



Asian Development Bank

## Inception Report

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RETA 6410:

Capacity Development for Monitoring and Evaluation  
(Financed by the Government of the People's Republic of China)

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### Abbreviations

ADB	Asian Development Bank
ADB CO	Asian Development Bank Country Office
AFDC	Asia-Pacific Finance and Development Centre
CeDRE	Centre for Development and Research in Evaluation
COP	Community of Practice
DMC	Developing Member Country
ECD	Evaluation Capacity Development
GMS	Greater Mekong Sub region
IM&E	International Monitoring and Evaluation Specialist
IPDET	International Program for Development Evaluation Training
IRBM	Integrated Results Based Management
M&E	Monitoring and Evaluation
MfDR	Managing for Development Results
MOF	Ministry of Finance
OED	Operations Evaluation Department
PRC	People's Republic of China
PRS	Government's Poverty Reduction Strategy (PRS)
SHIPDET	Shanghai International Program for Development Evaluation Training
TNA	Training Needs Analysis
TOR	Terms of Reference
TOT	Training of Trainers

## **1. INTRODUCTION**

The purpose of this inception report is to set out a clear strategy and way forward for the implementation of the TA assignment and to specify the various activities and actions, timing and outputs of the specific tasks for the project. The inception report includes the approach and methodology, an organization chart, a detailed work plan, consultants and inputs schedule, project budget, and the terms of reference for the consultants.

### **1.1. Objectives and Scope of TA**

The objective of the Asian Development Bank (ADB) Technical Assistance (TA) assignment which is funded by the Peoples Republic of China (PRC) is to strengthen the evaluation capacity in Greater Mekong Sub Region (GMS) countries comprising of Vietnam, Cambodia and Laos PDR under the Evaluation Capacity Development (ECD) Program. The TA would greatly assist and support the implementation of the Government's Poverty Reduction Strategy (PRS) and other donor funded projects to achieve the Millennium Development Goals (MDGs).

### **1.2. Organization of the Inception Report**

The structure of this report is as follows:

- Section 1: Project introduction and objectives/scope of the TA
- Section 2: Project background, objectives and outcomes as well as strategies
- Section 3: Strategies, approach, and institutional and implementation arrangements
- Section 4: Project description outlining the outcomes, outputs and activities
- Section 5: Work in progress
- Section 6: M&E arrangements for the project
- Section 7: Financial/Budget for the project
- Section 8: Project work plan and consultants' schedule for the project

## **2. PROJECT BACKGROUND**

### **2.1. TA Background and Rationale/Problem Statement**

Operations Evaluation Department (OED) has supported ECD since 1990 to raise awareness of its role in promoting transparency, accountability, results orientation, and effectiveness of management systems.

More specifically, OED's interventions have:

- i. stimulated thinking on the function of M&E in good governance and public sector reform;
- ii. explored the complementarities between M&E, results-based management, and internal auditing;
- iii. identified strategies and resources for building the demand for and supply of M&E; and
- iv. encouraged and supported the creation of country and regional networks to facilitate follow-up actions.
- v. encouraged knowledge management and culture of learning organization

From experience with national and sector M&E systems, it is therefore meaningful to strengthen ECD at the regional level in the framework of ADB's regional initiatives and the experience of DMCs. In this regard, the GMS Economic Cooperation program is at the forefront of ADB's work on regional cooperation and integration. One main course of action is evaluation capacity development (ECD), which entails reinforcing, or establishing monitoring and evaluation (M&E) systems. Strong national and sector M&E systems are necessary and vital to assess efforts to reduce poverty, and to demonstrate results. Such systems are one avenue for improving performance in terms of the quality, quantity, and targeting of goods and services.

GMS DMCs have recognized the shortcomings of their M&E systems, elements of which could be informed by a regional perspective. The regional cooperation strategy and program, 2004–2008, for the GMS that was approved in March 2004 emphasizes institutional strengthening to develop government capacity to address issues comprehensively and effectively and to better design and implement projects. The TA would help in planning and improving the evaluation capacity in these countries. The TA is the first of a multiyear, integrating instrument to develop regional capacity for M&E in the Asia and Pacific region and expected to generate ever-higher returns from that. It will mainstream capacity development, another thematic priority of ADB.

## **2.2. Project Description, Objectives & Expected Outcomes**

The project is expected to be the first in a series of multi-year integrative initiatives to develop and sustain regional capacity for M&E and through that enhance the development results in DMCs with particular focus on the GMS DMCs. The expected outcomes will be improved range of skills, resources, systems, and attitudes for performance of results based M&E of country partnership strategies, sector strategies, policies, programs, and projects in GMS DMCs. Three outputs will accomplish the outcome of the TA: (i) proficiency in M&E will be raised, (ii) research and special studies on ECD will be conducted, and (iii) knowledge sharing and learning for M&E will be boosted.

## **2.3. Project Overall Strategies**

The overall strategy would be forward-looking based on an Integrated Results Based Management (IRBM) strategy and will provide the framework for ECD on a sustainable long-term perspective. It would encompass a well sequenced and strategically oriented set of initiatives and actions through focused training and capacity building, initiate actions to increase proficiency in policy formulation and strategies formulation in M&E efforts for ECD as well as establish knowledge sharing and learning.

# **3. STRATEGIES, APPROACH AND METHODOLOGY**

## **3.1. Project Strategy**

The project would be undertaken over a two year period to promote and build evaluation capacity in the GMS countries. The indicative work plan, including the proposed strategy and conceptual framework, represents a comprehensive approach to improving the overall M&E proficiency. The project would encourage ECD goals and strategies which should be "owned" by the country, based on stakeholder participation and country needs. The draft strategy and action plan on ECD strategy will be prepared in consultation with each of the countries, using inputs from research and case studies conducted, review of existing institutional structure and mandates and functions identified in the GMS countries, and baseline studies to identify and substantiate key areas for action, as well as the means for achieving the desired outcomes.

With the systematic implementation of the various initiatives under this TA, there would be greater synergy and linkages between the training, capacity building programmes, research and case studies and knowledge sharing and networking platforms. The analysis and inputs from research and case studies will further contribute to the clarity of the ECD strategy and at the same time the sharing of knowledge and networking will also enhance the overall formulation of M&E strategies for GMS DMCs.

CeDRE is fully aware that successful capacity development requires a holistic approach and that the ECD strategy must situate capacity development initiatives within the national policy and planning framework. Thus, to systematically plan the capacity building programs for M&E it is important that a holistic approach through better understanding of the current planning, budgeting and M&E systems in place in the various GMS DMCs are examined. The training strategy for M&E capacity building will be through the

implementation of a comprehensive training program strategy for the GMS DMCs coordinated by CeDRE Malaysia.

Obtaining crucial top management commitment at both the policy level as well as the managerial and operational levels at evaluation agencies are seen as important crucial factor. As part of this strategy it is also important to ensure that responsibility for M&E policy areas rest with capable senior officers such as an evaluation agency organization head who can secure the required high level commitment, budget, and staff support, and the ability to operate across organizational boundaries. The six senior evaluation agency senior officials that are selected from the three GMS countries to participate in the IPDET courses are expected to play this critical role in support of the ECD.

A structured on line help desk or client service would be established based on a responsive manner for the TA project where national participants and other stakeholders from evaluation agencies from the GMS countries can contact if they need clarification or assistance on M&E areas.

### **3.2. Technical Approach & Methodology**

The methodology used in the project is based on a combination of an ECD needs assessment and capacity building approach, a research based approach based on research and case studies, and ECD knowledge sharing/networking on M&E best practices for GMS countries. Consistent with the terms of reference and the technical proposal, the approach and methodology will utilize a diverse range of assessment instruments, consultations and case studies to prepare an ECD strategy roadmap, focusing on capacity building priorities to strengthen ECD development in the targeted GMS countries. These include:

- i. Base line situational analysis of their M&E status in the GMS countries
- ii. Integrated training programme for capacity building to enhance proficiency in M&E
- iii. Institutional structures, policy formulation and strategies for M&E
- iv. Case studies that illustrate practical applications of M&E policy measures
- v. Sharing of information and networking with various stakeholders.

Capacity building programmes would be designed and implemented based on the GMS countries' needs assessment which would be demand driven. Three levels of M&E training courses would be designed and structured as part of the capacity building efforts. The three-prong M&E capacity-building strategy under the TA will require careful planning and close collaboration between relevant parties in the countries to work out the needed strategy and implementation dynamics. Using information from the baseline study and the preliminary assessment done during the SHIPDET programme in October 2007, CeDRE in collaboration with the national consultants and relevant senior officials dealing with M&E in the countries, will draw up a strategic plan for the implementation of the program at the country level. The IM&E and CeDRE will have to work closely with the national consultants and select teams of senior M&E officials from the three target countries. The national consultants will be the main reference point for CeDRE and the IM&E in the preparation of the Strategic Plan for ECD, for the implementation, and for the rollout into the respective DMCs. Details of the consultants and resource persons to be utilized under this TA are as in **Attachment 2**.

To ensure the success of this cascading strategy, CeDRE will liaise with the respective governments of the GMS DMCs in identifying and advising stakeholders of all the necessary preparatory actions that need to be taken in the country to allow for the in-country programs to be conducted effectively. This will be part of the implementation strategy that will be developed in consultation with the senior officers who were trained at IPDET and the national consultants. It is envisaged that the necessary M&E institutional framework must be in place before the trainers finish their training by the end of the TA program.

Through its research approach, the project aims to design and implement techniques, practices, tools, etc. that are appropriate for the GMS countries. This approach which would be demand driven and would be practical as it would be developed by the GMS country participants with the advice and close support of the IM&E. Utilizing a learning and doing approach for these initiatives the case study approach

provides an opportunity to come up with practical solutions and measures to achieve the objectives of the ECD project.

Best practices would be documented and transformed through an action learning process for knowledge sharing and capacity building. From the research point of view, new participatory methodologies would help identify the best possible doable methods. Lessons learned may guide further M&E institutional reform and capacity building strategy for respective governments and evaluation agencies. Implementation arrangements for improving capacity through the establishment of a common website for sharing of information and resource materials between the GMS countries would be undertaken.

### **3.3. Financial Resources**

The total cost of the TA is estimated at USD500,000 equivalent and will be financed on a grant basis by the Regional Cooperation and Poverty Reduction Fund, provided by the Government of the PRC. An amount of USD36,092 has already been spent on the recently held SHIPDET programme for some of the TA participants and the two resource persons from CeDRE. The balance of the budget of USD\$463,908 will be expended over the next 2 years until November, 2009 according to the project work plan.

### **3.4. Institutional Arrangements**

The organization chart in **Attachment 3** shows the institutional arrangements between CeDRE, AFDC, IPDET, ADB HQ, ADB COs and the Client Governments as well as the organizational linkages, reporting structure and the coordination mechanism. CeDRE Malaysia with the assistance of its Board of Directors would have the overall responsibility to provide policy and technical advice to the implementation of the TA project and undertake an oversight role. Its team leader/International Monitoring & Evaluation Specialist(IM&E) would liaise closely with ADB as well as the GMS client governments (Vietnam, Cambodia and Laos) and the respective ADB Country Offices (ADB COs) to ensure the smooth implementation of the project. ADB COs in GMS countries will provide administrative support facilities and assist in the implementation of the assignment in the respective GMS countries. Close contact and cooperation will be maintained with AFDC and IPDET particularly for planning and strategizing inputs for the training and capacity building initiatives. Senior evaluation agency officials trained at IPDET will also assist to drive the ECD programme.

### **3.5. Implementation Arrangements & Support Systems (ADB HQ/ADB COs)**

CeDRE Malaysia through its team leader will have overall responsibility for managing the program implementation and will be regularly in touch with ADB HQ on the progress of the assignment through the monthly progress reports. A detailed work plan implementation schedule has been developed for the duration of the 2-year implementation period from October 2007 to October 2009 (**Attachment 1**). This work plan will serve as an important tool for implementation planning and monitoring of project activities. It provides a detailed schedule of activities for the consultants and all the project stakeholders to precisely understand their respective responsibilities. ADB COs in the respective GMS countries will provide the necessary logistical support for the smooth implementation of this assignment.

## **4. PROJECT DESCRIPTION**

### **4.1. Project Components & Expected Results**

The overall outcome and results from this assignment is expected to contribute to improved ranges of skills, resources, systems, and attitudes for performance, in the evaluation agencies targeted, of results-based M&E of country partnership strategies, sector strategies, policies, programs, and projects in GMS DMCs. The major outputs and activities that will contribute to this objective of building Evaluation Capacity Development are as in the Project Work Plan in **Attachment 1**.

Details of the outputs and activities are presented below:

## **4.2. Output 1 (Outcomes, Outputs, Activities)**

### **Proficiency in M&E is raised.**

Proficiency in M&E would be raised through the following initiatives and actions:

- Training and capacity building programmes for selected evaluation agency staff in GMS DMCs.
- IPDET Training for Senior Officials
- Proficiency in strategy and policy formulation for M&E is raised
- Setting long-term, consistent strategies by analyzing existing M&E structures and practices, identifying major bottlenecks, and making policy recommendations.
- Establishing clear linkages between the planning framework with the M&E system
- Establishing clear reporting mechanisms and lines of responsibility

#### **4.2.1. Preliminary Study & Survey Undertaken**

In order to undertake the above actions, a base line study would be undertaken. The purpose of the initial base line study is to provide an appropriate information base against which to plan, monitor and assess an activity's progress and effectiveness during implementation and after the activity is completed. The baseline study and the training needs assessment which will be undertaken by the national consultants with the support of the IM&E, would gather information to be used in assessments of how efficiently the activity is being implemented and to gauge the eventual progress and results of the activity.

The methodology for the base line study will utilise both quantitative and qualitative methods of data collection and would comprise the following:

- survey questionnaire,
- literature review,
- content analysis of documents,
- interviews with selected senior evaluation agency staff members

Given the time constraints, it is suggested the baseline study focus on key aspects of the systems that are in place in the relevant participating countries. The baseline study would provide information on the current status, capacities and resources which would assist CeDRE to strategize key capacity development challenges and the practical ways to meet the short and long term vision of ECD.

The survey questionnaire would be prepared by CeDRE and given to national consultants who will administer them. They would be responsible for the information collection at the country level. The data collection would be closely supported and monitored by the IM&E. A limited amount of logistics support for the survey from the respective ADB country offices is envisaged. This will involve aspects such as use of office space, communication facilities, and other relevant office equipment. Based on the TNA, CeDRE will then plan and design a comprehensive and integrated training program over the next two years.

#### **4.2.2. Main Activities under the Baseline Study are:**

- i. Discussion with national consultants & relevant stakeholders from GMS DMCs
- ii. Draft Survey Questionnaire
- iii. Survey administered by national consultants under the supervision of IM&E
- iv. Review related documents on Planning and M&E
- v. Interview selected senior officials
- vi. Analyse survey results/ Synthesize findings from interview and document review & prepare report
- vii. Review and share findings

The output from the baseline study would be a report identifying the training needs and the current state of M&E systems in the three GMS countries.

#### **4.2.3. Integrated Training and Capacity Building for M&E (Output 1 & 2)**

The overall strategy for capacity development for monitoring and evaluation will focus on three key levels as follows:

##### ***Level 1: Policy/Top Management Level***

Capacity-building for a select number of key policy and top management level officials from each of the three target countries.

##### ***Level 2: Technical Level***

Level 2 will be targeted at building technical capacity for a select number of key M&E trainers from each country, who will in turn help to train select groups of officials from key agencies in their respective countries.

##### ***Level 3: Operational/Implementation Level***

Level 3 will involve twenty or more key M&E officials from key agencies in each of 3 countries. Officials from China may also be included in the training sessions when held at SHIPDET. Details of the Integrated Training and Capacity Building are detailed in **Table 1**.

#### **4.2.4. Main Activities on Training and Capacity Building Initiatives**

- i. Review of DMCs strategic plans/TNAe
- ii. Prepare course structure/training material
- iii. Conduct training
- iv. Discuss country papers with participants/consultants /future M&E work programme
- v. Prepare course evaluation/lessons learnt
- vi. Prepare for draft DMC rollout plan

#### **4.2.5. Training Course for Senior Evaluation Officials at IPDET**

- i. Senior GMS evaluation agency staff selected
- ii. Attend training in IPDET
- iii. Lessons learned/report prepared
- iv. Senior GMS evaluation agency staff support and engage in M&E policy areas

The main outputs from the training/capacity building initiatives are as follows:

- i. Six senior evaluation agency staff trained internationally
- ii. 18 participants undergone advanced training and skills level regionally through TOT programmes
- iii. 20 key officials from key agencies in-country selected and trained in stages from basic to advanced over life of TA
- iv. Many evaluation agency staff trained nationally through the use of the cascading principle

#### **4.2.6. Main Benefits:**

- Senior evaluation agency officials from the three targeted GMS countries will have an improved understanding of the M&E policy requirements and process and will act as the catalyst in respective DMCs

- Preliminary commitment to M&E policy formulation measures and action plan secured from senior evaluation agency officials
- Training materials will be designed in a user-friendly manner and trainings will be targeted based on the needs assessment of M&E in GMS countries
- At least 35 national participants trained in M&E and able to support and engage in dialogue with relevant government agencies on M&E policy areas
- Many other officers are trained through the cascading principle and are able to assist the government agencies in M&E strategies

#### **4.2.7. Actions to Support Strategy and Policy Formulation & Country Strategies in M&E (Output 1 & 2)**

To support the ECD initiative, a program of systematic research and special studies will be initiated and conducted with the support of the senior officials, core team and the national consultants. The research areas identified would need to be relevant, practical, and closely related to the application of M&E strategies in the countries. The national consultants will also examine and assist in the collection of related information and other data which are mostly publicly available statistics, administrative data, and other legal documents, which will form the basis of these research reports.

The baseline study and the conduct of research areas and cases studies are expected to provide the necessary information in the following areas:

- Identifying key Ministries and other agencies' functions and their relationships;
- Type of planning framework that is currently in place and its linkages to the budgetary process;
- Linkages and the extent of influence evaluation has on resource allocation and decision-making by line management;
- The monitoring system and what aspects of performance are monitored and reported and with what frequency;
- Who uses performance information and reports and how are they used in the planning process and for policy formulation;
- Review of current administrative and legislative mandates that are in place to support the implementation of the proposed programs;
- Existing institutional structures that are in place to determine if they are sufficient to implement the M&E initiatives;
- The human resource concerns covering management's understanding and commitment towards implementing results-based Initiatives in their respective countries;
- Linkages between organisational performance to personnel performance, if any;
- Relationship and interface between the systems in place for donor and civil organisations;
- Information needs for the Central, Provincial and Local Government.

#### **4.2.8. Proficiency in Strategy and Policy Formulation for M&E is Raised**

**Recommend long term ECD strategy-research and special studies on ECD are conducted (Output 2)**

**Main activities on research/case studies to be conducted under this output are as follows:**

- i. Review existing institutional structure and mandates and functions identified
- ii. Diagnosing framework and evaluation influence on budget process
- iii. Undertake case studies on specific practical M&E areas
- iv. Identify opportunities for policy improvement
- v. Make policy recommendations for change for strengthening foundation in M&E
- vi. Assist in setting up long term strategies for M&E
- vii. Identify responsibility centers for evaluation
- viii. Assist in formulation of country strategies for GMCs

**Main activities for long term ECD strategy**

- i. Prepare immediate-term draft strategic plan
- ii. Obtain inputs from research and case studies
- iii. Identify areas and opportunities of interventions for ECD strategies
- iv. Prepare draft long-term strategic plan
- v. Prepare final long-term strategic plan

**Main benefits from research and case studies**

- i. Approximately 18 participants have opportunity to discuss case studies from this TA and provide inputs to the ECD strategic action plan for GMS countries.
- ii. Findings and suggestions based on case studies will assist in institutionalizing M&E policy formulation and strategies for GMS countries

The main outputs are:

- Research and special studies conducted
- A long term ECD strategy formulated

**Main benefits from the long term ECD strategy are:**

- i. Structured system of monitoring and evaluation across all DMCs
- ii. Improved planning framework and linking with the budgetary process
- iii. Improved policy and program decision-making within public sector entities
- iv. Improved overall public sector performance across government
- v. Linking all these initiatives under the IRBM

**4.3. Output 3 (outcomes, outputs, activities)****4.3.1. Knowledge Sharing and Learning for M&E are Boosted.**

An electronic network and discussion forum will be developed utilising the existing CeDRE e-Goveval portal. It will seek to encourage the sharing of information through evaluation programmes, and interested evaluation agency staff and practitioners working on evaluation. This forum will be used to assess current approaches to ECD and issues in making evaluation more participatory and sensitive to the needs of GMS government agencies. The forum will be initiated in the middle period of the project implementation to allow sufficient exchange of information and the building of a body of knowledge on the subject prior to launching of this initiative. Participants will be invited to participate and share their experiences. This network will also explore potential linkages to other evaluation and MfDR related networks.

**Main activities for knowledge sharing and learning for M&E**

- i. Prepare knowledge Centre Hub(KCH) strategy
- ii. Develop contents for knowledge sharing/networking
- iii. Integrate with CeDRE Website
- iv. Disseminate information on (KCH) to GMS countries for knowledge sharing/networking
- v. Assist in setting up of evaluation associations
- vi. Develop Partnership arrangements

The main outputs are:

- Knowledge Centre Hub (KCH) strategy is established
- Information on M&E best practices are disseminated
- Partnership arrangements with COP and Evaluation Associations are set up

#### **4.4. Major Issues To Be Addressed in TA Project**

The major issues to be addressed are,

- i. Identifying the needs assessment based on demand for capacity building to raise proficiency in M&E
- ii. Identifying planning and regulatory framework and institutional mandates, operational guidelines for M&E system in GMS countries including institutional structures and functions, reporting relationships and linkages
- iii. Linking the responsibilities of all government agencies for M&E so as to create an integrated approach to M&E
- iv. Putting into place appropriate ECD strategy

### **5. WORK IN PROGRESS**

#### **5.1. Preliminary SHIPDET Meeting: Shanghai**

The second Shanghai International Program for Development Evaluation Training (SHIPDET) was held from 21- 28 October 2007. About 50 practitioners on Managing for Development Results (MfDR) from Asia including GMS countries participated in the training programme, which was held at the Asian Pacific Development and Finance Center (AFDC), Shanghai, PRC. The program was jointly sponsored by the China Ministry of Finance, World Bank, Asian Development Bank (ADB), and AFDC and was conducted by M&E experts Ray Rist and Linda Morra-Imasious

CeDRE Malaysia was represented by Dr. Arunselam Rasappan and M. Mahalingam and undertook a brief assessment of the SHIPDET Course. They also took the opportunity to discuss strategies for the TA programme with ADB and AFDC officials who were present. During the discussions, it was acknowledged by AFDC and Ray Rist that the SHIPDET training programme that are currently being conducted at AFDC would be replicated for future SHIPDET programmes scheduled for 2008 and 2009. Since the SHIPDET course contents will be repeated, thus, it may not be beneficial for the GMS participants under this TA programme to attend and participate in the three remaining 2008-2009 SHIPDET programmes as originally envisaged.

Instead, CeDRE Malaysia would design and structure a series of Evaluation Capacity Development ToT (ECD ToT) courses for GMS DMCs which will be progressive in nature in terms of contents and skill set levels. There are three remaining SHIPDET programmes apart from the comprehensive TOT programme to be held in April 2008 at CeDRE Malaysia.

Adopting an iterative approach to allow optimum flexibility, each of these ToT training programmes will systematically build on the subsequent training course including the first premier CeDRE comprehensive TOT training programme to be held in April 2008.

To implement these training programmes in lieu of the ECD ToT programmes, CeDRE Malaysia will explore various possible options including locations for holding the training programmes in collaboration with one of the GMS countries, and using the facility at AFDC. It is suggested that two of the ECD ToT programme be held in two of the GMS countries while the final ECD ToT training programme would be conducted in collaboration with AFDC in Shanghai as a final wrapping up session for the capacity building initiatives.

#### **5.2. Linkages with other MfDR Projects (MfDR CoP Asia & Africa)**

MfDR is an important initiative and it can assist and support GMS countries in the implementation of the Government's Poverty Reduction Strategy (PRS) and other donor funded projects to achieve the Millennium Development Goals (MDGs). CeDRE Malaysia with its extensive experience in MfDR work will

utilise its vast linkages including those such as the ADB COP and the Africa COP network for wider dissemination and interactions with activities related to evaluation and share the experience with the GMS countries for the benefit of ECD.

## 6. M&E ARRANGEMENTS

### 6.1. Monitoring Requirements & Arrangements

One of the essential criteria for the success of any project would be the extent and scope of monitoring and evaluation mechanism that is built into the overall implementation strategy. For this project, the monitoring and evaluation mechanism will be undertaken at various levels to ensure that the project is implemented according to the activities in the work plan and on schedule. The information from the baseline along with the project commencement will assist in the monitoring and evaluation of the project.

The project monitoring will be based on a detailed monitoring and evaluation framework as outlined in Annex 6. The M&E framework is based on the following features:

- i. Structured and systematic monitoring system with clear and specific performance indicators ;
- ii. Clear milestones and benchmarks established to guide implementation;
- iii. Comprehensive to provide critical and timely performance information to CeDRE Malaysia to carry out necessary remedial actions for project adjustments or realignments where needed;
- iv. Tracking and reporting on the program activities, outputs and their implementation would be systematic ;
- v. Assist CeDRE to track, monitor, and report on their performance in terms of specific performance result areas and performance indicators and benchmarks.

The successful completion of the agreed-upon results will be based on the details as outlined in the M&E framework in **Attachment 6**.

### 6.2. Project Reporting

CeDRE Malaysia, through the team leader, will submit reports to ADB concerning the implementation of the TA project and its progress. The reports will include (i) monthly progress reports (ii) a midterm report within 58 weeks, (iii) a draft final report within 90 weeks, and (iv) a final report detailing TA outcomes and recommending actions. The monthly reports will be in the form of progress notes which would not exceed three pages, will keep relevant parties informed of input-to-output progress and constraints impeding TA implementation. To assist CeDRE in preparing these reports the national consultants will collect performance data as part and parcel of the project implementation. They will prepare an assessment of progress report (based on a template format provided by IM&) of the project in their respective country and submit to the IM&E.

A summary of the reporting requirements are as follows:

Reports.	Report Timing	Prepared by	Remarks
TA Performance Report	Monthly	CeDRE/IM&E	
GMS Country Progress Report	Monthly	National Consultant	
Midterm report	Within 58 weeks	CeDRE/IM&E	
Financial report	Every 6 months	CeDRE/IM&E	
Draft final report	Within 90 weeks (4 weeks before conclusion of project)	CeDRE/IM&E	
Final report	2 weeks before conclusion of the project	CeDRE/IM&E	

### **6.3. Evaluation Requirements & Arrangements**

The project will be subject to evaluation as per normal requirements of ADB projects. However, since this is only a small scale TA project, there will only be one terminal evaluation at the end of the project.

## **7. FINANCIAL/BUDGET PLAN**

The ADB advance system for disbursement of funds to CeDRE for scheduled and pre-planned program activities will be implemented according to the approved cost estimates and budget plan.

The major budget expenditure items are only cost estimates for activities identified and the actual expenditure for these items would depend on the actual cost of the of goods and services being acquired at the time of procurement. CeDRE will ensure that all expenditures are in accordance with the pre-planned and prescribed activities as well as compliance with normal procedures. It will provide a financial report of expenditures incurred every six months.

The estimated total budget for the proposed TA is USD500,000 which is also the approved budget. Out of this, a total of **USD495,800** is the estimated total expenditure with the balance of USD\$9,528 as contingency amount. The total includes an amount of USD\$36,092 which was expended for GMS DMC participants and CeDRE resource persons to attend the first SHIPDET program in Shanghai in October, 2007;

A substantive portion of the approved budget will go towards capacity building M&E training programs in the form of Training-of-Trainers for a group of five key M&E persons from each GMS DMC. This will involve a budget of USD\$178,400. The capacity-building also involves senior policy level M&E officials from each country who will be trained at IPDET, Canada at a budget of USD\$63,000. An additional budget of USD\$25,980 will be expended to train 20 M&E focal persons in each GMS DMC. This training will be carried out by the ToT trainees from each GMS DMC under the supervision of the international M&E Specialist.

A budget of USD\$13,900 has been set aside for Output 2 for research and special studies related to evaluation strategic directions. Output 3 on setting up knowledge sharing and learning for M&E has been allocated a budget of USD\$3000.

With the escalation of fuel prices which would seriously affect the estimated travel cost as well as with the USD currency depreciation, some flexibility with the total budgeted amounts is envisaged. It is foreseen that the above contingency amount may need to be utilized before the end of the TA project period.

## **8. PROJECT WORK PLAN AND CONSULTANT SCHEDULE**

### **8.1. Consultant Inputs and Schedule**

The Lead Consultant/Team Leader from CeDRE Malaysia would be the International Monitoring and Evaluation Specialist (IM&E) and will provide 6 person-months of consultancy inputs which would be intermittent for the two year duration of the project. However, invariably the team leader /IM&E would have to provide substantive inputs throughout the two year period of the TA which would be beyond the designated six person-months inputs. The IM&E would be expected to supervise continuously, coordinate the overall implementation, track the progress of the activities, constantly guide and provide feedback to the national consultants and GMS country participants and stakeholders.

The three national local consultants who would be engaged for 12 person-months each, intermittent over two year period would assist the lead consultant in implementing the project. Their key role and responsibilities as well as of the other resource persons are outlined in the Consultants and other

Resource Persons' Key Responsibilities at **Attachment 2**. The schedule of consultants, their inputs into the project and timelines are as in **Attachment 4**.

## **8.2. Work Plan**

The scheduled work program for the entire assignment is outlined in the Gantt chart in **Attachment 1** and in **Table 1** below. The Work Plan shows the two-year summary of tasks, timeframes and responsibilities. It is intended as a general guide aimed at ensuring that all the necessary activities are implemented so that the planned outputs are achieved in accordance with an agreed time schedule. Thus, the work plan sets out the main activity descriptions, activity outputs, and team assignments.

The work plan will be used as a monitoring tool to ensure the achievement of outputs and progress towards outcomes. Monitoring and evaluation are integral parts of the project's overall work plan, which encompasses critical milestones for activities and outputs in the work plan. It will also serve as an early warning indication in case progress is off-target.

**Table 1: Schedule of M&E Capacity Building Activities and Actions**

<b>Timeline</b>	<b>Stages/Location</b>	<b>Details</b>	<b>Focus</b>
March/April 2008	<b>ECD ToT # 1 CeDRE Malaysia</b>	<ul style="list-style-type: none"> <li>Country Training-of-Trainers (ToT) teams (5 officials and 1 national consultant) per country</li> <li>Drawn from 3 countries</li> <li>Total of 15 officials and 3 national consultants</li> <li>Possible inclusion of select officials from other countries at own cost (China, Thailand etc.)</li> </ul>	<ul style="list-style-type: none"> <li><b>Training of Trainers (ToT) # 1 (2 weeks duration)</b></li> <li>Basic Preparatory training</li> <li>Technical level training for selected trainers</li> </ul>
May–Sept 08	In-Country Stage 1 prep work and implementation	<ul style="list-style-type: none"> <li>In-country case study and preparatory work by ToT Trainees</li> <li>Supervision and integrity checks by IM&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>Identification of down-line M&amp;E focal persons</li> <li>Work on prep work in country for M&amp;E training</li> </ul>
June-July 08	<b>IPDET # 1, Canada</b>	<ul style="list-style-type: none"> <li>Policy guidance and management in M&amp;E</li> <li>One senior evaluation agency staff x 3 countries</li> </ul>	<ul style="list-style-type: none"> <li>Focus on senior policy/program decision-makers</li> <li>1 week duration</li> </ul>
October 2008	<b>ECD ToT# 2 (GMS DMC)</b>	<ul style="list-style-type: none"> <li>Country Teams (5 officials + 1 national consultant) x 3 countries</li> </ul>	<ul style="list-style-type: none"> <li><b>Training of Trainers (ToT) # 2 (1 week duration)</b></li> <li>Advanced training for Trainers from 3 countries + China as well</li> <li>Lessons learned from country preparations and implementation</li> </ul>
Nov 08-Mar 09	In-Country Training by ToT Trainees	<ul style="list-style-type: none"> <li>3 countries</li> <li>Supervision and integrity checks by IM&amp;E</li> <li>China can also do the same</li> </ul>	<ul style="list-style-type: none"> <li><b>Down-line In-Country M&amp;E Workshop # 1</b></li> <li>Training of key M&amp;E focal persons in country</li> <li>Training to be provided by IM&amp;E with assistance from ToT trainees</li> <li>20 key M&amp;E focal persons from key agencies in-country selected and trained in stages from basic to advanced over life of TA</li> </ul>
April 2009	<b>ECD ToT # 3 (GMS DMC)</b>	<ul style="list-style-type: none"> <li>Country Teams (same group of 5 officials + 1 national consultant) x 3 countries</li> </ul>	<ul style="list-style-type: none"> <li><b>Training of Trainers (ToT) # 3 (1 week duration)</b></li> <li>Advanced training &amp; skills for Trainers from 3 countries + China as well</li> <li>Lessons learnt and sharing of experiences by trainers from each country</li> </ul>
June-July 08	<b>IPDET # 2, Canada</b>	<ul style="list-style-type: none"> <li>Policy guidance and management in M&amp;E for one senior evaluation agency staff x 3 countries</li> </ul>	<ul style="list-style-type: none"> <li>Focus on senior policy/program decision-makers</li> <li>1 week duration</li> </ul>
May–Sept 09	In-Country Stage 2 implementation	<ul style="list-style-type: none"> <li>In-country M&amp;E capacity building work by ToT Trainees</li> <li>Supervision and integrity checks by IM&amp;E</li> </ul>	<ul style="list-style-type: none"> <li><b>Down-line In-Country M&amp;E Workshop # 2</b></li> <li>Same M&amp;E focal persons from countries as for DL 1 above</li> <li>Twenty M&amp;E focal persons from in-country as in DL 1 above</li> <li>Training to be conducted by country ToT trainers with IM&amp;E supervision</li> </ul>
Oct 2009	<b>ECD ToT # 4 AFDC Shanghai</b>	<ul style="list-style-type: none"> <li>Country Teams (same group of 5 officials + 1 national consultant) x 3 countries meet at AFDC</li> </ul>	<ul style="list-style-type: none"> <li><b>Training of Trainers (ToT) # 4 (1 week duration)</b></li> <li>Advanced training &amp; skills for Trainers from 3 countries + China as well</li> </ul>

Timeline	Stages/Location	Details	Focus
			<ul style="list-style-type: none"> <li>• Lessons learnt and sharing of experiences by trainers from each country</li> </ul>
Oct. 2009 onwards	Stage 3: Full implementation in country	<ul style="list-style-type: none"> <li>• Sustainable continuous in-country M&amp;E capacity building work by ToT Trainees who are now qualified to provide in-country capacity building</li> </ul>	<ul style="list-style-type: none"> <li>• Cascading downline capacity building in M&amp;E in each country</li> </ul>

**Key:**

ToT = Training of Trainers

ECD = Evaluation Capacity Development

**Attachment 1: Work Plan for TA Actions: Oct. '07–Oct. '09**

	YEAR	2007			2008												2009										
		10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	
1.	Selection of GMS Participants Completed				█																						
2.	Selection/Appointment/Contract for National M&E Consultants completed				█																						
3.	Inception Report Prepared				█																						
4.	Work program Prepared				█																						
5.	M&E Help Desk Established				█	█																					
6.	Monthly Progress Note					█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
7.	MID TERM REPORT															█											
8.	FINANCIAL REPORTS (6 MONTHLY)									█						█											█
9.	DRAFT FINAL REPORT																									█	
10.	FINAL REPORT																										█
11.	Brief M&E Needs Assessment completed at SHIPDET (Oct 07)																										
12.	Preliminary discussions/assessment with GMS DMCs during SHIPDET	█																									
13.	Review course curriculum at SHIPDET	█																									
14.	Discussions with ADB/AFDC officials	█																									
15.	Preparation of preliminary ECD strategies		█																								
16.	Country Assessment: M&E Capacity & TNA																										
17.	Discussion with national consultants & relevant stakeholders from GMS DMCs				█	█																					
18.	Draft Survey Instruments for Assessment					█																					
19.	Review related documents on M&E					█																					
20.	Carry out TNA for M&E ToT Program					█																					

YEAR		2007			2008												2009										
		10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	
Action Details/Month																											
21.	Survey administered by national consultants under the supervision of IM&E																										
22.	Interview selected senior officials																										
23.	Analyse survey results/ Synthesize findings from interview and document review & prepare ToT training package																										
24.	<b>ECD TOT # 1 (CeDRE)</b>																										
25.	Prepare Course Structure/ Training Materials																										
26.	Preparation of country papers by ToT Trainees																										
27.	Conduct ToT Training at CeDRE Malaysia																										
28.	Prepare course evaluation																										
29.	In-country M&E assignments conducted by GMS DMC ToT Trainees																										
30.	<b>IPDET # 1 Training for Senior Officials</b>																										
31.	Senior GMS evaluation agency staff selected																										
32.	GMS senior officials attend IPDET training																										
33.	Lessons learned/ report submission																										
34.	<b>ECD ToT # 2 (GMS DMC)</b>																										
35.	Prepare Course Structure/ Training Material																										
36.	Conduct advanced training ToT # 2																										
37.	Prepare course evaluation																										
38.	Discuss country M&E assignments/ strategies																										
39.	Prepare Lessons learned from country																										

	YEAR	2007			2008												2009										
		10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	
	preparations/implementation																										
40.	In-Country Down-Line Training #1																										
41.	Review Rollout Plan/ TOT Report																										
42.	Fine tune rollout plan																										
43.	Carry out Downline Training Program # 1 for M&E focal persons under supervision																										
44.	Review training methodology																										
45.	Prepare report and downline training strategy																										
46.	ECD ToT # 3 (GMS DMC)																										
47.	Prepare Course Structure/Training Material																										
48.	Conduct Advanced Training (TOT # 3)																										
49.	Prepare course evaluation																										
50.	Prepare TOT Report/Lessons learned sharing of experiences by trainers from each country																										
51.	IPDET # 2 Training for Senior Officials																										
52.	Senior GMS evaluation agency staff selected																										
53.	GMS senior officials attend IPDET training																										
54.	Lessons learned/ report submission																										
55.	Lessons learned/ report submission																										
56.	In-Country Down-Line Training #2																										
57.	Preparation for DL Training # 2																										
58.	Carry out Downline Training Program # 2 for M&E focal persons under supervision																										

	YEAR	2007			2008												2009										
		10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	
	Action Details/Month																										
59.	Prepare report and lessons learned																										
60.	ECD ToT # 4 Completed (AFDC Shanghai)																										
61.	Prepare Course Structure/ Training Material																										
62.	Discuss with AFDC Officials																										
63.	Conduct Advanced Training (TOT # 4)																										
64.	Discuss country M&E strategies/ Networking/Sharing of experiences																										
65.	Prepare TOT Report/Lessons learned																										
66.	Stage 4 – Sustained Downline In-country Training for GMS DMC by DMC																										
67.	Prepare Indicative strategic training plan & Road Map for sustainable in-country M&E training																										
68.	Research and Case Studies																										
69.	Review existing Institutional Structure and mandates and functions identified																										
70.	Diagnose framework and evaluation influence on budget process																										
71.	Undertake case studies on specific practical M&E areas																										
72.	Identify opportunities for policy improvement																										
73.	Make policy recommendations for Change for strengthening foundation in M&E																										
74.	Assist in setting up long term strategies for M&E																										
75.	Identify responsibility centers for																										

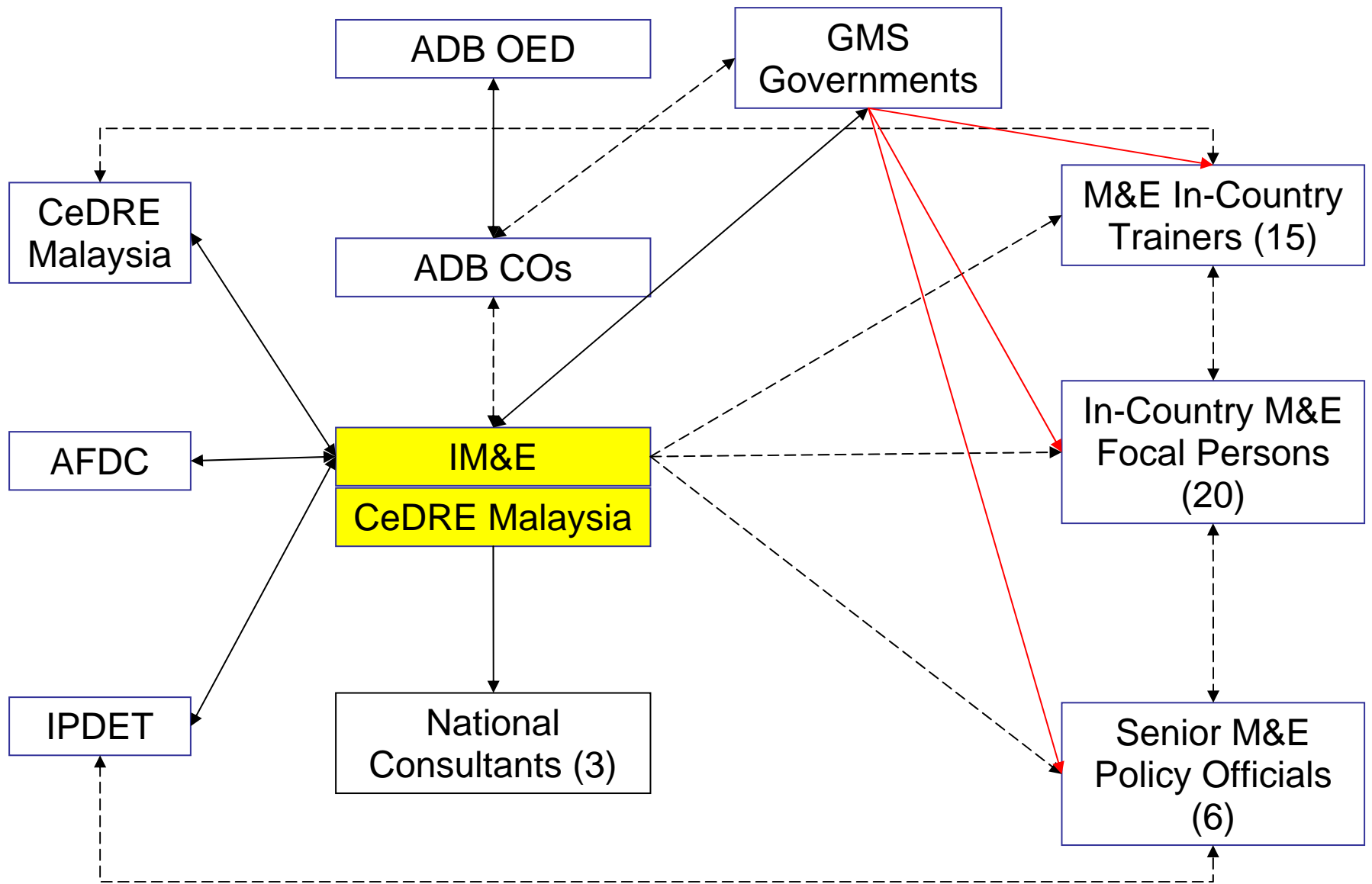
	YEAR	2007			2008												2009										
		10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	
	evaluation																										
76.	Assist in formulation of country strategies for GMCs																										
77.	<b>ECD Strategic Plan for GMC</b>																										
78.	Prepare immediate-term draft strategic plan																										
79.	Obtain inputs from research and case studies																										
80.	Identify areas and opportunities for ECD strategies																										
81.	Prepare draft long-term strategic plan																										
82.	Prepare final long-term strategic plan																										
83.	<b>Knowledge Centre Hub (KCH)</b>																										
84.	Preparatory discussions for networks and setting up knowledge hub																										
85.	Prepare Knowledge Hub (K-Hub) strategy																										
86.	Develop contents for knowledge sharing/networking																										
87.	Establish M&E K-Hub																										
88.	Integrate with CeDRE Website																										
89.	Disseminate information on (KCH) to GMS countries for knowledge sharing/networking																										
90.	Preparatory actions for evaluation associations establishment																										
91.	Develop Partnership arrangements																										
92.	Establish evaluation networks/societies																										
93.	Collaborate and information sharing on M&E																										

	YEAR	2007			2008												2009										
	Action Details/Month	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	
94.																											
95.																											
96.																											
97.																											
98.																											
99.																											
100.																											
101.																											
102.																											

## Attachment 2: Consultants and other Resource Persons' Key Responsibilities

	Consultants/Resource Person	Key Responsibility Area
1	Dr. Arunaselam Rasappan	Team Leader/IM&E Specialist who will lead, manage and implement the TA assignment
2	National Consultant/Monitoring and Evaluation Specialists (Vietnam)	Assist the team leader in planning, coordination, implementation, and evaluation of the assignment as well as capacity building assessment in the respective GMS country.
3	National Consultant/Monitoring and Evaluation Specialists (Cambodia)	Assist the team leader in planning, coordination, implementation, and evaluation of the assignment as well as capacity building assessment in the respective GMS country.
4	National Consultant /Monitoring and Evaluation Specialists (Laos PDR)	Assist the team leader in planning, coordination, implementation, and evaluation of the assignment as well as capacity building assessment in the respective GMS country.
5	Selected GMS National Participants (5 TOT participants per GMS country)	Assist in training as TOT trainers and engage in dialogue on M&E policy areas with relevant government agencies in their respective countries
6	Senior Evaluation Officers(Vietnam) <i>(2 persons and IPDET Trained)</i>	Assist to spearhead and drive the ECD agenda for guiding/design and implementation of a more consistent, robust, and practical M&E system for their country based on international best practice.
7	Senior Evaluation Officer (Cambodia) <i>(2 persons and IPDET Trained)</i>	Assist to spearhead/drive the ECD agenda for guiding the design and implementation of a more consistent, robust, and practical M&E system for their country based on international best practice.
8	Senior Evaluation Officer (Laos PDR) <i>(2 persons and IPDET Trained)</i>	Assist to spearhead and drive the ECD agenda for guiding the design and implementation of a more consistent, robust, and practical M&E system for their country based on international best practice.
9	M. Mahalingam Senior Associate & Senior Trainer, CeDRE Malaysia	Design and implement M&E training programs and support to IM&E for TA program implementation
10	Jerome Winston Senior Associate & Senior Trainer, CeDRE Australia	Training on monitoring & evaluation, performance indicators, and performance measurement
11	Koshy Thomas, CeDRE Research Fellow / Ministry of Finance, Malaysia	Public sector M&E advisor & M&E resource person
12	D. Nadeson Senior Training Program Manger, CeDRE Malaysia	Program manager and technical support for training program
13	A. Lavania, Program Officer, CeDRE Malaysia	Administrative & logistics support for TA & training program

Attachment 3: Organizational Chart GMS Capacity Development for M&E



**Attachment 4: Consultants Schedule 2007–2009**

YEAR/Month Consultant		2007			2008												2009										Total Months		
		10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10		11	12
<b>International M&amp;E Specialist</b>																													
1	Dr Arunaselam Rasappan International Monitoring & Evaluation Specialist	—			—	—		—		—		—			—			—		—									6 months
<b>Local Consultants</b>																													
1	National Monitoring & Evaluation Specialist (Vietnam)				■	■	■		■		■		■		■		■		■		■		■		■		■	12 months	
2	National Monitoring & Evaluation Specialist (Cambodia)				■	■	■		■		■		■		■		■		■		■		■		■		■	12 months	
3	National Monitoring & Evaluation Specialist (Laos DR)				■	■	■		■		■		■		■		■		■		■		■		■		■	12 months	

**Key:** — = 2 weeks (intermittent)

■ = 1 month (intermittent)

**Note:** Time periods shown above are indicative only; adjustments may be made according to the progress of the TA and the requirements in the GMS Countries

## Attachment 5: Terms of Reference for Consultants/Entities

### 1. Monitoring and Evaluation Specialist (1 international, 6 person-months, intermittent)

Toward the activities and milestones indicated in the design and monitoring framework, and in cognizance of the lead and supporting roles specified in the indicative activities and staffing schedule, the international monitoring and evaluation (M&E) specialist (team leader) will undertake these tasks.

- i. Lead the strategic planning, coordination, implementation, and evaluation of the TA in consultation with the Asian Development Bank (ADB) and relevant stakeholders.
- ii. Set criteria for identifying and selecting the participating evaluation agencies and evaluation agency staff from developing member countries (DMC) of the Greater Mekong Subregion (GMS) Economic Cooperation program.
- iii. Assess training needs in M&E in each participating evaluation agency in the GMS DMCs.
- iv. Plan and design appropriate, integrated training programs at international, regional, and national levels to raise proficiency in tools, methods, and approaches for M&E.<sup>1</sup>
- v. Supervise the delivery of training at the Center for Development and Research in Evaluation (CeDRE) Malaysia, International Program for Development Evaluation Training (IPDET), and Shanghai International Program for Development Evaluation Training (SHIPDET) to raise proficiency in tools, methods, and approaches for M&E, including identifying and arranging relevant site visits.
- vi. Frame approaches and plan actions that the national M&E specialists will need to implement to extend to participating evaluation agencies advice on regulatory framework and institutional mandates, operational guidelines, as well as methodological standards to raise proficiency in formulating strategies and policies for M&E.
- vii. Frame approaches and plan actions that the national M&E specialists will need to implement in participating evaluation agencies to extend advice on analyzing existing M&E structures and practices, identifying major bottlenecks, and making policy recommendations to set long-term, consistent strategies for M&E.
- viii. Support actively the development of country strategies for M&E.
- ix. Manage the national M&E specialists and the trainers and facilitators from CeDRE Malaysia.
- x. Prepare and submit to ADB the inception report, work program, and monthly progress notes.
- xi. Prepare and submit to ADB the midterm, draft final, and final reports on the accomplishment of outputs of the TA.

### 2. Monitoring and Evaluation Specialists (3 national, 12 person-months each, intermittent)

Toward the activities and milestones indicated in the design and monitoring framework, and in cognizance of the lead and supporting roles specified in the indicative activities and staffing schedule, the national M&E specialists will undertake these tasks.

- i. Help the team leader in strategic planning, coordination, implementation, and evaluation of the TA.
- ii. Help the team leader set criteria for identifying and selecting the participating evaluation agencies and evaluation agency staff from GMS DMCs.
- iii. Help the team leader assess training needs in M&E in each participating evaluation agency in the GMS.
- iv. Transfer to the team leader knowledge useful in planning and designing appropriate, integrated training programs at international, regional, and national levels to raise proficiency in tools, methods, and approaches for M&E.
- v. Liaise with evaluation agency staff in each respective GMS DMC on all matters related to the training programs at CeDRE Malaysia, IPDET, and SHIPDET.

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<sup>1</sup> This entails reviewing for possible synergies the accomplishments under the Phnom Penh Plan. The Phnom Penh Plan is a human resource development initiative of the GMS Economic Cooperation program. It trains officials from six participating countries in strategic planning, project management, community mobilization, and other skills central to development management and good governance

- vi. Extend in each respective GMS DMC support toward surveys or case studies that participants may need to conduct in relation to the training programs.
- vii. Help the team leader in each particular GMS DMC to obtain case study material related to the training programs.
- viii. Help the team leader prepare relevant progress reports on the training programs and related matters.
- ix. Extend advice to participating evaluation agencies on regulatory framework and institutional mandates, operational guidelines, as well as methodological standards to raise proficiency in strategy and policy formulation for M&E.
- x. Extend advice to participating evaluation agencies on analyzing existing M&E structures and practices, identifying major bottlenecks, and making policy recommendations to set long-term, consistent strategies for M&E.
- xi. Help the team leader support actively the development of country strategies for M&E.
- xii. Help the team leader deliver on reporting requirements.

### **3. International Program for Development Evaluation Training**

Toward the activities and milestones indicated in the design and monitoring framework, and in cognizance of the lead and supporting roles specified in the indicative activities and staffing schedule, IPDET will undertake these tasks.

- i. In collaboration with CeDRE Malaysia, help the team leader and ADB set criteria for identifying and selecting evaluation agencies and evaluation agency staff from GMS DMCs that might benefit from participation in the training program at IPDET.
- ii. In collaboration with CeDRE Malaysia, help the team leader assess training needs in M&E in selected evaluation agencies of GMS DMCs.
- iii. Make available the teaching venues, including classrooms, discussion rooms, and lecture halls associated with IPDET, and cover related costs.
- iv. Provide essential teaching and translation facilities for the training program at IPDET.
- v. Organize and print teaching, training, and reference materials for the training program at IPDET.
- vi. Free up the administrative staff and teaching assistants needed to organize and implement the training program at IPDET.
- vii. Arrange accommodations for ADB-funded trainers, facilitators, and participants from the GMS DMCs.
- viii. In collaboration with CeDRE Malaysia, help the team leader promote and publicize the training program at IPDET through the internet.
- ix. In collaboration with CeDRE Malaysia, help the team leader plan and finalize the logistics of the training program at IPDET, including field trips.
- x. Enhance knowledge sharing and learning by means of the internet, in collaboration with the Asia-Pacific Finance and Development Center (AFDC) and CeDRE Malaysia.

### **4. Asia-Pacific Finance and Development Center**

Toward the activities and milestones indicated in the design and monitoring framework, and in cognizance of the lead and supporting roles specified in the indicative activities and staffing schedule, AFDC will undertake these tasks.

- i. In collaboration with CeDRE Malaysia, help the team leader and ADB set criteria for identifying and selecting evaluation agencies and evaluation agency staff from the People's Republic of China (PRC) that might benefit from participation in SHIPDET.
- ii. In collaboration with CeDRE Malaysia, help the team leader assess training needs in M&E in selected evaluation agencies of the PRC.
- iii. Make available the teaching venues, including classrooms, discussion rooms, and lecture halls associated with SHIPDET and cover related costs.
- iv. Provide essential teaching and translation facilities for the training program at SHIPDET.
- v. Organize and print teaching, training, and reference materials for the training program at SHIPDET.

- vi. Free up the administrative staff and teaching assistants needed to organize and implement the training program at SHIPDET.
- vii. Arrange accommodations for ADB-funded trainers, facilitators, and participants from the GMS DMCs.
- viii. Enhance knowledge sharing and learning by means of the internet, in collaboration with CeDRE Malaysia and IPDET.
- ix. In collaboration with CeDRE Malaysia, help the team leader plan and finalize the logistics of the training program at SHIPDET, including field trips.

## **5. Center for Development and Research in Evaluation, Malaysia**

Toward the activities and milestones indicated in the design and monitoring framework, and in cognizance of the lead and supporting roles specified in the indicative activities and staffing schedule, CeDRE Malaysia will undertake these tasks.

- i. In consultation with ADB, help the team leader set criteria for identifying and selecting the participating evaluation agencies and evaluation agency staff in the GMS DMCs.
- ii. Help the team leader assess training needs in M&E in each participating evaluation agency.
- iii. Identify and engage national M&E specialists in consultation with ADB.
- iv. On the basis of the training needs assessment, help the team leader plan and design integrated training programs at international, regional, and national levels.
- v. Liaise with the governments of the GMS DMCs in identifying and selecting from the particular GMS DMCs the participants for the training program.
- vi. Advise stakeholders of all preparatory actions and coordinate all logistics for the training programs at CeDRE Malaysia, IPDET, and SHIPDET.
- vii. Facilitate and coordinate the training programs at IPDET and SHIPDET.
- viii. Plan, implement, and complete the training program for the GMS DMCs at CeDRE Malaysia under the direction of the team leader.
- ix. Make available the teaching venues, including classrooms, discussion rooms, and lecture halls associated with the training program at CeDRE Malaysia.
- x. Provide essential teaching and translation facilities for the training program at CeDRE Malaysia.
- xi. Organize and print teaching, training, and reference materials for the training program at CeDRE Malaysia.
- xii. Free up the administrative staff and teaching assistants needed to organize and implement the training program at CeDRE Malaysia.
- xiii. Arrange accommodations for ADB-funded trainers, facilitators, and participants from the GMS DMCs.
- xiv. Carry out results-oriented evaluations of the training program, drawing on Tables A4.1 and A4.2, as well as an end-of-program evaluation with proposals and recommendations for follow-up actions.
- xv. Enhance knowledge sharing and learning by means of the internet, in collaboration with AFDC and IPDET.
- xvi. Lead web-based knowledge sharing and learning for M&E related to the training programs at CeDRE Malaysia, IPDET, and SHIPDET, including the establishment of a Results-Based Management Help Desk.
- xvii. Promote and conclude partnership arrangements for knowledge sharing and learning for M&E in GMS DMCs, in consultation with IPDET, SHIPDET, and evaluation associations.

## Attachment 6: Design & Monitoring Framework

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
<p><b>Impact</b></p> <p>Higher efficiency and effectiveness in providing public sector services, leading to poverty reduction</p>	<ul style="list-style-type: none"> <li>• Monitoring and evaluation (M&amp;E) systems are used to support budget decision making and performance-based budgeting.</li> <li>• M&amp;E systems are used to support national and sector planning.</li> <li>• M&amp;E systems are used to design policies and programs.</li> <li>• M&amp;E systems are used to assist sector agencies in management.</li> <li>• M&amp;E systems are used to strengthen accountability relationships.</li> </ul>	<ul style="list-style-type: none"> <li>• National and sector government data records</li> <li>• M&amp;E reports</li> <li>• Research program publications</li> </ul>	<p><b>Assumptions</b></p> <ul style="list-style-type: none"> <li>• The Asian Development Bank (ADB) can plan and deliver better support for evaluation capacity development, in congruence with international best practice.</li> <li>• Governments provide visible leadership for change, promote a clear sense of mission, encourage participation, and establish explicit expectations about performance and rewards.</li> <li>• Governments approach change management strategically and manage it proactively.</li> <li>• M&amp;E involves a critical mass of staff.</li> <li>• Organizational innovations are tried, tested, and adapted.</li> <li>• Quick wins are celebrated.</li> </ul> <p><b>Risks</b></p> <ul style="list-style-type: none"> <li>• Conflict with ongoing M&amp;E initiatives with government and donors</li> <li>• Lack of human security; armed conflict; economic policies that discourage pro-poor growth; weak scrutiny by the legislative branch of the executive branch; ineffective voice of intended beneficiaries; and corruption, clientelism, or patrimonialism do not provide a broadly enabling environment for M&amp;E.</li> <li>• Fragmented government with poor overall capacity; absent, non credible, and/or rapidly changing policies; unpredictable, unbalanced, or inflexible funding and staffing; poor public service conditions; segmented and compartmentalized organizations; or insufficient</li> </ul>

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
			commitment to an evaluation culture do not conduce to government effectiveness.
<p><b>Outcome</b></p> <ul style="list-style-type: none"> <li>Improved ranges of skills, resources and systems contributing for better performance in the evaluation agencies targeted—of results-based M&amp;E of country partnership strategies, sector strategies, policies, programs, and projects</li> <li>Draft strategy for ECD available</li> <li>Knowledge hub and networks established and functional</li> </ul>	<ul style="list-style-type: none"> <li>Increased use of evaluations and formal reviews conducted annually</li> <li>Number of evaluation agency staff working on M&amp;E (full-time equivalents)</li> <li>Draft strategy document</li> </ul>	<ul style="list-style-type: none"> <li>Agency M&amp;E reports</li> <li>TA completion report</li> <li>TA reports and review missions</li> <li>TA completion questionnaire</li> </ul>	<p><b>Assumptions</b></p> <ul style="list-style-type: none"> <li>Basic capacity exists and can be mobilized.</li> <li>The International Department of Finance of the PRC has a clear vision about the purpose of the TA, and how it is to be achieved.</li> <li>The role and use of M&amp;E in support of practices of knowledge management are understood.</li> </ul> <p><b>Risk</b></p> <ul style="list-style-type: none"> <li>Conflict with ongoing M&amp;E initiatives with government and donors</li> <li>Evaluation agencies underestimate the importance of national ownership and leadership of the evaluation process and of building national M&amp;E capacities.</li> </ul>
<p><b>Outputs</b></p> <ol style="list-style-type: none"> <li>Proficiency in M&amp;E is raised.</li> <li>Research and special studies on ECD are conducted.</li> <li>Knowledge sharing and learning for M&amp;E are boosted</li> </ol>	<ul style="list-style-type: none"> <li>Baseline ECD diagnosis conducted</li> <li>Senior evaluation agency staff trained internationally at IPDET</li> <li>Evaluation agency staff trained on ToT regionally</li> <li>Evaluation agency focal persons trained in M&amp;E</li> <li>Country strategies for M&amp;E formulated for GMS countries</li> <li>Enhanced platforms for sharing set up</li> <li>New and existing knowledge networks on</li> </ul>	<ul style="list-style-type: none"> <li>Agency M&amp;E reports</li> <li>Survey reports on M&amp;E</li> <li>TA completion report</li> <li>TA reports and review missions</li> <li>TA completion questionnaire</li> </ul>	<p><b>Assumptions</b></p> <ul style="list-style-type: none"> <li>TA activities integrate the chief lessons learned from evaluation of OED's interventions.</li> <li>Evaluation agency staff from GMS DMCs are available to be trained.</li> <li>Appropriate, integrated training programs can be planned, designed, or identified; and synergetic effects can be achieved.</li> <li>Training is conducted well and according to realistic schedules.</li> <li>The international M&amp;E specialist, the national M&amp;E specialists, and the selected evaluation agency staff coordinate activities effectively.</li> </ul>

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
	<p>M&amp;E set up and functioning</p> <ul style="list-style-type: none"> <li>• Partnership arrangements promoted and conducted</li> </ul>		<ul style="list-style-type: none"> <li>• The international M&amp;E specialist and the national M&amp;E specialists have client management skills.</li> <li>• The international M&amp;E Specialist, the national M&amp;E specialists, and the selected evaluation agency staff maintain clear roles, responsibilities, and deadlines.</li> </ul> <p>Risk</p> <ul style="list-style-type: none"> <li>• Conflict with ongoing M&amp;E initiatives with government and donors</li> <li>• The indicative activities and staffing schedule is too tight to permit productive sequencing of key activities.</li> </ul>

**Activities** (for milestones and timelines, please refer to the detailed work plan in Attachment 1)

1.0 Proficiency in M&E is raised.

1.1 Proficiency in tools, methods, and approaches for M&E is raised.

1.1.1 Training-of-trainers (ToT) is extended to selected evaluation agency staff from GMS DMCs.

1.1.2 M&E training is extended to selected evaluation agency focal persons in GMS DMCs.

1.2 Proficiency in strategy and policy formulation for M&E is raised.

1.2.1 Strengthen the foundations for M&E in GMS DMCs with advice on the regulatory framework and institutional mandates, operational guidelines, as well as methodological standards.

1.2.2 Assist in setting long-term, consistent strategies by analyzing existing M&E structures and practices, identifying major bottlenecks, and making policy recommendations.

1.2.3 M &E policy training at IPDET is extended to selected senior evaluation agency staff from GMS DMCs.

2.0 Research and special studies on ECD are conducted.

2.1 Formulation of country strategies for M&E is supported.

2.1.1 Prioritize participating DMCs based on demand for M&E.

2.1.2 Identify key ministries and other bodies, and their formal or stated functions and relationships.

2.1.3 Diagnose public sector incentives, ethics, and possible corruption, and determine incentives and rules systems that shape decision making.

2.1.4 Examine influences on budget decision making and line management and actual roles and extent of the autonomy of central and line ministries.

2.1.5 Examine the extent of influence of evaluation on budget decision making and line management.

2.1.6 Identify evaluation activities of central and line ministries and other organizations.

2.1.7 Identify evaluation activities and roles of development assistance agencies, and examine opportunities to build on them.

2.1.8 Identify major public sector reforms in recent years.

2.1.9 Map out opportunities and options to develop evaluation capacity.

2.1.10 Prepare realistic action plans for M&E.

2.2 A strategy for ECD is suggested.

2.2.1 Justify, research and analyse options for OED including (a) transferring all or some responsibility for ECD to other departments and offices in ADB, (b) scaling up by means of intensified collaboration with other departments and offices or a more targeted approach to operational departments, and (c) placing a stronger accent on ECD.

2.2.2 Recommend a strategic direction for ECD and its delivery design through a combination of (a) a demand for improved public sector performance, including its specific sources and characteristics; (b) restrictions on public sector performance and the development of effective evaluation of that performance, and (c) options that flow out of ADB's broad strategic, policy, and institutional context.

3.0 Knowledge sharing and learning for M&E are boosted.

3.1 Enhance selected knowledge sharing and learning platforms.

3.2 Extend advice on new and existing knowledge networks on M&E to evaluation agency staff from GMS DMCs.

3.3 Promote and conclude partnership arrangements with interested evaluation associations.