



# Technical Assistance Consultants' Report

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TA4860 (TAJ)

## **Strengthening Results Management in Support of Poverty Reduction in Tajikistan**

(Financed by the Cooperation Fund in Support of Managing for Development Results and the Government of Sweden)

### **Final Report**

Prepared by:  
Myo Nyunt,  
Euan Lockie,  
Usmon Rakhmanov,  
Shohboz Asadov,  
Alikhan Kokulov,  
Tahmina Rahmatova.

For: Ministry of Economic Development and Trade, Republic of Tajikistan

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**Asian Development Bank**



## CURRENCY EQUIVALENTS

(as of February 2009)

Currency Unit	–	somoni (TJS)
TJS 1.00	=	\$0.268
\$1.00	=	TJS 3.73

## ABBREVIATIONS

ADB	–	Asian Development Bank
APR	–	Annual Progress Report on implementation and results of the Poverty Reduction Strategy
DCC	–	Donor Coordination Council
DFID	–	UK Department for International Development
DMNRDP	–	Department of Implementation Monitoring of National and Regional Development Programs
EAP	–	Executive Administration of the President
EMIS	–	Education Management Information System
EU	–	European Union
EC	–	European Commission
Goskomstat	–	State Statistical Committee
Goskominvest	–	State Committee for Investment and State Property Management
GTZ	–	German Technical Cooperation
JSC	–	Joint Steering Committee
MOE	–	Ministry of Education
MEDT	–	Ministry of Economic Development and Trade
MOF	–	Ministry of Finance
MOH	–	Ministry of Health
MOU	–	Memorandum of Understanding
MTEF	–	Medium Term Expenditure Framework
NDS	–	National Development Strategy
NDC	–	National Development Council
PIP	–	Public Investment Program
PRS	–	Poverty Reduction Strategy
PRS 2007-2009	–	The second Poverty Reduction Strategy, 2007-2009
PRS-MS	–	Poverty Reduction Strategy Monitoring System
PRSP-I	–	Poverty Reduction Strategy Paper, 2002-2006
SCIP	–	State Capital Investment Program
Sida	–	Swedish International Development Agency
TA	–	Technical Assistance
TJRM	–	ADB Tajikistan Resident Mission
Unicef	–	United Nations Children's Fund
UNDP	–	United Nations Development Programme

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## I. EXECUTIVE SUMMARY

1. This is the final consultants' report for Technical Assistance 4860 (TAJ) Strengthening Results Management in Support of Poverty Reduction in Tajikistan. The project commenced on 26 March 2007 and finished on 31 March 2009.
2. The TA has been implemented according to plan, with all planned activities and outputs delivered as envisaged in the TA Terms of Reference and refined in the TA Inception Report. However, the expected outcomes have not been fully achieved. Some key institutions have only just been put in place by the Government, notably the National Development Council (NDC), and the NDC Secretariat, and are yet to be seen fully functioning.
3. Several other aspects of the monitoring system framework are weak in their implementation. There has been only partial implementation of the Decree and Regulation of May 2008 on establishment of monitoring responsibilities in line ministries and agencies, and compliance with the monitoring system regulation framework remains weak as two key institutions – the Ministry of Finance and Committee for Investment and State Property Management – did not follow the instruction of MEDT for timely reports.
4. Although significant capacity development work has been carried out throughout the TA, there is a need for continuing assistance of this type, as a lot more remains to be done before a results culture is fully established across the Tajikistan Government and civil service.

## II. INTRODUCTION

5. This section outlines the project's Terms of Reference.

### A. Background

6. The Government of Tajikistan has endorsed a long-term National Development Strategy (NDS) to 2015 and a medium-term Poverty Reduction Strategy (PRS) 2007-2009. During the development of the NDS and the PRS, stakeholders came to the common view that monitoring and evaluation mechanisms needed strengthening at key agencies and institutions. Consequently, the monitoring and evaluation framework has been clearly outlined in the PRS. The Government requested technical assistance (TA) for results management capacity development in support of poverty reduction. The TA was designed by Asian Development Bank (ADB), European Commission (EC), Swedish International Development Agency (Sida), and the United Kingdom Department for International Development (DFID). Sida co-financed the ADB-administered TA.
7. According to the TA preparation report<sup>1</sup>, the results management systems in Tajikistan are fragmented. Progress reports for the first PRS (2002-2006) were considered analytically weak. A fully developed results management system covers not only the NDS and PRS but all aspects of the Government, including transparency and accountability of public expenditure.
8. The institutional setting for results management in Tajikistan comprises the Ministry of Economic Development and Trade (MEDT – the coordinating agency in the NDS/PRS monitoring processes), the Executive Administration of the President, and other ministries and agencies. Links between planning, budgeting, and implementation were considered weak at the time of TA design, and the processes were considered to be not clearly understood at the service delivery level. Budgeting was also fragmented, with budgeting for capital and current

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<sup>1</sup> Technical Assistance Report – Project 40513, Asian Development Bank, Manila, October 2006.

expenditures done separately. However, the Government strongly intended to address these weaknesses and, assisted by the TA, intended to develop a comprehensive results management system. The PRS 2007-2009 gives the Ministry of Economic Development and Trade responsibility to play a major role in managing and monitoring the PRS for results. It was considered necessary to strengthen the capacity of MEDT and re-orient the existing process-based approach to a results-based approach to better fulfill these responsibilities.

## **B. Objectives and scope of the TA**

9. The objective of the TA was to improve results management capacity in key agencies of the Government, specifically at the MEDT, Executive Administration of the President, and Ministry of Finance. Application by the Government of results management techniques were expected to have the following benefits: (i) clarifying objectives and priorities; (ii) creating feedback loops to policy formulation, resource allocation, and operations; and (iii) achieving greater effectiveness, efficiency, and accountability in the socioeconomic development of Tajikistan by making the PRS a powerful tool for planning and monitoring results. In addition to the design of a PRS results and monitoring framework and its application and testing in central parts of the Government, the TA also included training programs and related workshops and seminars to improve the results management capacity of government officials from key agencies.

## **C. Project description**

10. The TA outputs specified included: assessment of the results management capacity of the central Government; design of a comprehensive PRS results and monitoring framework; application and testing of the PRS results framework in key agencies of the Government; and assessment and proposal of refinements of the initial application of the framework.

11. The TA activities were to be carried out in four phases.

12. **Phase 1:** Assess the current results management capacity of the Government at the key agencies using strength, weakness, opportunity, threat (SWOT) analysis of leadership and management practices for planning, budgeting, implementing, and monitoring activities. A glossary of results-based management terms in the Russian language was also to be prepared and circulated among the stakeholders to improve wider understanding of the terminology in Tajikistan and in other Central Asian Republics. Capacity building activities were specified, including workshops, seminars, and in-house training for government officials, civil society, donors, and private sector partners to achieve a consensus and common approach to strengthening results management systems.

13. **Phase 2:** A complete results management system was to be designed, including an acceptable set of indicators complying with SMART criteria (specific, measurable, achievable, relevant, and time-bound) for monitoring and evaluation of results of the PRS. Processes for feedback and use of the monitoring information for learning and decision making were to be developed. Workshops, seminars, and on-the-job and in-house training were also to be organized for government officials, civil society, donors, and private sector partners to achieve consensus and agreement on the designed results management systems.

14. **Phase 3:** The results management system was to be implemented at the national level of government to test its usefulness. It was expected to include capacity building activities, including on-the-job and in-house training for government officials. Workshops and seminars will also be conducted for government officials, civil society, donors, and private sector partners on use of the system for learning and decision making.

15. **Phase 4:** An assessment of the results management system implementation was planned, leading to the proposal for further refinement of the various elements of the system. Capacity building activities, including workshops and seminars for government officials, civil society, donors, and private sector partners were also to be part of this Phase.

#### **D. Assumptions and risks**

16. The TA design considered key assumptions and risks: (i) Achieving improved results management capacity in key agencies of the Government requires successful TA and follow-up activities and stability among key people of the Government. (ii) The adopted PRS results and monitoring framework needs to be accepted by the Government and all major stakeholders. (iii) Better coordination among government agencies and institutions is required for successful implementation of the TA. (iv) As the results management is a new concept in Tajikistan and many other CIS countries, the Government may be slow to adopt it.

17. The TA Design and Monitoring Framework is attached at Appendix 1.

### **III. TA ACTIVITIES AND OUTPUTS**

#### **A. Assessment of results management capacity**

18. Phase 1 of the TA commenced on 26 March 2007, with the international consultants fielding in mid April.

##### **1. Assessment of results management readiness and capacity**

19. An assessment of the existing results management readiness and capacity of the Government at the central level was carried out during the first phase of the project, and reported to ADB and the Government<sup>2</sup>. The assessment comprised (i) an initial readiness assessment, mapping stakeholders and existing systems and analyzing strengths, weaknesses, opportunities and threats (SWOT); and (ii) analysis of current capabilities in poverty monitoring, coupled with a review of reporting processes and feedback into government policies and plans.

##### **a. Readiness for results-based management at the national level**

20. The TA's overall assessment was that the Government of Tajikistan at the national level was somewhat ready for results-based management approach: it could not be said to be at a high level of readiness, but neither was it entirely unready – it was in between. Capacity for results-based management at the national level was limited, but was being strengthened through a significant level of capacity development technical assistances from ADB and Sida, EC, UNDP, DFID and the World Bank.

21. The TA team structured the readiness and capacity assessment using the ADB MfDR Capacity for Results Management guide. Our assessment considered the overall readiness of the Government of Tajikistan to successfully implement results-based monitoring and evaluation, based on criteria in five categories:

- (i) commitments, norms and values for results management;
- (ii) clarity of expected results;
- (iii) linkages between objectives and planning;

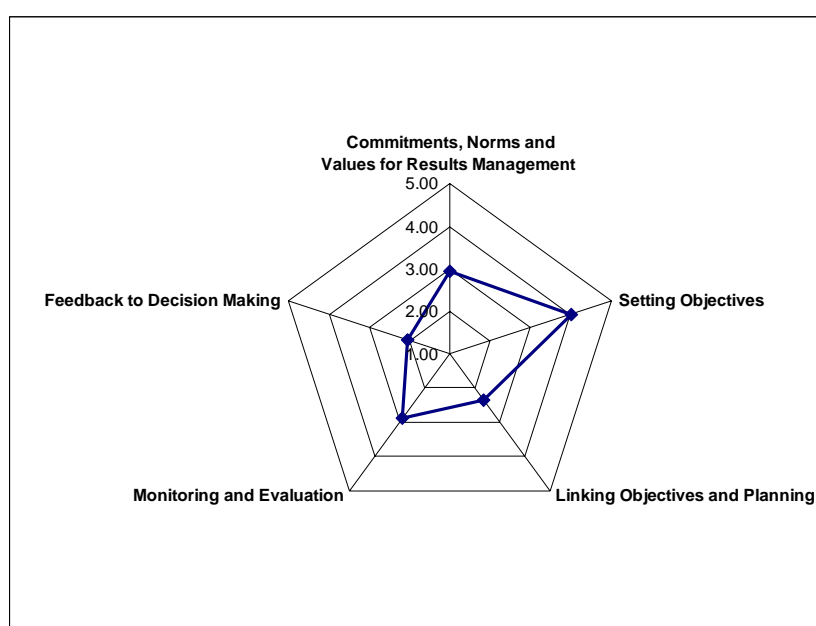
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<sup>2</sup> Results management capacity assessment, Report by TA 4860 Team, Dushanbe, August 2007.

- (iv) monitoring and evaluation information on outcomes, outputs and financial controls; and
- (v) feedback to decision making.

22. Using the questions in the ADB guide<sup>3</sup>, and based on interviews with a wide range of stakeholders, the team gave a rating for each of 83 criteria on a scale of 1 to 5, where 1 corresponds to “Not at all”; 2 “Slightly”; 3 “Somewhat”; 4 “Significantly”; 5 = “All the time, across all of government”. The ratings are grouped and summarized into the overall picture shown in Figure 1.

**Figure 1: Readiness & Capacity for Results Management – Summary**



23. Favorable aspects of readiness for results-based management at the national level included:

- Commitment had been expressed by the President of the Republic.
- Public sector reforms were progressing, including the medium term expenditure framework (MTEF) and other initiatives .
- A strong process of policy setting had resulted in clear national vision and plans in the form of the National Development Strategy (NDS) and Poverty Reduction Strategy (PRS).
- PRS 2007-2009 has been adopted as official Government strategy and supported by a regulatory framework.
- High levels of external assistance were being taken up to develop capacity for results monitoring, across multiple sectors and functions in the civil service.
- The Ministry of Economic Development and Trade (MEDT) had been officially delegated the responsibility to coordinate monitoring of the PRS and a Department within MEDT had been created for that purpose.

24. Factors unfavorable towards results-based management at the national level included:

<sup>3</sup>Asian Development Bank (2006b) “Capacity for Results Management: A Guide for Conducting a Rapid Assessment of the Capacity of Developing Member Countries to Manage for Results”, ADB, Manila

- Overall coordination of NDS and PRS implementation and monitoring had not yet been established: the institutional arrangements envisioned in Chapter 8 of PRS, the National Development Council (NDC) and the NDC Secretariat had only just been established (2<sup>nd</sup> March 2009) at the end of the TA.
- The Expert Methodological Council (EMC) was not in place at the time of this report.
- Although MEDT has been delegated the operational responsibility for PRS monitoring, there is a need for additional support from the Executive Office of the President to promote and support results-based monitoring initiatives.
- Management processes retain many features that are clearly the legacy of historical bureaucratic practices.
- Civil servants are poorly paid and suffer from lack of motivation. Instability and frequent turn-over of staff result in weak capability and lead to gaps in institutional memory.
- Results-based monitoring and evaluation capacity is insufficient in the department vested with the responsibility to monitor and evaluate development progress.
- Feedback to decision making from results monitoring and evaluation is non-existent – the process has not been established.

**b. Results monitoring capacity of the Department of Monitoring the Implementation of National and Regional Development (DMNRDP) within the Ministry of Economic Development and Trade**

25. The Department of Monitoring the Implementation of National and Regional Development (DMNRDP) was established within the Ministry of Economic Development and Trade (MEDT) in January 2007. It is comprised of two divisions, National Division and Regional Division.

26. The two Divisions of DMNRDP have differing tasks. National Division is wholly concerned with monitoring the PRS and NDS. Regional Division is concerned with planning and control of development program implementation, as well as their monitoring. The focus of the TA, as determined in the terms of reference, was the National Division. Regional Division was supported by UNDP.

27. At the time of the assessment, few systems or processes yet existed in the National Division, and it was the later work of the TA to help the division to develop and document them.

28. The TA team assessed capacity of MEDT DMNRDP staff, using two methods: (i) a survey, where staff listed their qualifications and experience and made a self-assessment of their level of knowledge about key results-based management and poverty monitoring subjects; and (ii) an activity analysis based on staff interviews and official job descriptions, which enabled a cross-check assessment of capabilities and time spent on current activities.

29. Personnel were found to have low capacity for result-based M&E, as only the senior manager has any knowledge in this area and no personnel have experience with monitoring systems. This TA supported capacity development in the division from May 2007 onwards through several series of training programs.

30. The question was also raised as to whether there was sufficient personnel within National division for the tasks required of it. It is possible that the number of personnel in National Division will be too few, if they are to be required to regularly monitor all 187 indicators listed in appendix 1 of the PRS and all 895 implementation tasks listed in the PRS Activity Matrix in appendix 2. However because of the frequent staff turnover, it was not possible to

make a reliable judgment about whether a full and stable complement of staff would be able to manage the workload.

31. There had been 50% staff turnover in the National Division in the first six months since the Department was formed at the beginning of 2007, and this was noted as a cause for concern for capacity development<sup>4</sup>.

32. A range of capacity development initiatives was recommended for DMNRDP and some were implemented in later phases of the project. They included: (i) Formal training in results-based management concepts, practices, tools and techniques; (ii) professional development of staff through job rotation, on-the-job training, higher education, study assignments, performance management and special projects; and (iii) development and documentation of new systems, (including computer-based systems), processes and procedures, and staff training in their operation.

33. The main points of the SWOT analysis of DMNRDP were:

**Strengths:**

- MEDT had been recognized by the Government as the lead agency in PRS monitoring and evaluation, and a new monitoring Department (DMNRDP) was established in January 2007.

**Weaknesses**

- MEDT DMNRDP staff expertise in monitoring and analysis of monitoring results was low at the time of the assessment.
- Work was process oriented and bureaucratic rather than analytical in nature.

**Opportunities**

- The new DMNRDP has a key role in annually reporting results of the PRS implementation and this assessment will feed into policy making.

**Threats**

- Difficulty of attracting and retaining suitably qualified and experienced staff may hamper continued development of DMNRDP capacity.

34. The initial assessment was that there was limited capacity within National Division concerning technical knowledge of key monitoring issues. Staff self-assessments revealed strong needs for training and development in:

- Surveys
- Statistics
- Performance indicators
- Program monitoring
- Program evaluation
- Poverty monitoring

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<sup>4</sup> Over the next six months regular staff turnover continued, reaching 100% for the first twelve months of National Division's operation.

## **2. Awareness and capacity building**

35. Awareness and capacity building for results management in Phase 1 of the project consisted of two parts: (i) a two-day workshop held on 28-29 June 2007; and (ii) formal training sessions for MEDT staff and staff from other ministries.

36. The first day of the June workshop involved 58 participants, including senior personnel of various ministries, government agencies and donors and NGOs concerned with poverty monitoring, to discuss policy issues and preview the following day's activities.

37. The following presentations were made:

- Characteristics of a good PRS monitoring system: ADB TA 4860.
- Indicators for PRS monitoring: ADB TA 4860
- Statistics for PRS Monitoring: State Committee for Statistics (Goskomstat)
- Sector monitoring - Education and Health – Introduction to the EC Project (EuropeAid/124271/C/SER/TJ)
- Development of MDG monitoring system on regional level in Tajikistan: UNDP
- Next Steps: MEDT DMNRDP

38. The second day involved 26 technical staff participants from ten ministries and government agencies, and was aimed to achieve consensus on a prioritized short-list of monitorable indicators, from the total list of indicators attached to the NDS and PRS 2007-2009.

39. Training by the TA team for MEDT staff on concepts and practices in results-based monitoring commenced in May 2007 and continued on a regular basis until September 2007. A second phase of training commenced in October 2007 under Phase 2 of the project. From July through December 2007, training was extended to include staff of other departments within MEDT and also to staff of other stakeholders such as Goskomstat, Ministry of Health, Ministry of Education, Ministry of Labor and Social Protection.

## **B. Design of results management system**

40. Phase 2 of the project commenced in July 2007, overlapping Phase 1 by several months.

### **1. Framework for a results-based PRS monitoring system**

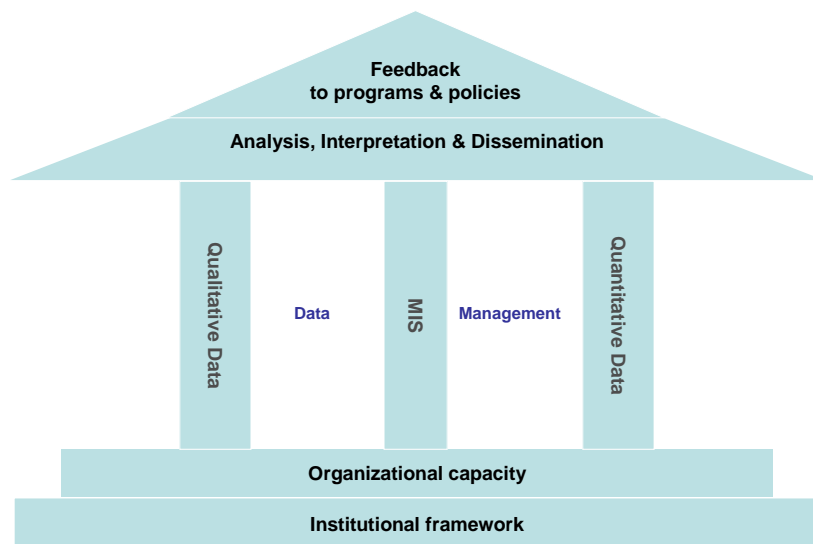
41. As part of the Poverty Reduction Strategy (PRS) initiative, countries have been developing monitoring systems with the objectives of tracking PRS implementation and its impact on poverty. Monitoring systems are central to the effective design and implementation of a PRS as they support decision making, facilitate improved policy, program and project design and implementation, foster accountability, and promote dialogue.

42. The PRS monitoring framework is made up of five elements:

1. The **institutional framework** for monitoring – the government and civil service organizations given the mandate to carry out the monitoring job, and the official laws and procedures under which they operate;
2. The **organizational capacity** for monitoring – the human and physical resources allocated to monitoring, and their collective capability;
3. **Data management**, including quantitative and qualitative data collection, collation and storage;
4. **Analysis and interpretation** of monitoring data into meaningful reports and **dissemination** of the reports to all those who need them; and
5. **Feedback** of the results into programs and policies.

43. The TA team developed a way of showing the framework visually that emphasizes the interrelationship of the elements. They fit together in a specific way, like the foundations, walls and roof of a house.

**Figure 1: PRS Monitoring Framework – ‘The House of Monitoring’**



44. The institutional framework and organizational capacity are foundation elements – without them, no system can exist. The pillars of the system are the individual elements of data management, working together to provide solid information for decision-making. Drawing on the information provided by high quality data management, full and proper analysis and interpretation can be implemented and disseminated in timely and user-friendly reports. Finally, the structure would be incomplete without appropriate action being taken by decision-makers on policies and program implementation.

45. The overall design of the monitoring system was already spelt out in the PRS itself, with the details of most elements of the framework specified in chapter 8. The work of the TA concerning system design in Phase 2 of the project was to facilitate the implementation of the overall framework specified in chapter 8. Work was done on creating a data management system for MEDT’s Department for Monitoring Implementation of the National and Regional

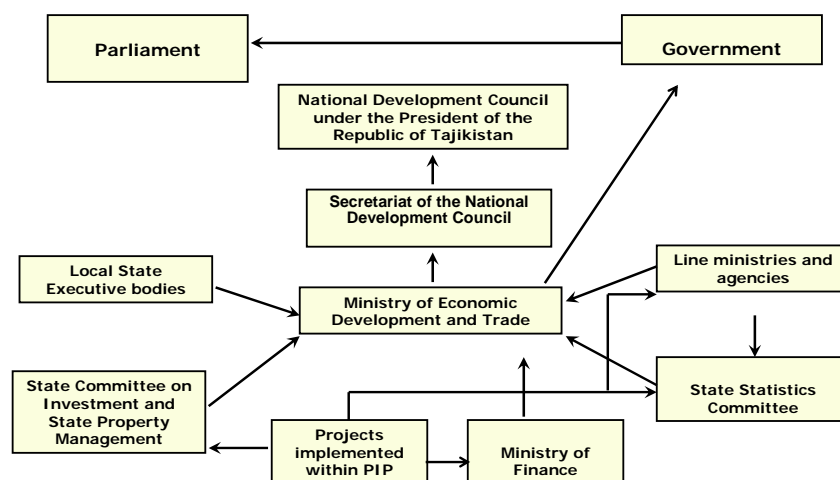
Development Programs (DMNRDP), and encouraging the implementation of institutional arrangements specified in chapter 8 of the PRS.

46. The following sections summarize arrangements outlined in chapter 8 of the PRS.

#### a. Institutional framework

47. The institutional arrangements envisaged in the PRS are shown in Figure 2 below.

**Figure 2: PRS Monitoring Institutional Arrangements<sup>5</sup>**



#### b. Organizational capacity

48. In accordance with the structure shown in Figure 2 above, in January 2007 MEDT established the Department for Monitoring Implementation of the National and Regional Development Programs (DMNRDP), with the primary responsibility for PRS and NDS monitoring, including production of the Annual Progress Report (APR) for the PRS.

49. DMNRDP consists of two Divisions, National and Regional. The National Division is charged with the overall monitoring and progress reporting at the national level, while the Regional Division's main responsibility is development of regional and local government planning systems and associated monitoring systems.

50. The National Division has an official staff complement of five, not including the Head of Department.

#### c. Data management

51. Two types of data are collected: (i) quantitative indicators data on inputs, outputs and outcomes; and (ii) qualitative data on program implementation progress.

52. Quantitative (Indicator) Data: Appendix 2 of the PRS lists 187 monitoring indicators, covering a range of data on programs at the input, output, outcome and impact level. The

<sup>5</sup> Source: Ms Zainab Kenjaeva, MEDT DMNRDP

primary source for 112 of the indicators is Goskomstat, with the remainder to be provided directly to MEDT DMNRDP by line ministries and other government agencies.

53. Qualitative data on program implementation progress: Appendix 1 of the PRS contains a list of 895 specific development activities to be implemented through the life of the plan. Line ministries are required to make quarterly and annual reports to MEDT Monitoring Department on the implementation status of activities for which they are responsible.

54. Most PRS monitoring systems are “second-tier” systems, that is, they rely to a significant extent on information from other government agencies, including routine data from line ministries or MIS within line ministries. Poverty monitoring systems are made up of a broad spectrum of activities involving numerous actors:

- Data/information producers, comprising the national statistical agency (Goskomstat) and other government and non-governmental data producers.
- Analysts, typically belonging to various government agencies and macroeconomic units or departments within various line ministries, universities, think tanks, and donors.
- Users, ranging from government decision-makers, to parliamentarians, civil society groups, the donor community and researchers.

55. Goskomstat plays a central and critical role on the ‘supply’ side of the system, and they are responsible for production of about two-thirds of the PRS indicator data.

#### **d. Analysis, Interpretation and Dissemination**

56. Information on factors relevant for sectoral analysis of progress implementation and results are required in the annual reports to MEDT Monitoring Department from each line ministry. MEDT Monitoring Department compiles a consolidated Annual Progress Report containing information on implementation progress, data on results and analyses for each sector, as well as an overall poverty analysis and outlook for achievement of the PRS goals in the medium term. MEDT Monitoring Department is to submit its reports via the Minister for Economic Development and Trade, who will then submit them to the Government and the National Development Council. After ratification by the Government and Parliament, the reports are to be released to a broader audience, including development partner organizations in the donor community, NGOs and civil society.

#### **e. Feedback to Programs and Policy**

57. The mechanism for feedback of monitoring information to programs and policy was not specifically detailed in Chapter 8 of the PRS. It presumably was expected to occur through the dissemination of the Annual Progress Report by the Government of Tajikistan, after it had received the Report officially via the NDC.

## **2. Development of computerized system module for PRS implementation monitoring**

58. The TA team started the development process for a data management module for MEDT DMNRDP by mapping existing MIS systems within the country relevant to PRS monitoring. This involved identifying user requirements and functional specifications – specifying the system requirements from a user's point of view, including the functions required to support

the user tasks, the user interfaces as well as physical, legal and organizational requirements. They also included the determination of a set of measures to evaluate the later usability of the system. In the context of IT systems, "the user" may include both end users of the system: the final users of the system (in this case National Development Council, and the system (service) providers providing the infrastructure and the service in order to make use of the system (in the case of PRS monitoring system, DMNRDP of MEDT).

59. The ADB TA team identified existing monitoring systems in the country and interviewed and discussed with technical staff of key stakeholders who operate stand-alone systems within their own agencies. System requirements often have cross-functional implications that are not known by all individual stakeholders and therefore may be often missed or incompletely defined during stakeholder discussions. These cross-functional implications can be elicited by conducting user requirements workshops.

60. Creating a PRS monitoring system is about defining relationships among the different actors in the monitoring field. The major actor for PRS monitoring is meant to be the National Development Council (NDC). The scope and effective functioning of PRS monitoring system depends on demand from policy-makers and the NDC. Hence, the TA advised the Government to put NDC in place in a timely way, as they are meant to be the end-user of the system, according to chapter 8 of the PRS. The regulation for NDC was approved by the end of December 2007. MEDT also submitted "PRS implementation Monitoring and Evaluation Rules" to the Government in February, 2008. DMNRDP of MEDT identified 18 focal points in line ministries and the Government agencies that constitute the main network system for PRS implementation monitoring and information flows.

61. An ideal PRS monitoring system would cover:

- Poverty Monitoring
- PRS Implementation Monitoring; and
- Expenditure tracking system

62. At the beginning of Phase 2, it was envisaged there would be linkages between MEDT and MIS systems of line ministries, expenditure tracking system of the Ministry of Finance, the MIS of the Aid Coordination System of Goskominvest and the poverty-monitoring MIS of Goskomstat. However this original concept of the system design was found to be not feasible, given the current state of information systems within ministries and line agencies, as well as a lack of some planned institutional arrangements:

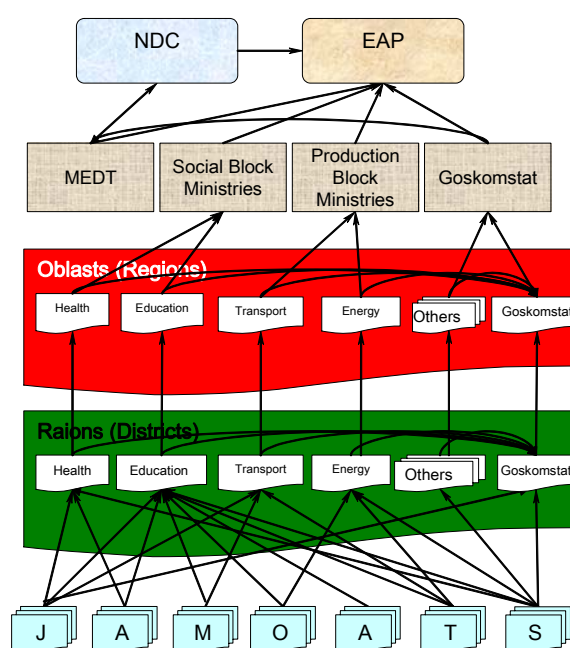
- The regulation for the National Development Council (NDC) had been approved, but the NDC was not yet established operationally;
- HMIS status – Health Management Information System (HMIS) within the Ministry of Health was at the design stage only;
- EMIS status – Educational Management of Information System (EMIS) within the Ministry of Education had been developed but was not fully functioning yet;
- DevInfo – was planned but not yet operational within Goskomstat;
- Aid Coordination and Project Monitoring System within State Investment Committee operational status was not confirmed as accessible to MEDT.

63. In summary, the challenge was that none of the MIS systems was operational to the extent that they could be linked and interfaced in the manner assumed in an integrated strategy. This arrangement may become feasible in the long term but is not practically achievable in the short term, so the TA had to develop an alternative strategy for data management as an interim arrangement aiming at supporting evidence-based and results-oriented policy making as a result of PRS monitoring.

64. The TA team therefore developed an Access database for a computerized system for use by DMNRDP for monitoring PRS implementation and results through reporting of completion of activities by line ministries and government agencies, and reporting of data for performance indicators. A PRS monitoring system should include both activities and results monitoring components and the design was intended to capture both. The database module was designed to facilitate information flows from the stakeholders to DMNRDP of MEDT.

65. The two workshops carried out in September and November 2007 identified structural functions, and vertical and horizontal communications for data flow and reporting mechanisms related to the process of PRS monitoring and evaluation within the Government of Tajikistan. According to the participants in the workshops, data and information is gathered at the level of Jamoats, Districts and Oblasts and then submitted to the National Level as shown below.

**Figure 3: Data Flows**



66. The option developed for the short-term data management system was to replace the current manual system within the monitoring and evaluation administration, with a partially computerized system. At present, much of the information is held or provided on paper forms, within the agencies responsible for the PRS Indicators and Activity Matrix.

67. The database design incorporated two main modules: (i) a stakeholder module; and (ii) DMNRDP's main database module.

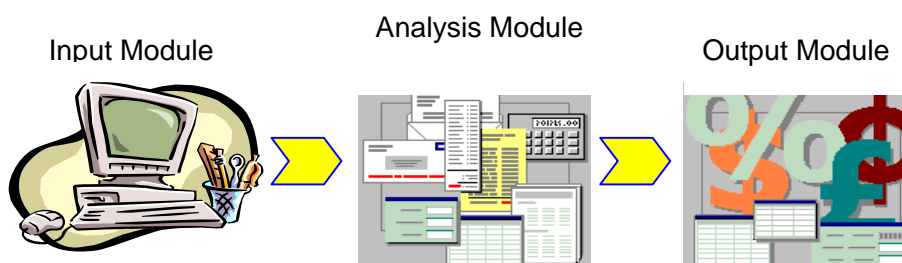
68. Stakeholders input data and information into the stakeholder module, process and make analyses at their level and generate output which in turn will be entered as input into the main system of DMNRDP of MEDT. For the import and export facilities the system is designed to interface through email. The system is able to import the information from stakeholders and export the output to the users.

69. There are various stakeholders responsible for implementation of the Activity Matrix, each focal point that DMNRDP identified was to be provided a small data base developed on

Microsoft Access by the project which is called – Stakeholder Module Database, with the specific PRS Indicators and attached/assigned measures of Activity Matrix. The database allows staff who are responsible in the relevant stakeholders to provide information about PRS Indicators and Activity Matrix measures, to enter data, view trends and deviations, print and export output to the Main Data Base – PRS Indicators and Activity Matrix Tracking Information System, which is located and managed by the staff of DMNRDP in MEDT. The advantage of creation of such small data base is that its data entry will not allow stakeholders' staff to make improper use and fill of agreed form, which will be effectively improved the system processing. After proper processing and analyzing the system will export data to NDC, who will receive Data Base Module with combined data exported from main database system in MEDT DMNRDP.

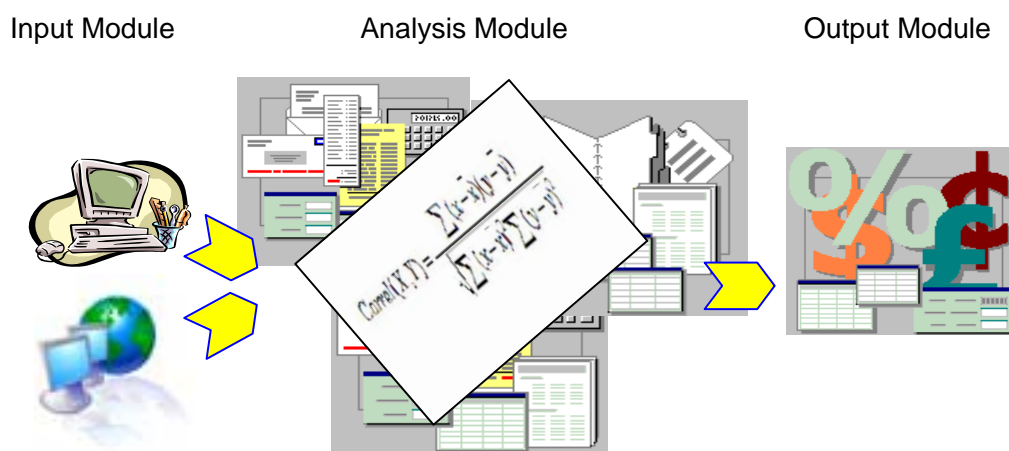
70. The Stakeholder Module Database consists of input module, analysis module and output module.

**Figure 4: Stakeholder modules**



71. The Input module enables data entry and avoiding any mistake in data input, the Analysis Module enables data processing, shows deviations trend diagram and the Output Module enables descriptive report by sector, type and priority, additionally it reports will provide information on measures of Activity Matrix details such as total needed investment, budget, foreign investment, donors involved, unmet investment need in PRS. As well Small Data Base is able to submit printed report or export them to Main Data Base System, which is created for MEDT.

72. The Main Database System for DMNRDP also consists of input module, analysis module and output module.

**Figure 5: MEDT modules**

73. Input module – enables data entry manually and enables importing data from Stakeholders Module Databases, avoiding any mistakes in data input and storing them, the Analysis Module enables data processing, statistic analysis such as regression analysis, calculating deviations and shows dynamic diagram and charts, and the Output Module enables descriptive report by sector, type, priority and organization responsible, additionally its reports will provide information on measures of Activity Matrix details such as total needed investment, budget, foreign investment, donors, unmet investment need. MEDT Main Data Base System is able to submit the printed report or export them to NDC Database, which will have similar tools and facilities created in Main Database System for MEDT DMNRDP, but data entry is different, where instead of entering data it will import them from MEDT DMNRDP Main Data Base. Finally, DMNRDP will export from its Main Data Base to End-user Data Base:

### 3. Development of monitoring indicators

74. A number of discussions were conducted with international consultants of the EC TA<sup>6</sup> on Education and Health Sectors. The Sector indicators were discussed and particular attention was drawn to the action matrix in PRS of Health and Education Sectors and its logical linkage with PRS indicators which was as a base initiated to prepare for the workshop and presentation preparation from EC side. Several meetings and workshops were attended with EC project on Health and Education indicators, however not all indicators were reviewed. The education indicators were discussed several times with EC Team and representatives of MoE. As EC informed, forms were developed for some indicators that were not currently being collected, to pilot the administrative data collection of the indicator.

75. Meetings with line ministries and government agencies revealed that they did not always have knowledge of the methodological basis of the PRS indicators within their sector.

76. A document showing the linkage of activities with indicators (activities, outputs and outcomes indicators) was developed to help the participants to understand the activity matrix and its relationship with the PRS monitoring indicators.

77. TA consultants discussed with National Division the reports received from line ministries and agencies. It was recommended that the following aspects also be considered:

<sup>6</sup> EuropeAid/124271/C/SER/TJ: Support to the Monitoring of the PRS in Tajikistan

- The compliance of activities listed on report with the official PRS document;
- To follow the numerical order according to the official document, to make it easier to import the data to a database system;
- To fill the status column as far as possible in order to have an overview of the implementation level, to enable a numerical analysis;
- To request all line ministries and agencies to follow the same format of reporting;
- As far as possible to provide the financial side of information in the reports.

78. TA consultants advised and commented on Indicator and Activity Matrix analysis for the DMNRDP staff. Regression analysis was practiced with the staffs, who were also assisted in calculation of indicators for the PRS reporting according the reporting format.

79. The TA's second workshop was held on 3-4 September 2007, on User's Requirements for the Monitoring System for the Poverty Reduction Strategy. On the first day the following presentations were made:

- "Proposed Institutional Structure for PRS Monitoring System" – MEDT
- "Best Practices for Results Monitoring Systems" – ADB TA 4860.
- "The role of State Statistical Committee within Institutional Structure for PRS Monitoring System" – Goskomstat
- "The role of State Committee for Investment and State Property within Institutional Structure for PRS Monitoring System" – Goskominvest
- "The role of MOF within Institutional Structure for PRS Monitoring System" – Ministry of Finance
- "The role of Ministry of Education within Institutional Structure for PRS Monitoring System" – Ministry of Education
- "The role of Ministry of Health within Institutional Structure for PRS Monitoring System" – Ministry of Health
- "The role of local governance in Monitoring of Poverty Reduction" – Strategic Research Center

80. On the second day, participants discussed user requirements for the data management system and charted information flows.

#### **4. Capacity development**

81. Regular training sessions for Phase 2 started in July 2007 and continued until mid-December on concepts of result-based monitoring and evaluation, data analysis and data mining, basic statistics, regression analysis and the use of statistical tools in Microsoft Excel. The training was equally divided between theory and practice.

82. The training not only introduced techniques to be used for monitoring results but also described change analysis, using the theory of change and the logic model. These link outcomes and activities to explain how and why the desired change is expected to come about. Theory of change also develops a hypothesis of why one change leads to another and is suited to long term strategy development and implementation, learning about what works in practice.

When considering PRS monitoring reports, policy makers would want to know from the analytical report if their policy is working or not. If their policy is working, how is it working? If their policy is not working, why is it not working? Where, when and how should they intervene? Is it necessary to change the strategy and/or policy?

83. At the conclusion of the training course, participants underwent a knowledge test covering all aspects of the course. On 17<sup>th</sup> December the ceremony of certification was conducted with participation of Deputy Minister Mr. Rahmonov AA, and the Head of the MDNRDP Ms Kenjaeva ZG. Five participants were considered as top performers who received Certificates of Achievement and a small prize each. Other participants received Certificates of Participation. The top student of the course was later recruited into the Division from another MEDT Department.

84. The TA team conducted its third major workshop on 29-30 November 2007, focusing on the design of the Annual Progress Report (APR) format for PRS. The following presentations were made on the first day:

- “Proposed reporting format and content for the annual PRS implementation report”: MEDT
- “Criteria and best practices of APR for poverty reduction strategy implementation”: ADB TA 4860.
- “Reporting on PRS monitoring results in Education and Health sectors: first experience”: European Commission TA (EuropeAid/124271/C/SER/TJ)
- “Monitoring poverty below the national level”: UNDP

85. On the second day participants discussed the reporting format proposed by MEDT. The reporting format has been agreed among the stakeholders related to PRS Indicators and the Activity Matrix, which was suggested by MEDT. Head of Executive Office of President sent the instruction to the line ministries (#71387(12/2-3 as of 21.12.07) to follow the agreed reporting format and forms in reporting required information to the MEDT.

86. Staff turnover in the National Division of DMNRDP continued to be a problem, with a further three staff leaving during Phase 2 of the project. Support activities to Division staff “on-the-job” also became difficult in January and February 2008 due to demands of staff’s routine work taking precedence, at a time when staff numbers were reduced due to resignations. Although the full extent of the desired training was not possible, TA consultants were able to give some assistance to Division staff advising them on questions about PRS monitoring indicators

87. The TA started new training for staff of the National Division in March 2008 on use of computers for analytical methods. The training continued until May 2008.

## **C. System implementation**

### **1. System implementation & testing**

88. Following initial design in Phase 2 of the project, the team’s Training Specialist developed and tested the Stakeholder and MEDT database modules for PRS indicators and activity matrix measures. At the July 2008 System Review Workshop (see below), copies of the stakeholder database module were distributed to 31 line ministries and government agencies, including State Committees.

89. Following the Workshop, with the cooperation of MEDT Monitoring Department staff, the Training Specialist visited line ministries and agencies and trialed integration of test data returned in database modules and tested reports from the trial database.

90. Government Administrative Instruction number 7982 (12.2-3) was issued on 17th September 2008 on "PRS Module usage", ordering ministries and agencies to report PRS monitoring data using the stakeholder module.

91. The stakeholder module was improved, based on user feedback, and a revised version distributed at the December workshop.

92. The next level of development of the MIS for PRS monitoring would be to link MEDT's database directly with Goskomstat's, based on DevInfo. Because the underlying database format is compatible between the two systems, this is not a technically demanding task. It will require a high level of cooperation between MEDT and Goskomstat, and technical effort to ensure compatibility of data between the systems. A higher level of MIS integration for PRS monitoring is possible, but not within the life span of this TA. MIS integration should be considered as a means to an end, not an end in itself. The purpose should be to improve efficiency and effectiveness of the system. For that reason, future proposals for integration of MIS for PRS monitoring should be considered if they can reduce resource consumption or personnel time in the production of useful compilations of data and analyses. Successful integration will also depend on a high level of cooperation between ministries.

## **2. System Review Workshop**

93. The TA's fourth workshop, the System Review Workshop, was held on the 10th and 11th of July 2008. The first part of the workshop enabled representatives of stakeholders responsible for the PRS monitoring to review the current system and identify requirements for further development for the clients of the system, including responsible stakeholders, users and end users.

94. The following presentations were made:

- "PRS Monitoring current status review" – MEDT
- "Proposals for the PRS monitoring system development" – ADB TA 4860
- "Presentation of Information System for PRS Monitoring" – ADB TA 4860
- "PRS monitoring system functioning practices in the education and health sectors" – EC project on sector-based monitoring of the PRS (EuropeAid/124271/C/SER/TJ)
- "Current status of aid coordination system" – Goskominvest
- "Current status of medium-term budget expenditure framework and public expenditure tracking system" – Ministry of Finance
- "Current status and implementation problems of Devinfo system" – Goskomstat

95. The second part of the workshop was aimed at engaging stakeholders involved in providing monitoring information on implementation of the Poverty Reduction Strategy. They were informed of the issues of introducing the information system for data collection and processing (information system for PRS Monitoring) in the divisions and departments of stakeholders responsible for the PRS indicators and Activity Matrix, and were each given the database module for their Ministry or agency and instructed in its use.

96. The stakeholder database module was distributed on CD on both the first and second days of the workshop. In addition to the database module, the CD contained (i) PRS and NDS documents in Tajik, Russian and English, (ii) results-based management presentations from the TA team's training series in Russian and English, (iii) information about the TA in all three languages, (iv) user instructions for the stakeholder module, (v) installation program for Tajik fonts, and (vi) installation program for Acrobat Reader.

### **3. Training and support for operation of Results-based Monitoring System**

97. Visits were made from July through November to 30 ministries and line agencies to review their operation and/or conduct training and give support on the stakeholder database module.

98. Jointly with MEDT staff, the TA Training Specialist paid visits to the Ministry of Finance, Committee on Environment, Academy of Sciences, Ministry of Justice and Public Sector Reform Project, agencies whose representatives did not attend the second day of the July Workshop, to cover instructions on usage of the database module.

99. As discussed at the July 2008 Workshop, all stakeholders were to have entered and provided data, using the stakeholder module, on PRS indicators for the period 2006-2007 and on measures implemented in 2007 from the PRS Activity Matrix, by the end of August 2008. However, the governmental Administrative Instruction on usage of the module was only adopted on 17 September 2008. By September 2008 only Goskomstat and the Agency on Land Use, Geodesy and Cartography had emailed the requested data for testing. Since then, the Ministry of Health, Ministry of Transport and Communication, the Ministry of Labor and Social Protection and the National Bank have also submitted data using the module. The Ministry of Education, the Ministry of Energy and Industry and the Public Sector Reform Project were also known to be working on preparing data.

100. When MEDT staff and the Training Specialist visited the stakeholders for training and support, on a number of occasions they found that new staff had been nominated as responsible for the stakeholder module usage, different from the staff nominated at the July 2008 Workshop. This delayed progress, requiring the Training Specialist to repeat training and support that had been delivered previously.

101. Despite attempts by MEDT staff and the TA to clarify the situation, no single unit could be definitively identified within the Ministry of Finance as being responsible for using the PRS stakeholder database module, as three different units had been allocated the task and none of them could be held responsible.

102. At Goskominvest, a unit was nominated to be responsible for PRS monitoring activity, and after the July Workshop, the TA Training Specialist trained a person in the unit. There have been two changes of responsible staff in this unit since, and no data was submitted by them. Goskominvest asked for new training.

103. Due to a re-organization of the former Ministry of Agriculture and the Environment into the Ministry of Agriculture and the Committee for the Environment, there was some confusion about responsibilities for PRS activity matrix measures and indicators.

104. On request by the Oblast to MEDT, the TA's Training Specialist conducted a mission to Gorno-Badakhshan Autonomous Oblast on 3-11 November 2008, to trial the application of the PRS database module on the regional level.

105. The TA team continued to support capacity development of MEDT Monitoring Department through advice and informal assistance, especially by the team's national consultants. The Training Specialist delivered to MEDT a training program series on using MS-Excel for data analysis.

106. The TA team provided support to development of a study tour proposal. ADB concluded an agreement with Unicef to organize this tour to Malaysia, however it was cancelled by the Government at the last minute. The study tour was re-scheduled to February 2009, when it was successfully completed.

107. The TA's Economist provided support to staff of Monitoring Department in economic and sector-based analyses during preparation of the APR 2007.

108. The TA Team Leader provided a special series of macroeconomic and poverty analyses in eleven reports to the Monitoring Department, delivered in May 2008.

109. The Results-based Sector Planning and Monitoring Expert continued preparation of an operational manual for MEDT Monitoring Department on data collection for PRS monitoring.

#### **4. Development of institutional framework**

110. A Memorandum of Understanding (MOU) with the Government was developed during a Mid-term Review Mission jointly conducted by ADB Tajikistan Resident Mission, the EC Delegation to Tajikistan, and ADB and EC TA project consultants. The MOU contained a number of alternatives for resolving the PRS monitoring system institutional issues. MEDT conveyed those alternatives to the Government and sought feedback from line ministries and Government agencies. In particular, options on the structure and function of the NDC Secretariat were canvassed. In December 2008, a letter was forwarded to the Office of the President by MEDT proposing a list of membership of the NDC, and proposing location of the NDC Secretariat in a unit within the Office of the President.

111. The TA team researched comparisons on institutional structures for implementation management and monitoring of Poverty Reduction Strategies (or similar national development plans) for a variety of developing countries<sup>7</sup> and reported these to the Deputy Minister of MEDT.

112. In July 2008, a preliminary assessment of the monitoring system was made by the TA team's Institutional Development Specialist and the report given to MEDT and ADB<sup>8</sup>. The main assessment of the monitoring system was scheduled to be carried out in Phase 4 (January to March 2009) according to the TA terms of reference. However, it was important to do an earlier preliminary assessment, because time was needed to remedy the institutional problems with the monitoring system, and it was anticipated the short time available in Phase 4 would not be enough to implement significant corrective actions.

#### **5. Monitoring System Improvement Workshop**

113. The TA's fifth workshop, the Monitoring System Improvement Workshop was held on the 16th and 17th of December 2008.

114. The first part of the workshop enabled representatives of stakeholders responsible for the monitoring of the PRS to review the current system and identify requirements for further

<sup>7</sup> Malaysia, Kyrgyzstan, India, Latvia, Serbia and Uganda

<sup>8</sup> Preliminary Assessment of the PRS Monitoring System of Tajikistan, Euan Lockie, Institutional Development Specialist, TA 4860, July 2008.

development, and to discuss the first Annual Progress Report, the APR 2007. Topics presented were:

- “PRS Monitoring system current status review” – MEDT
- “Improvement of the PRS monitoring system institutional base” – ADB TA 4860
- “PRS monitoring system in the education and health sectors – observations, outputs and conclusions” – EC project (EuropeAid/124271/C/SER/TJ)
- “The draft of 2007 APR” – MEDT
- “Comments on the APR 2007 with a focus on functional block” – ADB TA 4860
- “Comments on the APR 2007 with a focus on the education and health sectors” – EC project (EuropeAid/124271/C/SER/TJ)

115. The second part of the workshop was aimed at engaging stakeholders involved in providing monitoring information on implementation of the Poverty Reduction Strategy. They were informed of the issues of introducing the information system for data collection and processing (information system for PRS Monitoring) in the divisions and departments of stakeholders responsible for the PRS indicators and Activity Matrix, and were each given a revised version of the database module for their Ministry or agency, and were instructed in its use. Participants engaged in a problem-solving analysis focused on PRS monitoring system implementation and gave their recommendations for overall system improvement.

## **6. Coordination with stakeholders**

116. A Joint Steering Committee (JSC) was established to coordinate oversight of ADB and EC TAs, and it met on 30th April 2008, at MEDT. The JSC was chaired by MEDT Deputy Minister Rakhmonov and included representatives of Ministry of Health, Ministry of Education, the Office of the President, EC Delegation, ADB TJRM, SIDA and DFID and other national agencies directly involved in the implementation of the project. Status of implementation and achievements of the ADB and EC PRS monitoring projects were discussed, and dialogue established between Tajikistan beneficiaries and developmental partners. TA needs were also identified: (i) for programming of developmental partners and (ii) focusing the two projects for the following six months.

117. The TA team addressed the April 30th meeting of the Donor Coordination Council (DCC), presenting the progress of the project to the end of Phase 2, problems with institutional and practical implementation of the monitoring system and plans for the following six months. This was a joint presentation with the EC TA.

118. In June 2008 a joint Mid-term Review Mission was conducted by the ADB Tajikistan Resident Mission (TJRM) and the European Commission Delegation to Tajikistan, in conjunction with the ADB and EC TA teams. A series of meetings were held with all key stakeholders, and resulted in an improvement action plan for the monitoring system being formalised in a Memorandum of Understanding between the Government, ADB and the EC.

119. The TA team worked with the EC project on PRS monitoring at line ministries (MOE and MOH). The Results-based Sector Planning and Monitoring Expert (national consultant) was part

of an EC project team mission on a data collection review mission to Sughd Oblast in July-August 2008.

120. The TA team also liaised with other projects and initiatives. The TA team met on several occasions with the team implementing the TAJSTAT project sponsored by the World Bank strengthening capacity within the State Statistical Committee (Goskomstat). The team also met with the Unicef DevInfo/Tojikinfor team, planning with them ways to integrate the MEDT and stakeholder database modules with the Tojikinfor database system. The team also met with the UNDP project on monitoring PRS implementation at the regional level. The TA team met with consultants working on the Joint Country Support Strategy (JCSS). The team also attended the workshop in July at which Goskomstat and World Bank released preliminary data from the Tajikistan Living Standards Survey (TLSS) 2007.

#### **D. System assessment and refinement**

121. The final phase of the project extended from January through March 2009.

##### **1. System assessment and refinement**

122. A final assessment report on the PRS monitoring system was completed in March 2009. Major findings were that:

1. Two key institutional elements specified in chapter 8 of the PRS had been put in place quite late in the process (NDC and NDC Secretariat established 2<sup>nd</sup> March 2009) and one important but not critical element remains unfulfilled (Expert Methodological Council);
2. Insufficient demand by the government for the outputs of PRS monitoring mean that the system has low priority;
3. Because of the preceding two issues, feedback to decision-making from results monitoring remains weak;
4. The delay in presenting the Annual Progress Report 2007 meant that it was not able to influence policy-making and budget decisions;

123. Key recommendations were to:

1. Strengthen demand for the products of monitoring system;
2. Implement all planned institutional arrangements;
3. Develop understanding of the reporting and dissemination needs of users;
4. Further develop organisational results management capacity aligned with the reality of the Government's NDS and PRS monitoring needs; and
5. Improve data quality and data management.

124. During the final phase, the TA team's Training Specialist also developed the database module further, releasing version 3 to stakeholders and DMNRDP and briefing them on its use.

125. The TA team's consultants also developed a series of issues papers at the request of the Deputy Minister of MEDT, covering: (i) improvements to the English translation of APR 2007; (ii) recommendations for improvements to the Annual Progress Report for 2008, (iii) recommendations on a shorter and prioritized list of PRS monitoring indicators, and (iv) recommendations concerning the structure of PRS 2010-2012.

## 2. Awareness and capacity building

126. The TA conducted its sixth and final major workshop on 13<sup>th</sup> March 2009.

127. The theme of the workshop was “Building on Progress and looking Ahead”. Topics presented were:

- “Potentialities and Applicability of current PRS Monitoring system for the NEXT PRS 2010-2012” – MEDT
- “Managing for Development Results and the progress of TA 4860” – ADB TJRM
- “ Building on Progress and Looking Ahead” – ADB TA 4860
- “ Progress in PRS monitoring and Looking Ahead to PRS 2010-2012” –ADB TA 4860
- “ Building on progress in evaluation PRS monitoring system in the education and health sectors , and Looking ahead” – EC project (EuropeAid/124271/C/SER/TJ)
- “District development planning and linking NDS/PRS, localizing MDG’ -UNDP

128. Training by the TA team of the Monitoring Department National Division staff continued upon request of the Monitoring Department, with a new series running between 20<sup>th</sup> February and the end of March 2009 on the operation of the PRS monitoring system, and indicators linkage analysis based on theory of change and the program logic model. The training was provided for the newly appointed Head of Department of DMNRDP and the recently appointed Head of National Division, as well as newly recruited staff.

129. The team’s Result-based Sector Planning and Monitoring Expert also completed and handed over a staff training and reference Manual for results-based PRS implementation monitoring, for use by National Division staff.

130. A further consignment of computer equipment was to be delivered to MEDT at the end of the TA for use in results-based monitoring and evaluation.

## IV. RESULTS

131. According to the TA Terms of Reference the project outcomes, observable over a three to five year time scale, should be that:

- a complete PRS results monitoring framework is in place;
- the framework is applied and tested in the central government; and
- the PRS results and monitoring framework and systems are perceived as useful by key stakeholders and donors in Tajikistan.

132. The results are discussed below, grouped according to the relevant element of the PRS monitoring framework.

### A. Institutional framework

133. The high level institutions responsible for receiving PRS monitoring reports and initiating actions in response have only just become operational. It is clear that implementation of the NDC, the NDC Secretariat or the EMC had not been a high priority for the Government, with NDC and its Secretariat being put in place only on 2<sup>nd</sup> of March 2009. This is perhaps understandable, given that the country has recently faced a series of significant problems, especially the energy and food problems of winter 2007-2008, and the global financial crisis of late 2008, that have required high priority attention by the Government. However, these

institutional structures were specified in the PRS 2007-2009, which has been adopted by Parliament. Indications at the time of this report are that the NDC will become operational very soon, and MEDT has been assigned interim responsibility for twelve months to form a department to act as the NDC Secretariat. A draft agenda to convene the first meeting of NDC has been prepared by MEDT.

134. Weak implementation of monitoring responsibilities within line ministries and agencies is a continuing institutional issue. Lack of cooperation with MEDT by the Ministry of Finance and Goskominvest impedes effective data collection and analysis to the extent that quality of the monitoring system is compromised.

#### **B. Organizational capacity**

135. Capacity of monitoring units that have been established within line ministries and agencies is also limited. These units have been established under instructions that they must be accommodated within existing budgets. In some cases this has resulted in a nominal representative being appointed responsible for PRS monitoring but without resources or capacity to effectively carry out the responsibility.

136. Capacity development in MEDT Monitoring Department remains a problem. Staff turnover since the TA's formal training program earlier in the project means that only two staff remaining in the Department have been through the training program.

#### **C. Data management**

137. Resolution of data management issues is a subject for long-term capacity development, for example by the TAJSTAT project in Goskomstat, and the EC TA supporting the Ministry of Health and Ministry of Education.

138. One issue that needs to be resolved for the next PRS is to reduce the number of monitoring indicators to a manageable number, concentrated on MDG-related indicators.

#### **D. Analysis, interpretation and dissemination**

139. The APR 2007 is a major output of the monitoring system, so its quality – completeness, accuracy, timeliness and usefulness – is a reflection of the strength of the monitoring system. The APR 2007 is incomplete, as critical information on financial expenditure linkages to programs and projects was not made available by Ministry of Finance and Goskominvest. Although some concerns remain about the overall accuracy and reliability of some indicator data, much of the data is certified by Goskomstat and therefore may be accepted as reliable. The APR 2007 first draft was prepared in April 2008, containing information on implementation progress of activities (“measures”) in Appendix 1 of the PRS. The final draft APR 2007 was released in November 2008, containing updated indicators data and information from TLSS 2007.

#### **E. Feedback to policy-making and budget processes**

140. There remains no formal process for feedback to decision making of PRS monitoring results. In the absence of institutions formally charged with the responsibility to implement such a process, it will continue to be weak, relying on ad-hoc actions by interested individuals or groups.

141. Given that the Annual Progress Report might so far be considered incomplete and not timely in its delivery, notwithstanding all the reasons outlined above, then it is not surprising that line ministries and government agencies might regard it as irrelevant to their policy and planning

processes. To be useful for these purposes, the key monitoring report for the year just completed must be made available at the beginning of the planning and budgeting process, no later than March. There must be sufficient information in that report to support decision-making on the operational plan and budget being formed. This means that not only do results need to be discussed, but they must be linked to a full appraisal of what activities ('measures') were carried out in the preceding year, what measures were planned but not implemented, and financial information that shows how money was allocated and spent against the PRS measures, including both recurrent and capital spending from all sources. If information on any element of this is missing, the story in the report will be incomplete and its usefulness reduced.

142. It is arguable that the investment of so much of the monitoring system effort into one major output, the Annual Progress Report, is imprudent. For monitoring reports to be useful to policy makers and planners they need to be more frequent and focused on a smaller number of key activities and results. A mechanism for this could be through the half-yearly or quarterly ministerial reports to the Government, which could incorporate progress reports on implementation of key poverty reduction measures.

## V. LESSONS LEARNT

143. There were a number of lessons learnt about the design and implementation of the TA itself.

144. **What worked.** The following TA activities had positive results: (i) capacity development through training and direct assistance (although its impact was lessened by staff turnover and lack of staff availability at times); (ii) awareness raising for results-based management through a series of six workshops throughout the TA; (iii) capacity development through provision of computers, network and software, and a PRS monitoring data management database; and (iv) coordination between donors.

145. **Capacity development was partly successful.** It should be noted however, that the ability of the implementing agency's counterpart department (MEDT DMNRDP) to absorb capacity development assistance was limited. With limited staff numbers in DMNRDP, it was often difficult for TA consultants to gain sufficient access to staff to carry out a full program of capacity development activities. With an average of five consultants in the field throughout the two year life of the ADB TA, and another four working in the EC TA, there was a potential for the two TAs to overload MEDT's monitoring department. In practice, this did not happen, as access to DMNRDP staff was quite restricted at various times throughout the project. While the TA consultants worked hard to respect the time demands on MEDT staff, and attempted to establish agreed schedules, in practice routine Ministry work always took precedence for staff.

146. The technical capacity of MEDT DMNRDP was strengthened by the TA's installation of new computers and establishment of a network, as well as the development of a database for management of PRS monitoring data inputs from ministries and line agencies.

147. **Awareness raising through workshops was a strong point.** Attendance by invited ministries and agencies was usually strong, although towards the end of the TA a tendency for them to send more junior staff than were invited was noted on the part of some ministries and agencies.

148. **Coordination between donors was successful.** ADB Tajikistan Resident Mission (TJRM) played the leading role in ensuring overall coordination with the Government and donor projects. ADB TJRM and the European Commission delegation provided appropriate support to MEDT to try to stimulate Government demand on the monitoring system, through a Joint

Inception Mission in July 2007, and a joint Mid-term Review Mission in June 2008. Consultations with Government and civil service officials promoted awareness of the projects' activities and resulted in the signing of a Memorandum of Understanding between the Government and ADB and EC, after the Mid-term Review Mission. The MOU provided an agreed action plan that MEDT was able to use in its efforts to promote action by other Ministries and the Government. ADB TJRM disseminated TA reports, findings and recommendations via e-mail and through workshops to the donor community and their projects. ADB TJRM played an active role in ensuring reports were made by the TA on three separate occasions to the Donor Coordination Council (DCC). The TA sought guidance and assistance from senior government officials and DCC members in those meetings, especially in stimulating demand from the Government side for PRS monitoring.

149. **What did not work.** These aspects of the TA were not as successful as they could have been: (i) enhanced demand for the PRS monitoring system; and (ii) government agency capacity to absorb technical assistance.

150. **Demand from the Government for the products of the PRS monitoring system remained weak.** In the initial assessment of Tajikistan's readiness for results-based monitoring and evaluation, during Phase 1 of the TA, several clear weaknesses were identified. However, given that the TA had been designed and agreed between the Government and ADB, the TA had to proceed on the assumption that there was a high level of interest by the Government in the establishment of a results-based PRS monitoring system. This assumption was not borne out by experience. It should be noted that MEDT, through the Deputy Minister, worked very hard to raise the level of interest on the part of the Government, but their low level of responsiveness on institutional issues indicated the low priority accorded to PRS monitoring. Because the planned institutional structures were not put in place during the TA, there was no "demand side" organisation with authority and responsibility to get the system working fully, especially to follow up production and dissemination of reports to ensure their use in policy and program planning.

151. **There was some confusion on the part of MEDT Monitoring Department about the scope of the system design task.** While the TA terms of reference took a holistic view of what was meant by "system", some people in the implementing agency (MEDT) were focused mainly on the computer-based data management element. This was compounded by the fact that the PRS monitoring system framework itself had already been specified in the PRS 2007-2009 itself, so the TA's task was concentrated on implementing the framework, not coming up with a new design for the framework. This led to some misunderstanding about the TA's role and activities during Phase 2. These issues were not helped by the fact that when the TA organized its Users' Requirement Workshop to assist design of the monitoring system, the demand side structure (NDC and NDC Secretariat) was not in place. The creation of a system is about defining relations among the different actors and it is incomplete if the demand side is missing.

## VI. RECOMMENDATIONS

152. We have grouped the recommendations for the PRS monitoring system according to where they fit within the monitoring framework.

153. **Institutional framework:** We understand that NDC and its Secretariat is now in place and the agenda to convene the first meeting has been drafted. TA 4860 recommends there be no further delays and NDC and its Secretariat take quick action, more over in time of global economic crisis and implement the unified monitoring system framework. The NDC, supported by its Secretariat, needs to be actively engaged in managing and monitoring PRS implementation, to create a clear feedback loop for the system, strengthen the mechanisms for

acceptance of the reports and feeding back results into policy making and the program and project budgeting cycle.

154. There is a broad consensus in the development community that the success of a PRS monitoring system can primarily be gauged by how much it contributes to decision-making: "The bottom-line yardstick of success is the extent to which the M&E information is being used to improve government performance."<sup>9</sup> Annual Progress Reports will be used by the Government if they make helpful contributions to policy and program development: "Monitoring and evaluation should identify what works, what does not work, and the reasons why."<sup>10</sup>

155. Resource budgets for monitoring units in line ministries and agencies should be established in the annual budgeting process of those ministries and agencies. The budgets should match the size of the monitoring task.

156. **Capacity building:** We recommend that should further technical assistance be considered by the ADB or other development agencies, it would be well-directed if it were to focus on building capacity in line ministries, government agencies and regional and local levels of government.

157. The TA team's training focused on basic concepts of poverty, result-based monitoring and basic analysis methods, as the capacity building had to cater mostly for newly recruited staff with little background in results-based management. We recommend further assistance in training on causal and secondary analysis, including inequality analysis that would enable staff of the National Division to analyze the extent to which the Government policy is giving results in pro-poor growth, and to provide evidence for evidence-based policy-making.

158. **Data management:** For the next PRS, we recommend to reduce the number of monitoring indicators to a manageable number. For the purpose of the PRS these should be concentrated on MDG-based indicators. Line ministries and agencies need to be engaged in the process of defining the indicators and agreeing to appropriate data collection methods. There are too many monitoring indicators in the current PRS to be practical, and not all are practical or relevant. Out of 189 monitoring indicators data was available for approximately 120 indicators covering 2007 (see APR 2007). The PRS refers (Chapter 8, para. 23) to selection of monitoring indicators and the setting of target values as a responsibility of the Expert Methodological Council. As part of the drafting of the new PRS, a working party managed by the Expert Methodological Council should consult extensively with line ministries and agencies as well as with appropriate national experts to reduce the list of indicators, review the practicality of those indicators and ensure their alignment with poverty reduction and Millennium Development goals as well as linked to state budget funding indications to ensure easy tracking of inputs made for achieving certain outputs. Indicators should be broken into two groups: (i) indicators to be used for annual monitoring; and (ii) indicators for triennial poverty analysis.

159. Work must continue on linking financial data to the PRS. In the short term, MEDT requires financial information, budget and actual expenditures, broken down in a form that would allow assessment of expenditures against PRS measures, in time to use in the analysis for each year's Annual Progress Report. In the medium term, the MTEF should be developed in alignment with the PRS for strategic choices facing allocation between Departments and Ministries. The budgeting process should focus on detailed costing of outputs and activities. The most promising strategy seen in other countries' experience is to introduce requirements into rules and procedures surrounding the budgetary process which require spending agencies

<sup>9</sup> Mackay, K., How to Build M&E Systems to Support Better Government, World Bank Independent Evaluation Group, 2007, frontispiece.

<sup>10</sup> Segone, M., in Bridging the gap: The role of monitoring and evaluation in Evidence-based policy making. UNICEF, 2008, p.26

to justify their resource bids by reference to PRS priorities. For that budget process, ministries and agencies should use a bottom-up approach with a ceiling cap set by the Ministry of Finance. Final vetting of budget bids should be vested with the Collegium.

160. Creating linkages between PRS and the MTEF and budget process is an evolutionary process. The Tajikistan Government should research case studies from other country experiences. The study tour to Malaysia of a high level Government delegation organized by ADB in partnership with EC/UNICEF/DfiD resulted in awareness of the important role played by the budget system in linking to results-based monitoring systems. With the assistance of the World Bank and other donors, the recurrent implication of capital projects will be introduced into the budget process in August 2009 and a 10 year Public Finance Management Strategy has been drafted.

161. **Analysis, interpretation and dissemination:** Continue to focus the Annual Progress Report primarily on discussion of results achieved, with supporting information on activities implemented or planned and not implemented, and support it with better data on planned and actual financial expenditures on programs and projects, classified according to the PRS structure.

162. **Feedback to policy-making and budget processes:** Formalise the process for receiving reports and promoting action in response, by implementing institutional arrangements as planned in Chapter 8 of the PRS.

163. Attention should also be paid in the next year to several aspects of monitoring that have received little consideration so far – a more active role for community participation and for members of Parliament. This may partly be achieved through the UNDP funded Technical Assistance “Local and regional capacity for preparation and monitoring of development program and budgeting”. This project has a sub-component of improvement of information systems at local level, where it is planned to trial a “citizen report card”.

164. The APR 2008 should be ready by the end of April 2009. The combined APRs for 2007 and 2008 should be used for review and assessment of PRS 2007-2009, and lessons learnt through that review should be taken into account in the design of the PRS 2010-2012. It is important that the Government take a leading role in this review.

## VII. CONCLUDING REMARKS

165. Much can be done to improve the current monitoring system. Every country that has a well functioning monitoring and evaluation system has taken many years to develop and refine it<sup>11</sup>, so regular assessment of the monitoring system is recommended, with adjustments being made to the system in response.

166. The starting point for improvement has to be the demand side. As long as the Government has only a secondary interest in managing and monitoring the implementation of the PRS, the system will remain weak. The Government needs to be convinced of the value of results-based monitoring to its own policy-making and planning processes. All members of the development partner community have a role to play in this.

167. The monitoring system should be kept simple and flexible, and be built progressively. This will require simplifying parts of the PRS itself, in particular the lists of development measures and monitoring indicators in Appendix 1 and Appendix 2 of PRS 2007-2009.

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<sup>11</sup> Mackay, K. (2006). Institutionalization of Monitoring and Evaluation Systems to Improve Public Sector Management. *ECD Working Paper Series*, No. 15. The World Bank. Washington, p.9

168. The Government and donors should focus on how a phased increase in monitoring and evaluation capacity can be achieved in practice, as donors' expectations currently exceed the civil service's capabilities. This is not unique to Tajikistan: other researchers, talking about PRS monitoring, point out that:

*"Donors want a lot, and they want it fast. A less ambitious incremental approach may be more appropriate, with donors lessening their ambitions and attuning their expectations to the actual state of national M&E systems."<sup>12</sup>*

169. When it comes to monitoring and evaluation at the national level, there is a lot to be said for Tajikistan learning to walk before trying to run. If country ownership is considered paramount, then donors should accept the country's efforts and not be too critical of the initial outputs of the system, focusing instead on gradual improvements to the system and lending their efforts towards boosting the demand from the Government side for monitoring reports and their effective use in policy making and program management to reduce poverty. After all, these are the results everyone is seeking.

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<sup>12</sup> Holvoet, N. and Renard, R. (2007). Monitoring and evaluation under the PRSP: Solid rock or quicksand? *Evaluation and Program Planning* 30(1), 66-81, p.77

## DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
<p><b>Impact</b> (10-year perspective)</p> <p>Improved results management capacity in central parts of the Government of Tajikistan</p>	<p>Indicator: Quality and use of results and monitoring frameworks Target: Useful results and monitoring frameworks in all major government plans</p>	<p>Donor governance assessment and/or results management capacity assessment</p>	<p><b>Assumption</b></p> <ul style="list-style-type: none"> <li>Achieving the intended impact requires successful TA and follow-up activities and stability among key people in the Government</li> </ul>
<p><b>Outcomes</b> (3–5 year perspective)</p> <p>The adopted PRS results and monitoring framework and the results management systems related to the framework is perceived as useful by key stakeholders and donors in Tajikistan</p>	<p>Indicators/targets: (i) Active use of the PRS results and monitoring framework by the Government (ii) Use of the PRS results and monitoring framework by the majority of donors</p>	<p>(i) Government PRS progress reports (ii) Monitoring and Evaluation section of the next ADB Tajik Country Strategy and Program, and other donors' country strategies</p>	<p><b>Assumption</b></p> <ul style="list-style-type: none"> <li>Achieving these outcomes requires successful TA and acceptance by all major stakeholders. Participatory processes and active collaborative efforts will be made to ensure this.</li> </ul> <p><b>Risk</b></p> <ul style="list-style-type: none"> <li>Results management is a new concept and the stakeholders in the Government may be slow to adopt it.</li> </ul>
<p><b>Outputs</b></p> <ol style="list-style-type: none"> <li>Assessment of the results management capacity of the central Government</li> <li>A complete PRS results and monitoring framework is in place</li> <li>The PRS results framework is applied and tested in the central Government</li> <li>Assessment of the initial application of the framework and proposal of refinements is based on the assessment</li> </ol>	<p>Assessment report finalized according to timeline.</p> <p>Results and monitoring framework is included in the PRS finalized in 2007</p> <p>Acceptance and use of the framework in the central Government.</p> <p>Assessment report finalized according to timeline</p>	<p>The data source and reporting for all these outcomes is the TA progress report</p>	<p><b>Assumptions</b></p> <ul style="list-style-type: none"> <li>Delivery of these outputs requires that the TA start without delays and a reasonable stability in the government administration. A number of means will be applied throughout the TA to widen the support and understanding of the key elements of the TA in the Government and among other stakeholders.</li> </ul> <p><b>Risks</b></p> <ul style="list-style-type: none"> <li>Implementation of the TA would require better coordination among government ministries and agencies.</li> <li>Language difficulties and lack of a Russian language glossary of results management terms may create delays and difficulties in wider understanding of the guidelines and methodology.</li> </ul>

<b>Activities with Milestones</b>	<b>Inputs</b>
<p><b>Phase 1. Assessment of Current Results Management Capacity</b></p> <p>1.1. Conduct country-specific readiness assessment and mapping exercise using SWOT analysis of the environment, culture, systems, and capacities of results management—in particular, analyzing leadership and management practices for planning, budgeting, implementing, and monitoring activities for a subgroup of well-performing and poorly performing agencies.</p> <p>1.2. Analyze the poverty impact monitoring capabilities of the Government, and particularly the feedback loop into government plans, budgetary allocations, and policies.</p> <p>1.3. Conduct a series of workshops and seminars inside and outside the country for government officials, civil society, donors, and private sector partners to achieve a consensus and common approach to strengthening results management systems.</p> <p><b>Phase 2. Design of a Comprehensive Results Management System</b></p> <p>2.1. Develop a strategy for introducing or strengthening PRS-related results management systems in the public sector, which can be implemented in the long term and short term, based on analysis of ongoing initiatives.</p> <p>2.2. Design a comprehensive results management system related to the PRS.</p> <p>2.3 Develop indicators that comply with SMART criteria, targets, and monitoring mechanisms.</p> <p>2.4 Conduct a series of workshops and seminars inside and outside the country for government officials, civil society, donors, and private sector partners to achieve a consensus and agreement on the designed results management systems.</p> <p><b>Phase 3. Implementation of the System</b></p> <p>3.1 Implement the system at the national level of government to test its usefulness.</p> <p>3.2 Conduct workshops and seminars within the country for government officials, civil society, donors, and private sector partners on use of the system for learning and decision making.</p> <p><b>Phase 4. Assessment and Refinement of the System</b></p> <p>4.1 Assess the implementation and testing of the system.</p> <p>4.2 Use information from the assessment to refine the system.</p> <p>4.3 Conduct workshops and seminars within the country for government officials, civil society, donors, and private sector partners on use of the system for learning and decision making.</p>	<p>ADB: \$400,000  Government: \$100,000  Cofinancing by Sida: \$500,000  Government staff time and expertise  National consultants: 78 person-months  International consultants: 24 person-months  Publications  Workshop/conferences  Learning materials  Training, including on-the-job training and management information systems training  ADB staff time and other contributions</p>

\*\* TA = technical assistance, ADB = Asian Development Bank, PRS = Poverty Reduction Strategy, SMART = Specific, Measurable, Achievable, Relevant, and Time-bound, SWOT = strength, weakness, opportunity, threat.

## TA TASKS AND RESULTS MATRIX

Activities specified in TA TOR	Specific Tasks Completed	Results	Critical issues
<p><b>Phase 1</b></p> <p>April – September 2007</p> <p>1.1. Conduct country-specific readiness assessment and mapping exercise using SWOT analysis of the environment, culture, systems, and capacities of results management—in particular, analyzing leadership and management practices for planning, budgeting, implementing, and monitoring activities for a subgroup of well-performing and poorly performing agencies.</p> <p>1.2. Analyze the poverty impact monitoring capabilities of the Government, and particularly the feedback loop into government plans, budgetary allocations, and policies.</p> <p>1.3. Conduct a series of workshops and seminars for government officials, civil society, donors, and private sector partners to achieve a consensus and common approach to strengthening results management systems.</p>	<ul style="list-style-type: none"> <li>• TA mobilized, consultants fielded, government officials consulted and project work plan prepared and agreed.</li> <li>• Inception Report presented.</li> <li>• Glossary of Results-based management terms created in Russian and English and disseminated.</li> <li>• Results management capacity assessment conducted, using ADB and World Bank diagnostic instruments, considering both national level and MEDT.</li> <li>• Results Management Capacity Assessment Report presented.</li> <li>• Delivered an initial round of training on results-based monitoring to MEDT Monitoring Department staff in 8 sessions through May &amp; June 2007.</li> <li>• Delivered a further series of formal training to staff of MEDT and other ministries on results monitoring, data analysis, the design and monitoring framework, indicators, basic statistics, intermediate statistics, poverty analysis, macroeconomic analysis and policy analysis using PRS indicators. July – December 2007. (Training extended into Phase 2.)</li> <li>• Addressed Unicef poverty workshop May 2007.</li> <li>• Delivered four training sessions for rayon level officials in collaboration with ADB TA 4661 “Training for rayon level on budget execution”.</li> </ul>	<p><u>Results achieved:</u></p> <ul style="list-style-type: none"> <li>• Results-based monitoring capacity increased through trained staff of MEDT and other ministries.</li> <li>• Awareness of results-based monitoring raised through distribution of the capacity assessment report, the glossary and presentations made at workshops.</li> <li>• PRS monitoring indicators prioritized.</li> </ul> <p><u>Results not achieved:</u></p> <ul style="list-style-type: none"> <li>• All expected results for the Phase were achieved.</li> </ul>	<ul style="list-style-type: none"> <li>• MEDT staff turnover.</li> </ul>

Activities specified in TA TOR	Specific Tasks Completed	Results	Critical issues
	<ul style="list-style-type: none"> <li>Joint Inception Mission conducted with ADB and EC in July 2007.</li> <li>Conducted a two-day workshop on prioritizing a short-listed set of indicators for PRS monitoring (28-29 June 2007).</li> <li>Presented Phase 1 Report.</li> </ul>		
<p><b>Phase 2</b> July 2007 – March 2008</p> <p>2.1. Develop a strategy for introducing or strengthening PRS-related results management systems in the public sector, which can be implemented in the long term and short term, based on analysis of ongoing initiatives.</p> <p>2.2. Design a comprehensive results management system related to the PRS.</p> <p>2.3 Develop indicators that comply with SMART criteria, targets, and monitoring mechanisms.</p> <p>2.4 Conduct a series of workshops and seminars for government officials, civil society, donors, and private sector partners to achieve a consensus and agreement on the designed results management systems.</p>	<ul style="list-style-type: none"> <li>Continued regular training to MEDT and other stakeholders until December 2007.</li> <li>Addressed Donor Coordination Committee (August 2007).</li> <li>Conducted a two-day workshop on determining users' requirements for PRS monitoring system (3-4 September 2007).</li> <li>Conducted a two-day workshop on preparation for the Annual Progress Report (November 2007).</li> <li>IT equipment specified, ordered and delivered to MEDT for data network in October 2007: 6 PCs, 6 tables and chairs, printer, network router and internet connection. Equipment also installed for use by the TA until handover to MEDT 31<sup>st</sup> March 2009: server, 4 PCs, 1 laptop, network printer, wireless router, two photocopiers and a scanner, as well as four desks and chairs.</li> <li>Started IT Training for analytical use by MEDT from March 2008 (continuing until May 2008).</li> <li>Assisted in organizing overseas study tour.</li> <li>Completed Draft (preliminary) design of an MIS module for monitoring system.</li> </ul>	<p><u>Results achieved:</u></p> <ul style="list-style-type: none"> <li>The strategy and overall framework for the PRS results management system was determined in Chapter 8 of the PRS itself, therefore the TA was not required to develop it, as such. However the TA articulated the strategy and framework in workshops, presentations and training in this Phase.</li> <li>Decrees and regulations for establishment of institutional arrangements were issued by the Government based on drafts prepared by MEDT.</li> <li>The monitoring indicators were specified in Appendix 2 of the PRS 2007-2009 prior to the commencement of the TA. The indicators were assessed against SMART criteria and prioritized in the June 2007</li> </ul>	<ul style="list-style-type: none"> <li>Institutional arrangements for critical elements of the PRS monitoring system</li> </ul>

Activities specified in TA TOR	Specific Tasks Completed	Results	Critical issues
	<ul style="list-style-type: none"> <li>• Assisted MEDT in designing reporting formats.</li> <li>• Reviewed and updated baseline data and refined Monitoring Indicators with MEDT.</li> <li>• Made recommendations on linking Matrix Activity and Indicator Table for outcome analysis.</li> <li>• Ran regression analyses based on available data for monitoring indicators.</li> <li>• Presented Phase 2 Report.</li> </ul>	<p>workshop.</p> <ul style="list-style-type: none"> <li>• A database module design was drafted to manage information flow to MEDT for PRS monitoring of indicators data and PRS matrix measures implementation.</li> <li>• Technical capacity of MEDT</li> <li>• MEDT staff capacity increased on use of computers.</li> </ul> <p><u>Results not achieved:</u></p> <ul style="list-style-type: none"> <li>• Institutional arrangements not yet implemented at the end of Phase 2: (i) NDC; (ii) NDC Secretariat; (iii) EMC.</li> <li>• Monitoring units within ministries and agencies were also mostly not in place at this time.</li> <li>• Envisaged linkages between MIS systems of government ministries and agencies for PRS monitoring was found to be not technically feasible within the foreseeable future.</li> </ul>	

Activities specified in TA TOR	Specific Tasks Completed	Results	Critical issues
<p><b>Phase 3</b></p> <p><b>April – December 2008</b></p> <p>3.1 Implement the system at the national level of government to test its usefulness.</p> <p>3.2 Conduct workshops and seminars for government officials, civil society, donors, and private sector partners on use of the system for learning and decision making.</p>	<ul style="list-style-type: none"> <li>• Addressed Donor Coordination Committee (April 2008).</li> <li>• Addressed Joint Steering Committee (April 2008).</li> <li>• Conducted a two-day workshop on Review of the PRS Monitoring System (10-11 July 2008).</li> <li>• Distributed CDs containing the PRS monitoring database stakeholder module to 31 ministries and agencies, along with an operating handbook describing how to use the module. The CD also contained electronic copies of the PRS in Tajik, Russian &amp; English.</li> <li>• Training Specialist visited 22 ministries and agencies July through November 2008 and provided follow-up support of database stakeholder module.</li> <li>• The Government, on MEDT advice, issued regulation September 2008 on “PRS Module Usage” ordering ministries and agencies to report PRS monitoring data using the stakeholder module.</li> <li>• Participated in Mid-term Review Mission with ADB, EC and the Government.</li> <li>• Prepared a “Preliminary Report on the PRS Monitoring System” in July 2008 to support MEDT’s efforts to implement critical elements of the monitoring system.</li> <li>• Prepared program logic linkage diagrams for the entire PRS, to assist sectoral analysis by MEDT Monitoring Department.</li> <li>• The TA’s Economist provided support to staff of Monitoring Department in economic and sector-</li> </ul>	<p><u>Results achieved:</u></p> <ul style="list-style-type: none"> <li>• Stakeholder and MEDT database modules developed, tested and distributed.</li> <li>• Memorandum of Understanding concluded between the Government, ADB and EC, outlining a Plan of Action to resolve monitoring system implementation issues.</li> <li>• MEDT Monitoring Department issued draft APR 2007.</li> </ul> <p><u>Results not achieved:</u></p> <ul style="list-style-type: none"> <li>• Usage of the database module has only been established in a small number of ministries and agencies.</li> <li>• Institutional arrangements not yet implemented at the end of Phase 3: (i) NDC; (ii) NDC Secretariat; (iii) EMC. Consequently, feedback of monitoring to policy-making and budget processes remains undefined in the system.</li> <li>• Although most ministries</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional arrangements for critical elements of the PRS monitoring system: NDC, NDC Secretariat, EMC, line ministries and agencies monitoring units.</li> <li>• Lack of cooperation of Ministry of Finance and Goskominvest in PRS monitoring.</li> <li>• Low priority assigned to PRS monitoring by ministries and agencies.</li> </ul>

Activities specified in TA TOR	Specific Tasks Completed	Results	Critical issues
	<p>based analyses during preparation of the APR 2007, and members of the team supported MEDT by commenting on various documents in draft.</p> <ul style="list-style-type: none"> <li>• The TA Team Leader, with the support of the team’s Economist and Sector Expert provided a special series of macroeconomic and poverty analyses in eleven reports delivered to the Monitoring Department in May 2008. These reports were intended to inform preparation of the APR 2007.</li> <li>• Provided support to preparation of Study Tour to Malaysia.</li> <li>• Training Specialist provided continuing support to MEDT Monitoring Department on IT operational issues.</li> <li>• The Results-based Sector Planning and Monitoring Expert commenced preparation of an operational manual on data collection for PRS monitoring, for MEDT Monitoring Department.</li> <li>• Training Specialist visited GBAO to assess regional situation on PRS monitoring.</li> <li>• Results Based Sector Planning and Monitoring Specialist accompanied the EC team on a data collection review mission to Sughd Oblast.</li> <li>• Researched comparisons on institutional structures for implementation management and monitoring of NDS/PRS for a variety of developing countries, and advised the Deputy Minister MEDT.</li> <li>• Met with Unicef Devinfo/TojikInfo team to plan future integration of databases with MEDT and stakeholder modules.</li> <li>• Conducted a workshop on “Monitoring System for the Poverty Reduction Strategy and the</li> </ul>	<p>and agencies have nominated a unit to be made responsible for monitoring, only a few dedicated units have been established. Many ministries and agencies have no resources allocated to PRS monitoring.</p> <ul style="list-style-type: none"> <li>• Study tour was cancelled by the Government.</li> </ul>	

Activities specified in TA TOR	Specific Tasks Completed	Results	Critical issues
	<p>Annual Progress Report 2007” (16-17 December 2008) and distributed CD with upgraded Stakeholder Module version 2.</p> <ul style="list-style-type: none"> <li>Presented Phase 3 report.</li> </ul>		
<p><b>Phase 4</b> January – March 2009</p> <p>4.1 Assess the implementation and testing of the system.</p> <p>4.2 Use information from the assessment to refine the system.</p> <p>4.3 Conduct workshops and seminars for government officials, civil society, donors, and private sector partners on use of the system for learning and decision making.</p>	<ul style="list-style-type: none"> <li>Assessment of the initial application of the PRS results monitoring framework.</li> <li>Submission of a PRS Monitoring System Assessment Report.</li> <li>Data collection Manual for MEDT</li> <li>Updated and refined database stakeholder module</li> <li>Wrap-up Training for the Monitoring Department (especially for new Head of Department, head of division and its new staff</li> <li>Recommendations on APR 2008 and PRS 2010-2012</li> <li>Study tour to Malaysia facilitated</li> <li>Submission of Workshop Report</li> <li>Submission of a Final Report for the TA, on activities, outputs and results of all TA components.</li> </ul>	<p><u>Results achieved:</u></p> <ul style="list-style-type: none"> <li>Action planned by the Government to improve the PRS monitoring system.</li> <li>Increased capacity in MEDT</li> <li>NDC is now and place and MEDT is its Secretariat.</li> <li>Awareness on the role of MOF and importance of budgeting system for result-based PRS Monitoring System resulted from study tour.</li> </ul>	<ul style="list-style-type: none"> <li>Institutional arrangements for critical elements of the PRS monitoring system.</li> <li>Capacity development for MEDT Monitoring Department.</li> <li>Capacity development for line ministries and agencies to respond to current weak implementation.</li> <li>Lack of cooperation of Ministry of Finance and Goskominvest in PRS monitoring.</li> <li>Lack of alignment between MTEF, PRS and PIP and CSIP.</li> <li>Potential for JCSS to also be out of alignment with PRS.</li> <li>Low priority assigned to PRS monitoring by ministries and agencies.</li> </ul>

## SUMMARY OF PRS MONITORING SYSTEM IMPLEMENTATION STATUS

System element / <i>PRS Requirement</i> <sup>13</sup>	Implementation Status & Issues	Recommended actions
<p><b>Institutional framework</b></p> <p>National Development Council National Development Council Secretariat Expert Methodological Council MEDT: Monitoring Department (coordinating role) Sector Ministries &amp; Line Agencies – M&amp;E units</p>	<p>Monitoring Department was established within Ministry of Economic Development and Trade (MEDT) January 2007.</p> <p>Progress was slow establishing the National Development Council (NDC), the NDC Secretariat and the Expert Methodological Council (EMC). MEDT put forward options concerning the NDC Secretariat to the Government in May 2008. MEDT was given interim responsibility to form a Department to act as the NDC Secretariat as of January 2009. NDC and NDC Secretariat have been instituted 2<sup>nd</sup> March 2009.</p> <p>Decree 216 of 2 May 2008 on PRS monitoring and evaluation specified formation of PRS monitoring units in line ministries and related agencies. Implementation arrangements for line ministries require clarification, as some claim to be unaware of the requirement, and others have appointed responsibility in name only, with no allocation of resources to the function.</p>	<p>Support further capacity development for MEDT (see below).</p> <p>NDC Secretariat to draft process and procedures to ensure monitoring reports are reviewed, accepted and disseminated by NDC, including instructions on how Government, ministries and line agencies are to use and respond effectively to the monitoring reports.</p> <p>Determine optimum arrangements, options and guidelines for PRS monitoring units. Inform line ministries and agencies and ensure units are properly budgeted.</p>
<p><b>Organizational capacity</b></p> <p>Funding for the monitoring system to be provided through the State budget. Donor funds to be provided for investment in human and organisational potential of the system. Support to be provided for in donor efforts to develop the potential of civil</p>	<p>Capacity development in MEDT has been hindered by high staff turnover.</p> <p>Capacity development is a long-term activity and will need continuing support, otherwise PRS monitoring and evaluation will not be sustainable at</p>	<p>Increase pay rates, to attract and retain skilled staff. Improve human resource management.</p> <p>Prepare proposals for continuing capacity development support to MEDT.</p>

<sup>13</sup> Chapter 8, Poverty Reduction Strategy 2007-2009, Government of Tajikistan, Dushanbe, 2007.

System element / PRS Requirement <sup>13</sup>	Implementation Status & Issues	Recommended actions
society in monitoring and evaluation.	<p>the national level after completion of ADB TA4860.</p> <p>Line ministries have been informed of their responsibilities for PRS implementation and for progress reporting for monitoring . However, staff of a number of ministries and government agencies seem lacking in knowledge of the contents of the PRS. Some senior managers report not having seen the PRS paper itself.</p> <p>Reports by line ministries lack sectoral analysis, and only contain narration of activities conducted by their ministry and a list of indicators for which they are responsible.</p>	<p>The NDC Secretariat should issue further clarifying instructions or advice, or convene an inter-departmental commission or working group to inform and educate line ministries and government agencies on their monitoring and reporting obligations under the PRS.</p> <p>Alternatively, this task could be assigned to MEDT, with supporting authorization from Executive Administration of the President. Review division of tasks between MEDT (coordination role) and line ministries (analysis and reporting role)</p> <p>Ensure printed copies of the PRS are distributed to all units in line ministries and government agencies that have been nominated responsible for PRS monitoring and evaluation.</p> <p>Place links to downloadable electronic copies of PRS, NDS and APRs on the new PRS page on the MEDT website.</p> <p>Issue a handbook of methodological procedures to all units in line ministries and government agencies that have been nominated responsible for PRS monitoring and evaluation.</p>
<p><b>Data management</b></p> <p>Data collection system:</p> <ul style="list-style-type: none"> <li>• quantitative indicators</li> <li>• qualitative information</li> </ul> <p>Further requirements</p> <ul style="list-style-type: none"> <li>• data disaggregated (where possible &amp; appropriate.)</li> <li>• joint M&amp;E at local level</li> </ul>	<p>TA-designed MIS interface system for gathering and collating PRS monitoring data is an interim and limited MIS solution. Preferred integrated system not yet possible due to lack of development of interfacing systems (DevInfo in Goskomstat, aid coordination system in Goskominvest, public expenditure tracking system in Ministry of Finance,</p>	<p>Confirm that DevInfo will be the preferred database system for PRS indicators, including MDG and poverty indicators.</p> <p>Develop terms of reference for successive phases of MIS development for PRS monitoring system:</p> <p>(i) interface between Goskomstat</p>

System element / <i>PRS Requirement</i> <sup>13</sup>	Implementation Status & Issues	Recommended actions
<ul style="list-style-type: none"> <li>• track govt spending</li> <li>• tracking of service provided</li> <li>• impact assessment</li> </ul> <p>State Statistical Committee (Goskomstat) to be the main source of data &amp; support on data collection methodologies &amp; indicator interpretation.</p> <p>Budget information to be in sufficient detail in the Medium-Term Expenditure Framework and annual budgets to allow for tracking of the allocation and expenditure of government funds under all elements of the PRS.</p>	<p>and line ministries' MIS for administrative data).</p> <p>APR analyses lacking disaggregation by region, gender, urban/rural etc and have no inequality discussion.</p> <p>There are too many monitoring indicators listed in the PRS. They are also open to differing interpretations of the basis of their collection and calculation, because they were not fully defined in the PRS. Data management of administrative data is done through line ministries and data validity, reliability, timeliness, accuracy, completeness and plausibility is highly variable.</p> <p>Budget and expenditure data not available in a form suitable for PRS implementation monitoring.</p>	<p>DevInfo system and MEDT database;</p> <p>(ii) interface between Goskominvest Aid Coordination System and MEDT database;</p> <p>(iii) interface between Ministry of Finance public expenditure tracking system and MEDT database (PFM modernization);</p> <p>(iv) links to line ministries' MIS – e.g. Education MIS, Health MIS.</p> <p>Strengthen MEDT Monitoring Department analytical capability through further training and support.</p> <p>PRS indicators should be reviewed through the Expert Methodological Council if it is operational, or an inter-agency task force under guidance of the NDC Secretariat if EMC is not operational. The goal should be to reduce the complexity of the system, and to improve relevance and data quality.</p> <p>MEDT Monitoring Department to work with MTEF implementation project to understand how new MTEF budgeting and expenditure classifications can be used to support PRS implementation monitoring.</p>
<p><b>Analysis and interpretation of data</b></p> <p>Annual Progress Reports (APRs) as the main vehicle for reporting results and analysis.</p> <p>APR contains analysis of existing problems &amp; recommendations for making adjustments</p>	<p>It is not clear that it is possible for the system in its current form to provide Annual Progress Reports in time for consideration prior to the beginning of the budget preparation cycle. Timing of the Annual Progress Report (APR) 2007 has been too late to</p>	<p>Re-examine the format, content and timing of the APRs and their use by the Government and line ministries, to ensure maximum value is derived from them.</p>

<b>System element /</b> <i>PRS Requirement<sup>13</sup></i>	<b>Implementation Status &amp; Issues</b>	<b>Recommended actions</b>
<p>in policy directions where needed, &amp; suggestions for dissemination of positive experiences.</p>	<p>be used in the budget preparation process.</p> <p>The usefulness of APRs to the policy planning and budget preparation processes of Tajikistan is yet to be demonstrated.</p>	<p>Strengthen analytical capacity within MEDT to improve analytical depth of the APRs. Alternatively, strengthen analytical capabilities of ministry and agency monitoring units so they can provide adequate sectoral analyses for APRs.</p>
<p><b>Dissemination of monitoring reports</b></p> <p>Public information campaigns, publication of summary &amp; sectoral/regional PRS implementation progress reports &amp; through internet portal, incl. CSO monitoring data. Feedback to be taken from all interested parties. Comments &amp; suggestions on improving PRS implementation to be collected from internet portal, public debate programs (inc. parliamentary), seminars with NGOs &amp; other means.</p>	<p>At this time there is no clearly defined system and procedure for the Government to officially receive PRS monitoring reports, and to disseminate them to stakeholders with the Government’s response and instructions. In the absence of the institutional arrangements envisaged in the PRS paper being operational, monitoring report dissemination to date has been managed by the Executive Administration of the President.</p>	<p>Options: (i) NDC Secretariat to formulate the procedure and present recommendations to the NDC and/or EAP for deliberation and decision; (ii) EAP to decide and issue directives.</p>
<p><b>Feedback to program management and policy making processes for action</b></p> <p>There are no specific instructions in Chapter 8 of the PRS about the mechanism for feedback of results to programs and policy except for §27, which states that “annual government reports on PRS implementation (including anticipated inputs/outcomes up to the end of the respective/ reporting year) will be presented to the Parliament together with the annual state budget”. §16 implies usage of the reports “by decision-makers” but says nothing about the mechanisms through which this would occur.</p>	<p>There is not yet a clearly defined system and procedure for the Government to ensure feedback to policy making and program management.</p>	<p>More debate and discussion is required on just <u>how</u> feedback of monitoring results into policy, planning and budgeting processes should be done in the Tajikistan context. Options to consider for developing this discussion include: (i) workshop involving key stakeholders; (ii) NDC Secretariat, with support of MEDT, to formulate the issues and present to the NDC and/or EAP for deliberation and decision; (iii) EAP to decide and issue directives.</p>

## PRS MONITORING AND EVALUATION CAPACITY OF THE GOVERNMENT OF TAJIKISTAN

Short summary of before and after situation, with some recommendations for the future, by the TA team.

Prior to TA 4860	Now	The future
<b>Institutional Framework</b>		
Monitoring unit within the Executive Administration of the President with sole responsibility for PRS monitoring.	National Development Council established as highest level body for PRS implementation management and monitoring. MEDT monitoring department given coordinating responsibility for PRS monitoring. MEDT acting in NDC Secretariat role. Some sector ministries and agencies with established PRS monitoring units. Others have nominated existing units to perform the function. Expert Methodological Council planned but not yet implemented.	Establish schedule of NDC meetings with program of work that contributes effectively to Government policy decision-making and budgeting.
<b>Organisational Capacity</b>		
Analytical capability seen by donors as limited. Low level of results based management knowledge generally within the civil service.	Some development of capacity within MEDT monitoring department, however this has been limited by personnel turnover issues. Two staff in the monitoring department have increased their level of knowledge and skills from basic to intermediate. Growth of results based management awareness and knowledge through training of 20 personnel from various departments of MEDT, Goskomstat, Ministry of Finance, Ministry Of Health and Ministry of Education.	Continuing knowledge and skills development will be required into the future, across the civil service. Options include engagement of local training providers in longer term programs, or further technical assistance projects by donors. Consider upgrading staff position descriptions within the monitoring department to higher-level analyst grades. Improve Ministry and line agency capacity for sectoral analysis.
<b>Data Management</b>		
Reporting on PRS implementation manually based. Few quantitative indicators.	System established for reporting on quantitative indicators and qualitative reporting on implementation of PRS implementation measures, based on chapter 8 of the PRS. Database system established for transmission of quantitative and qualitative data from line ministries and government agencies to MEDT.	Rationalise indicator system, a line with MDGs. Provide interfaces between systems at Goskomstat, Goskominvest, Ministry of Finance and MEDT.

Prior to TA 4860	Now	The future
<b>Analysis, Interpretation and Dissemination</b>		
Annual progress reports (APRs) issued under the first PRS (PRS-I).	APR remains the major output of the monitoring system. Efforts to make more timely are under way. System and procedure for the government to officially receive PRS monitoring reports is based on the EAP receiving and passing on the reports. NDC will take over this role. PRS implementation management and monitoring reports do not yet find a place in the established reporting system of the government (quarterly/annual reports to President).	Re-examine the format, content and timing of APRs and their use by the Government and line ministries to ensure maximum value is derived from them. Strengthen MEDT's analytical capacity to improve analytical depths of the APRs. Strengthen analytical capabilities of line ministry and government agency monitoring units so they can provide adequate sectoral analysis for APRs. Develop the role of civil society organisations in PRS implementation monitoring.
<b>Feedback to Programs and Policies</b>		
Ad hoc responses to APRs, in general driven by donors.	Due to the delay in establishment of high-level institutions, no clear process and system has yet been established.	Develop process and system for feedback to policies and programs, for example through establishment of rules under the budgeting process.