



Completion Report

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Capacity Development in Results-Based Monitoring and Evaluation for Countries under the Asian Development Bank's Central Asia Regional Economic Cooperation Program

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TECHNICAL ASSISTANCE COMPLETION REPORT

TA Number, Country, and Name: TA 7348-REG: Capacity Development in Results-Based Monitoring and Evaluation for Countries under the Asian Development Bank's Central Asia Regional Economic Cooperation Program		Amount Approved: \$500,000.00 (People's Republic of China Poverty Reduction and Regional Cooperation Fund) ¹	
		Revised Amount: Not Applicable	
Executing Agency: Asian Development Bank	Source of Funding: People's Republic of China Poverty Reduction and Regional Cooperation Fund	Amount Undisbursed: \$2,691.04	Amount Used: \$497,308.96
TA Approval Date: 17 September 2009	TA Signing Date: 17 September 2009	TA Completion Date	
		Original Date: 31 August 2012	Latest Revised Date: 30 June 2015
		Financial Closing Date: 31 March 2016	Number of Extensions: 2
TA Type: Capacity development TA		TA Arrangement: Regional	

Description

The Asian Development Bank's (ADB) Independent Evaluation Department (IED) has been supporting evaluation capacity development (ECD) in ADB member countries through technical assistance (TA) projects. This TA was aimed at strengthening the capacity of four Central Asia Regional Economic Cooperation (CAREC) countries—Kazakhstan, Kyrgyz Republic, Tajikistan, and Uzbekistan—for results-based monitoring and evaluation by supporting the participation of key government officials in the Shanghai International Program for Development Evaluation Training (SHIPDET) at the People's Republic of China's Asia-Pacific Finance and Development Institute (AFDI) in Shanghai.²

Expected Impact, Outcome, and Outputs

Expected impact. Institutionalized results-based monitoring and evaluation (M&E) systems to support managing for development results (MfDR) in selected CAREC countries.

Expected outcome. Improved capacity and awareness in results-based M&E, including self-evaluation, of relevant officials from key ministries responsible for planning, budgeting, and M&E in selected CAREC member countries.

Expected outputs. (1) ECD provided by the Shanghai International Program for Development Evaluation Training (SHIPDET); (2) analyses of surveys on client satisfaction with SHIPDET and intended use of the knowledge gained; (3) regional conference as an add-on to SHIPDET; (4) publication of various learning materials; (5) follow-on ECD; (6) analysis of knowledge use and state of M&E systems and capacities; and (7) M&E knowledge-sharing networks used and/or partnerships initiated.

Implementation Arrangements

ADB was the executing agency for the TA and the Independent Evaluation Department (IED) implemented the TA.

The TA was approved in 2009 and had a 3.5-year extension with a minor change in implementation arrangement to allow engagement of a national consultant based in Central Asia. The TA extension was sought to utilize TA savings to allow more DMC officials from the four DMCs to attend SHIPDET.

The total disbursement was \$497,308.96, with an unused amount of \$2,691.04. The TA utilized a total of 1.36 person-months of consultant inputs—originally planned at 1.6 person-months from international and national consultants—with 1.36 national consultants engaged (a CAREC national consultant) to administer the survey and prepare the evaluation of the SHIPDET program.

¹ Formerly PRC Regional Cooperation and Poverty Reduction Fund.

² The Shanghai International Program for Development Evaluation Training (SHIPDET) is co-sponsored by the People's Republic of China Ministry of Finance, the Asian Development Bank's (ADB) Independent Evaluation Department (IED), and the World Bank's Independent Evaluation Group, with the People's Republic of China's Asia-Pacific Finance and Development Institute (AFDI) acting as the host institution.

The TA was able to generate savings from the unutilized allocation for consultants engagement since IED did not engage a national consultant to provide logistical support nor an international consultant to conduct and facilitate the workshops, as originally planned in the TA design. This work was instead done by IED staff. The savings generated were used to finance additional participants to attend SHIPDET.

Conduct of Activities

The following activities were supported by the TA: (i) SHIPDET training for high- and mid-level officials responsible for planning, budgeting, and M&E activities in the four CAREC countries in 2009–2014; (ii) analyses of the surveys on client satisfaction with SHIPDET and intended use of knowledge gained prepared; (iii) a regional conference in 2009 as an add-on to the SHIPDET training to maximize the learning of participants; (iv) publication and dissemination of various learning materials in year 1 of the TA; (v) follow-on ECD after SHIPDET training was conducted in Bishkek in June 2014; (vi) analysis of how the knowledge gained on SHIPDET has been used and the state of the four countries' M&E systems and capacities; and (vii) M&E knowledge sharing networks and/or partnerships initiated.

Technical Assistance Assessment Ratings

Criterion	Assessment	Rating
Relevance	The TA complemented operations departments' evaluation initiatives in CAREC. SHIPDET provided a good background for the Central and West Asia Department's subsequent training on evaluation in Kazakhstan and Kyrgyz Republic. It supported ADB's 2007 harmonization action plan that sought to strengthen Uzbekistan's M&E capacities for poverty reduction. The TA also responded to the countries' specific M&E needs, e.g., providing an ECD opportunity to Tajikistan, which has a relatively developed environment for M&E and an M&E system that required strengthening. SHIPDET's restructuring of its training into two programs, by compressing the original 2-week course into a basic M&E course (core course) for mid-level government officials involved in project and program, and a policy-level M&E course (special topic course) for senior level officials, worked well. The seniority and job functions of participants could be matched with appropriate program contents.	Relevant
Effectiveness	Output 1: Participation of 167 government officials were funded to participate in SHIPDET in 2009–2014, compared with the target of 60 participants over the original 3-year implementation period (2009–2011). Output 2: post-workshop surveys on client satisfaction and intended use of knowledge gained were conducted at the end of each SHIPDET event and the findings were used in the assessment of the SHIPDET program at the end of the project. Output 3: a one-day regional conference on development evaluation was organized in 2009 as an add-on to SHIPDET to maximize the learning of participants. Output 4: SHIPDET course materials and summary of conference papers were translated into Russian, and disseminated to participants and IED staff, but were not published. Output 5: a follow-on ECD course on preparing project completion reports (PCRs) and self-evaluation and discussions with participants on the state of their countries' M&E systems were not implemented under the TA. Another ECD TA was prepared to address these issues. Output 6: a survey analysis on the application of the knowledge gained from SHIPDET, and participants' contribution to improving their respective organizations' M&E systems was prepared at the end of the project and informed this TA completion report. Output 7: participants were introduced	Effective

Criterion	Assessment	Rating
	to evaluation communities of practice, including the Asia-Pacific Community of Practice on Managing for Development Results as a knowledge-sharing platform. They were made aware of growing opportunities to connect with other evaluation organizations, including the Asia-Pacific Finance and Development Institute (AFDI), the ADB Independent Evaluation Department (IED), and the World Bank Independent Evaluation Group.	
Efficiency	TA outputs were delivered and TA resources were utilized as planned. TA savings were generated because some of the work was done by IED staff, and a national logistics consultant and international workshop facilitator were not engaged. A CAREC national consultant was engaged at the end of the project to conduct a survey to assess the SHIPDET program. The consultant reported that SHIPDET courses were well organized and managed. TA completion was extended by 3.5 years, which allowed the TA to deliver three additional SHIPDET programs, allowing more government officials to be trained.	Efficient
Overall Assessment	<p>The TA was successful in achieving the outcome of improved capacity and awareness in results-based M&E of relevant officials in key ministries responsible for planning, budgeting, and M&E activities in the four CAREC countries. M&E units were established in selected national and sector ministries in Kazakhstan, Kyrgyz Republic, Tajikistan, and Uzbekistan.</p> <p>Of the CAREC participants, 96% used the knowledge gained on M&E in their work to a large extent, and 55% to some extent, compared with the target of 50% of participants engaging fully on M&E. Additional M&E tasks were also performed by participants upon completion of the training course.</p> <p>The TA fell short in monitoring the baseline to determine the number of M&E staff in the agencies that were targeted. It was able to provide only limited information on this.</p>	Successful
Sustainability	Since 2007, the 4 CAREC member countries that participated in the TA have established M&E units, and the Kyrgyz Republic has crafted an evaluation policy. Some SHIPDET participants have taken up senior positions in their governments and survey respondents concluded that the M&E knowledge and skills obtained had helped improve their performance.	Likely sustainable

Lessons Learned and Recommendations

Design and/or planning	The DMF could have better reflected how the outputs, related activities, and inputs supported the TA objectives and outcomes. Overlaps between each output could have been reduced to ensure there was clarity in establishing baselines and monitoring progress. This would have added to the clarity of the results chain.
Implementation and/or delivery	While SHIPDET is a well-established training program, conducting capacity building programs at the country level would have led to more sustainable outcomes and had higher impact. The TA also lost an opportunity to develop a train-the-trainers program to deepen evaluation knowledge at the country level and improve sustainability. Succeeding TA projects on ECD should consider including country-level studies and capacity building activities to maximize their impact.

Knowledge building	<p>The TA lost an opportunity to capture tacit knowledge as well as to contribute to content building by limiting its activities to translating learning materials. These materials could have been consolidated and disseminated more widely.</p> <p>Post-workshop surveys to measure the impact of the outputs and use of acquired knowledge among the government officials were a very effective means of assessment. This approach is highly recommended for other knowledge sharing TA activities.</p>
Stakeholder participation	Participants' engagement was strong as the design of the program incorporated interactive sessions including opportunities to apply the evaluation skills learned such as through field visits.
Other lessons	A clear transition mechanism is needed between project officers to ensure that all TA-related activities are completed on time. Better documentation of the programs to ensure that no content is lost would improve the quality of delivery of ECD activities as well as contribute to the body of knowledge.

Follow-up Actions

A new ECD regional capacity development technical assistance that builds on the successes of its predecessors and incorporates the lessons learned.

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DESIGN AND MONITORING FRAMEWORK

Impact(s) Institutionalized results-based M&E systems to support MfDR in the four CAREC DMCs (by mid-2012)		
Results Chain	Performance Indicators with Targets and Baselines	Achievements
Outcome Improved capacity and awareness in results-based M&E (including self-evaluation and its important links to planning and budgeting processes) of relevant officials from key ministries responsible for planning, budgeting, and M&E activities in the four CAREC DMCs (by mid-2012)	<p>a. Results-based M&E units created and functional at the national level (in the four CAREC DMCs by mid-2012)</p> <p>b. Results-based M&E units created and functional at the local or sector level (in at least two of the four CAREC DMCs by mid-2012)</p> <p>c. At least 50% of the trainees who attended I engaged full-time in M&E functions (in the four CAREC DMCs by mid-2012)</p> <p>d. At least 50% of full-time staff members working at the national results-based M&E units provided with M&E-related training (in the four CAREC DMCs by mid-2012)</p> <p>e. At least 50% of line ministries' externally-funded projects assisted by the national results-based M&E units by helping monitor project progress, e.g., by providing M&E-related guidance and assisting in data collection or statistical analysis (in the four CAREC DMCs by mid-2012)</p> <p>f. At least 25% of line ministries' externally-funded projects assisted by the national results-based M&E units by helping prepare EA PCRs, e.g., by providing guidance, suggestions, or training on self-evaluation (in at least three of the four CAREC DMCs by mid-2012)</p> <p>g. At least 25% of line ministries' externally-funded projects assisted by the national results-based M&E units by helping prepare ADB PCRs, e.g., by providing assistance in data gathering or compilation (in at least three of the four CAREC DMCs by mid-2012)</p>	<p>a. <i>Achieved.</i> M&E units established in Kazakhstan, Kyrgyz Republic, Tajikistan, and Uzbekistan.</p> <p>b. <i>Achieved.</i> Respondents cited in the SHIPDET assessment report indicated that they were from line ministries. M&E units at the national level were established for Kazakhstan (Ministry of Economy and Trade), Kyrgyz Republic, Tajikistan (State Investment Committee, Ministry of Economic Development and Trade), and Uzbekistan.</p> <p>c. <i>Achieved.</i> SHIPDET participants surveyed indicated that they used the M&E knowledge gained in their work to a large extent and 41% to some extent. Additional M&E tasks were also performed by participants upon completion of the training course.</p> <p>d. <i>Partially achieved.</i> 168 participants were trained. There were no data on the staff of national M&E units I SHIPDET. The SHIPDET (2009-2014) evaluation report indicated that (i) Kazakhstan and Tajikistan confirmed M&E units were established in their respective ministries of economy; and (iii) those survey respondents who said M&E units were established in their agencies or organizations came from the Ministry of Economy, Ministry of Finance, and line ministries.</p> <p>e. <i>Partially achieved.</i> The TA did not adequately monitor the project portfolio of externally funded projects. Participants from the four CAREC countries were engaged in project monitoring (including data collection and analysis), project performance assessment, and evaluation of government projects, including externally funded projects. For most respondents, evaluation of projects and selection of state funded projects were the main responsibilities that allowed them to undertake M&E tasks.</p> <p>f. <i>Partially achieved.</i> The TA was not able to adequately monitor the portfolio of externally funded projects. 33 participants from the four CAREC countries participated in training on PCR and TCR preparation in Bishkek, Kyrgyz Republic on 10–13 June 2014.</p> <p>g. <i>Partially achieved.</i> There is a monitoring shortfall on the TA in establishing inputs to the portfolio of externally funded projects leaving data ambiguous. A PCR and TCR preparation workshop in Bishkek, Kyrgyz Republic held on 10–13 June 2014 targeted those government officials involved in executing, implementing, and completing ADB-supported projects. 33 officials participated.</p>

Results Chain	Performance Indicators with Targets and Baselines	Achievements
Outputs		
1. ECD provided by SHIPDET to high- and mid-level officials from key ministries, responsible for planning, budgeting, and M&E activities, in the four CAREC DMCs (in October 2009, 2010, and 2011)	1a. Five high- and mid- level government officials per DMC per year, totaling 20 officials from four CAREC DMCs per year, trained in M&E at SHIPDET (in October each year for 3 years— 2009, 2010, and 2011)	1a. <i>Achieved.</i> Six SHIPDET training programs were held over 6 years from 2009 to 2014. A total of 168 government officials were trained. 126 indicated their position title (83% were high- to mid-level government officials and 17% junior officials).
2. Analyses of the surveys on client satisfaction with SHIPDET and intended use of the knowledge gained prepared for 3 years of the TA (by March 2010, 2011, and 2012)	2a. Questionnaire for surveys on client satisfaction with SHIPDET and intended use of the knowledge gained prepared, translated into Russian, and distributed to TA participants at the end of SHIPDET (in October 2009, 2010, and 2011) 2b. Survey results used by a national consultant in preparing survey analyses for 3 years (by March 2010, 2011, and 2012)	2a. <i>Achieved.</i> Survey questionnaires on client satisfaction with SHIPDET, intended use of knowledge gained, and assessment and recommendations for future courses were prepared, translated into Russian, and distributed to participants at each SHIPDET event during the TA implementation period. 2b. <i>Achieved.</i> A TA consultant administered the survey and prepared the SHIPDET (2009–2014) evaluation, dated 22 June 2015 using participants' post-workshop feedback.
3. Regional conference conducted as an add-on to SHIPDET (in October 2009)	3a. A 1-day regional conference on development evaluation organized at SHIPDET by IED, in collaboration with AFDC (in year 1 of the TA, and to be organized again in years 2 and 3, depending on demand)	3a. <i>Partially achieved.</i> A one-day regional conference on development evaluation was organized in 2009 as an add-on to SHIPDET to maximize the learning experience of participants.
4. Publications and dissemination of various learning materials produced in year 1 of the TA (by mid-2010)	4a. Summary of SHIPDET course materials and summary of conference papers translated into Russian for distribution to the TA participants during year 1 of SHIPDET (October 2009) 4b. The Russian versions of the summary of SHIPDET course materials and summary of conference papers published and disseminated by IED in year 1 of the TA (by mid-2010) 4c. All conference papers published in English and disseminated by IED in year 1 of the TA (by mid-2010)	4a. <i>Achieved.</i> Course materials for the one-week SHIPDET core course on basic M&E were developed, translated to Russian, and distributed to participants during year 1 of the TA. Materials were updated annually prior to a workshop. 4b. <i>Partially achieved.</i> Course materials in Russian were disseminated. There is no evidence they were published more widely. 4c. <i>Partially achieved.</i> Conference materials in English were disseminated. There is no evidence they were published more widely.
5. A 2-3 day follow-on ECD provided after year 3 of SHIPDET participation (in mid-2012)	5a. A few-day follow-on ECD course prepared by an international consultant, focusing on (i) how to compose self-evaluation completion reports (including how to do real-time and impact evaluations) using sample case studies, and (ii) discussions with the TA participants on the state of M&E systems and capacities in their DMCs as well as actual use of the knowledge gained from SHIPDET to improve their DMCs' M&E systems—both the monitoring side and the self evaluation side—including how the findings and	5a. <i>Achieved.</i> A Training Workshop on the Preparation of Project and Technical Assistance Completion Reports was held on 10–13 June 2014, in Bishkek.

Results Chain	Performance Indicators with Targets and Baselines	Achievements
<p>6. Analysis of how the knowledge gained from SHIPDET has actually been used, with brief analysis of the state of the M&E systems and capacities, prepared for the four CAREC DMCs after year 3 of SHIPDET participation (in mid-2012)</p> <p>7. M&E knowledge sharing networks used and/or partnerships initiated (by mid-2012)</p>	<p>lessons from self-evaluation were integrated into the planning and budgeting preparation (in mid-2012 or within 8 months after year 3 of SHIPDET participation in October 2011)</p> <p>5b. Up to five high- and mid-level government officials who used to attend SHIPDET reselected by each of the four CAREC DMCs (totaling up to 20 combined) as the participants to attend the follow-on ECD course provided by the international consultant in a DMC to be selected as the training venue (in mid-2012).</p> <p>5c. The follow-on ECD course delivered by the international consultant to the above group of participants (in mid-2012)</p> <p>6a. Observations and focus group discussions held by the international consultant with other relevant key government officials (who were not former SHIPDET participants) in the DMC selected as the follow-on training venue (which will be used as a sample detailed country case) to find out more on the state of the DMC M&E system and capacity as well as the extent of actual use of the knowledge gained from SHIPDET to improve the M&E system (in mid-2012)</p> <p>6b. The data obtained above and from other sources used by the international consultant to prepare an analysis of actual use of the knowledge gained from SHIPDET to improve the M&E systems in the four CAREC DMCs, together with the state of their M&E systems and capacities, which will be used as input for the TA completion report (in mid-2012)</p> <p>7a. M&E knowledge-sharing networks (e.g., M&E CoP and MfDR CoP) used by TA participants (in years 2–3 of the TA by mid-2012)</p> <p>7b. Partnerships planned or initiated by the TA participants with other evaluation agencies or associations (in years 2–3 of the TA by mid-2012)</p>	<p>5b. <i>Partially achieved.</i> 32 CAREC participants attended PCR and TCR Training, 10–13 June 2014, in Bishkek, Kyrgyz Republic. However, it cannot be established whether the participants were previous SHIPDET trainees.</p> <p>5c. <i>Achieved.</i> IED staff and an international resource person conducted the PCR and TCR training on 10–13 June 2014, Bishkek, Kyrgyz Republic.</p> <p>6a. <i>Not achieved.</i> No focus group discussions were held. <i>Ex-post</i> survey questionnaires were sent to the SHIPDET and PCR training participants.</p> <p>6b. <i>Partially achieved.</i> Ex-post survey questionnaires received from the SHIPDET and PCR and TCR training participants were analyzed to give an indication of the state of their national M&E systems.</p> <p>7a. <i>Partially achieved.</i> SHIPDET trainees were introduced to knowledge sharing communities of practice, including the Asia-Pacific Community of Practice on Managing for Development Results as well as the International Program for Development Evaluation Training (IPDET) listserv where participants can exchange knowledge and share experiences in evaluation with other professionals around the world.</p> <p>7b. <i>Not achieved.</i> Establishment of partnerships (or initial activities in this direction) was not included in the post-event surveys. Participants were introduced to evaluation partner institutions, such as the PRC's Asia-Pacific Finance and Development Institute, the ADB Independent Evaluation Department, the World Bank Independent Evaluation Group, and the Centers</p>

Results Chain	Performance Indicators with Targets and Baselines	Achievements
		for Learning on Evaluation and Results (CLEAR Initiative).
Actual Key Activities with Milestones <ol style="list-style-type: none"> 1. Selecting participants from the four CAREC DMCs to attend SHIPDET Participants were relevant government officials involved in executing, implementing, and completing ADB-supported projects. 2. Providing and attending SHIPDET training, a regional conference, and a follow-on training workshop Six events were organized, including a follow-on training workshop. 3. Analyzing client satisfaction surveys Participants considered the SHIPDET training course to have been an excellent opportunity to gain theoretical and practical knowledge and to strengthen their M&E skills. 4. Translating summaries of conference papers and SHIPDET course materials into Russian Course materials were translated into Russian and distributed to the participants during the workshops. 5. Publishing and disseminating conference papers and the translated Russian versions of the summaries of conference papers and SHIPDET course materials Course materials in Russian were disseminated, but there is no evidence that they were published more widely. 6. Participating in M&E knowledge-sharing networks and developing partnerships Participants were introduced to knowledge sharing communities of practice, including as the Asia-Pacific Community of Practice on Managing for Development Results and IPDET. 7. Conducting observations and focus group discussions The 2015 SHIPDET evaluation report included an ex-post survey from past SHIPDET participants. 8. Analyzing how the knowledge gained from SHIPDET had been used to improve the M&E systems, together with the state of M&E systems and capacities, in the four CAREC DMCs A SHIPDET evaluation report was prepared in 2015 to gauge views on the effectiveness of the SHIPDET training course. 9. Preparing midterm and final reports One mid-term progress report and one SHIPDET evaluation report was prepared. 		
Actual Inputs Asian Development Bank: \$497,308.96		

ADB = Asian Development Bank, AFDC = Asia-Pacific Finance and Development Center, CAREC = Central Asia Regional Economic Cooperation, CoP = community of practice, CWRD = Central and West Asia Department, DMC = developing member country, DMF = design and monitoring framework, EA = executing agency, ECD = evaluation capacity development, IED = Independent Evaluation Department, IPDET = International Program for Development Evaluation Training, M&E = monitoring and evaluation, MfDR = managing for development results, PCR = project or program completion report, PRC = People's Republic of China, RM = resident mission, SHIPDET = Shanghai International Program for Development Evaluation Training, TA = technical assistance.

Source: Asian Development Bank.

TECHNICAL ASSISTANCE COST

Table A2.1: Technical Assistance Cost by Activity
(\$'000)

Item	Amount ^a	
	Original ^b	Actual
1. Consultants	23.9	2.9
2. Goods	000.0	000.0
3. Training, seminars, and/or conferences	434.4	494.4
4. Surveys	000.0	000.0
5. Miscellaneous TA administration	000.0	000.0
6. Pilot testing	000.0	000.0
7. Contingency	41.7	000.0
Total	500.0	497.3

^a Includes ADB-financed funds and/or ADB fully administered cofinanced funds.

^b Original estimated cost in the TA report.

Source: Asian Development Bank estimates.

Table A2.2: Technical Assistance Cost by Fund
(\$'000)

		People's Republic of China Poverty Reduction and Regional Cooperation Fund ^a (Fund 55)	
			Total Cost
1.	Original ^b	500.00	500.00
2.	Revised	0.00	0.00
3.	Actual	497.31	497.31
4.	Unused	2.69	2.69

^a Formerly People's Republic of China Regional Cooperation and Poverty Reduction Fund.

^b Original estimated cost in the TA report.

Source: Asian Development Bank estimates.