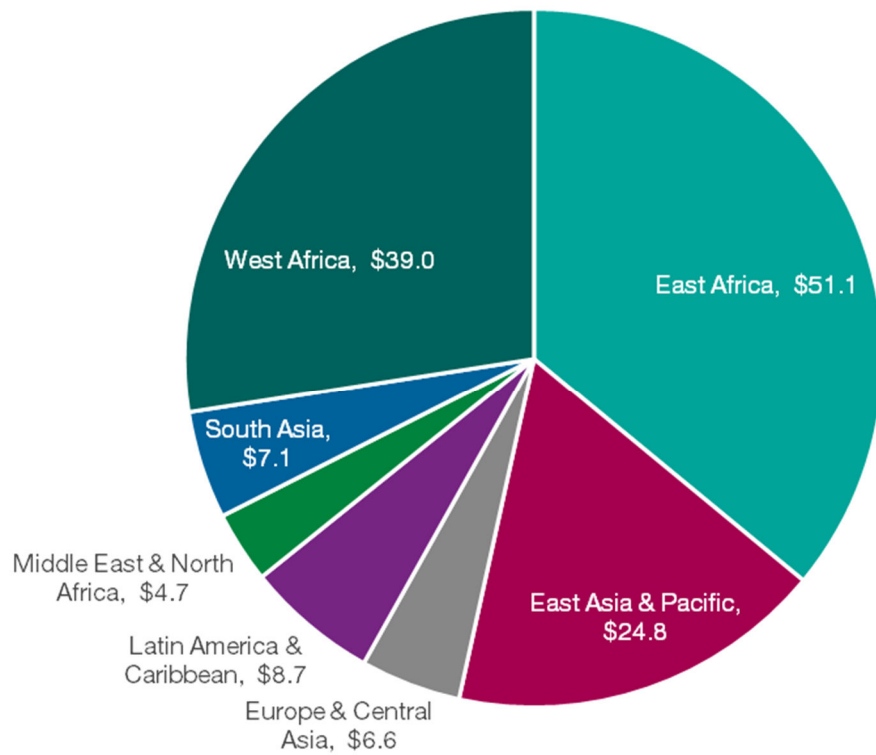
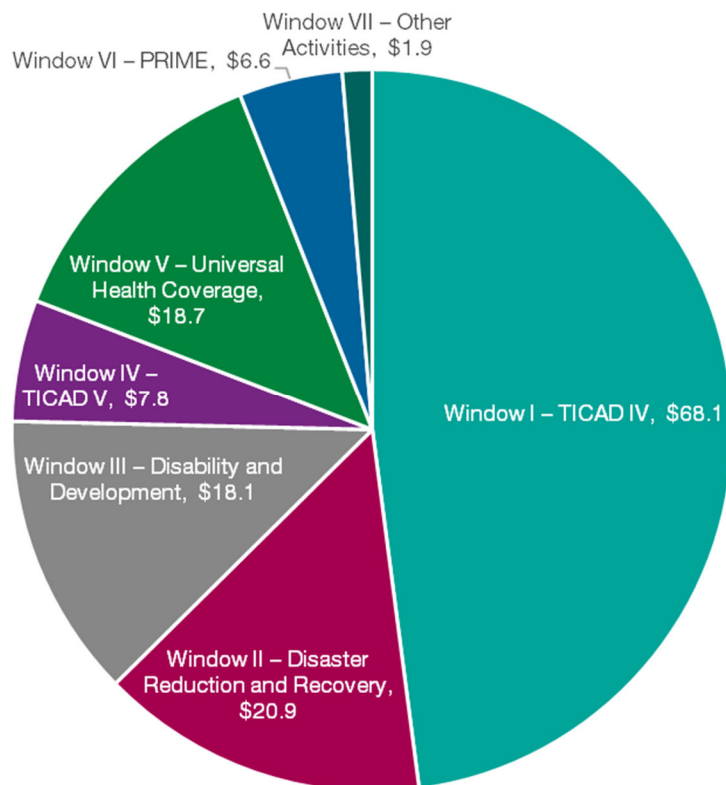


Figure 5: Grant amount (US\$M) by Window



3.4. Governance

As a programmatic trust fund, the PHRD has its own governance arrangements, though they have changed in practice over time as the focus of the TA program has evolved. Prior to the restructuring of the TA in 2008, the MoF approved, on a semiannual basis, lists of projects and programs submitted by the Bank. The lists contained an outline of each project and program, the proposed amounts of financial assistance and the items of expenditure proposed to be financed (normally a one-page document). The Bank could also provide additional lists outside of the semiannual ones. MoF approval of the respective lists was deemed to be granted if there was no reply within 4 weeks for semiannual lists and 2 weeks for additional lists (see paragraph 2.2 of the Arrangement).

In addition, the PHRD had a Coordination Committee which met semiannually in advance of the submission of the lists to the MoF. This committee was composed of three representatives from each of the ministry and the Bank and two from the Japanese Executive Director's office. It was entrusted with determining the priorities for the semiannual lists of projects and programs under the TA, review progress of the PHRD, discuss policy issues affecting the operation of the PHRD and future programs to be supported under the PHRD. As an outcome of the above meetings, the coordination committee would approve so-called policy documents setting forth the priorities for TA funding and aggregate amounts to be allocated between project preparation grants and cofinancing.

On December 11, 2006, the AA was amended in respect of the Coordination Committee, among other things. It outlined that there would be annual consultations (not semiannual), updated the titles of the Bank representatives and allowed the convening of meetings when at least one representative from the ministry and the Bank are present and authorized the Japanese ED's office to represent the ministry in its absence.

The Bank was also responsible for the appraisal of the projects and programs and was required to consult with the MoF prior to making any substantial changes that would result in an increase or decrease of 25% or more of the amount of the grant (see Sections 2.7 and 2.9).

The above arrangements were modified with the restructuring of the TA program. Requirements for donor engagement in the decision-making processes appear to become more stringent. For each individual project, the Bank project team is required to pre-discuss concept notes, and discuss final proposals, with JICA and the respective local Japanese embassies. Further, the Bank is also required to obtain explicit approvals (instead of non-objections) from MoF of concept notes in all projects and final proposals for those that are recipient executed. There are no meetings of the Coordination Committee but only annual consultations between MoF representatives and Bank representatives. The team note that these modifications were not made through amendments to the AA but through changes in the Policy Documents.

During the evaluation period, the DFTPR Management and the PHRD Program Manager have participated in annual consultations with the Government of Japan to discuss the progress in achieving the key results of the PHRD and the strategic directions. These discussions take place as part of the Annual Consultations on the overall partnership between Japan and the World Bank Group.⁷ The key issues discussed in the annual consultations concerning the PHRD TA program are the focus areas ("Windows" or pillars) that will be supported, their

⁷ The evaluation team received copies of the minutes of the annual consultations for years 2010 through 2022 (except 2014) and draft minutes for 2023.

respective allocations, and the policies and operational guidelines applicable to such Windows.

Based on the annual consultation minutes, any new Window or pillar must meet the priorities of Japan, not duplicate other Japan ODA assistance, and be aligned with the Bank strategy. Beyond such general parameters, there are no explicit criteria for determining when to open or close a Window. On many occasions, the Bank requested that new pillars be incorporated (annual consultations of 2015, 2016, 2018 and, 2020) yet Japan did not agree on the basis that these new pillars were not priorities for Japan's ODA or that they were being supported through other partnership programs.

3.5. Policies and Guidelines

Policy Document FY 2009-2013 was in force at the inception of the evaluation period. This policy document was amended seven times according to documentation received. The Policy Document FY 2009-2013 formalized the new, restructured PHRD TA program to assist eligible countries of the Bank in enhancing their technical and institutional capacities. It provided the framework for the first three pillars as well as the pillar of "other activities". It allocated the equivalent of US\$191.2 million to these Windows over a period of 5 years.

In addition to the new Windows, Policy Document FY 2009-2013 specified rules (additional to those set forth in Bank policies for small grants) for the preparation, approval and implementation of PHRD TA grants. These included: grant implementation period; eligible expenditures; grant execution agreements; calls for proposals; procedures to review proposals; approval by MoF; changes in objectives; reallocation of funds; consultations with Japanese embassies, JICA and visibility of donor; maintenance of documents and progress reporting. Priority areas for each Window and any special provisions were included in the respective Operating Guidelines.

The above Policy Document was updated on several occasions. Policy Document FY 2009-2014 extended the referred three pillars for a year. Subsequently, Policy Document FY 2009-2015 closed Window I and introduced the new Window IV above. It also extended the grant implementation period to 5 years and introduced a time-period for the approvals by MoF of concept notes and final proposal, respectively (4 weeks and 3 weeks). Further, it provided that the Bank teams are encouraged, not required, to pre-discuss draft concept notes with the respective local embassies and JICA.

Later, Policy Document FY 2015 incorporated two new Windows: PRIME and UHC. It also reinstated the requirement that Bank teams pre-discuss the concept notes with embassies and JICA in the field. Policy Document FY 2016 introduced the requirement to discuss the proposal not only with JICA but also the respective local embassy prior to submission to the PHRD secretariat.

In FY 2016, the World Bank management and the Government of Japan approved the PHRD's Comprehensive Results Framework (Annex 5) for measuring the overall progress of grants in achieving the PHRD development objectives (Chapter 9, FY 2016 Annual report). This framework consists of priority areas through which a project's results would lead to the attainment of the PHRD's higher-level objectives and the WBG's twin goals of ending extreme poverty by 2030 and boosting shared prosperity in a sustainable way among the poorest 40 percent.

The Policy Documents are complemented by operating guidelines for each of the Windows. These operating guidelines incorporate special provisions for each of the respective Windows. They basically establish the priority areas for support within each of the respective

Windows. They also specify any special rules on country eligibility, maximum grant amounts and technical reviews of project proposals within the Bank.

4. Findings

4.1. Coherence

To what extent is the PHRD TA program coherent with the strategies and objectives of the Japanese Government, the World Bank and the international community?

The PHRD TA program is guided by the development strategies and objectives of the Japanese Government, and these are coherent with World Bank thematic and country objectives and in line with international goals. Grants are also seen as coherent with the objectives and strategies of recipient countries. It is important to note, the key underpinning feature of the PHRD TA program is one of long-term partnership and collaboration, so the need to balance different working cultures and internal expectations has been a key aspect of how PHRD has continued to evolve.

To usefully assess the coherence of the PHRD TA program it is necessary to reflect on the role the PHRD plays in the Government of Japan's relationship with the World Bank. Interviewees who have been involved in the annual consultations stressed how important it is to understand the historical significance of PHRD for the Government of Japan both as a mechanism, approved by parliament, through which development assistance funding can be provided, but also as a 'brand' signifying Japan's contribution and commitment to the World Bank. As outlined in the 2016 Annual consultation the continuation of the PHRD is an example of the '*strong and sustained collaboration between Japan and the Bank and is testimony to the mutual trust and confidence that has been built between the two sides over the years.*'

The PHRD has a clear niche and as outlined in the 2016 annual consultation notes good 'brand recognition' in both the World Bank and GoJ. There is good evidence across Windows that PHRD TA can be a 'first mover' or 'catalyst' for development. Its flexible structure allows it to align with Bank and GoJ priorities in a shifting world yet enables GoJ to continue a long-held objective of enhancing human and institutional capacities in relevant sectors. The PHRD fund overall allows Japan to channel funds into other funds and ensure there is no duplication or overlap between funding streams and other TA assistance provided.

How well do PHRD TA priorities align with priorities of the World Bank and the international community?

PHRD TA grants are seen as well aligned with both World Bank and host country priorities. All TTLs interviewed were asked to score out of 5 the degree to which their TA project was aligned with both World Bank priorities and those of the countries/regions in which they were implemented. All scored 4 or 5, suggesting they were highly aligned. Project documents, in particular concept notes (BETFs) and funding proposals (RETFs), also support these as they need to outline why the project should be funded, what its objectives are, and how it is aligned to Bank and national priorities.

The recent Mid-Term Review of the UHC Window outlines how projects are selected and how a technical committee comprised of World Bank subject matter assesses the following factors in evaluating proposals accentuating the requirement for coherence:

- Technical Strength (Scope of interventions, Innovations & Evidence/Knowledge Generation)
- Country/Strategic Relevance
- Clear Project Development Objective (PDO) and Expected/ Intermediate Outcomes
- Linkage to WB Operations/Projects (IDA/IBRD etc.)
- Coordination & Collaboration, with Development Partners (e.g. JICA, WHO etc.)

Deep Dive – Case Vignette 1: UHC evolving alignment with World Bank priorities

Through its Health, Nutrition and Population Global Practice the World Bank is committed to helping developing countries achieve universal health coverage through stronger, more resilient health systems and provide quality, affordable health services to everyone including to the most vulnerable during times of crisis. Window V of the PHRD Fund TA is aligned to this strategy. Phase I of the UHC Window was initiated in 2017 with a development objective to provide technical assistance to strengthen national capacities to implement UHC policies and programs, and complement operational projects funded by IDA, IBRD and the Global Financing Facility (GFF) for Every Woman Every Child. Phase II, initiated in 2019, was part of the “World Bank-Japan Joint UHC Initiative” that builds on the recommendations of Ise-Shima G7 Summit and TICAD VI to promote Universal Health Coverage (UHC) in developing countries.

In 2020, a further phase, Phase III was and consists of three rounds. Rounds 1 and 2 are implemented from 2020-2024 and offer additional focus areas such as private sector harnessing. Covid 19 and pandemic preparedness support were added in Phase III Rounds 1 and 2. COVID-19 exacerbated pre-existing health challenges, and exposed underlying system weaknesses and bottlenecks at the country level, particularly in lower- and middle-income countries. The World Bank identified three priorities for UHC moving forward in the post COVID health landscape: adopting a multi-disciplinary team-based approach, reforming health care workforce and financing for primary health care systems. The latter two of these are in clear alignment with the UHC Window themes ‘Human Resources for health’ and ‘health financing’.

COVID-19 also highlighted the necessity and importance at the global and country levels for ensuring preparedness and resilient health systems. Supporting pandemic prevention, preparedness and response at country, regional, and global levels as part of a broader approach to strengthen health systems is indicated as key future direction of the World Bank. Round 3 of Phase II of the UHC Window, though is not supporting pandemic preparedness and response activities due to complementary sources of funding available for this such as the ‘Health Emergency Preparedness and Response Umbrella Program’. Round III brings in new areas of climate-health nexus/DRM and ageing and long-term care – in line with current global and World Bank priorities.⁸

See the separate Deep Dive Compendium for the full case vignette.

What are the criteria for selecting/closing thematic Windows?

It is unclear what the criteria for selecting or closing Windows are. Japan has a wide range of thematic priorities and though they shift over time it was difficult to see a clearly documented rationale for why funding to a particular area should no longer be provided, or for why a new Window was started. There was some evidence that one driver was the need to ensure that

⁸ <https://www.worldbank.org/en/topic/health>

PHRD TA did not duplicate funding provided to the Bank through other instruments or cut across bilateral assistance provided at a country level.

Interviewees often felt that Windows were closed prematurely. The Disability Window (Window III) in particular was deemed to be fulfilling a clear role and leading to very positive results with the potential to further enhance a program of work in an area often neglected. Similarly, there was a view that the discontinuation of recipient executed grants was a lost opportunity given the perceived value these were seen to provide and the limited number of instruments in the Bank that can utilize them.

4.2. Effectiveness

To what extent has the PHRD TA program achieved its intended objectives and its results?

There is strong evidence to suggest that over the seven Windows covered by this evaluation PHRD TA projects have been effective and have contributed to positive changes in line with Fund objectives and results. The results framework has not been used extensively in the design of projects, though most projects do align with it. There have been considerable efforts to promote Japanese visibility, these seem to have been more effective in countries where Japan and JICA have a presence on the ground and play an active role in engaging and supporting TA projects.

The stated objective of the PHRD Technical Assistance program is to *'assist eligible countries of the World Bank Group in enhancing their technical and institutional capacities to formulate and implement development policies and programs'*. This is quite broad and can be challenging to assess or measure. The 2016 results framework breaks down the changes the increased level of technical and institutional capacities into four areas:

- Reduced Food Vulnerability of Small Farmers
- Increased Rural Access to Energy Supply
- Strengthened National Capacities to implement UHC policies and programs
- Enhanced use of Government System to promote Evidence-Based Decision Making

These result areas align to some of the TA Windows but do not cover the objectives or results for Disaster Risk Reduction (Window II) or Disability and Development (Window III).

Part of the challenge in assessing effectiveness is that PHRD TA grants, though specific interventions, are often aligned with, and part of, broader strategies (National and/or World Bank) aiming to achieve systemic level change. This makes attribution difficult and potentially unhelpful, given that capacity development looks to strengthen and reinforce the ability of governments and local actors to deliver development outcomes. Aggregation is also challenging given that different indicators and data collection methods and protocols have been used. Understanding how TA contributes to and facilitates the achievement of these outcomes is perhaps more appropriate and aligns better to the underlying logic of the PHRD fund.

To assess the degree to which the PHRD TA program has achieved its objectives and results we have focused primarily on documentary evidence. We have had to rely primarily on project level reporting as though Annual PHRD Reports do highlight 'successes' and provide examples of what has been achieved, there is no systematic reporting against what results were expected, or the reporting of results that have not been achieved. Only the 2017 and 2018 Annual Reports use the existing results framework as a reporting structure.

Have the objectives of the PHRD TA program been achieved?

To make an assessment the evaluation team extracted PDO-level indicators and their results from available Implementation Completion Reports (RETFs) and Activity Completion Summaries (BETFs) alongside the Project Development Objectives (PDO) and/or project outcomes that the indicators were measuring.⁹ The objectives and outcomes (and their corresponding indicators) were then grouped into outcome themes according to similarities in intent. The analysis then focused on the results, comparing original or revised targets against the achieved results. Results at the indicator-level were categorized as exceeded, achieved or not met. In order to calculate an outcome-level result, the individual indicator results falling within each outcome theme were averaged. Table 3 provides a summary of this analysis across all Windows while Annex 6 gives a full breakdown by Window.

Table 3: Summary of PHRD TA performance against outcome level results

Window	Outcome Theme	Outcome-Level Result
Windows I & IV – TICAD IV & TICAD V	Improve productivity of smallholder farmers	Achieved
	Increase value of exported agricultural products and mobilize investment in agriculture sector	Exceeded
	Expand access to modern energy services and increase renewable energy generation	Not met
Window II – Disaster Reduction & Recovery	Enhance DRM/CCA communication and information availability	Achieved
	Prepare for and/or carry out structural works for DRM/CCA	Exceeded
	Strengthen capacity of clients to mainstream DRM/CCA across institutions and policies	Achieved
	Strengthen capacity of communities to respond to disasters and climate change	Achieved
Window III – Disability & Development	Carry out structural works and awareness building activities to enhance accessibility of public infrastructure	Achieved
	Enhance resources for health and well-being available to people with disabilities	Exceeded
	Improve quality and availability of data pertaining to people with disabilities	Achieved
	Improve quality of education available to children with disabilities while reducing stigma surrounding integration of children with disabilities into mainstream schools	Achieved
	Increase access to employment opportunities for people with disabilities	Achieved

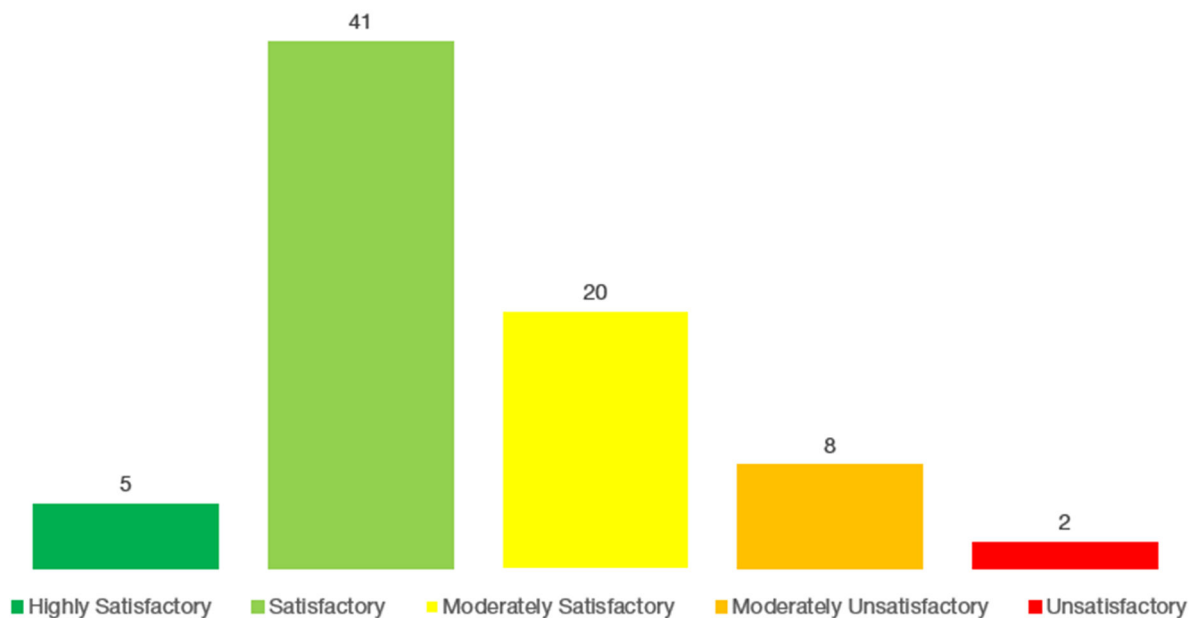
⁹ Please note not all projects in the evaluation scope had ICRs or ACSs available and thus some results are not accounted for. For projects where PHRD TA provided co-financing or additional financing to larger projects, an effort has been made to extract only PDO-level indicators that are relevant to the project components financed by PHRD. However, ICRs for projects with multiple sources of financing vary in the level of detail provided and thus some indicators may be included that were not directly tied to PHRD funding.

Window V – Universal Health Coverage	Develop government policies and plans geared towards achieving Universal Health Coverage	Achieved
	Enhance preparedness of government to respond to pandemics and other disasters	Achieved
	Mobilize domestic resources for health care	Exceeded
	Strengthen health information and data systems	Achieved
Window VI – PRIME	Enhance M&E capacity of clients to strengthen systems for health services	Achieved
	Enhance M&E capacity of clients to support better formulation and implementation of agricultural policies	Exceeded

What this analysis suggests is that across all the Windows PHRD TA has been successful in contributing effectively to outcome level change and meeting its objectives. Only in Rural Energy does it look as though outcome level results have been lower than anticipated. It is important to recognize that this analysis has had to make certain assumptions into how indicators and outcome areas are grouped and synthesized, though the team believe it is sufficiently robust to provide a valid and useful assessment.

To triangulate this assessment the team have also undertaken an assessment of the World Bank project development effectiveness ratings. **Error! Reference source not found.** shows the aggregate figures by rating (the Bank uses a 5-point scale ranging from unsatisfactory to highly satisfactory), **Error! Reference source not found.** illustrates performance by Window.

Figure 6: Development Effectiveness Ratings¹⁰

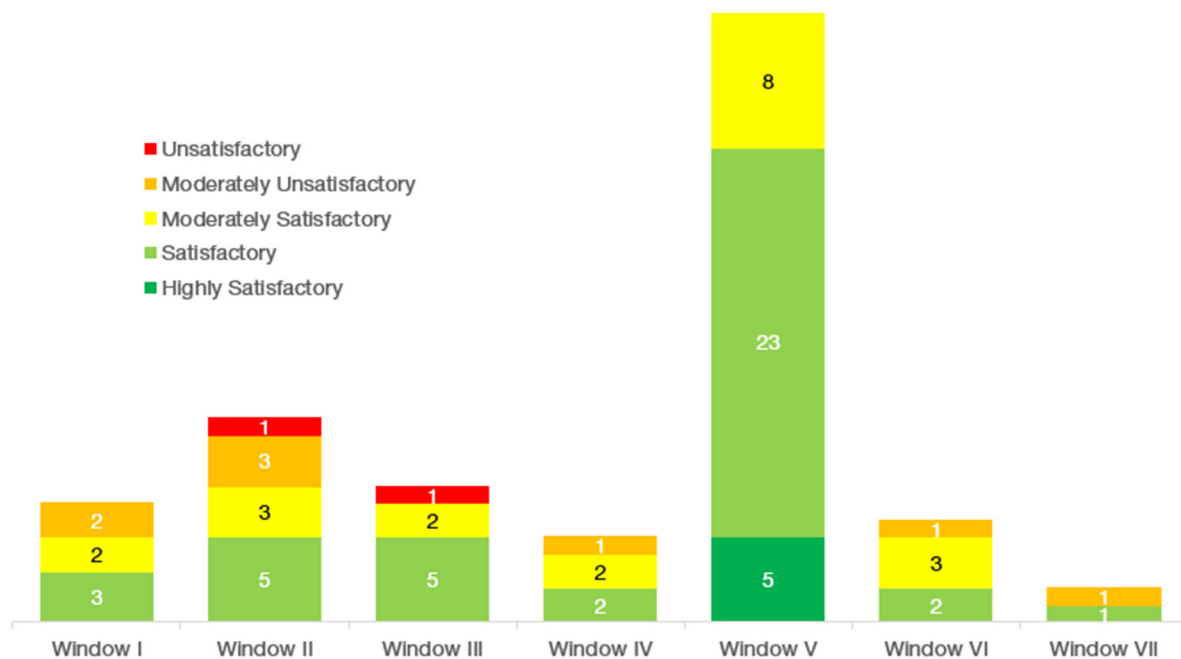


This analysis provides further evidence to suggest that the PHRD has, in the main, funded TA which has been effective. In particular, the performance of grants in Window V – Universal

¹⁰ 17 projects do not have an ICR/ACS or data within the ACS is incomplete. In these cases, data from the latest Progress Review or ISR has been used in lieu.

Health Coverage – has been impressive with 28 out of the 33 assessed being satisfactory or higher.

Figure 7: Development Effectiveness Ratings by Window¹¹



When looking at effectiveness, one aspect that became apparent was that PHRD TA grants often played a range of roles within the context of supporting systemic change. One of these roles was the support to innovation. Case Study two provides an example of this.

Deep Dive – Case Vignette 2: Effectively catalyzing innovation

The Disaster Reduction and Recovery (DRR) Window is a clear example of how PHRD TA funding can be especially effective when it is used to support and catalyze innovation. Though the Window did not have innovation as a specific objective, interviewed TTLs agreed that the emphasis of the Window on preventative risk management was relatively cutting-edge at the time of the Window’s inception. Grant funding through PHRD TA gave TTLs an accessible mechanism through which they could start a dialogue and socialize the emerging concepts with recipient governments when demand for DRM support was just beginning to grow. Further, most DRR projects blended capacity building initiatives with pilot sub-projects which enabled the development of policies and strategies for DRM/CCA, and the associated capacity required to implement them prior to piloting structural works. This project design enhanced the effectiveness of the grants as it provided an almost immediate feedback loop on how things were working in practice – allowing recipient governments testing innovative strategies and practices to generate learning in real-time.

See the separate Deep Dive Compendium for the full case vignette.

¹¹ 17 projects do not have an ICR/ACS or data within the ACS is incomplete. In these cases, data from the latest Progress Review or ISR has been used in lieu.

To what degree did the results framework inform the design of projects and to what degree has the results framework been an effective tool for monitoring and assessing results?

The vast majority of TTLs interviewed said that the PHRD results framework had not informed the design of their projects. Most interviewees – particularly those managing projects designed prior to 2016 – said they were unaware of or could not recall seeing a PHRD results framework. Only two TTLs – both in Window V - said that the framework agreed in 2016 had influenced project design. This would also suggest that the existing framework has not been an effective tool for monitoring and assessing results.

That said all projects do seem to have a clear results framework, the results of which are clearly in line with PHRD objectives. There is regular and effective monitoring of performance using World Bank systems.

To what extent have recommendations from past evaluations informed current operations?

One of the objectives of this evaluation is to assess the extent to which the recommendations from the last evaluation of the PHRD TA program undertaken in 2008 have been executed. Making this assessment has been challenging. There is very little documentary evidence that the team have seen, which outlines a clear management response to the evaluation, or a thread in later annual reports which show changes that are in response to the recommendations. None of the TTLs, DFTPR and GoJ staff interviewed were in-post at that time or could point to any clear evidence that links changes made directly to the evaluation recommendations. However, as shown in Table 4, there do seem to be some examples, where efforts made do align with the way forward suggested by the 2008 evaluation, but also recommendations on areas where there is limited evidence of any change.

Table 4: Previous evaluation recommendations and evidence of responses

Recommendation from 2008 Evaluation	Evidence of response
Recommendation 1: Socialize the concept of project preparation within the Bank	It was suggested that a Bank-wide discussion should be initiated to develop a position paper on the financing of project preparation in the Bank and to make the experience of PHRD TA more widely known to Bank investors. We have limited evidence that this paper was developed, however the 2009-2013 guidelines show a clear switch away from using the PHRD TA fund for project preparation, though it is unclear why this decision was made.
Recommendation 2: Make a strategic plan for resource allocation	It is still unclear as to the degree there is a strategic plan for resource allocation. Other than avoiding duplication with other GoJ ODA, decision making on the opening and closing of Windows, or on where funds should go to, is still quite opaque. In the 2008 guidelines there is an allocation for Project preparation, Climate Change and Cofinancing, in the 2009-2013 guidelines this allocation switches to being by Pillar (Window). Resource allocation more specifically seems to be based more on demand though at present there do seem to be regional envelopes for the UHC, though it is unclear what the process is for allocation.
Recommendation 3: Increase recognition of Japan’s support for PHRD TA	The FY2008 Policy Guidelines show a clear attempt to increase recognition of Japan’s support for PHRD TA. This does look like a response to Recommendation 4 and highlights the need for consultations with JICA and local Embassies prior to proposal

	submission and during and after implementation; publications, training, seminars and workshops to indicate Japanese funding; for the Japanese flag logo to be prominent; local and global press releases to explicitly manage the Japanese contribution; for grant signing ceremonies to include Japanese officials.
Recommendation 4: Allow limited flexibility to criteria for proposed projects	There has clearly been a lot of thought given to the relative levels of flexibility for grant criteria and these do seem to become more flexible in the 2009-2013 with the advent of the pillars a broadening of the type of grants that are allowed.
Recommendation 5: Increase efficiency of grant approval process	As outlined later in section 4.3 concerning recommendation 5, there continues to be a range of views on the relative efficiency of grant approval processes, and the need to balance efficiency with effective governance and oversight. This has clearly been an area of discussion since the 2007 evaluation.
Recommendation 6: Strengthen monitoring and evaluation of grants	It is not clear that monitoring and evaluation was significantly strengthened following the 2007/evaluation. There was no significant shift in the guidelines in either 2008 or for 2009-2013. To some degree it makes sense to continue to use World Bank performance management systems and reporting. There does not seem to have been an increase in projects being evaluated...

Those TTLs interviewed who were involved in project design all noted that the design was influenced by lessons learned from previous projects, though none mentioned formal evaluations. This seemed to be a reflection of Bank culture/ways of working as only a small number of projects are actually evaluated but all ICRs and ACS require TTLs to identify lessons and all project proposals need to consider lessons from other projects that have taken place in the country and in similar sectors elsewhere.

What were the critical success factors for PHRD projects to achieve results?

The evaluation team extracted almost 180 findings from the available ICRs¹² to identify the key factors which have influenced the performance of PHRD TA projects. Using extracted findings from two ICR sections (Key Factors Affecting Implementation/Outcomes and Lessons Learned), we grouped the findings first by theme and subsequently by category (strength, challenge, or opportunity). Clustering findings by category highlights which themes came up most often within each category.

- Of the 107 findings identified as strengths, the two that came up the most often were recipient country leadership, ownership and buy-in (15% of strengths) and stakeholder coordination (18%).
- Of the 43 findings identified as challenges, limited data availability and poor project management each accounted for 16% of challenges.
- Of the 28 findings identified as opportunities, recipient capacity building came up the most often (39% of opportunities).

Recipient country leadership, ownership and buy-in is a strength: Findings highlight that strong commitment and ownership by the recipient government is especially important when project implementation coincides with transitions in leadership as buy-in at highest levels ensures project remains relevant and prioritized regardless of who specifically is leading the various ministries.

¹² 56 projects have ICRs available

Deep Dive – Case Vignette 3: Critical factors for success

While dispersed geographically – Europe and Central Asia, Latin America and the Caribbean, Middle East and North Africa, West Africa, and South Asia – the eight projects in the Disability and Development Window shared one key commonality. Projects succeeded when they were aligned with the priorities of recipient national governments and supported by commitment and resources and failed (in one case) when they were not. In several projects, government buy-in grew as project implementation progressed and the PHRD TA grants demonstrated the feasibility and importance of investing in the accessibility and inclusivity of public goods for people with disabilities. Evidence demonstrates that the projects were able to generate further support from recipient governments in these areas – resulting in policy changes and domestic investment in programs and infrastructure improvements.

See the separate Deep Dive Compendium for the full case vignette.

Stakeholder coordination as a strength: Bank-supported coordination and dialogue facilitation amongst implementing ministries was seen as a key success factor across projects, especially in cases where ministries did not have a track record of collaboration. The Bank’s role in optimizing overlaps with other donors to align activities and mobilize additional resources was also seen as important.

Data availability as a challenge: The lack of (or outdated) survey data, needs assessments and sectoral studies was identified as a persistent challenge for Bank teams. In cases where potentially useful data existed, siloed data ownership and barriers to data sharing amongst ministries posed challenges.

Project management as a challenge: Implementing ministries responsible for project managing PHRD TA projects were seen to struggle with several key tasks including budget management, understanding the Bank’s fiduciary requirements, organizing and activating project management units, and defining strong delegation mechanisms.

Recipient capacity building as an opportunity: Building on existing accomplishments, capacity building was identified as the biggest opportunity area for enhanced and sustained development impact going forward. Bank teams identified areas of technical expertise and procurement as two primary targets for further capacity building and encouraged the use of pilot works for hands-on learning opportunities.

Table 5 gives a breakdown of identified strengths, challenges, and opportunities.

Table 5: Strengths, challenges, and opportunities for project implementation

Finding Themes	Strength	Challenge	Opportunity	Total
Bank supervision	8	1	1	10
Beneficiary/local staff engagement	11			11
Civil society/private sector engagement	3	1		4
Data availability		7	2	9
Data generation	4	1	2	7
Engagement with Japan	1			1
Flexibility	9	1	1	11
Funding arrangement	3	1	2	6
Monitoring and evaluation		3		3
Procurement	3	4		7
Project design	14	5	3	22
Project length	3	1		4
Project management	7	7	1	15

Recipient buy-in	16	2	2	20
Recipient capacity building	6	4	11	21
Stakeholder coordination	19	5	3	27
Grand Total	107	43	28	178

Interview data from TTLs in general supports these findings in particular the need for commitment, buy in and leadership from recipient government and other key stakeholders. Other key critical success factors noted were the ability for projects to be flexible with resources and adapt where necessary; the importance of achieving early success, particularly in challenging environments where evidence that things could be achieved increased confidence in the overall project; really understanding the context, often through having a presence on the ground, and having strong sectoral knowledge; and the benefit of studies which provided evidence and therefore confidence in implementation

To what extent has the visibility of Japan in the use of the PHRD funds been secured? (e.g. publicity of Japanese assistance to the recipient countries; involvement of Japanese stakeholders such as embassies, aid agencies, and consultants)

The visibility of Japanese involvement and its funding of the PHRD has clearly been a priority for the GoJ. The FY 2008 PHRD guidelines outline the following mechanisms for highlighting Japanese visibility:

- *‘Publications, training programs, seminars and workshops financed by PHRD grants should clearly indicate that the activities in question have received funding from the Government of Japan;*
- *The logo (usually the Japanese national flag) should be used in publications financed by the PHRD program, and in banners and any other materials used in seminars and training programs financed by PHRD grants;*
- *All press releases issued by the Bank with respect to PHRD grants should refer to the financial contribution from the Government of Japan;*
- *Recipients should be encouraged to ensure that PHRD-financed activities are well covered by local print and electronic media, and that all related publicity materials, official notices, reports and publications explicitly acknowledge Japan as the source of funding received;*
- *Grant signing ceremonies in the field should be encouraged, with the Recipients being encouraged to include Japanese embassy officials and to invite local and international press to these ceremonies.*
- *Informing Country Directors of the importance of signing ceremonies to Japanese officials and the public to ensure recognition and support for PHRD funding;*
- *Continuing widespread distribution of the PHRD Annual Report, inclusion of PHRD information in relevant Bank documents, and occasional information sessions for Japanese organizations.’*

There are also expectations – as outlined in the grant approval processes – that JICA and the country Embassy will be consulted prior to proposal submission and that progress and outcomes will be shared with them throughout the lifetime of the project. There is also an expectation that Japanese consultants will be used where possible as part of the provision of TA.

In interviews with TTLs it was evident that the expectations for highlighting Japan's support had been clear to them and that conscious efforts were made to promote Japan's role in supporting TA grants. Given the scope and timing of the evaluation the team are unable to verify to what degree efforts to make Japan's support more visible were successful, either in recipient countries, or for a domestic audience in Japan. TTLs though did have a range of comments on the nature of Japanese engagement and the contribution it made to delivering effective project outcomes.

Japanese engagement and value add was in general seen as greater in countries where Japan had a presence on the ground and there were individuals (either in the Embassy or in JICA) who had technical and/or sectoral knowledge and a real interest and understanding of what the project was trying to achieve. This engagement was amplified when there was strong political interest. This often enabled strong collaboration with Japanese institutions and allowed TTLs to utilize Japan's network and convening power with Ministries and other stakeholders. The TTLs that commented felt it was these types of professional engagement that were the most effective way of illustrating Japan's added value and increasing Japanese visibility. There were two examples though where, due to the PHRD grant being aligned to the objectives and thematic priorities of JICA where TTLs felt there was some resistance to engaging with them as they perceived Japanese officials felt that the project should have been part of their bilateral program.

The level and type of Japanese engagement and interest in being visible and engaged was mixed. It ranged from TTLs getting little if any response from Embassies, so no Japanese presence at meetings or opening/signing ceremonies through to close working relationships and involvement with Japanese officials at all stages of project design, approval and completion. The key factor reported was the degree to which Japan had a presence on the ground. Most TTLs did say they met their Japanese counterparts regularly throughout the grant implementation process but depending on their level of engagement with the project itself these meetings ranged from being short information giving on project progress, to more meaningful discussions and collaboration on strategic and operational issues where Japanese officials would provide technical inputs and advice on context/political economy. Where knowledge and interest were high all TTLs felt they benefitted greatly from Japanese involvement.

The ability to recruit and effectively utilize Japanese technical expertise was dependent on where grants were being implemented and the thematic focus of the project. Some TTLs found recruiting Japanese expertise for PHRD grants challenging, particularly where there were language requirements other than English and in countries where Japan has only limited historical ties or engagement. Even when there were consultants available in these countries, if they had the required technical expertise they were often in high demand and so were difficult to contract.

4.3. Efficiency

To what extent has the PHRD TA program delivered results in an economic and timely way?

Based on the evidence the evaluation team has, the PHRD TA program has delivered results in an economic way, though more than half of the TTLs who responded said they required project extensions to deliver expected outputs and results. There were very mixed views as to the helpfulness of high levels of donor involvement at the project level and over the requirements for grant approval and implementation. The evidence suggests that grant approval/activation processes take longer than they need to.

Like other country governments, Japan needs to manage the expectations of internal stakeholders in the provision of development assistance and meet the demands of its own internal decision-making processes. The longevity of PHRD is important because the process of agreeing mechanisms for allocating development assistance in the Japanese parliament can be time-consuming and challenging. As an approved and well-regarded instrument PHRD provides the Government of Japan with a means of channeling funds without requiring additional parliamentary approval. To balance this, the Ministry of Finance need to show that approval processes are robust and that there is clear alignment between approved grants and Japan's development objectives. This is particularly true given, like most national governments who provide development assistance, there are often internal discussions as to the respective impact and levels of influence possible through contributing to multilateral organizations versus providing bilateral aid. The World Bank also have operating constraints and they need to balance the established ways of working they have with one of their most significant funding partners, including access to relatively flexible grant funding, with evolving trust fund processes and policies and their internal policies and norms.

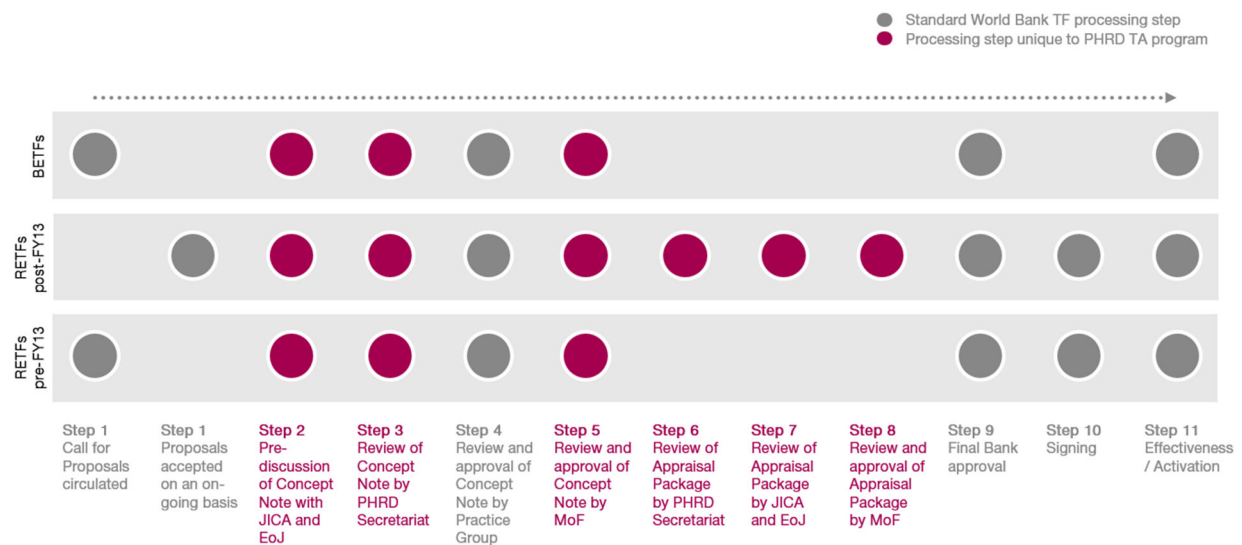
One outcome of this mutual balancing act is a set of processes for finalizing grants which are aligned but have more stages than for other trust funds. Figure 8 outlines the application process for recipient executed (RETFs¹³) and Bank executed grants (BETFs) under the PHRD TA program, it highlights the additional steps and requirements from those in the standard Bank policy for small grants.

The main areas of divergence with the Bank's standard procedures are:

- Pre-discussion of draft concept notes with JICA and EoJ (BETF and RETF)
- Review of concept note by PHRD Secretariat (BETF and RETF)
- Submission of draft concept note to MoF of Japan for approval (BETF and RETF)
- Review of final appraisal package by JICA and EoJ (RETF)
- Review of final proposal by PHRD Secretariat (RETF)
- Submission of final proposal to MoF of Japan for approval (RETF)
- Signing ceremony of grant agreement (RETF)

¹³ RETF projects initiated pre-FY13 followed a single-step approval process whereby only one set of documentation was shared with the MoF for approval. Projects initiated post-FY13 followed a two-step approval process whereby a Concept Note was first shared with the MoF for approval and then an Appraisal Package (with Project Paper as key element) was shared with the MoF at a later stage for approval.

Figure 8: Processing steps for PHRD TA grants



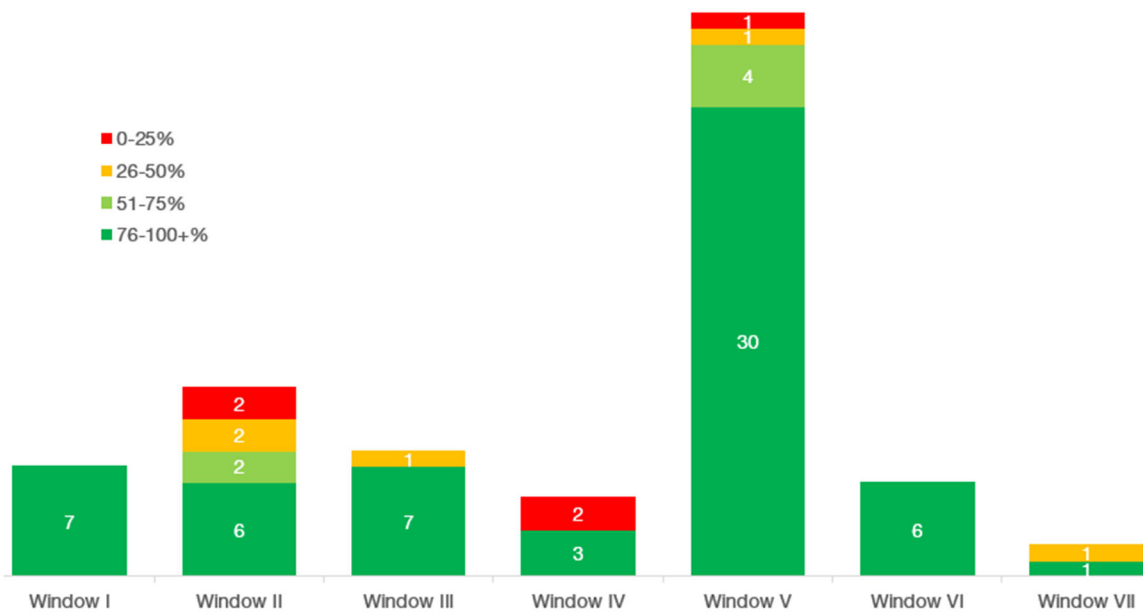
In the view of the evaluation team, it is important for Task Team Leaders (TTLs) to appreciate the contextual factors that have led to an increased number of steps, and for the Japanese government to be aware of how these additional steps might be perceived by those who wish to apply for and implement grants. As one interviewee said, for the Japanese staff the increased level of scrutiny is a way of illustrating their commitment and attention to the success of their fund, as well as managing internal stakeholder expectations that sufficient scrutiny is in place. The other side of this, as one TTL remarked, is that the level of bureaucracy may put some TTLs off from applying for grants that would be aligned to both the Bank and GoJ objectives.

Successive efforts to improve efficiency and streamline processes are not viewed by TTLs to have been successful, though TTLs in Windows I, II and III seemed much less critical of operational processes with some saying that approval processes had actually been very quick. Grant processing times have oscillated but in general remain lengthy, particularly for the Bank executed grants. TTLs particularly in Window V felt grant processing compared to other funds is burdensome and slow, adversely affecting the reputation of PHRD within the Bank.

Has the PHRD TA program been able to deliver results in an economic and timely way?

As shown in Figure 9 **disbursement rates across projects and Windows are, in general, very strong**, which suggests planned activities and results have been achieved.

Figure 9: Disbursement rates by Window¹⁴



In a high number of cases there have been delays and extensions, but these are more often due to unexpected events (e.g. COVID), increased budgets, or things out of the project team's control; though there are examples where design assumptions have not held true.

Are there any inefficiencies in current operating structures and internal procedures which can be addressed?

There are mixed views concerning the efficiencies of current operating structures. Some TTLs do not recall or identify any major concerns and feel processes are relatively straightforward. A significant number though, point out general concerns with delays and burdensome requirements.

Recipient Executed Grants

Recipient executed grants were the norm until the closure of all Windows other than the UHC, where virtually all grants are Bank executed, so include the oldest projects in the period under evaluation, some with closures that took effect a decade ago. There was a general view that the option of RE grants was very useful and valuable.

“We don’t get opportunities for recipient executed (RE) financing often ...RETF financing enabled the Bank to support the government directly, rather than carrying out research/capacity building.”

“Would not have been able to support a full-blown investment roadmap had the project been only Bank executed. Couldn’t have moved beyond pre-feasibility studies. RETF allowed Bank to support a much more comprehensive, action-oriented output.”

“That’s how we make a difference at the Bank. If you want sustainability – it happens through RETFs, not BETFs. That is how we innovate sustainably... it allows for more client ownership and buy-in.”

With regard to operating structures and procedures for the RE grants, particularly the preparation/approval phase, interviewees could only offer limited responses given staff turnovers, time lapsed and limited involvement in project design. Those that reported gave

¹⁴ 17 projects do not have an ICR/ACS or data within the ACS is incomplete. In these cases, data from the latest Progress Review or ISR has been used in lieu.

mixed views, there were examples where approvals were “very, very fast” and others where the process was seen as “heavy in terms of administrative lift” and “time consuming”. Regarding the grant implementation phase, interviewees noted that the reporting requirements were more demanding than other trust funds and that the requirement of MoF approval for restructuring slowed the process down. One TTL was quite sanguine about the time taken, seeing it as part of developing their relationship with the Japanese partners and helping to build their commitment and influence for their project.

We note that the Bank made efforts to streamline the grant processing. The donor agreed to introduce deadlines for the MoF approvals of concept notes and final proposals. The Bank also made several requests to change the two-step MoF approval to one MoF approval in RETFs, but this was not accepted by the GoJ. Based on a review of documentation, the various steps and length of time each took for recipient executed grants is shown in Figures 10 and 11.

Figure 10: Processing timelines of pre-FY13 RETFs¹⁵

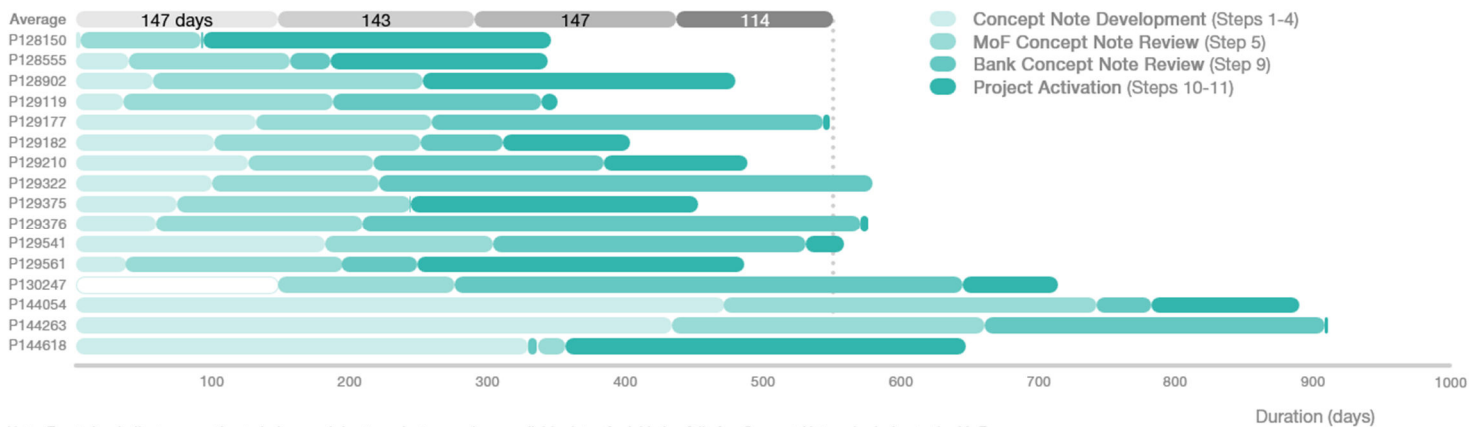
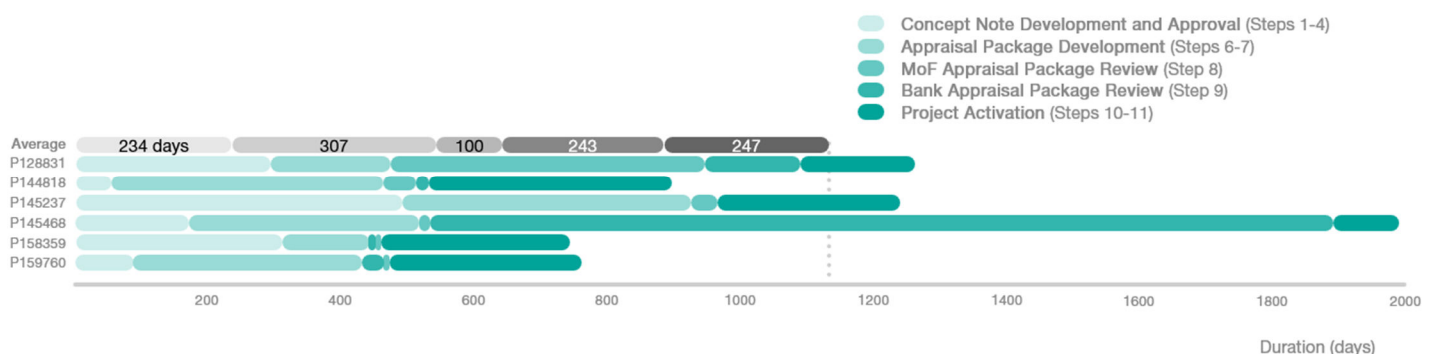


Figure 11: Processing timelines of post-FY13 RETFs¹⁶



It is perhaps not appropriate, given the uniqueness of the PHRD fund to judge these against any benchmark, however the time taken does seem longer than should be necessary.

¹⁵ Sample size excludes projects linked to larger IDA/IBRD operations

¹⁶ Sample size excludes projects linked to larger IDA/IBRD operations

Bank Executed Grants

The vast majority of the UHC projects (the only active Window) are Bank executed. In fact, out of the total of 76 grants evaluated, 38 are Bank executed. Most TTLs of Bank executed grants felt PHRD TA grant procedures were more burdensome than other trust funds and resulted in significant delays. As expressed by some key informants:

“PHRD is one of the least user-friendly TFs... there was a lot of back and forth in setting up the grant...remember it being a really painful process.”

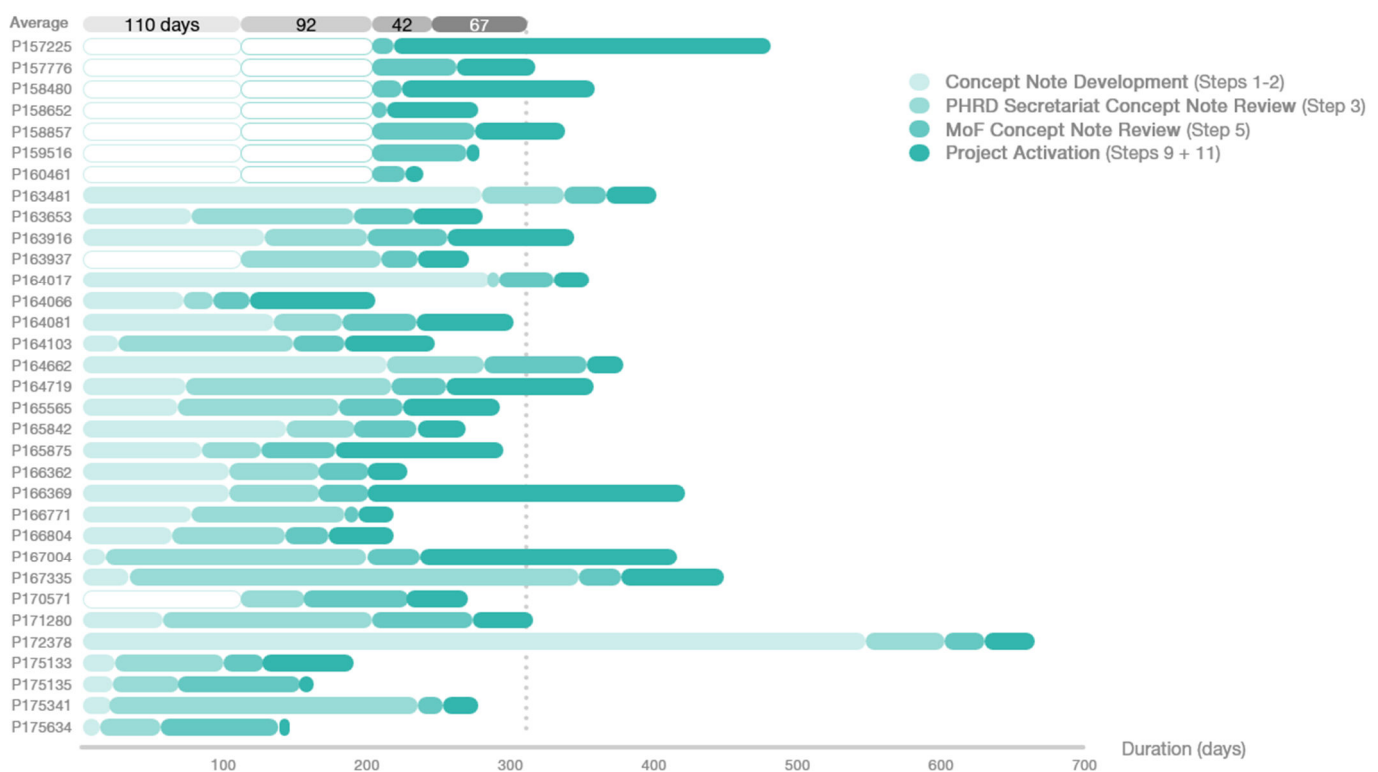
“If I had known how difficult the process would be I would not have pursued this grant.”

“The process could have been smoother and less transaction intensive.”

“Really hope that something can be done about the way that it’s managed to improve its reputation amongst TTLs.”

Interviewees felt that a significant issue were the requirements for consultations and approvals from the donor during the grant preparation and approval process. As one interviewee put it, *“I feel the government of Japan unnecessarily micromanages the PHRD”*. Many alluded to significant delays in obtaining approvals of concept notes from the MoF and in consultations with JICA and local embassies. Figure 12 provides an overview of Bank executed project approval timelines.

Figure 12: Processing timelines of BETFs¹⁷



Note: Empty bars indicate an estimate being used due to missing data for Concept Note submission to PHRD Secretariat or instances where available dates for initiation fall after Concept Note submission to PHRD Secretariat

¹⁷ Sample size excludes projects classified as ‘PASA Main Tasks’

Other inefficiencies and limitations raised included¹⁸:

- **The process for restructuring grants being too cumbersome.** Interviewees found the requirement to write a restructuring paper excessive and the approval of MoF unnecessary. Further, some noted that the requirement of detailed cost tables at the project approval stage is challenging and sometimes leads to a cumbersome restructuring.
- **The cap on costs for Bank staff time was too limiting and forced team leaders to rely more heavily than they should on external consultants.** As one project team noted, “the cap on Bank staff time and travel...posed a challenge for the team since facilitating consensus among multiple sectors and stakeholders...requires substantial time”.
- **An inability to finance overseas study tours or educational exchanges limited the range of capacity building instruments available for TA.** Whilst understanding why these are often discouraged some TTLs noted that in the right settings and context they can add value alongside other interventions.

A point made by a number of TTLs concerned their appreciation of the support they received from the PHRD team. They were seen as playing an important role and provided timely guidance and support on application processes. In particular they noted the added value of having secretariat members who had experience of ‘being on the other side’ so knew the realities that TTLs have to balance and what their priorities and constraints might be.

How well do PHRD management mechanisms coordinate with Global Practice Teams?

Given that Window V is the only current operational Window the evaluation team have only really been able to consider the relationship between the Health, Nutrition and Population Global Practice and PHRD management processes.

In interviews with TTLs, Global Practice representatives and DFTPR staff all were positive about the relationship and the HNP Global Practice team were very positive about the UHC Window. One key issue discussed was the way that PHRD TA funds were allocated. The team’s understanding is that during the annual consultation the MoF shares allocation amounts for TA and other programs based on their budget cycle. Once the amount is confirmed, HNP Global Practice UHC team decides how much to allocate between TA and other programs in coordination with the human development practice group representative from Japan’s Executive Directors office. In the latest UHC call for proposals, there was high demand with more proposals than available funds. Proposals were shared with regional practice managers to get their input on technical quality and alignment with GP priorities.

From interviews with TTLs from previous Windows, a key point made was the attraction of recipient executed grants, as these are seen to often have greater local ownership and buy-in. One interviewee suggested the HNP Global Practice UHC team were more reticent about recipient executed grants.

Two additional points were raised:

- **There was a feeling that the PHRD TA fund could work with more Global Practice Teams and that new Windows should be considered.** Interviewees from earlier Windows were all unclear as to why they had been closed, with TTLs from Window III (Disability and Development) in particular feeling that GoJ had lost an opportunity to show leadership in an area which is often under resourced and not prioritized.

¹⁸ Please note that verbal evidence suggests several changes addressing these inefficiencies and limitations have been implemented under the UHC Window in its Phase III iteration which took place in 2020 but were not fully reflected in findings given the evaluation scope does not include any projects that closed after 2022

- Health was seen as an area where there are already multiple Funds. Though the PHRD TA focus is on health system strengthening, there is a view that this a crowded area and there may be other Japanese development priorities with opportunities for PHRD grants to add value and for Japan to take a leading role.

4.4. Sustainability

To what degree are the benefits of PHRD TA results sustainable and to what extent are they likely to continue?

It is challenging to assess to what degree PHRD TA results are sustainable because there is often a significant time lag between the project being completed and the desired changes happening. From the documentary evidence and interviews held it is clear there are good examples from earlier Windows that changes initiated will continue. The key factors for that to happen are a) the continued commitment and leadership from government and other relevant stakeholders such as Bank operations, b) no significant unexpected shifts in the enabling environment and c) and for access to resources to ensure change processes continue to receive sufficient support and funding.

As outlined in section 4.2 there is strong evidence that the PHRD TA projects have in general achieved the results that they were targeting. All but two of the TTLs interviewed felt that results that the grants they had managed would continue and had a good chance of contributing to sustainable change. There were three different models outlined to the team as to how that might happen.

Institutional strengthening through a broad range of capacity building. Underpinning this model was the provision of a range of different but coherent activities including support to specific vocational/expert learning and development; broad training programs across different ministries and stakeholder groups, provision of technical expertise, development of information/knowledge systems, partnership and network support, and the development of policy and handbooks and manuals.

Mobilizing additional funding through effective innovation and piloting. Providing evidence of what is possible by developing and testing a new approach or by transferring a successful method into a new context. Key to this the ability to set out and achieve results that are recognized and valued by those with resources to take a project to scale, whether that be Government, the Bank, another donor or (more recently) the private sector.

Developing a road map for a future change. TTLs highlighted the importance of not just achieving a set of outputs through TA grants but also through contributing to planning and visioning what should come next, what resources are required for these changes to happen and the stakeholders who need to be engaged.

What evidence is there of sustainable changes being facilitated by PHRD TA?

It can be challenging to gather evidence of sustainable change given that there is often a significant time lag between TA projects being completed and the outcome level changes they are contributing to be measurable and show signs of being durable. Given the scope of this evaluation, which includes projects that have been finished for many years, there has been a limited opportunity to look back and to track whether envisaged changes have been sustained. However, Case Vignette 4 which focuses on support to the West Africa Agricultural Programme (WAAPP) involving a series of grants in Window I does provide an example of where PHRD funded activities have led to sustainable development due to a program of institutional development.

Deep Dive – Case Vignette 4: Sustainable development

PHRD TA provided US\$35 million in grant funding for the World Bank's West Africa Agricultural Productivity Programme (WAAPP) to support Liberia, Sierra Leone, Guinea, and Côte d'Ivoire in developing their rice value chains as part of the broader regional initiative. PHRD's contribution to the WAAPP, which fell within Window I – TICAD IV, is a case illustration of PHRD funding contributing to sustainable change in two key areas. First, a core outcome of the program has been in promoting regional economic integration where barriers existed before. Through its pioneering design, wherein collaboration amongst countries was facilitated by inventive and effective implementation and oversight mechanisms at both national and regional levels, WAAPP has spurred regional integration (RI) investment initiatives not only in agriculture but also across other sectors. This approach has led to a notable expansion in the World Bank's RI portfolio in West Africa, encompassing projects such as the Regional Sahel Pastoralism Support Project (PRAPS) and the Sahel Irrigation Initiative Support Project (SIIP-PARIIS).

The second area of sustainable change is around the improvements to agricultural productivity outcomes. PHRD funding, in conjunction with other Bank funds, has contributed to increased agricultural productivity and facilitated the swifter uptake of advanced technologies. 10 years after the initial phase in 2008, more than two hundred technologies were released and adopted by almost 4.5 million producers and processors on about 4.8 million hectares. Average income increased by over 35 percent for over 7 million small farmers in the 13 recipient countries, while average yield increased by about 30 percent for the introduction of improved varieties of millet, sorghum, maize, and fonio.

See the separate Deep Dive Compendium for the full case vignette.

What factors within TA design and implementation influence sustainable change?

The key factor identified by TTLs is continued commitment, ownership, and leadership from local stakeholders, in particular government. This can be challenging given governments, and their priorities can change, and unexpected events occur. Japanese engagement in sectors/countries where they had a strong reputation and presence and/or political influence was seen to be a helpful factor in supporting longer term change effort.

Flexibility and access to sufficient resources was seen as helpful to support good design, plus a systems approach (as now central to the UHC Window) where the needs and roles of different elements of the system and their complementarity are considered.

5. Conclusions

The Policy and Human Resources Development (PHRD) Fund is now 35 years old, during this time TA provision has evolved and has been used for different things in a range of sectors in over 50 countries. This longevity and adaptability of PHRD TA illustrates its role as a central element of the partnership between the Government of Japan and the World Bank.

This evaluation has looked at a 10-year period. Based on the evidence the TA program has been effective, projects are coherent with the objectives of both World Bank and the GoJ and there are good examples of projects that have, or will have, contributed to sustainable change.

The evaluation does raise some questions though as to how priority areas for PHRD TA funding are decided, how to balance grant approval efficiency with the appropriate need for approval and oversight, and how progress and its contribution to change is systematically monitored.

From an external perspective it is unclear as to how the Government of Japan selects TA Windows and the decision-making process for closing them down. The evaluation team recognize that Japan of course has a range of development objectives and will need to balance its different support modalities both with the Bank but also bilaterally and with other multilateral agencies. There has clearly been a strategy of moving from a multi-sectoral/thematic approach with multiple Windows to one which is now just focused on strengthening health systems, though with a broad set of sub sectors. The evaluation suggests that PHRD TA funds can contribute to sustainable change in a range of ways. These include:

- **Building institutions** through the development of knowledge and skills, improving systems and structures, strengthening policy frameworks and facilitating partnerships and stakeholder coordination.
- **Catalyzing change through funding innovation** and supporting pilots or proof of concept projects which can be taken to scale.
- **Providing the basis for change in complex systems through assessments or 'diagnostic' processes** which look at issues/challenges across traditional sectoral or partnership boundaries and can lead to the development of new route maps for change.

There are opportunities for PHRD and for Japan for these processes to work in many sectors. Health is a 'crowded space' and PHRD has shown it can add value in a range of thematic areas. In terms of a future strategy, it might be beneficial for the GoJ to explicitly consider whether there are any risks in focusing PHRD TA in one sector, or whether sector concentration aids focus. It might also be useful to assess other sectors where Japan can take a leading role and where the conditions for the type of changes PHRD can instigate are in place. The evaluation evidence also suggests that Japanese visibility, engagement and added value is highest in countries and regions where Japan has a presence and influence on the ground.

Grant approval processes are the area in which the evaluation team received the most feedback and where opinions have ranged the most. Current processes are more complex than for other trust funds and this impacts the perception that some TTLs have on applying for grants. Processes could be made simpler and quicker; however, it is also important for TTLs to understand their funding client, the culture and context in which the MoF operates internally, the reputation and standing of PHRD within Japan and therefore the importance of oversight. Any change needs to be collaboratively thought through and balance these different needs respecting the different ways of doing things that each partner brings.

The PHRD TA results framework has not been extensively used over the period of the evaluation, though most grants do seem to have been effectively monitored through Bank processes and systems. It is important for the Fund to show its value add, though how this is done may be challenging given projects are often part of broader intervention strategies which have their own theories of change and performance metrics. At present annual reports only really provide examples of success, rather than report against a set of targets. The evaluation team does not see the need or value in creating a new complex results framework which goes beyond identifying a set of key objectives and high level outcome areas the Fund wishes to contribute to. Systematically assessing performance can then be done through existing systems and so allowing projects to be assessed against their own logic/terms. PHRD monitoring can then involve checking that internal processes and mechanisms are sound and indicators and data collection methods are robust. Given the range of mechanisms, for example for counting beneficiaries, aggregation is probably not best done at indicator level but done at contribution to outcome level. Performance can then be assessed by whether projects have contributed to the outcomes they identified and aggregated by theme or outcome area.

6. Recommendations

The evaluation team would like to suggest the following recommendations which apply to the PHRD TA program as it currently exists with a single Window but also recognises and appreciates that in the future there may be additional Windows.

Coherence

1. Undertake a strategic review of how priority areas/sectors for PHRD TA funding are decided, both within existing Windows but also for the possible selection of new Windows. We realize that this is currently done through annual consultations but at present the process seems quite opaque and the annual consultations themselves are quite short. A more inclusive process which engages with a wider group of GPs, and representatives from JICA/Embassies where Japan has a strong presence/leadership role and where there are opportunities/context for PHRD to help instigate/be a first mover for change. The review could also look to outline criteria for opening and closing Windows, highlight clearly where sectors/areas are not being selected due to duplication with other instruments and outline the Fund's approach to risk management.

Effectiveness

2. Review whether to revisit or look to encourage recipient executed grants going forward. The team recognize there may be a range of factors which underpin their phasing out/limited take-up, however TTLs who implemented RETFs felt they provided an opportunity for strong local ownership and commitment and added value in ways BETFs are unable to. In particular, they may be useful to fund pilot projects to effectively and efficiently test and learn in new/innovative areas.
3. Look to prioritise grants in countries/ where Japan has a strong presence or history of engaging. This seems to maximise the degree of visibility for Japan from PHRD TA grants and provides the best opportunity for Japan to add value to the projects themselves, through access to networks, consultants and technical expertise.

Efficiency

4. Review the governance and processing of grants to address issues/concerns over efficiency and to explore possibilities for flexibility. DFTPR and MoF to collectively explore alternative frameworks of decision making and modalities, recognizing the need for continued effective oversight from the Japanese Government. These may include the following:
 - a) require the Bank to submit annual work plans and indicative budgets of proposed projects to the MoF for substantive discussions and approval during annual consultations, removing the requirements for MoF approval at the project level, and consultations with JICA and local Japanese embassies at the project level (particularly in the case of Bank executed projects)
 - b) in the event of retaining MoF approvals at the project level, introduce the modality of non-objections
 - c) in the event of retaining consultations with JICA at the project level, define and agree on specific criteria for applying this requirement (i.e. local presence, expertise)

- d) discontinue the requirement of MoF approvals for grant extensions and restructurings¹⁹.

Options to streamline and simplify implementation and governance arrangements exist, though this does ask for an increased level of flexibility from the GoJ. DFTPR need to work with the MoF to ensure there is a balance between the needs of the MoF and TTLs. As part of this, the Secretariat will need to be proactive about explaining the position/requirements of MoF/Japan so that TTL expectations are calibrated appropriately.

Sustainability

5. Ensure the results framework is updated so that it provides a useful mechanism for reporting the contribution of PHRD TA to agreed outcomes. The evaluation team does not feel the framework should be overly complex, given that projects will already be reporting using World Bank processes, but it should enable DFTPR to report what contribution PHRD TA funds are making and how they are making it. The framework can provide a mechanism by which the various project contributions can be synthesized based on types of changes they are contributing to e.g. policy change, increased capacity, partnership development/collaboration, improved monitoring, knowledge development, innovation etc. It should also enable DFTPR to show where results have not been achieved as expected.

The PHRD Secretariat could take responsibility for the following tasks:

- a) updating the results framework with additional intended outcomes as Windows are introduced
- b) monitoring PHRD TA-funded projects to ensure progress is adequately tracked following standard Bank protocols
- c) aggregating outcome-level project results by Window and reporting against intended outcomes in annual reporting

¹⁹ Verbal evidence suggests the requirement of MoF approvals for grant extensions and restructurings has been removed for UHC Window in its Phase III iteration in 2020. The team do not have documentary evidence to validate this

Annex 1: Projects within the scope of the evaluation

Window	Region	Project name	Activation date	Closing date	Grant amount (USD)	Recipient executed (RE)/Bank executed (BE)
Window I – 4th Tokyo International Conference on African Development (TICAD IV)	East Africa	Tanzania – Complementary Financing for the Agriculture Sector Development Project	27/02/2012	30/09/2016	12,357,548	RE
		Mozambique – PROIRRI - Sustainable Irrigation Development for Rice Production	24/09/2012	28/09/2018	14,250,000	RE
		Madagascar - Irrigation and Watershed Management Project	16/09/2014	28/02/2018	12,053,852	RE
		South Sudan – Improving Food and Nutrition Security for Smallholder Farmers in Selected Areas - Additional Financing for Southern Sudan Emergency Food Crisis Response Project	27/04/2016	31/12/2017	2,672,083	RE
	West Africa	Sierra Leone – Project under the First Phase of the West Africa Agricultural Productivity Program (WAAPP)	27/01/2012	31/12/2016	10,000,000	RE
		Guinea – Project to Support Africa Rice Research and Productivity Development Program under WAAPP-1C	01/02/2012	31/03/2017	9,000,000	RE
		Cote D'Ivoire – Project to Support Africa Rice Research and Productivity Development Program under WAAPP-1C	30/04/2012	31/12/2016	7,780,285	RE

Window II – Disaster Reduction and Recovery	East Asia & Pacific	Lao PDR – Mainstreaming Disaster and Climate Risk Management and Investment Decisions	08/03/2012	30/01/2016	2,698,287	RE	
		Kiribati – Disaster Risk Management and Adaptation Project	29/03/2012	31/08/2017	1,803,574	RE	
		Papua New Guinea – Building a More Disaster and Climate Resilient Transport Sector	24/05/2012	30/06/2015	1,688,668	RE	
		Mongolia – Improving Disaster Risk Management	20/06/2012	30/06/2015	2,021,275	RE	
		Solomon Islands – Increasing Resilience to Climate Change and Natural Hazards	04/10/2012	23/07/2018	2,730,000	RE	
		Vanuatu – Mainstreaming Disaster Risk Reduction	16/10/2012	30/04/2017	2,725,267	RE	
		Philippines – Preparation of a Program towards Sustainable Flood Management in the Greater Metro Manila Area	26/06/2015	30/06/2021	2,647,359	RE	
		Timor Leste – Building Disaster/Climate Resilience in Communities along the Dili-Ainaro and Linked Road Corridors	28/08/2015	31/10/2018	2,552,153	RE	
	South Asia	Nepal – Pilot Program for Seismic School Safety in the Kathmandu Valley	25/07/2012	30/06/2014	35	RE	
		Pakistan – Strengthening Pakistan's Urban Disaster Response Capacity	08/08/2012	31/07/2015	3,177	RE	
		Sri Lanka – Towards a Flood Resilient Urban Environment in Metro Colombo	24/01/2013	31/01/2017	727,093	RE	
		Bhutan – Improving Resilience to Seismic Risk	31/05/2013	31/07/2017	1,285,500	RE	
	Window III – Disability and Development	Europe & Central Asia	Romania – Improved Policy-Making and Institutional Framework for Persons with Disability	15/05/2012	25/10/2017	529,372	RE
			Moldova – Integration of Children with Disabilities into Mainstream Schools	04/02/2014	31/01/2018	2,860,000	RE
		Peru – Mainstreaming Inclusive Design and Universal Mobility in Lima	31/07/2012	31/12/2017	1,895,430	RE	

	Latin America & Caribbean	Jamaica – Social and Economic Inclusion of Persons with Disabilities	19/09/2013	14/08/2018	2,693,779	RE
		Haiti – Improving Access to Social Services and Employment Opportunities for Persons with Disabilities Project	10/10/2018	30/06/2021	2,137,076	RE
	Middle East & North Africa	Morocco – Improving the Physical Accessibility of People with Limited Mobility	16/04/2012	31/01/2017	2,377,867	RE
	South Asia	India – Expanding Disability Work on Mental Disability Issues in the Tamil Nadu Empowerment and Poverty Reduction Project	02/04/2012	30/09/2016	2,743,627	RE
	West Africa	Guinea – Development of Inclusive Education	21/06/2012	31/12/2015	2,857,000	RE
Window IV – 5th Tokyo International Conference on African Development (TICAD V)	East Africa	Cameroon – Nutrition Sensitive Agriculture and Capacity Building of Small and Marginal Farmers as a Partial Cofinance of Cameroon Agriculture Investment and Market Development Project	15/06/2016	31/07/2021	2,608,503	RE
		Southern Africa – Second South West Indian Ocean Fisheries Governance and Shared Growth Project (SWIOFISH2)	11/01/2018	31/05/2022	47,138	RE
		Regional Great Lakes – AFCC2/RI-Regional Great Lakes Integrated Agriculture Development Project	25/05/2018	31/08/2020	299,942	BE
	West Africa	Niger – Nutrition-Sensitive Agriculture and Capacity Building for Small and Marginal Farmers	25/10/2018	20/06/2020	2,162,607	RE
		Mali – Rural Electrification Hybrid Systems Project Additional Financing	23/01/2020	30/09/2022	2,674,152	RE
Window V – Universal Health Coverage	East Africa	Lesotho – Integrated Health Care Delivery	20/10/2017	30/03/2020	448,025	BE
		Kenya – Health Systems Strengthening for Universal Health Coverage	13/11/2017	30/06/2021	947,584	BE

(UHC) Phases I, II and III		Sudan – Health Systems Strengthening - Improving the Delivery of Nutrition Services within Universal Health Coverage	28/12/2017	31/07/2020	471,648	BE	
		Eswatini – Strengthening Capacity in Health Financing and Hospital Governance and Management	28/12/2017	31/03/2020	450,000	BE	
		Zimbabwe – Health Financing and Human Resources for Health (HRH) Reforms TA	17/01/2018	31/12/2020	443,812	BE	
		DRC – Health Financing Reform for Universal Health Coverage (UHC)	20/03/2018	31/05/2021	447,959	BE	
		Madagascar – Universal Health Coverage Health Financing Support	05/06/2018	29/02/2020	349,934	BE	
		Malawi – Nutrition-Sensitive Service Delivery Indicators	17/07/2018	31/10/2020	342,201	BE	
		Tanzania – Enhancing Pandemic Preparedness and Response	29/08/2018	30/06/2021	262,888	BE	
		Sudan – Strengthening Pandemic Preparedness	10/09/2018	30/06/2021	490,849	BE	
	East Asia & Pacific		Philippines – Health Financing Review and Systems Strengthening	21/02/2017	30/06/2019	226,066	BE
			Vietnam – Strengthening Pandemic Preparedness	08/12/2017	21/05/2020	487,396	BE
			Vietnam – Getting More Value-for-Money / Efficiency in the Health Sector	08/12/2017	21/05/2020	499,726	BE
			Myanmar – Strengthening Pandemic Preparedness	25/01/2018	30/06/2021	466,802	BE
			Cambodia – Strengthening Progress Towards UHC and Pandemic Preparedness	10/05/2018	30/06/2021	591,525	BE
	Europe & Central Asia		Kyrgyz Republic – Universal Health Coverage (UHC)	04/08/2016	30/06/2019	469,089	BE
			Turkey – Sustainability of UHC	29/08/2017	30/04/2020	449,846	BE

		Kyrgyz Republic – Quality and Financing for UHC Resilience	26/02/2021	31/12/2022	386,165	BE
		Azerbaijan – E-Health Strategy and Claims Management System Development	22/03/2021	30/11/2022	734,896	BE
Latin America & Caribbean		Brazil – UHC - Aging and Health	01/08/2016	31/01/2019	300,528	BE
		Peru – Universal Health Coverage	21/09/2017	15/01/2020	449,744	BE
		Haiti – Universal Health Coverage and Pandemic Preparedness	16/02/2018	31/08/2022	999,384	BE
		Bolivia – Assessment of Epidemiological Surveillance System and Public Health Preparedness	23/02/2021	30/09/2022	236,152	BE
Middle East & North Africa		Egypt – Strengthening Community Health Worker Programs for Universal Health Coverage	27/01/2017	15/03/2019	477,990	BE
		Morocco – Health Sector Support to UHC	04/03/2019	31/01/2022	343,465	BE
South Asia		India – Nursing and Midwifery Skills Development and Employment Strategy	09/08/2016	29/03/2019	434,709	BE
		Afghanistan – Health Programmatic ASA	28/12/2017	30/06/2020	999,963	BE
		Nepal – Health Financing Strategy Support	04/09/2018	30/06/2020	420,405	BE
		Pakistan – (Sindh) Private Sector Engagement in Healthcare Service Provision	11/07/2019	30/11/2021	497,330	BE
West Africa		Guinea – Post Ebola HRH Strengthening	10/08/2016	31/12/2018	494,416	BE
		Guinea Bissau – Health Sector Diagnostic	03/02/2017	30/06/2019	496,185	BE
		Sierra Leone – UHC	01/12/2017	30/09/2021	999,910	BE
		Senegal – Support to Universal Health Coverage and Pandemic Preparedness	07/02/2018	28/02/2020	778,834	BE
		Ghana – Universal Health Coverage	22/03/2018	31/12/2020	994,490	BE
		Liberia – Improving Health Financing Efficiency	11/04/2018	31/08/2020	384,306	BE

		Republic of Congo – Health Financing Support for Universal Health Coverage (UHC)	03/08/2021	31/12/2022	418,230	BE
Window VI – Performance and Results with Improved Monitoring and Evaluation (PRIME)	East Africa	Kenya – Co-financing Transforming Health Systems for Universal Care Project	10/08/2016	31/05/2022	949,060	RE
		DRC – Additional Financing for the Human Development Health Systems Project	22/11/2017	31/08/2020	846,357	RE
	East Asia & Pacific	Cambodia – Health Equity and Quality Improvement Project	11/11/2016	30/06/2021	1,000,000	RE
		Vietnam – MARD M&E Capacity Building for Agricultural Restructuring Plan Implementation Project	08/01/2018	31/12/2020	1,679,558	RE
		Lao PDR – Strengthening National Health Information Systems	18/01/2018	31/12/2021	999,615	RE
	Europe & Central Asia	Armenia – Agriculture Policy Monitoring and Evaluation Capacity Building Project	24/01/2018	31/05/2022	1,126,291	RE
Window VII – Other Activities	East Africa	Kenya – Scaling up Access to Financial Services for Farmers by Leveraging Digital Technologies	04/08/2021	30/06/2022	395,426	BE
	Middle East & North Africa	Iraq – Security-Development Nexus Initiative	17/03/2020	31/12/2022	1,468,625	BE

Annex 2: Key documents

Document Name	
Previous Evaluations	
1.	PHRD Synthesis Report (2008)
2.	JSDF Independent Assessment (2023)
Annual Consultations between Government of Japan and World Bank	
3.	2010 Annual Consultation Meeting Minutes (September 16-17, 2010)
4.	2011 Annual Consultation Meeting Minutes (October 12-14, 2011)
5.	2012 Annual Consultation Meeting Minutes (December 10-11, 2012)
6.	2013 Annual Consultation Meeting Minutes (October 28-29, 2013)
7.	2014 Annual Consultation Meeting Presentation (November 17-18, 2014)
8.	2015 Annual Consultation Meeting Minutes (December 3, 2015)
9.	2016 Annual Consultation Meeting Minutes (November 17, 2016)
10.	2017 Annual Consultation Meeting Minutes (November 13-14, 2017)
11.	2018 Annual Consultation Meeting Minutes and Presentations (November 28, 2018)
12.	2020 Annual Consultation Meeting Minutes and Presentation (January 8-10, 2020)
13.	2021 Annual Consultation Meeting Notes (from HNP), Presentation, DFIVP Talking Points (April 20, 2021)
14.	2022 Annual Consultation Meeting Minutes (June 23-24, 2022)
15.	2023 Annual Consultation Flash Report (from HNP) and UHC Window Status Update Presentation (June 12, 2023)
16.	2024 Annual Consultation Talking Points (from HNP) and UHC Window Status Update Presentation (March 25-26, 2024)
PHRD Annual Reports	
17.	Annual Report for Fiscal Year 2012
18.	Annual Report for Fiscal Year 2013
19.	Annual Report for Fiscal Year 2014
20.	Annual Report for Fiscal Year 2015

21.	Annual Report for Fiscal Year 2016
22.	Annual Report for Fiscal Year 2017
23.	Annual Report for Fiscal Year 2018
24.	Annual Report for Fiscal Years 2019-2020 and Thirty Year Anniversary Report
25.	DRAFT Annual Report for Fiscal Years 2021-2022
PHRD Contractual/Administration Agreements	
26.	PHRD Fund Inception Agreement (July 1990)
27.	PHRD Fund Agreement Amendment (March 1999)
28.	PHRD Fund Agreement Amendment (June 2000)
29.	PHRD Fund Agreement Amendment (June 2004)
30.	PHRD Fund Agreement Amendment (December 2006)
31.	PHRD Fund Supplemental Arrangement (July 2016)
32.	PHRD Fund Supplemental Arrangement Amendment (September 2016)
PHRD TA Policy Documents	
33.	PHRD TA FY07 Policy Document
34.	PHRD TA FY08 Policy Document
35.	PHRD TA FY09-13 Policy Document (September 2009)
36.	PHRD TA FY09-13 Policy Document (Amended September 2010)
37.	PHRD TA FY09-13 Policy Document (Amended October 2011)
38.	PHRD TA FY09-14 Policy Document (Amended December 2012)
39.	PHRD TA FY09-15 Policy Document (Amended December 2013)
40.	PHRD TA FY15 Policy Document (Amended June 2015)
41.	PHRD TA Policy Document (Amended in FY16)
42.	PHRD TA Policy Document (Amended in FY18)
PHRD TA Window Operating Guidelines	
43.	PHRD TA Operating Guidelines – Africa Rice Research and Productivity Development (FY12)
44.	PHRD TA Operating Guidelines – Disability and Development (FY12)
45.	PHRD TA Operating Guidelines – Disaster Reduction and Recovery (FY11-15)

46.	PHRD TA Operating Guidelines – PRIME (June 2015)
47.	PHRD TA Operating Guidelines – TICAD V (April 2016)
48.	PHRD TA Operating Guidelines – UHC Phase III (August 2023)
49.	PHRD UHC Phase III Round 3 Management Structure and Monitoring Procedures (August 2023)
World Bank Trust Fund Reform and Guidance Documentation	
50.	Trust Fund Reform Brief (October 2019)
51.	Partnering with the World Bank through Trust Funds and Umbrella 2.0 Programs, A Guide for Development Partners (October 2023)
52.	Highlights from DRAFT Guidance Note on Communications and Visibility in Umbrella 2.0 Programs (October 2023)
53.	Highlights from DRAFT Guidance Note on Allocation Mechanisms (October 2023)
54.	Bank Directive/Procedure on Advisory Services and Analytics (September 2018)
PHRD TA Project Documentation by Window (summarized)	
	Window I – TICAD IV (Rice Research and Agriculture) – 99 documents
	Window II – Disaster Reduction and Recovery – 113 documents
	Window III – Disability and Development – 78 documents
	Window IV – TICAD V (Agriculture and Rural Electrification) – 91 documents
	Window V – Universal Health Coverage – 104 documents
	Window VI – PRIME – 91 documents
	Window VII – Other Activities – 8 documents

Annex 3: Evaluation matrix

Key Evaluation Question	Sub Questions	Data Sources	Key Informants	Data Collection /Analysis tools
Coherence				
1. To what extent is the PHRD TA program coherent with the strategies and objectives of the Japanese Government, the World Bank and the international community?	<ul style="list-style-type: none"> i. How well do PHRD TA priorities align with priorities of the World Bank and the international community? ii. What are the criteria for selecting/closing thematic windows? 	<ul style="list-style-type: none"> • Strategic Documents/Policy Documents • Perceptions from Key Informants • Annual Reports • PHRD guidelines • Funding proposals • Project Appraisal Documents 	<ul style="list-style-type: none"> • Senior WB Management staff (GP Directors/ reps) • PHRD Staff • Japanese Government Staff 	<ul style="list-style-type: none"> • Document Review • Document Context Analysis – MaxQDA • KIs
Effectiveness				
2. To what extent has the PHRD TA program achieved its intended objectives and its results?	<ul style="list-style-type: none"> i. Have the objectives of the PHRD TA program been achieved? ii. Does the results framework lend itself to measuring these results? iii. To what extent have recommendations from past evaluations informed current operations? iv. What were the critical success factors for PHRD projects to achieve results? v. To what degree did the results framework inform project design and be used to monitor the trajectory towards results? vi. To what extent is Japan visible in the various stages of PHRD fund allocation and reporting of results? 	<ul style="list-style-type: none"> • Policy Documents • Annual Reports • Results Framework • Project Appraisal Documents • ICR documents • ISR documents • Evaluation Reports • Perceptions from Key Informants • Annual Consultations 	<ul style="list-style-type: none"> • TTLs • PHRD/Trust Fund Management • Recipient Government Officials • Implementing partners • Japanese Government Staff 	<ul style="list-style-type: none"> • KIs • Focus Groups • Emerging Findings Workshop • Document Review • Document Context Analysis - MaxQDA

		<ul style="list-style-type: none"> Recipient country documentation and media communications 		
Efficiency				
3. To what extent has the PHRD TA program delivered results in an economic and timely way?	<ul style="list-style-type: none"> Has the PHRD TA program been able to deliver results in an economic and timely way? Are there any inefficiencies in current operating structures and internal procedures which can be addressed? How well do PHRD management mechanisms coordinate with Global Practice Teams? 	<ul style="list-style-type: none"> Annual Reports Operating Guidelines Perceptions from Key Informants 	<ul style="list-style-type: none"> TTLs Recipient Government Officials Implementing partners 	<ul style="list-style-type: none"> KIs Document Review Document Context Analysis - MaxQDA
Sustainability				
4. To what degree are the benefits of PHRD TA results sustainable and to what extent are they likely continue?	<ul style="list-style-type: none"> What evidence is there of sustainable changes being facilitated by PHRD TA? What factors within TA design and implementation influence sustainable change? 	<ul style="list-style-type: none"> Annual Reports Results Framework Project Appraisal Documents ICR documents ISR documents Evaluation Reports Perceptions from Key Informants Host country strategy documentation/evaluations 	<ul style="list-style-type: none"> PHRD Staff Other WB Trust Fund staff/management TTLs Recipient Government Officials Implementing partners 	<ul style="list-style-type: none"> KIs Document Review Document Context Analysis - MaxQDA

Annex 4: List of stakeholders consulted

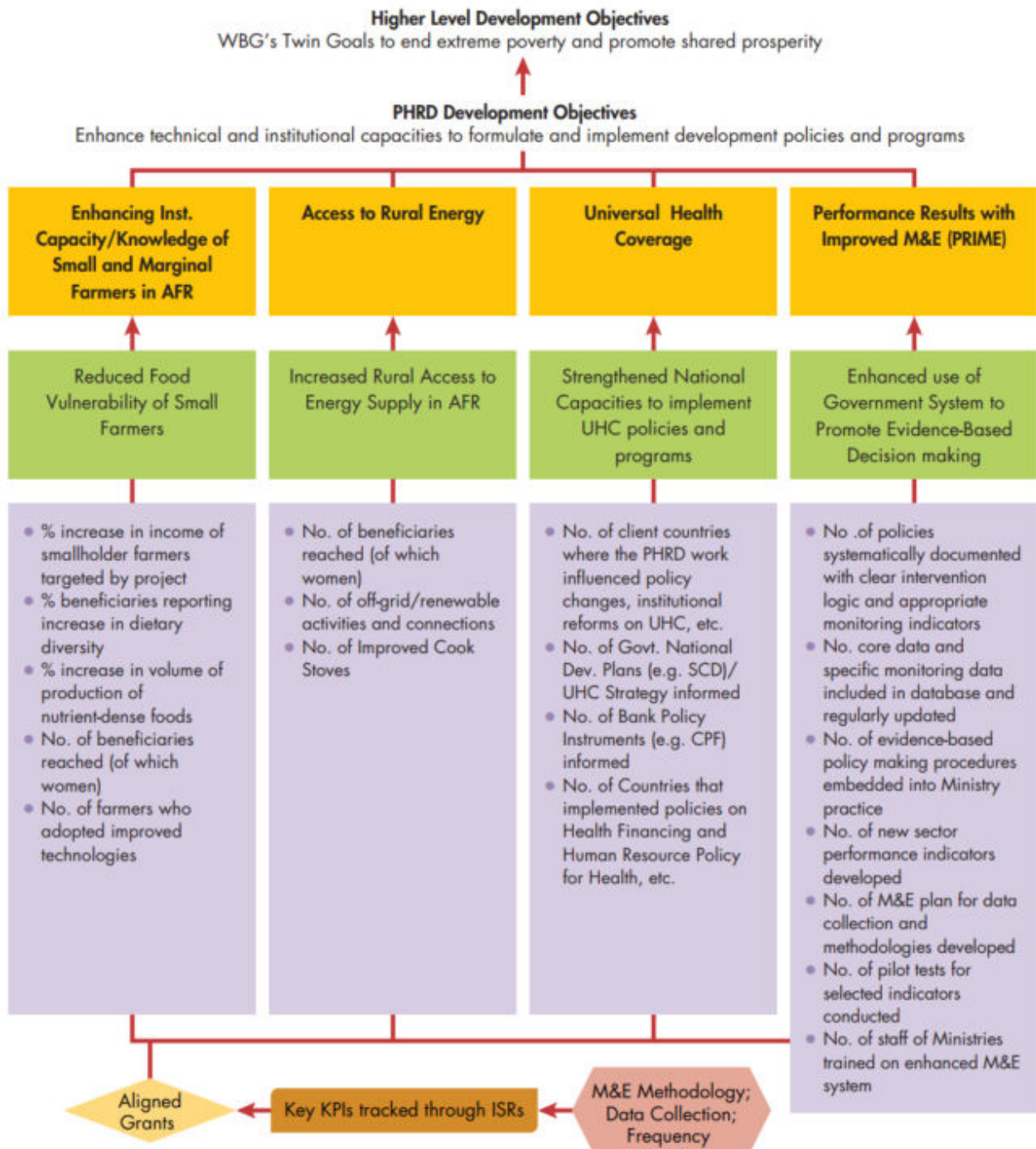
	Name	Role
World Bank, Trust Funds & Partner Relations (DFTPR)		
1.	Yolanda Azarcon	PHRD Program Manager
2.	Julie Biau	PHRD Operations Officer
3.	Brice Quesnel	Manager
4.	Maitreyi Das	Director
5.	Dirk Reinermann	Former Director
6.	Jaehyang So	Former Director
7.	Atfah Jahan Dad	Operations Officer
8.	Sajjad Ali Shah	Former PHRD Program Manager
9.	Helena Nkole	Former PHRD Program Manager
World Bank, PHRD UHC Secretariat (Health, Nutrition and Population Global Practice)		
10.	Kyoko Tokuda	Task Team Leader, PHRD UHC Partnership Window
11.	Kanako Yamashita-Allen	Task Team Leader, PHRD UHC Country Window
12.	Naoko Ohno	Task Team Leader, PHRD UHC Country Window
13.	Mazvita Zanamwe	Internal Consultant, Public Health
Government of Japan Representatives		
14.	Koji Uemura	Alternate Executive Director for Japan, World Bank
15.	Kazuhiro Mukai	Advisor to the Executive Director for Japan, World Bank
16.	Yasuaki Yoneyama	World Bank Special Representative in Japan, Ministry of Finance
World Bank, Task Team Leaders (with associated PHRD TA projects)		
17.	Ahmet Levent Yener	Turkey - Sustainability of UHC
18.	Amr Mostafa Hanafy Mohammed Elshalakani	Egypt - Strengthening Community Health Worker Programs for Universal Health Coverage
19.	Anna Olefir	Moldova - Integration of Children with Disabilities into Mainstream Schools
20.	Artessa Saldivar-Sali	Kiribati - Disaster Risk Management and Adaptation Project

		Mongolia - Improving Disaster Risk Management
21.	Asha Monifa Williams	Jamaica - Social and Economic Inclusion of Persons with Disabilities
22.	Caroline Anne Isabelle Tassot	Haiti - Improving Access to Social Services and Employment Opportunities for Persons with Disabilities Project
23.	Christel M. J. Vermeersch	Peru - Universal Health Coverage Kyrgyz Republic - Quality and Financing for UHC Resilience
24.	Denis Jean-Jacques Jordy	Solomon Islands - Increasing Resilience to Climate Change and Natural Hazards
25.	Edson Correia Araujo	Guinea Bissau - Health Sector Diagnostic
26.	Georges Bianco Darido	Peru - Mainstreaming Inclusive Design and Universal Mobility in Lima
27.	Ha Thi Hong Nguyen	Kyrgyz Republic - Universal Health Coverage (UHC)
28.	Henrike Brecht	Lao PDR - Mainstreaming Disaster and Climate Risk Management into Investment Decisions
29.	Joop Stoutjesdijk	Philippines - Preparation of a Program towards Sustainable Flood Management in the Greater Metro Manila Area
30.	Jorge A. Coarasa Bustamante	Morocco - Health Sector Support to UHC
31.	Kadir Osman Gyasi	Sierra Leone and Cote D'Ivoire - Projects under the West Africa Agricultural Productivity Program (WAAPP)
32.	Lombe Kasonde	Republic of Congo - Health Financing Support for Universal Health Coverage (UHC)
33.	Manuel Salazar	Romania - Improved Policy-Making and Institutional Framework for Persons with Disabilities
34.	Marc S. Forni	Nepal - Pilot Program for Seismic School Safety in the Kathmandu Valley
35.	Marcelo Jorge Fabre	Iraq - Security-Development Nexus Initiative
36.	Marion Jane Cros	DRC - Health Financing Reform for Universal Health Coverage (UHC)
37.	Maud Juquois	Senegal - Support to Universal Health Coverage and Pandemic Preparedness

		Madagascar - Universal Health Coverage Health Financing Support
38.	Moulay Driss Zine Eddine El Idrissi	Azerbaijan - E-Health Strategy and Claims Management System Development
39.	Omer Ramses Zang Sidjou	Lesotho - Integrated Health Care Delivery
40.	Shyam KC	Papua New Guinea - Building a More Disaster and Climate Resilient Transport Sector
41.	Tomo Morimoto	Lao PDR - Strengthening National Health Information Systems
42.	Toni Lee Kuguru	Kenya - Co-financing Transforming Health Systems for Universal Care Project
43.	Varalakshmi Vemuru	India - Expanding Work on Disability Issues in the Tamil Nadu Empowerment and Poverty Reduction Project (TNEPRP)
44.	Vinay Kumar Vutukuru	Kenya - Scaling up Access to Financial Services for Farmers by Leveraging Digital Technologies
45.	Vincent Vesin	Morocco - Improving the Physical Accessibility of People with Limited Mobility

Annex 5: Current PHRD Results Framework

FIGURE 9.3 Progress in Achieving Development Results, FY16 Pipeline Activities



Annex 6: Contribution of PHRD TA grants to outcomes

Window	Outcome Theme / Indicators	Original/Revised Target	Actual Achieved	Indicator Result	Outcome-Level Result
Windows I & IV – TICAD IV & TICAD V	Improve productivity of smallholder farmers				Achieved
	Direct project beneficiaries (Number)	4,155,903	4,277,644	Exceeded	
	Irrigation area developed (new and rehabilitated) (Hectare)	381,350	451,744	Exceeded	
	Smallholders using oxen (%)	30	24	Did not meet	
	Smallholders using tractors (%)	5	14	Exceeded	
	Farm households using improved seeds (%)	35	19.8	Did not meet	
	Farm households using fertilizers (%)	25	16.8	Did not meet	
	Farm households using improved livestock breeds (%)	5	4	Did not meet	
	Increase in proportion of agriculture production sold for rice producers (%)	75	57	Did not meet	
	Average yield increases for rice (Ton/ha)	4	3	Did not meet	
	Average cropping intensity for rice-based systems (# of Harvest/year)	1.5	1	Did not meet	

Number of households reporting an increase in the number of foods produced due to the project (Number)	1,800	4,600	Exceeded	Exceeded
Number of households that report an increased household dietary diversity (Number)	1,900	6,000	Exceeded	
Area under improved technologies - Cote d'Ivoire (Hectare)	108,000	98,150	Did not meet	
Farmers adopting improved agricultural technology (Number)	199,800	325,740	Exceeded	
Average yield per hectare in irrigated rice production in project-intervention irrigation sites (Metric ton)	4.26	4.15	Did not meet	
Farmers reached with agricultural assets or services (Number)	109,800	201,974	Exceeded	
Increase value of exported agricultural products and mobilize investment in agriculture sector				Exceeded
Ratio of processed exported agricultural products to total exported agricultural products (%)	23	27.4	Exceeded	
Flow of private funds into the agriculture sector (TZS Million) (Number)	463,000	691,000	Exceeded	
Increased volume of targeted crops sold by participating cooperatives to buyers from productive partnerships (Agro-Business)	40,600	47,017	Exceeded	Exceeded
Expand access to modern energy services and increase renewable energy generation				

	Direct project beneficiaries (Number)	1,000,800	575,469	Did not meet	
	People provided with access to electricity by household connection– rural mini-grids and off-grid (Number)	550,800	297,947	Did not meet	
	Annual generation of electricity from renewable energies (solar) (Megawatt hour)	13,000	7,103	Did not meet	
	Additional villages in priority areas accessing electricity for postharvest and value-addition activities (Number)	20	0	Did not meet	
Window II – Disaster Reduction & Recovery	Enhance DRM/CCA communication and information availability				Achieved
	Geographic Information System supporting DRR/CCA decision making (Yes/No)	Yes	Yes	Achieved	
	Improvement of information timeliness, access and awareness of tsunami vigilance system (Yes/No)	Yes	Yes	Achieved	
	Creation of a database with available information on earthquake hazard in the country (Yes/No)	Yes	Yes	Achieved	
	Prepare for and/or carry out structural works for DRM/CCA				Exceeded
	Proposals for Upper Marikina River structural measures fully designed that are sound and ready for appraisal	1	2	Exceeded	
	Proposals for an integrated flood forecasting and early warning	1	1	Achieved	

system fully designed and ready for appraisal					Achieved
Proposals for institutional arrangements for sustainable flood management acceptable to the Government and key stakeholders and ready for implementation	1		1	Achieved	
Length of coastline protected (kilometers)	1.2		1.87	Exceeded	
Volume of potable water saved through reduced leakage (kiloliters per day)	190		645	Exceeded	
Volume of potable water provided from new rainwater harvesting systems (kiloliters per day)	6.1		6.5	Exceeded	
Volume of potable water provided from new groundwater sources (kiloliters per day)	21		22	Exceeded	
People provided with access to improved water sources (number)	11,000		12,780	Exceeded	
Strengthen capacity of clients to mainstream DRM/CCA across institutions and policies					
DRR/CCA incorporated into National and Provincial planning (Yes/No)	Yes		Yes	Achieved	
Risk information and reduction measures integrated in urban planning and land-use policies (Yes/No)	Yes		Yes	Achieved	
Development of guidelines for new construction and strengthening of	Yes		Yes	Achieved	

	existing traditional buildings (Yes/No)				
	Strengthen capacity of communities to respond to disasters and climate change				Achieved
	Direct project beneficiaries (incl. female beneficiaries)	49,311	59,730	Exceeded	
	Development of structural vulnerability assessments guidelines (Yes/No)	Yes	Yes	Achieved	
	Improved CCA/DRR resilience demonstrated in infrastructure projects in selected communities (Yes/No)	Yes	Yes	Achieved	
	Public buildings retrofitted with hands-on training for local engineers (number)	4	0	Did not meet	
	Carry out structural works and awareness building activities to enhance accessibility of public infrastructure				Achieved
Window III – Disability & Development	Improvement in the accessibility and disabled-friendly quality of the walking facilities in the pilot project (Number)	1	0.5	Did not meet	
	Increased awareness among authorities about the inclusion of accessibility in urban transport infrastructure through the development and dissemination of relevant regulatory and technical knowledge (Number)	5	5	Achieved	
	Cities in Morocco that consider including accessibility in their urban transport infrastructure projects (Number)	3	4	Exceeded	

Number of urban transport interventions in Metropolitan Lima that have an inclusive design (Number)	3	2	Did not meet	
Number of mechanisms/tools developed to help the disabled community engage in infrastructure planning, implementation, and management (Number)	5	4	Did not meet	
Enhance resources for health and well-being available to people with disabilities				Exceeded
Reduction in application costs for beneficiaries by 15% compared to the current system (%)	-15	Unknown	Unknown	
At least half of the people identified with mental disability are part of self-help groups (%)	50	88	Exceeded	
At least 40% of those identified with mental disabilities have benefited from follow-up and rehabilitation services including referral services in the health system (%)	40	96	Exceeded	
Improve quality and availability of data pertaining to people with disabilities				Achieved
PwD documented in the national registry (Number)	50,000	53,784	Exceeded	
Improved, harmonized medical and functional criteria for the assessment of disability in place, applied to all persons with disabilities (PwD) (Yes/No)	Yes	No	Did not meet	
National database for persons with disabilities operating and producing regular monthly monitoring reports (Yes/No)	Yes	No	Did not meet	

Improve quality of education available to children with disabilities while reducing stigma surrounding integration of children with disabilities into mainstream schools				Achieved
Direct project beneficiaries (Number)	13,445	25	Did not meet	
Poor children (0-6 years) with disabilities in Early Stimulation Program show improved readiness for school (%)	40	47.27	Exceeded	
Number of children with mild disabilities attending schools in targeted areas increased (number)	6,225	4,601	Did not meet	
Number of teachers trained in special education programs (Number)	5,200	25	Did not meet	
Schools providing conducive learning environment for children with mild disabilities among pilot schools (%)	100	86	Did not meet	
Parents, community members, and other key stakeholders aware of the situation of children with disabilities and measures to ease access to schools (%)	600	300	Did not meet	
Decreased share of people who think that children with disabilities should not go to mainstream schools and kindergartens (%)	Decrease of baseline values (Parents – 31%; Children – 40%; Parents of children w/disabilities – 15%; Children w/ disabilities – 15%)	Parents – 22%; Children – 18%; Parents of children w/disabilities – 22%; Children w/disabilities – 28%	Achieved	
Decrease in percentage of target group that believe their school needs further infrastructure improvement for inclusion (%)	20% decrease (School directors: 95%; Teachers: 90%; Parents of children with disabilities: 100%)	School directors: 20%; Teachers: 30%; Parents of children with disabilities: 60%	Exceeded	

	Decrease in percentage of target group that believe their school needs further staff capacity development for inclusion (%)	20% decrease (School directors: 85%; Teachers: 90%; Parents of children with disabilities: 95%)	School directors: 45%; Teachers: 70%; Parents of children with disabilities: 90%	Achieved	
	Disabled children benefiting from mainstream education in pilot schools (Number)	Increase over baseline (173)	205	Exceeded	
	Increase access to employment opportunities for people with disabilities				Achieved
	Persons with disabilities who receive employment (work experience) after completing classroom training (Number)	300	384	Exceeded	
	Persons with disabilities trained under the project who have gained employment within twelve (12) months after completion of the program (%)	40	12.48	Did not meet	
	Number of PwD who participate in training and obtain certification (Number)	200	157	Did not meet	
	Number of PwD who participate in the job placement service (Number)	500	679	Exceeded	
	Percentage of PwD who participate in the job placement service who are female (%)	50	44.77	Did not meet	
	At least 30% of people with mental disability pursue a livelihood or employment (%)	30	67	Exceeded	
Window V – Universal Health Coverage	Develop government policies and plans geared towards achieving Universal Health Coverage				
	Government policy informed about opportunities for demographic	Background documents produced to inform policy	No change	Did not meet	

dividend and options to operationalize an accelerated demographic transition (Text)				
Government policy informed about options to make nutrition services available to mothers and children under five (Text)	Reports produced and disseminated	Policy reports and studies developed and disseminated	Achieved	
Government policy informed on streamlining health financing systems for delivering basic benefits package for UHC (Text)	Assessment documents produced and disseminated to inform policy	Background document to inform policy	Achieved	
Government has information to distribute resources to counties based on population size, morbidity, and equity (Number)	1	1	Achieved	
Information which could inform the development of a purchasing strategy shared (Number)	1	1	Achieved	
Incidence of financial catastrophe due to out-of-pocket payments (%)	5	16.4	Did not meet	
The government is informed on the methods to achieve efficiency in the utilization of primary health services (Text)	The Utilization of Primary Care report submitted to inform the government	No information on the tools and methods to improve efficiency in utilization of primary health services	Did not meet	
The integrated care building blocks are defined with a particular emphasis on Non-communicable Diseases (NCDs) (Text)	Integrated Care report including recommendations is submitted to the Government	Draft report prepared	Achieved	
Revision of the UHC policy based on evidence (Yes/No)	Yes	Yes	Achieved	
The Government institutes some recommendations provided through	(i) Appropriate framework/plan for achieving	The outputs of this ASA have been used by the	Achieved	

	the ASA to inform the formulation of appropriate frameworks and plans for: (i) achieving UHC, and: (ii) strengthening pandemic preparedness (Text)	UHC, using outputs from the ASA; (ii) appropriate framework/plan for pandemic preparedness, using outputs from the ASA	Ministry of Public Health and Population (MSPP) to produce the following official documents: (i) the National Community Health Strategic Plan and (ii) the National Plan for Sexual and Reproductive Health		
	Increase in coverage of essential primary care package (%)	65	69	Exceeded	
	Increase in coverage of health surveillance (%)	70	60	Did not meet	
	Morocco MOH informed of policy options to meet the financing and HRH requirements of UHC (Text)	A set of policy options to meet the requirements of UHC is discussed with the Government	A set of policy options to meet the requirements of UHC is discussed with the Government	Achieved	
	Options and recommendations developed as part of the assessments are incorporated into the government's roadmap for health financing reform (Text)	Results of assessment, roadmap, costing, and financing diagnostic integrated in government strategy	Assessment draft completed	Achieved	
	Improved contracting-out of health services and PPPs with a focus on health technology and innovations (Text)	More strategic contracting-out of health services and PPPs with a focus on health technology and innovations	More strategic contracting-out of health services and PPP options for GoS	Achieved	
	The Government drafts and approves improved policies for strategic purchasing of care by the Mandatory Health Insurance Fund (Text)	Government adopts at least one policy for an optimized benefits package, drug package, or provider payment mechanisms	The Government adopted three policies: (i) Methodology for revision of the SGBP (ii) Procedure classification for PHC procedures (iii) ADP revision methodology	Exceeded	
	Enhance preparedness of government to respond to pandemics and other disasters				Achieved

	Government informed about options on strengthening preparedness for Acute Water Borne Diseases and country emergency response operations (Text)	Reports produced and disseminated	Policy report and studies developed and disseminated	Achieved	
	Health in All Policies (HiAP) adopted by the GoSL, in particular for pandemic preparedness (Yes/No)	Yes	Yes	Achieved	
	Implementation of comprehensive Pandemic Preparedness plans (Yes/No)	Yes	Yes	Achieved	
	Pandemic response plan, with financing plan and governance framework for coordination prepared by government (Yes/No)	Yes	Yes	Achieved	
	Improved coordination and cooperation at national and sub-national levels to address epidemic outbreaks (Text)	Better coordination at national and subnational levels as seen in better functioning coordination bodies, coordinated interventions based on a multisectoral epidemic preparedness plan	Better coordination at national levels, as evidenced through seven quarterly health security coordination meetings involving multiple stakeholders	Achieved	
	Improved community engagement for health service delivery and risk preparedness and response (Text)	Improved engagement by communities for health service delivery and risk preparedness	Approved guidelines to establish and finance a functional community health service delivery platform	Achieved	
	Multisectoral pandemic preparedness plan governance framework for coordination prepared by government (Yes/No)	Yes	No	Did not meet	

Mobilize domestic resources for health care				Exceeded
Current health expenditures on primary health care (Amount (USD))	15	28	Exceeded	
Budget execution rate (%)	85	98.2	Exceeded	
Growth rate in domestically sourced current total health expenditures since baseline divided by the growth rate of GDP (%)	1.9	5.72	Exceeded	
Current country health expenditure per capita financed from domestic sources (Amount (USD))	30	21.99	Did not meet	
Increased public financing for nutrition interventions through mainstream health platforms (Text)	Public financing for nutrition interventions through mainstream health platforms increased	Government has committed US\$12 million over five years to mainstream nutrition interventions	Exceeded	
Strengthen health information and data systems				Achieved
Integration of routine and non-routine Health Information Systems (Text)	Available	Available	Achieved	
State Agency on Mandatory Health Insurance prepares and approves the claims management system implementation plan (Yes/No)	Yes	Yes	Achieved	
The Government approves legislative changes needed for e-Health system implementation based on the recommendations provided (Yes/No)	Yes	Yes	Achieved	
Enhance M&E capacity of clients to strengthen systems for health services				Achieved

Window VI – PRIME	Direct project beneficiaries (Number)	1,400,000	1,627,636	Exceeded
	Health zones in targeted areas with annual plans and reports based on improved SNIS data available on the internet (PHRD-financed areas) (%)	90	54.1	Did not meet
	Number of women who deliver with a skilled birth attendant at home or at a health facility (Number)	84,393	86,386	Exceeded
	Number of pregnant women who receive 4 Antenatal Care Contacts (Number)	78,809	84,187	Exceeded
	Number of women ages 15–49 years who are continued users of long-term methods of family planning (Number)	223,867	212,186	Did not meet
	Number of children 6–11 months who received first dose of vitamin A (Number)	140,000	90,285	Did not meet
	Children immunized with the third dose of Pentavalent (%)	84	84.8	Exceeded
	Pregnant women attending at least four ANC visits (%)	52	51.9	Achieved
	Births attended by skilled health personnel (%)	67	75.5	Exceeded
	Women between the ages of 15–49 years currently using a modern FP method (%)	52	37	Did not meet
	Inspected facilities meeting safety standards (%)	50	22	Did not meet
	Pregnant women attending ANC supplemented with IFA (%)	73	80.3	Exceeded

Reported suspected cases of COVID-19 cases investigated based on national guidelines (%)	80	100	Exceeded	
Increase in the number of health centers (HC) exceeding 60% score on the Quality Assessment of health facilities (Number)	700	1,181	Exceeded	
Enhance M&E capacity of clients to support better formulation and implementation of agricultural policies				Exceeded
Direct project beneficiaries (Number)	60	68	Exceeded	
Number of additional datasets of core data and specific monitoring data included in the database and regularly updated (Number)	8	26	Exceeded	
Number of policy tools developed and regularly applied, with staff trained in their use (Number)	4	32	Exceeded	
Number of independent policy evaluations and surveys completed (Number)	20	20	Achieved	
Measurable agricultural sector performance and ARP indicators in MARD's M&E system adopted (Yes/No)	Yes	Yes	Achieved	