

The logo for the Asian Development Bank (ADB), consisting of the letters 'ADB' in a white serif font inside a black square.

## Evaluation Study

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Reference Number: SES: REG 2011-27  
Special Evaluation Study  
October 2011

# Managing for Development Results

Independent Evaluation Department

Asian Development Bank

## ABBREVIATIONS

ADB	–	Asian Development Bank
ADF	–	Asian Development Fund
AfDB	–	African Development Bank
APCoP- MfDR	–	Asia-Pacific Community of Practice on Managing for Development Results
BPMSD	–	Budget, Personnel, and Management Systems Department
CAPE	–	country assistance program evaluation
CeFB	–	country development effectiveness brief
COBP	–	country operational business plan
COMPAS	–	Common Performance Assessment System
CoP	–	community of practice
COSO	–	Central Operations Services Office
CPR	–	country portfolio review
CPS	–	country partnership strategy
DEfR	–	development effectiveness review
DMC	–	developing member country
DMF	–	design and monitoring framework
EPRS	–	enhanced poverty reduction strategy
IADB	–	Inter-American Development Bank
IED	–	Independent Evaluation Department
ISTS	–	information systems and technology strategy
IT	–	information technology
KRA	–	key result area
LTSF	–	long-term strategic framework
M&E	–	monitoring and evaluation
MDB	–	multilateral development bank
MDG	–	Millennium Development Goal
MfDR	–	managing for development results
MOPAN	–	Multilateral Organization Performance Assessment Network
OAS	–	Office of Administrative Services
OECD	–	Organisation for Economic Co-operation and Development
OECD-DAC	–	Development Assistance Committee of the Organisation for Economic Co-operation and Development
OIST	–	Office of Information Systems and Technology
P3M	–	project processing and portfolio management
PAM	–	project administration memorandum
PCR	–	project completion report
PPER	–	project performance evaluation report
PRS	–	poverty reduction strategy
PSMF	–	public sector management framework
SAPE	–	sector assistance program evaluation
SES	–	special evaluation study
SPD	–	Strategy and Policy Department
SPRU	–	Results Management Unit, Strategy and Policy Department
STI	–	Sustainable Transport Initiative
TA	–	technical assistance
TPER	–	technical assistance performance evaluation report
UK	–	United Kingdom

## NOTE

In this report, "\$" refers to US dollars.

### Key Words

adb, asia, asian development bank, corporate evaluation, development effectiveness, development results, managing for development results, results, results-based management

<b>Director General</b>	V. Thomas, Independent Evaluation Department (IED)
<b>Director</b>	H. Hettige, Independent Evaluation Division 2, IED
<b>Team leader</b>	M. Gatti, Senior Evaluation Specialist, IED
<b>Team members</b>	F. De Guzman, Evaluation Officer, IED R. Isidro-Cajilig, Evaluation Assistant, IED

**Independent Evaluation Department, SS-113**

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The guidelines formally adopted by the Independent Evaluation Department (IED) on avoiding conflict of interest in its independent evaluation were observed in the preparation of this report. In terms of consultant input, Thierry Senechal (institutional specialist), Bryn Campbell (evaluation specialist), and Magdalena Casuga (evaluation specialist) assisted as consultants in the preparation of the special evaluation study, while Ray Rist provided advice on the evaluation design and peer reviewed an early draft of the report. To the knowledge of the management of IED, there was no conflict of interest of the persons preparing, reviewing, or approving this report.

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## EXECUTIVE SUMMARY

This Special Evaluation Study (SES) follows from the recommendation of the Independent Evaluation Department's first (2007) Managing for Development Results (MfDR) assessment, which provided early feedback to help guide the evolution of MfDR within Asian Development Bank (ADB). It intends to make the findings available in advance of the Asian Development Fund Annual Consultation Meeting scheduled for December 2011, and to provide inputs into the comprehensive review of the corporate results framework that ADB management has planned for 2012.

Subsequent to the presentation of the overall assessment of the SES, remaining segments of the executive summary introduce the details of the MfDR agenda, elaborates on the key findings and lessons from areas of strength and weaknesses, and makes recommendations for further improvement of the MfDR process which would then lead to improvements in development effectiveness in developing member countries (DMCs). Some issues which need to be resolved after careful study are also presented for further deliberation and decision making.

### Overall Assessment

Given that MfDR mainstreaming activities are still ongoing, the primary evaluative focus of this SES is on the process and institutional changes within ADB stemming from the MfDR agenda, rather than on actual results on the ground, which would largely be premature at this stage. The SES rates ADB's efforts in mainstreaming the MfDR as *successful* based on a four scale rating system of (*highly successful, successful, partly successful, and unsuccessful*). This overall assessment stems from separate assessments of the evaluation criteria: relevance, responsiveness, and results orientation. Also based on a four scale rating system, ADB's efforts on mainstreaming MfDR are rated *relevant, responsive, and results oriented*—thus all criteria achieving the second highest tier of the scale, denoting good progress with some room for improvement.

The key findings and lessons of the evaluation are: (i) mainstreaming of the MfDR agenda within ADB has progressed, but there is the need for a follow up action plan, (ii) the development effectiveness review (DEfR) has evolved into a valued tool for reporting corporate results under the MfDR agenda, (iii) the paucity of systematic data updating efforts hamper the results orientation of ADB's country partnership strategies (CPSs) and projects, (iv) current reporting tools used at various layers do not adequately stress the later results chain links, which inhibits focusing on the achievement of results, (v) strategic approaches with government ownership will be needed to successfully inculcate MfDR agenda in DMCs, and (vi) progress on design and monitoring framework (DMF) quality improvement has been slow and would benefit from further attention.

The key issues emanating from the SES are: (i) there is a crucial disconnect between output analysis and outcome analysis in the DEfR, (ii) a number of factors are hindering the "percolation" of results up the results chain, (iii) the results orientation of several corporate sector/thematic plans is ambiguous, and (iv) inconsistent application of the new project classification system may be skewing results reporting at the higher MfDR layers.

### Evaluation Method

Being a process evaluation (rather than a performance evaluation), the SES covers the progress on mainstreaming of MfDR across a number of dimensions: key results areas, layers, tools, and results chain links. It relies on a number of study components, including (i) a progress

review of MfDR mainstreaming efforts, (ii) an assessment of MfDR achievement vis-à-vis the latest MfDR action plan, (iii) a comparator assessment of other development agencies, (iv) questionnaire surveys of key external stakeholders and internal MfDR stakeholders, and (v) key informant interviews (including from field visits to selected DMCs). Given the limited availability of performance data, the evaluation findings are partly based on client perceptions elicited through the two perception surveys.

### **Managing for Development Results Agenda**

ADB defines MfDR as “an approach focused on development of outcomes throughout the management cycle. It enables informed decision making by integrating a results focus across the four mutually-reinforcing core management functions:

- (i) defining outcomes and outputs with measurable indicators and time-bound targets, and agreeing on associated activities,
- (ii) allocating resources to agreed activities,
- (iii) implementing agreed activities and monitoring progress and targets, and
- (iv) evaluating performance against targets.”

Integral to effective MfDR is regular reporting to key stakeholders to increase accountability and promote learning.

Initially, MfDR was introduced in ADB in 1999 as a part of its commitment to enhance development effectiveness under the overarching goal of its Poverty Reduction Strategy. An ADB-wide working group laid the foundations for its results-based management in 2003. In the same year, the Results Management Unit (SPRU) was formally established in the Strategy and Policy Department to lead the ADB-wide effort to instill results-based management in ADB, with the aim of enhancing development effectiveness. Implementation of the results agenda was to be an ADB-wide responsibility with SPRU responsible for analyzing and facilitating the design and implementation of results management policies, actions, practices, and procedures. It is noted that while mainstreaming of MfDR has to be done in a phased approach because of its substantial resources requirement and the need to get ‘buy-in’ from both DMC clients and ADB management and staff, there is also a need to move into the next phase of MfDR—implementation on the ground to achieve development effectiveness. It is expected that the SES would shed light on the issues that need to be addressed in this regard.

ADB built its MfDR agenda on three pillars or key result areas (KRA): (i) development results at DMC level focusing on MfDR capacity in countries, (ii) results orientation at institutional level emphasizing institutional effectiveness and strengthening its own capacity to manage for development results, and (iii) contributions to MfDR as part of an effective global partnership.

**Strategy 2020 and the corporate results framework.** Emphasis on MfDR was given further impetus with the adoption of the long-term strategic framework 2008–2020 (Strategy 2020), which envisaged the development of a new corporate results framework to monitor the effectiveness of realizing its vision of an Asia and Pacific region free of poverty. A corporate results framework was prepared in 2008 containing baselines and intermediate targets set for 2012 to be used for steering the implementation of Strategy 2020. The corporate results framework consists of four levels:

- (i) **Level 1:** Asia-Pacific outcomes—tracks the development progress of the region through selected regional outcomes to which ADB contributes.



- (ii) **Level 2:** Contribution to country outcomes through key outputs—assesses its contribution to country and regional outcomes by aggregating key outputs delivered to DMCs through ADB projects.
- (iii) **Level 3:** Operational effectiveness—aims to improve the performance of ADB’s operational portfolio to increase its contribution to country outcomes and overall development effectiveness.
- (iv) **Level 4:** Organizational effectiveness—aims to capture progress in increasing efficiency in the use of internal resources and implementing reforms that are considered essential to maintain ADB as a relevant and results-oriented institution.

The corporate results framework strengthened the focus of operations on the key results of development effectiveness visualized under Strategy 2020. It also promoted a stronger culture of results and performance management within ADB. Reporting across the institution on the implementation of Strategy 2020 and its results framework is now being done through the DEfR. Country development effectiveness briefs are also being prepared as a tool for communicating to ADB’s stakeholders development contributions at the country layer.

**Action plans.** Earlier (2003–2005) there had been two initial MfDR action plans and the third formulated in 2006 was a time-bound MfDR action plan. In 2009, a new time-bound action plan was formulated covering the period 2009–2011 with the aim of fully transforming ADB into an organization where management routinely makes decisions based on results information. The SES’s assessment of achievement of the outcomes and outputs under the 2009–2011 action plan indicates that these were largely achieved.

## Key Findings and Lessons

**Mainstreaming of the MfDR agenda has progressed well to date, but there are still enough areas that need attention to warrant the preparation of a follow up action plan.** After 7 years from the introduction of the MfDR agenda, and 5 years since the approval of the first time-bound MfDR action plan, the SES considers that mainstreaming of the MfDR agenda has progressed well to date, but that there are still enough areas that need attention to warrant the preparation of a new action plan by SPRU. The new action plan could focus mainly on KRA 1 and parts of KRA 2, where there is still additional work to be done. The new action plan could emphasize more evaluation and learning from results in line with ADB’s MfDR definition and internationally-recognized MfDR principles. It is recognized that the next phase of the implementation of the MfDR agenda may have substantial resource implications as well.

**The DEfR has evolved into a valued tool for reporting corporate results under the MfDR agenda.** Over the course of the four DEfR issues published during 2007–2011, the report has proven its worth as a valued corporate results reporting tool. The fact that the DEfR report has moved from being simply a public accountability tool to also being an important internal planning document, which is integrated into the ADB’s high-level planning processes, is an additional factor demonstrating the utility of the tool. Given that other multilateral development banks such as World Bank and African Development Bank have followed ADB’s lead in developing corporate results reports, the DEfR represents an international “good practice.”

**The paucity of systematic data updating efforts hamper the results orientation of ADB’s CPSs and projects.** The SES noted the issue of lack of reliable data, including baselines, was noted as a factor in project DMF and CPS results framework quality. The challenge of identifying time-trend indicators that are regularly updated (preferably by in-country

partners) is a long-standing problem. Possible solutions covering both layers are: (i) avoid using indicators for which there is no baseline data, (ii) improve staff accountability and incentives for results framework preparation and monitoring, and (iii) support development of selected statistics often needed for monitoring and evaluation.

**Current reporting tools used at various layers do not adequately stress the later results chain links, which inhibits focusing on the achievement of results.** Greater results orientation implies paying attention to all the links in results chain. Reinforcing the monitoring of the later links (e.g., outcomes and impacts) of the results chain by better measuring their achievement would be a useful way of making the entire chain stronger and achieving greater results orientation at the each of the layers. As yet, there is insufficient evidence that the MfDR agenda has led to more outcome (and project impact) measurement. To facilitate this outcome orientation at the project layer, the Independent Evaluation Department will revisit the weights accorded to the various evaluation criteria to put more importance on downstream results (e.g., effectiveness and sustainability criteria), and focus more on project outcome (and to the extent possible impact) reporting. Looking forward, ADB may consider additional ways to appropriately measure all the links of the results chain, with a view to making the chain stronger.

**Strategic approaches with government ownership at the center will be needed to successfully inculcate MfDR agenda in DMCs.** DMC governments face a number of key challenges in increasing their understanding and use of MfDR, chief of which are absence of strong champions, lack of continuity due to political change, and lack of domestic demand for results-based management at different government levels. At DMC level, MfDR is not merely a technical or policy initiative, but a long-term and complex public sector reform process. It will encompass several administrative jurisdictions and political interests in matters such as accountability, participation and governance. The process also involves changing the attitudes of government staff and ideally fostering a results culture in the bureaucracy, and should be tailor-made to the given cultural, institutional, and political situation of each country. To align its MfDR strategy to DMC goals and objectives, ADB will need to be sensitive and respond to specific DMC needs, and to consider approaches to developing more comprehensive capacity development policies and tools. The Asia-Pacific Community of Practice on Managing for Development Results (APCoP-MfDR) and fledgling DMC communities of practice could play a valuable supportive role in this regard.

**Progress on project design and monitoring framework quality improvement has been slow and would benefit from further attention.** The project DMF was introduced in ADB in 1996, but despite this long gestation period, there appears to be continuing issues with DMF quality due to poorly formulated indicators, outputs, outcomes, and data sources. Although DMF quality still needs improvement, there has been a gradual improvement over the last 10 years. ADB is currently undertaking a number of actions to bolster DMF quality. These include establishment of internal quality control mechanisms, training on project DMF preparation, and revisions to the DMF guidelines. While the DMF is still a useful instrument, significantly more attention needs to be paid to training, quality control and management emphasis given to this instrument.

## **Key Issues**

**There is a crucial disconnect between output analysis and outcome analysis in the DEfR.** The different methodologies adopted for measuring/reporting outputs and measuring/reporting outcomes has resulted in a disconnect between these two result chain links in the DEfR's corporate layer reporting. Outputs reported may be a subset of the total outputs

expected from a project, which at times may reflect mainly physical outputs rather than difficult to achieve—non-tangible outputs. However, the DEFAR methodology uses as outcomes, evaluation ratings of effectiveness relating to all outputs in the project. If only the coverage/access-related outputs are achieved, but other outputs (e.g., quality, efficiency, sustainability) are not achieved, output measure may be high, while the outcome measure may be low for the same project.

**A number of factors are hindering the “percolation” of results up the results chain.** There are numerous layers of results-based information across all the MfDR layers and aggregating such information in an already crowded and decentralized results reporting system constitutes a challenge. In theory, results should be able to percolate up the results chain from project inputs up to the millennium development goals. In practice, however, this is not always possible due to a number of factors. First, there are still some unclear interlinkages between the various MfDR layers—particularly between the country/sector and corporate layers—that impede this movement. Second, there are attribution issues related to indicators at different layers that need to be taken into consideration. Third, there is the issue of how to aggregate disparate results indicators at different MfDR layers so as to provide a holistic but focused picture of results at the corporate layer. The interlinkages and attribution issues do not appear to have any ready solutions, although better information technology systems that allow easier reporting across MfDR layers could be part of the answer for the aggregation issue.

**The results orientation of several corporate sector/thematic plans is ambiguous.** Since 2008, ADB has initiated 10 corporate sector/thematic plans, of which seven have been finalized. However, there appears to be substantial variation in the structure and purpose of these plans. While some are action plans to divert resources to a certain sector or thematic area which needs more attention according to the corporate results framework, others appear to be frameworks within which sector/thematic operations can be designed and implemented. Some have a results framework with detailed information (Education) while others lack baseline data and expected indicators/targets (Financial Sector). In addition, many of the sector operational plans do not include commitments to report to Management on a regular basis. This does not conform to the MfDR agenda and does not facilitate alignment to the overall corporate results framework. Closer review of the purposes and the contents of these plans would help steer the ADB resources to the areas where they are most needed.

**Inconsistent application of the new project classification system may be skewing results reporting at the higher MfDR layers.** A good project classification system that is consistently applied is one of the fundamental building blocks of a sound results-based system. In January 2009, ADB implemented a new system with the intention of aligning project classification nomenclature to the new priorities set by Strategy 2020. The new project classification is reflected in all project related documents and at all stages of project development, with improved information on ADB contributions to development outcomes and impacts. However, there are definitional issues and overlaps in reporting the classification, which renders unclear actual ADB inputs provided to a particular sector or thematic area. In addition, the classification is the responsibility of individual operations departments without sufficient central oversight to ensure consistency with the interpretation made by other departments. An integrated classification system with central oversight for checking and controlling the quality of data entry is needed to improve the consistency of reporting to track the shift to core areas of operation and thematic priorities.

## Recommendations

On the basis of the evaluation findings, the following recommendations are made for Management consideration regarding the future mainstreaming of MfDR. More details on options for implementing recommendations are in paras. 141–144. It is recognized that several of these options have substantial resource requirements and sharing costs and efforts with other development partners would reduce the burden of cost to both DMCs and ADB.

### **Enhance the DMC capacity for MfDR through a strategic, phased engagement.**

There is still work to be done to build the MfDR skills base and develop MfDR systems in DMCs, as well as to foster the willingness and commitment to apply the skills to improve aid effectiveness. Strengthening DMC capacity will both balance and improve the sustainability of the MfDR efforts. Options for supporting DMC capacity building include: nurture in-country change agents, enhance sector and thematic assessments to define gaps in capacity, evaluate the success of the pilot-tested public sector management framework to build DMC capacity, encourage the APCoP-MfDR to strengthen its linkages with other international and regional networks, and encourage DMCs to embrace standards of good practice for gathering, monitoring, and sharing information with other stakeholders. These efforts should be seen as a public sector reform process requiring a long-term engagement, thus, ADB should be ready to stay engaged (para. 141).

**Improve the results orientation of the corporate sector and thematic plans by clearly defining their purpose and the means to monitor their achievement.** Further improvements and consistency among the sector and thematic plans is needed. It is necessary to be systematic in the preparation of these plans in terms of why a plan is needed, what its goals are and what direction they give to shifting resources or developing instruments to achieve these goals. They also need to specify what mechanism are built-in to monitor and steer them in the direction of their goal during the assigned time-frame and when they need to be reviewed and reformulated as needed. Options for improving results orientation are: adopting a consistent format both for the main text and result frameworks, and using advisory technical assistance projects and other economic sector work to identify and collect consistent cross-country baseline indicators in sectors/subsectors which do not have sufficient indicator coverage. In cases where a sector or thematic plan has no clear priority in terms of Strategy 2020, they could be downgraded to sector guidance notes or a framework within which operations could be designed taking into account best practice. Options for further improving the plans' role as a management tool include specifying the mechanism and timing by which the plans are reviewed, followed up and adjusted (para. 142).

**Improve the corporate results framework by (i) strengthening the links between outputs and outcomes and (ii) review its indicators to serve as a better tool to gauge development effectiveness.** There is currently a disconnect between the methodology adopted for measuring/reporting outputs and measuring/reporting outcomes. An option for addressing this situation is to report a wider range of outputs (including coverage/access, quality, efficiency and sustainability) that lead to project outcomes. In addition, the DEfR has evolved from just a reporting tool to an accountability tool. There is a need to identify those corporate layer indicators that would allow Management to have the most complete and holistic view of corporate results achievement across the broad spectrum of ADB's activities. Some indicators may be dropped and others may be added, however, the total number of indicators should be kept at a manageable level. Classes of indicators that should be considered for inclusion during the Management's comprehensive review of the corporate results framework are (i) indicators that could inform near-term decision-making, (ii) indicators to better track the

sustainability of ADB initiatives, and (iii) benchmark indicators that would allow an external view of how ADB has progressed in a sector/thematic area (para. 143).

**Improve the monitoring and reporting of outcomes and impacts at the country/sector and project layers to ensure greater results orientation.** A lesson from the initial mainstreaming of MfDR is that attention should be paid to results all along the results chain, with more attention given especially to measuring outcomes and impacts vis-à-vis measuring outputs and activities. At the country/sector layer, possible options for improving results orientation include (i) nominating SPRU staff as core peer reviewers of new CPSs and COBPs to improve quality control; (ii) adopting more systematic country/sector outcome monitoring during country portfolio reviews; and (iii) reinforcing the country development effectiveness briefs as a tool for reporting on ADB's contributions to country outcomes and outputs in specific sectors. At the project layer, possible (admittedly difficult) options include (i) putting in place a well-resourced system of post-project completion outcome monitoring, and (ii) undertaking more impact evaluations in selected sectors. At both layers, providing additional MfDR training to ADB staff to work toward the development effectiveness goal would be another new option (para. 144).

Vinod Thomas  
Director General  
Independent Evaluation Department



## I. INTRODUCTION

### A. Background

1. This special evaluation study (SES) has been prepared following the recommendation of the Independent Evaluation Department's (IED) preliminary managing for development results (MfDR) assessment<sup>1</sup> done in 2007, which sought to provide timely feedback and help guide the evolution of MfDR within the Asian Development Bank (ADB). It presents an independent evaluation of the mainstreaming of the MfDR agenda in ADB (a detailed description of the MfDR agenda is provided in Chapter II). The timing of the SES has been scheduled in order that study results will be available well in advance of the Asian Development Fund (ADF) Annual Consultation Meeting in December 2011, as well as to provide inputs into the comprehensive review of the ADB corporate results framework planned for 2012.

### B. Objective and Scope of the Evaluation

2. The main objective of the SES is to assess independently ADB's achievements in mainstreaming the MfDR agenda within ADB, with a view to track progress, identify lessons, and make recommendations for ensuring better development effectiveness of operations in the future. For the purposes of the study, the MfDR stakeholders include both in-country developing member country (DMC) clients as well as staff in headquarters. The period of coverage is from 1999 to 2010. However, some tables and appendixes provide more recent data.

3. In terms of scope, the evaluation covers the mainstreaming of MfDR across a number of dimensions, including vis-à-vis the (i) MfDR key result areas, (ii) MfDR layers, (iii) MfDR processes and tools, and (iv) results chain links. See Chapter II for further discussion of each of these aspects. Given that this is a corporate evaluation and MfDR mainstreaming activities are still ongoing, the focus is more on evaluating the process and institutional changes stemming from MfDR, rather than evaluating actual results on the ground. However, in some cases (e.g., for the assessment of achievements against the MfDR action plan) achievement of results has been assessed. Table 1 shows the coverage at each of the MfDR layers.

**Table 1: Coverage at Each of the Managing for Development Results Layers**

Layers	Areas Covered	Areas Not Covered and Reason
Corporate	Development Effectiveness Review (DEfR) reports	<ul style="list-style-type: none"><li>• The Private Sector DEfR—first report was issued only in late 2010 and unlike the DEfR, uses only a partial balanced scorecard.</li><li>• Departmental and divisional results-based workplans—these were issued late 2010, so still too early to evaluate them.</li></ul>
Country/Sector	Country Partnership Strategy (CPS) results frameworks	<ul style="list-style-type: none"><li>• Results frameworks in regional CPSs—these simply aggregate country CPSs in the region.</li><li>• CPS thematic roadmaps—these are no longer recommended to be prepared by the ADB Results Management Unit.</li></ul>

<sup>1</sup> ADB. 2007. *Brief Special Evaluation Study on Managing for Development Results in Asian Development Bank: A Preliminary Assessment*. Manila. IED's recommendation is also repeated in ADB. 2008. *Asian Development Fund X Donors' Report: Towards an Asia and Pacific Region Free of Poverty*. Manila.

<b>Layers</b>	<b>Areas Covered</b>	<b>Areas Not Covered and Reason</b>
Project or Program	Public sector project design and monitoring frameworks (DMFs) were evaluated using data from existing reports	Given that many studies on project or program DMFs have been undertaken by IED, COSO, and other departments, the SES assessments on DMFs mainly used secondary information.

ADB = Asian Development Bank, COSO = Central Operations Services Office, IED = Independent Evaluation Department, SES = special evaluation study.

Source: Managing for development results SES team assessments.

### **C. Approach, Methodology, and Limitations**

4. The SES's approach to performance assessment and rating is based on three evaluation criteria: relevance, responsiveness, and results orientation. This approach is in line with IED's previous corporate evaluations, such as the 2007 SES on Achievements of ADB's Long-Term Strategic Framework 2001–2015.<sup>2</sup> Given that MfDR mainstreaming activities are still ongoing, the assessment of MfDR strategic responsiveness took account only of MfDR action plan achievements up to mid-2011. The SES rates both at an aggregated level as well as at the criteria level ADB's performance in mainstreaming MfDR, and adopts four scale rating system (e.g., highly successful, successful, partly successful, and unsuccessful). The evaluation framework and the rating methodology are presented in Appendix 1.

5. In terms of methodology, the SES comprised a number of study components, including (i) a progress review of MfDR mainstreaming efforts, (ii) an assessment of MfDR achievement vis-à-vis the latest MfDR action plan, (iii) a comparator assessment of other development agencies, (iv) questionnaire surveys of key external stakeholders (e.g., DMC officials serving on the Asia-Pacific Community of Practice for MfDR [APCOP-MfDR]) and internal MfDR stakeholders, and (v) key informant interviews (including selected field visits to DMCs).<sup>3</sup> Given the limited availability of factual performance data, the evaluation findings are based partly on client perceptions elicited through the two perception surveys. To allow a comparison of progress over time, the ADB staff questionnaire survey was aligned with that of the 2007 preliminary MfDR assessment, which sought to provide timely feedback and help guide the evolution of MfDR within ADB.<sup>4</sup> The various sources used for each of the study components were triangulated to confirm the validity of the findings.

6. Two limitations were recognized in undertaking the evaluation:

- (i) The assessment of the MfDR project results orientation subcriteria relied on assessments of a selection of project completion reports (PCRs) and project performance evaluation reports (PPERs) prepared over the past 5 years,
- (ii) Given the wide scope of the MfDR agenda, the evaluation covered the key areas under the three MfDR layers, as shown in the last column of Table 1. Based on the reasons given, other areas were not covered.

### **D. Organization of the Report**

7. The rest of the report is organized as follows: Chapter II describes the MfDR agenda in detail, including initial mainstreaming activities, action plans and results frameworks, MfDR layers,

<sup>2</sup> ADB. 2007. *Special Evaluation Study on Long-Term Strategic Framework: Lessons from Implementation (2001–2006)*. Manila.

<sup>3</sup> A copy of the draft SES was shared with relevant departments and offices of ADB, and their comments were incorporated, where relevant.

<sup>4</sup> See footnote 1.



MfDR processes and reporting tools, and findings of previous evaluations. Chapter III assesses the relevance of the MfDR agenda to the current international consensus on results-based management, ADB's internal structure, high-level policies and strategies, the needs and priorities of ADB's DMCs, and stakeholders' perceptions. Chapter IV focuses on the effectiveness of ADB's strategic and organizational response to the MfDR agenda. Chapter V discusses how MfDR has influenced ADB's results at three MfDR layers: corporate, country/sector, and project. Chapter VI presents the overall assessment. Chapter VII presents the issues identified, lessons learned, and recommendations. Appendixes include additional information to support the main text. Further details are presented in supplementary appendixes, which are available upon request.

## **II. ADB'S MANAGING FOR DEVELOPMENT RESULTS AGENDA**

### **A. Definition of MfDR**

8. In recent years, several issues have emerged regarding the traditional manner of conducting developmental activities. One issue was that development assistance was too often delivered in a piecemeal manner and did not always respond to a given country's priorities, development strategies, and objectives. Another issue was that development efforts were often fragmented and unsustainable. Yet another issue concerned the perceived overemphasis on the funding of inputs and activities through resource transfers, losing sight of the achievement of broader development results or outcomes. In response to these issues, the MfDR agenda has emerged as an alternative "change management" approach that focuses on the whole results chain from inputs to impacts to improve decision making.

9. ADB defines MfDR as "an approach focused on development outcomes throughout the management cycle. It enables informed decision making by integrating a results focus across the four mutually reinforcing core management functions:

- (i) defining outcomes and outputs with measurable indicators and time-bound targets, and agreeing on associated activities,
- (ii) allocating resources to agreed upon activities,
- (iii) implementing agreed upon activities and monitoring progress and targets, and
- (iv) evaluating performance against targets."<sup>5</sup>

10. Integral to effective MfDR is regular reporting to key stakeholders to increase accountability and promote learning. Appendix 2 provides a brief overview of the MfDR agenda and its main principles.

### **B. Initial Mainstreaming of MfDR**

11. In June 2002, an International Roundtable on Better Measuring, Monitoring, and Managing for Development Results in which ADB participated, agreed that the multilateral development banks (MDBs) must progressively introduce results-oriented initiatives to improve their development effectiveness.<sup>6</sup> In 2003, ADB's President formed an agency-wide working group to consider how to advance results-based management in ADB.<sup>7</sup> This led to the adoption of the MfDR agenda.

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<sup>5</sup> ADB. Development Effectiveness and Results. <http://beta.adb.org/site/development-effectiveness/overview>

<sup>6</sup> Agreed upon at the International Conference on Financing for Development in Monterrey, Mexico, 2002.

<sup>7</sup> The then Operations Evaluation Department (OED) was a member of the group.

12. In 2003, the Results Management Unit (SPRU) was formally established in the Strategy and Policy Department (SPD) to lead the ADB-wide effort to instill results-based management in ADB, with the aim of enhancing development effectiveness. Implementation of ADB's results agenda was to be an ADB-wide responsibility, with SPRU responsible for analyzing and facilitating the design and implementation of results management policies, actions, practices, and procedures. In August 2004, ADB committed to an internal reform agenda aimed at improving its performance as a partner of its DMCs and as an MDB. The reform agenda was influenced by the enhanced Poverty Reduction Strategy (PRS)<sup>8</sup> and the Long-Term Strategic Framework (LTSF) (2001–2015).<sup>9</sup> The PRS adopted poverty reduction as ADB's overarching goal and laid out the framework for achieving it. Some concrete and quantified targets were set for the first time in ADB's history, e.g., the target that 40% of ADB's operations, needed to directly contribute to poverty alleviation. The LTSF outlined ADB's long-term goals and fundamental operating principles. Replenishment negotiations for the ADF (ADF IX in 2003–2004) provided the impetus for ADB to consolidate various ongoing and planned reform initiatives into a comprehensive institution-wide reform agenda.

13. MfDR was intended as an ADB-wide responsibility, with Management and all staff accountable for improving MfDR. ADB built its MfDR agenda on three pillars or key result areas (KRAs): (i) development results at the DMC level; (ii) results orientation at ADB's institutional level; and (iii) ADB's contributions to MfDR as part of a global partnership. KRA 1 was to focus on country capacity, i.e., ADB was to help its DMCs increase their understanding and use of MfDR through (i) a pilot projects funded through multidonor MfDR Cooperation Fund; and (ii) awareness-raising at the country layer including the formation of the APCoP-MfDR. KRA 2 was meant to emphasize ADB's institutional effectiveness and strengthen its own capacity to manage for development results, which was to be achieved through (i) results-based country partnership strategies (CPSs); (ii) a results-based approach at the project layer; (iii) improvement of results monitoring and reporting throughout its operations; and (iv) learning and development programs, practice notes, guidelines, as well as other publications on MfDR for its managers and staff. The last KRA was to focus on effective partnerships, including ADB's efforts to be an active participant in global partnerships on MfDR.

14. During this same period (2003–2004), ADB began to articulate how MfDR would be mainstreamed in ADB. Five broad outcomes were envisaged to be delivered: (i) improved operational policies and strategies, (ii) refined organizational processes and structure, (iii) reinforced knowledge management, (iv) improved human resources management and staff incentives, and (v) mainstreamed MfDR. Of these, mainstreaming MfDR was considered as a fundamental element. ADB subsequently committed to an MfDR framework in 2004, which was aimed at improving its performance as a partner of its DMCs and as an MDB. This was reflected in the 2004 Enhanced PRS,<sup>10</sup> which placed greater emphasis on MfDR and capacity development and included the first corporate-layer results framework.

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<sup>8</sup> ADB. 1999. *ADB's Poverty Reduction Strategy*. Manila.

<sup>9</sup> ADB. 2001. *Moving the Poverty Reduction Agenda Forward in Asia and the Pacific: The Long-Term Strategic Framework of the Asian Development Bank (2001–2015)*. Manila.

<sup>10</sup> ADB. 2004. *Enhancing the Fight Against Poverty in Asia and the Pacific: The Poverty Reduction Strategy of the Asian Development Bank*. Manila.

### C. MfDR Action Plans and Results Frameworks

15. **Initial MfDR action plans (2003–2005).** Two ADF IX reports (Tokyo, Lisbon)<sup>11</sup> contained the first two indicative MfDR action plans prepared by ADB. These action plans were organized around the three KRAs and were to be implemented based on the initial introduction of MfDR principles (pilot testing), followed by assessments of lessons learned (retrospective), before moving to full implementation (mainstreaming).<sup>12</sup> The rationale was to have an incremental and phased approach to facilitate learning, as the MfDR concept was expected to continue to evolve rapidly in the international setting. This gradualist approach was considered in line with similar approaches undertaken by other MDBs.

16. **Revised MfDR action plan (2006–2008).** Following an external assessment of MfDR in ADB,<sup>13</sup> a revised action plan<sup>14</sup> was formulated that aimed to make MfDR more systematically institutionalized within ADB through its wider use as a management tool in improving decision making. The action plan recognized that a central challenge in implementing MfDR was changing organizational behavior and culture. Three key lessons were noted: (i) efforts to mainstream MfDR approaches must move from the rhetorical to the practical; (ii) greater efforts must be made to mainstream MfDR approaches throughout ADB, which entails shared responsibilities; and (iii) reporting and acting on monitorable outcomes in the results frameworks must be done to better manage performance.

17. The revised action plan recognized that the “three-KRA approach” in the indicative action plans remained valid. However, it indicated the need to pursue selective and concrete steps to achieve the goals of MfDR’s three KRAs and to monitor and assess specific actions by departments and offices. To promote this process, ADB was to pursue a series of initiatives over the next 3 years: (i) strengthening direct Management guidance and supervision of MfDR; (ii) improving communications through a common language on the MfDR vision and processes specified in the revised MfDR action plan; (iii) strengthening learning and development programs on MfDR, particularly for senior staff to facilitate good practices; (iv) aligning the personnel development plan process and incentives with the adoption of MfDR techniques to empower staff to effect changes; and (v) institutionalizing good practices to contribute to a results-oriented culture through the progressive introduction of guidelines, systems, and tools. Figure A2 in Appendix 2 shows a conceptual diagram of the 2006 MfDR action plan.

18. **Strategy 2020 and the Corporate Results Framework (2008).** MfDR was given further impetus with the adoption of the LTSF 2008–2020 (Strategy 2020),<sup>15</sup> which envisaged the development of a new corporate results framework to monitor the effectiveness of realizing its vision of an Asia and Pacific region free of poverty. In parallel, the ADF negotiation process in which donors argued for an ADF Results Framework, which eventually led to an ADB-wide results framework (with an ADF subframework and targets) also lent an additional push. Following the adoption of Strategy 2020 and the results of ADF X negotiations, a corporate

<sup>11</sup> The *Tokyo Paper*. November 2003. Enhancing Effectiveness: Managing for Development Results; and The *Lisbon Paper*. February 2004. Managing for Development Results: Status Report on Action Plan.

<sup>12</sup> ADB. 2005. *Managing for Development Results in ADB—Brief to the Development Effectiveness Committee*. Manila.

<sup>13</sup> Universalia. 2005. *Independent Assessment of Managing for Development Results at ADB*. 25 November. [www.adb.org/Documents/Reports/Consultant/MfDR/Independent-Assessment-of-MfDR-at-ADB.pdf](http://www.adb.org/Documents/Reports/Consultant/MfDR/Independent-Assessment-of-MfDR-at-ADB.pdf)

<sup>14</sup> ADB. 2006. *Managing for Development Results in ADB: Revised Action Plan*. Manila.

<sup>15</sup> ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020*. Manila.

results framework was prepared in 2008<sup>16</sup> that contains baselines and intermediate targets set for 2012 to be used for steering the implementation of Strategy 2020.

19. By setting concrete quantitative and timebound targets in many areas, the corporate results framework was expected to strengthen the focus of ADB operations on key results. The results framework consists of four levels, summarized as follows: (i) Level 1: Asia-Pacific outcomes—tracks the development progress of the region through selected regional outcomes to which ADB contributes.<sup>17</sup> (ii) Level 2: Contribution to country outcomes through key outputs—assesses its contribution to country and regional outcomes by aggregating key outputs delivered to DMCs through ADB projects. (iii) Level 3: Operational effectiveness—aims to improve the performance of ADB's operational portfolio to increase its contribution to country outcomes and overall development effectiveness. (iv) Level 4: Organizational effectiveness—aims to capture progress in increasing efficiency in the use of internal resources and implementing reforms that are considered essential to maintain ADB's ability to remain a relevant and results-oriented institution.

20. The corporate results framework was expected to strengthen the focus of operations on key results of development effectiveness visualized under Strategy 2020. It was also expected to promote a stronger culture of results and performance management within ADB. Reporting across the institution on the implementation of Strategy 2020 and its results framework is now being done through the development effectiveness review (DEfR).

21. However, it was recognized that the corporate results framework, by itself, could not provide a complete picture of all aspects of development effectiveness, such as the contribution of ADB operations to regional and country outcomes. As such, the DEfR has evolved into an annotated corporate performance scorecard and is designed to provide examples from ADB's country operations in order to better explain ADB's contributions to outcomes. It has recently been supplemented by new country development effectiveness briefs (CEfBs) for individual DMCs, which help in providing a more complete picture of the results of ADB's operations.

22. **New action plan (2009–2011).** A new action plan was formulated in 2009<sup>18</sup> with the aim of fully transforming ADB into an organization where management routinely makes decisions based on results information. While the “three pillars” used in earlier plans were renamed “three key results areas,” the new action plan identified four areas requiring more attention: (i) Corporate results management—ADB needs to consistently apply results management to its decision making at the corporate, department, office, division, and staff levels in both operations and non-operations units and, in the process, clearly demonstrate the benefits of this approach. (ii) Design and use of MfDR tools at the country and project layers of ADB operations—ADB needs to continue refining the tools to ensure their quality and promote their wider use in decision making. (iii) Support for country systems to increase MfDR focus in development planning and implementation—ADB's support for capacity development in this area, including DMCs' statistical capacity development, requires better focus and coordination. and (iv) Communicating MfDR within ADB—Staff awareness of ADB's MfDR agenda remains inadequate. Paras. 72–83 and Table 5 provide an assessment of how well ADB has achieved to date the outcomes and outputs under the action plan.

<sup>16</sup> ADB. 2008. *ADB Results Framework*. Manila.

<sup>17</sup> A caveat is that these outcomes cannot be attributed to ADB alone and result from collective action of development partners over the long term.

<sup>18</sup> ADB. 2009. *ADB Action Plan on Managing for Development Results 2009-2011*. Manila.

## D. Processes and Tools at the Various MfDR Layers in ADB

23. **MfDR processes.** Figure 1 demonstrates the main MfDR processes and documents for each of the three MfDR layers. At the corporate layer, the process starts with annual data collection by a unit in SPD, followed by assessment of progress at corporate and departmental levels through heads-of-department meetings chaired by Managing Director General, formulation of an action plan responding to issues found, approval by Management, and discussion by the Development Effectiveness Committee of the Board, and the Board itself. After this, the implementation of the annual action plan kicks off and is monitored again through heads-of-department meetings, until the next cycle of data collection and assessment kicks off. At the country/sector layer, the design process starts with preparation of sector and thematic assessments, followed by the CPS initiating paper, preparation of the CPS covering 3–5 years followed by annual country operational business plans. Monitoring of country results is undertaken during the annual country portfolio review (CPR) missions, while evaluation is via the CPS final review (self-evaluation) and country assistance performance evaluation (CAPE),<sup>19</sup> and sector assistance performance evaluation (SAPE) reports (independent evaluation). Similarly, at the project layer, the design process starts with the preparations of a project concept paper, followed by the report and recommendation of the President. In the monitoring phase, the project administration memorandum describes how the executing agency will manage the project implementation and actual project results are monitored by the new project processing and portfolio management (P3M) system. Evaluation is via the PCR (self-evaluation) and the PCR validation and PPER (independent evaluation). Although not shown in the figure, there are feedback loops from the evaluation stage back to the planning/design stages of each of the latter two MfDR layers.

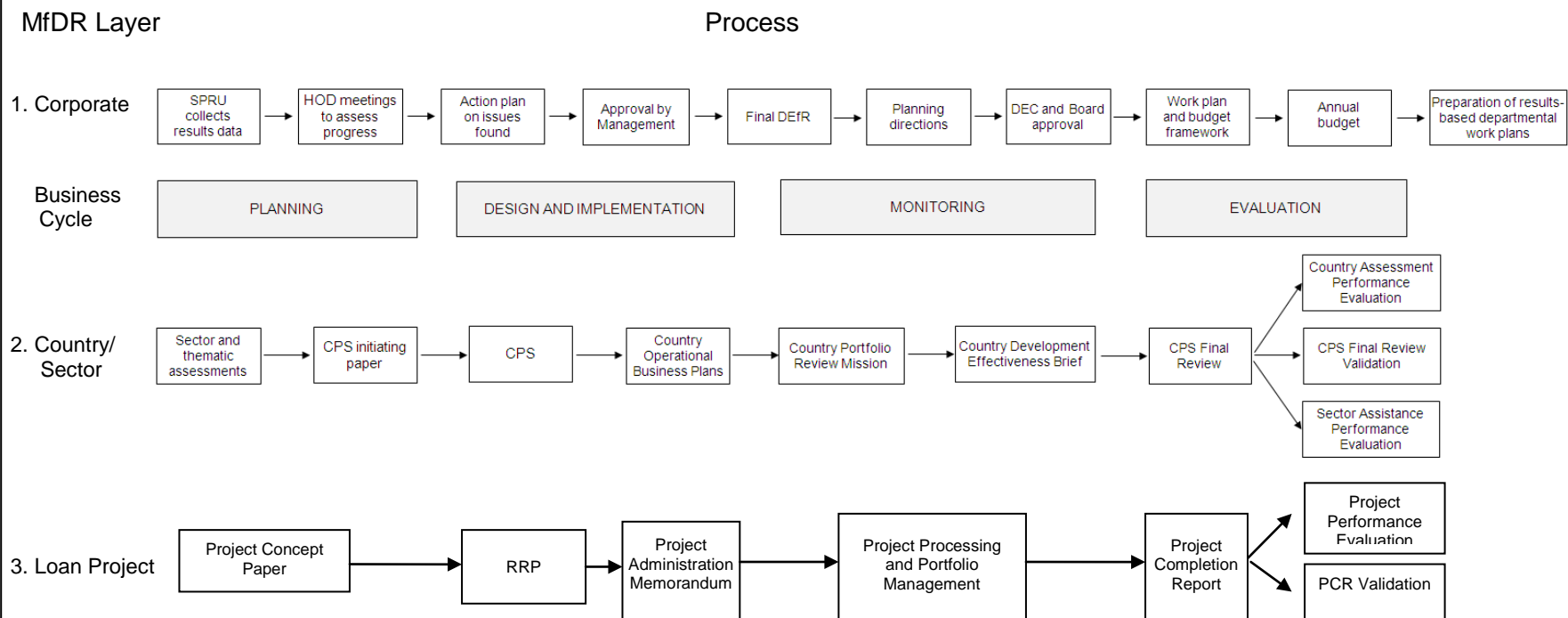
24. **MfDR design, monitoring and reporting tools.** In ADB, the MfDR agenda is implemented across three main layers: corporate, country/sector, and project. The following are the main design, monitoring, and reporting tools, with a description of their main features and application to MfDR:

- (i) **Results framework.** A type of logical framework used in the design, monitoring, and reporting of strategies, policies, country programs, and sector programs that presents outcomes, outputs, and related performance targets. Currently used at the corporate layer in the corporate results framework and for some sector and thematic plans. Also used at the country/sector layer in the CPS country results framework and the CPS sector road map(s). Use at the CPS evaluation stage is more limited than at the CPS formulation stage.
- (ii) **Design and monitoring framework.** A type of logical framework used in the design, monitoring, reporting and evaluation of projects and programs. Similarly to the results framework, it presents outcomes, outputs, and related performance targets, but in addition includes assumptions and risks. Currently mainly used at the project layer starting with the project concept paper and going through the entire project cycle to the project evaluation stage. Also used at the corporate layer for some sector and thematic plans.
- (iii) **Performance scorecard.** This tool graphically represents the progress over time of an entity (such as an enterprise or business unit) towards some specified goal(s). An essential component of the balanced scorecard methodology. Currently used in the corporate layer for reporting results in the DEFIR.

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<sup>19</sup> In some cases, the CAPE is replaced by a CPS final review validation report.

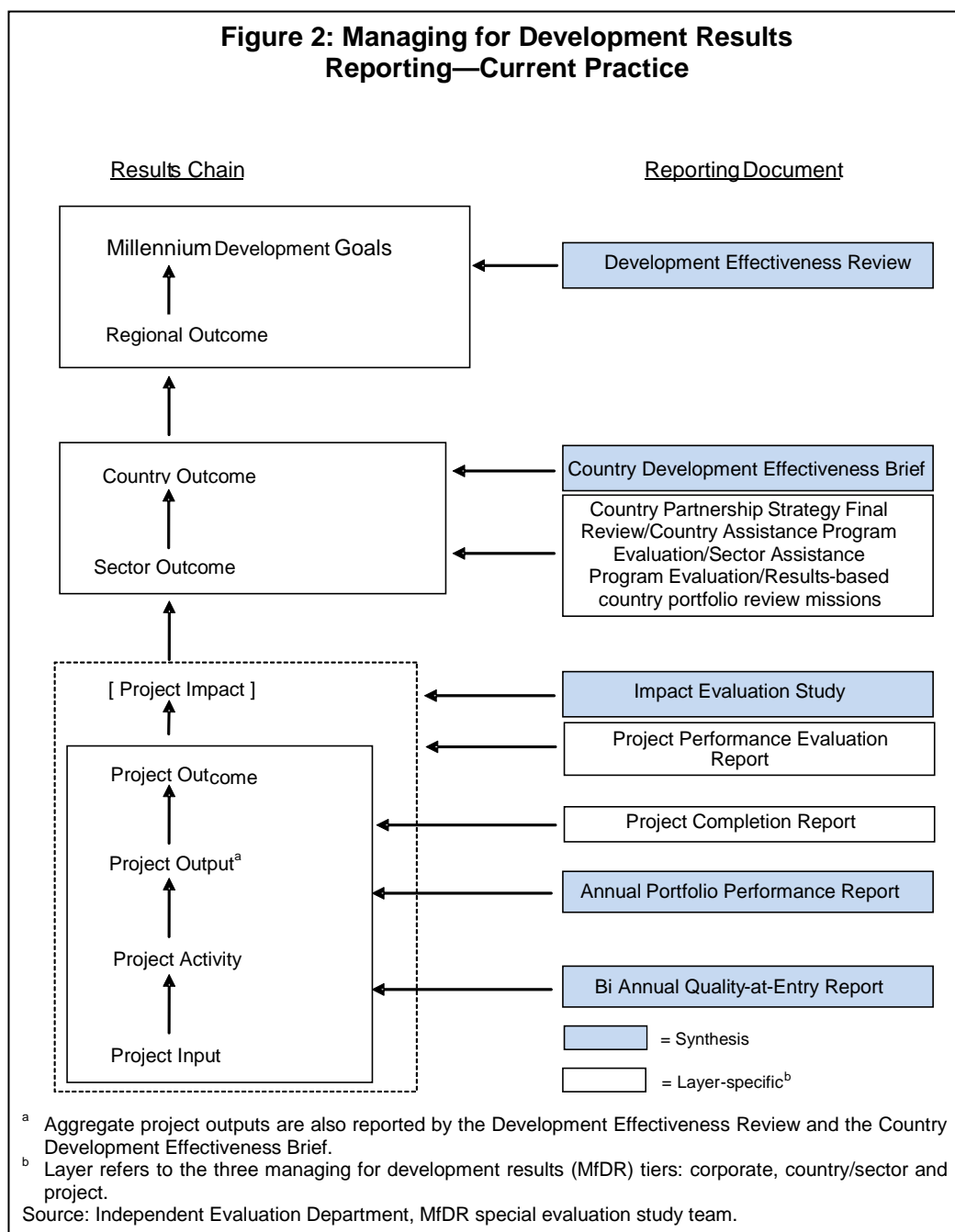
**Figure 1: Main MfDR Processes and Documents by MfDR Layer**



CPS = country partnership strategy, DEC = Development Effectiveness Committee, DEfR = development effectiveness review, HOD = head of department, MfDR = managing for development results, RRP = Report and Recommendation of the President.

Source: Independent Evaluation Department, based on MfDR special evaluation study team assessments.

25. **Main MfDR reporting documents.** Figure 2 shows ADB's current MfDR reporting arrangements along the various MfDR layers and links in the results chain. It also shows the main reporting tools used at the various layers, including synthesis reports (in shaded boxes), which aggregate the results at each of the various layers, as well as layer-specific reporting tools (non-shaded boxes). The reporting at the corporate and project layers appears to be appropriate, with regular reporting of results via DEfR and the various project-layer reporting tools. At the country/sector layer, results are reported via the CEfB and the layer-specific tools (country strategy and program final reviews, CAPEs, SAPEs, and results-based country portfolio review missions).



26. In theory, actual results should be able to percolate up the results chain from project inputs up to the Millennium Development Goals (MDGs). In practice, however, this is not always possible due to a number of factors, including unclear interlinkages among the MfDR layers, attribution issues related to indicators at different layers, and aggregation issues. See further discussion and assessment of the results reporting in para. 51.

## **E. Findings from Other Evaluations**

27. There have been two evaluations of ADB's MfDR efforts to date. The first was undertaken by a private consulting firm in 2005 and sought to independently evaluate ADB's efforts to mainstream MfDR up to that time (footnote 13). Overall, the assessment found that ADB had made significant progress in starting the MfDR mainstreaming process. Eleven recommendations were made focusing on improving ADB's strategic leadership for implementing MfDR, organizing MfDR at ADB, and restructuring SPRU to better undertake its assigned tasks.

28. The second evaluation was an SES undertaken by IED in 2007 (footnote 1). Overall, the study found that ADB's progress and difficulties in implementing MfDR were generally comparable to those of other MDBs. The study recommended that ADB significantly increase its efforts and place more emphasis on changing established practice in order to achieve full implementation ahead of the planned timeframe. ADB Management broadly agreed with the SES findings, but opted for a more modest increase in efforts, which it considered was a pragmatic response in line with ADB's administrative capacity and resource constraints. Appendix 3 provides more details about these two evaluations. Comparison of current ADB staff perceptions of MfDR vis-à-vis the perceptions at the time of the 2007 SES are shown in the responsiveness section (see Tables 6, 7, 8 and 9 and related text). Follow-up on the findings of the first evaluation is further discussed in para. 102.

## **III. RELEVANCE**

29. Relevance is defined as the extent to which the MfDR agenda is aligned with external stakeholders' interests, as well as its appropriateness to ADB's internal context. The MfDR agenda's relevance is evaluated using three subcriteria: (i) conformity with the international aid effectiveness consensus; (ii) consistency with ADB's high-level policies and strategies, and internal consistency of the MfDR agenda; and (iii) alignment with the needs of DMCs and stakeholders' perceptions. Assessment and rating of the above subcriteria are shown in Table 4 at the end of the chapter.

### **A. Conformity of MfDR with the International Aid Effectiveness Consensus**

#### **1. Conformity with the International Agenda and Donors' Requirements**

30. **Consistency with the international aid effectiveness agenda.** The approach adopted by ADB on MfDR conformed well to the current consensus on aid effectiveness. Past evaluations pointed out that in most MDBs relatively little progress had been reported on implementation of donors' commitments on "managing for development results" until 2008. However, significant progress has been made in the last 3 years, including by ADB. Indeed, between 2005 (Paris Declaration) and 2008 (Accra Agenda for Action), many donors had a tendency to overlook MfDR and emphasize more alignment, harmonization, or ownership of



aid.<sup>20</sup> A lack of clarity of the MfDR concepts, unclear definitions and understanding, and difficulties in finding common ground on indicators, data sources, and use of national systems made it difficult for donors to adopt MfDR approaches.<sup>21</sup> However, the post-Accra years showed strong progress in implementing MfDR, which gained considerable prominence within MDBs and bilateral organizations. ADB took the lead in implementing its aid program in a way that focused on outcomes and results-oriented reporting.

31. Many persons interviewed noted that ADB has contributed to the dialogue on aid effectiveness in many ways. For instance, ADB has been working closely with the development community to enhance aid effectiveness, thus playing a key role in various international forums, including the one that drew up the Paris Declaration and the follow-up held in Accra in 2008. Moreover, in its effort to align its MfDR agenda to the consensus on aid effectiveness, ADB conducted four specific surveys for monitoring progress on the MfDR and aid effectiveness agendas between 2007 and 2010.<sup>22</sup> The 2010 survey report<sup>23</sup> concluded that ADB as a whole continued to meet most targets on aligning aid with national priorities, coordinating technical assistance (TA), using country public financial management systems, reducing parallel project implementation units, and increasing joint missions.

32. **Consistency with ADF donors' requirements.** The introduction of ADB's MfDR agenda fully complied with, and expanded upon, the roles envisaged by the donors and associated requests. The ADF, which has been replenished nine times since it was established in 1973, has become a central instrument of the international community for reducing poverty in the Asia and Pacific region. At the same time, the replenishment negotiations have become an opportunity for donors to voice specific concerns and requests, in particular on the results front.

33. Indeed, in the early 2000s, MfDR became very high on donors' agenda to trace the performance of committed funds and to build sustaining transparent and accountable strategies. During the last two replenishments (2004 and 2008), the donors have urged ADB to embark on a series of reforms. The ADF IX replenishment negotiations covering the 4-year period from 2005 to 2008<sup>24</sup> created the need to introduce results-based frameworks and tools. For instance, ADB had created a MfDR website in 2003. In 2004, a Results Management Unit was set up to lead the implementation of the results culture at ADB. Various action plans and key documents established the foundation of MfDR at ADB in the 2000s (refer to Appendix 4 for the list of all MfDR tools implemented at ADB across the MfDR layers).

34. ADB's compliance with donors' requests is considered satisfactory (Table 2). When donors recommended in their 2004 report<sup>25</sup> that ADB nurture a strong results culture across the organization involving staff at all levels under the leadership of senior Management, ADB's response was immediate with the release of an MfDR action plan and a strategic Reform

<sup>20</sup> Universalia. 2005. *Independent Assessment of Managing for Development Results at ADB*. 25 November. See also ADB. 2007. *Brief Special Evaluation Study on Managing for Development Results in Asian Development Bank: A Preliminary Assessment*. Manila.

<sup>21</sup> Synthesis Report on the First Phase of the Evaluation of the Implementation of the Paris Declaration, Copenhagen, July 2008.

<sup>22</sup> The surveys included: Implementation of the Paris Declaration in ADF Countries (August 2007); Asian Development Bank's Progress on the Paris Declaration: Results of the 2008 Survey (April 2009); Asian Development Bank's Aid Effectiveness Report 2009 and the Way Forward (February 2010); and Asian Development Bank's Progress on Aid Effectiveness: 2010 Update (April 2010).

<sup>23</sup> ADB. February 2010. *Asian Development Bank's Progress on Aid Effectiveness: 2010 Report*. Manila.

<sup>24</sup> ADB. May 2008. *Asian Development Fund X Donors' Report: Towards an Asia and Pacific Region Free of Poverty*. Manila.

<sup>25</sup> ADB. June 2004. *Asian Development Fund X Donors' Report: Development Effectiveness for Poverty Reduction*. Manila.

Agenda announced to staff at a special assembly held on 14 June 2004. The 19 interrelated initiatives of the reform agenda aimed to enhance ADB's capability to manage its resources and activities to ensure that its products and services contribute to desired outcomes at the country layer. The year 2003 also saw major milestones in the MfDR agenda, including the creation of a dedicated Results Management Unit within SPD and the development of new tools for measurement of outcomes against clear baseline data.

**Table 2: Donors' Requests vis-à-vis MfDR at ADB**

Item	Details of Request
Focus	<p>Donors requested that ADB be clear about the ramifications of its overarching goal of poverty reduction and how, within that broad mandate, selective and focused programs can be developed and sustained.</p> <p>Donors encouraged ADB to improve its results-focus, including developing and disseminating operational definitions of results and incorporating a results-oriented approach into its CSPs and CSPUs. Results indicators should be harmonized with those of other MDBs to ensure comparability across institutions.</p>
Measurement	<p>Donors requested ADB to continue improving systems for monitoring, measuring, and managing ADF operations. Supported by strong internal monitoring systems and an independent Operations Evaluation Department, measurable results are central to managing ADF IX.</p> <p>Donors stressed the importance of measurable outcomes and clear baseline data. All projects should include logical frameworks with quantified output and outcome indicators and a clear timetable for their achievement.</p> <p>Donors indicated that results frameworks should have interim targets and be designed to ensure that the results of grants and loan projects can be clearly measured.</p>
Accountability	<p>Donors noted that, in a transparent and effective organization, all parties must be clear about roles, responsibilities, and accountabilities.</p>
Merit-based culture	<p>Donors, highlighting the principle of accountability, stressed the need for ADB to reward staff for behaviors that contribute to organizational and poverty reduction goals.</p> <p>Donors noted that the current incentive structure is weighted towards new lending; they suggested that ADB reorient incentives towards implementation and development outcomes.</p>

ADB = Asian Development Bank, ADF = Asian Development Fund, CSP = country strategy and program, CSPU = country strategy and program update, MDB = multilateral development bank.

Source: ADB. May 2008. *Asian Development Fund X Donors' Report: Towards an Asia and Pacific Region Free of Poverty*. Manila.

35. The ADF X replenishment covering the 4-year period from 2009 to 2012 has been an opportunity for donors to reiterate their vision on aid effectiveness.<sup>26</sup> ADB's results framework was an achievement that could be attributed in many ways to the ADF donor negotiation process. During ADF X negotiations, for instance, donors stressed that ADB had to become a results-focused organization if it is to succeed in supporting nationally driven environmentally sustainable economic growth, inclusive social development, and good governance in the Asia and Pacific region. They stressed that fully institutionalizing MfDR in ADB and changing incentives for achieving development outcomes remain important parts of the unfinished reform

<sup>26</sup> ADB. May 2008. *Asian Development Fund X Donors' Report: Towards an Asia and Pacific Region Free of Poverty*. Manila.

agenda. ADB management was specifically requested to build on past experience and draw on its inherent strengths to meet the institutional challenges remaining and to continue to work to maximize ADF's development impact.

36. **Alignment of ADB's MfDR agenda to standard definitions and principles.** This SES considers the operational implications of the MfDR definition and MfDR principles as relevant to ADB's practices. As described in Appendix 2, para. 5, the origin of these principles was established at the Second Roundtable on Results in Marrakech in 2004. They are (i) dialogue on results at all phases of the development process; (ii) aligning programming, monitoring, and evaluation with results; (iii) keeping measurement and reporting simple; (iv) managing for, not by, results; and (v) using results information for learning and decision making. These MfDR core principles today form the foundation of MfDR at ADB. It should be noted that the definition of MfDR established in Marrakech has been sharpened through discussions among international donors, coordinated by Development Assistance Committee of the Organization for Economic Co-operation and Development (OECD-DAC, Global Partnerships on MfDR). Being applicable at all ADB levels and within a variety of interventions (national, sector, program, project, and organization), they influence the use of specific strategies and tools at various phases of national and development programming. However, it should also be noted that at present SPRU's definition of MfDR (para. 9) does not reflect the use of results for learning and decision making. Table 3 summarizes the alignment of ADB's MfDR processes for each MfDR principle.

**Table 3: Alignment of ADB's MfDR Processes for Each MfDR Principle**

MfDR Principles <sup>a</sup>	MfDR Attributes of Best Practice	ADB's Process	Alignment to MfDR Principle <sup>b</sup>
Principle 1. Focus the dialogue on results	Focus the dialogue on results. At national level: countries to identify clear national outcomes and indicators for results At sector layer: Design projects contributing to national outcomes At corporate layer: Create results-based country assistance strategies	Principle 1 is best reflected in the results-focused DEfR process and discussions of DEfR findings with the ADB Board and Board of Governors during the ADB Annual Meeting. Extensive consultations with Asian Development Fund donors during replenishment discussions. All country partnership strategies (CPSs) are now results focused. Community of practice to facilitate dialogue.	Highly aligned
Principle 2. Align actual programming and monitoring and evaluation (M&E) with the agreed upon expected results	M&E to be used to ensure long-term progress towards results	All project design and monitoring frameworks, CPS results frameworks include targets. Definition of baseline targets in place. Moreover, both CPS preparation and the country portfolio review exercise involve dialogue with DMCs and are results focused.	Highly aligned

MfDR Principles <sup>a</sup>	MfDR Attributes of Best Practice	ADB's Process	Alignment to MfDR Principle <sup>b</sup>
Principle 3. Keep measurement and reporting simple	Keep the results reporting system as simple, cost effective, and user friendly as possible. Country-defined indicators and institutional performance indicators are SMART (specific, measurable, achievable, relevant, and time bound) Reporting creates efficiencies and effective communication between the stakeholders	Overall reporting via the on results development effectiveness reviews and country briefs Strong results framework and scorecard. Consistent with Principle 3, ADB directs staff to use SMART indicators in all results frameworks, and uses streamlined CPS and sector results frameworks.	Highly aligned
Principle 4. Manage for, not by, results, by arranging resources to achieve outcomes	Planned outcomes are defined first and then resources and inputs are identified to attain outcomes Baseline targets are identified Corrective measures are identified	ADB's holistic approach to managing for development results MfDR actions plans (2004, 2006–2008, 2008–2010), a results frameworks (adopted in 2008 and refined in 2010) linked to ADB's Strategy 2020	Aligned, but further improvement to be sought
Principle 5. Use results for learning and decision-making	Information is readily available to all stakeholders Staff to remain focused on the learning opportunities inherent in the performance management process	Corporate results coming from the DEfR now feed into ADB's upper-level decision making Results Management Unit Dedicated website for raising awareness on MfDR and development effectiveness reviews reporting performance.	Highly aligned

ADB = Asian Development Bank; CPS = country partnership strategy; DEfR = development effectiveness review; DMC = developing member country; M&E = monitoring and evaluation; MfDR = managing for development results; SMART = specific, measurable, achievable, relevant, time-bound.

<sup>a</sup> These principles came out of the 2004 Marrakech Roundtable on Results.

<sup>b</sup> The assessment criteria are discussed in Appendix 1, Table A1.2. For the purpose of this assessment the following criteria are used: Highly aligned = >80% alignment, Aligned = 60%–80% alignment, Less aligned = 40%–60% alignment, Nonaligned = <40% alignment.

Source: Independent Evaluation Department, based on MfDR special evaluation study team assessments.

37. Under MfDR Principle 4, greater efforts should be made by both national governments and MDBs to reduce poverty and to support sustainable economic growth by better definition and measurement of development outcomes. There is some indication that ADB may see improvement in this area due to some recent developments, including a new set of guidelines and reporting tools to improve country/sector-layer results management, in particular in the CPS.

38. ADB's results chain nomenclature is consistent with those used by the Evaluation Cooperation Group and the definitions provided by OECD's Development Co-operation Directorate.<sup>27</sup> ADB's MfDR agenda has a focus on intended results (from inputs and activities to

<sup>27</sup> OECD. 2002. *Glossary of Key Terms in Evaluation and Results Based Management*. Paris; OECD. 2010. *How to Manage for Results: Some Reflections on the Use of Common Indicators*. Paris.

outputs/outcomes/impacts) as the starting point, then constructing a "results chain" to guide measuring, monitoring, and reporting activities at the planning, implementation, and evaluation stages. The use of such a logical framework (results chain) to identify inputs and activities and, in turn, monitor and report on outputs, outcomes, and impacts is in line with good practice in the field of results-based management. However, some key informants interviewed indicated the need to further strengthen ADB's results-based framework and reporting, particularly on its contributions to country outcomes.

## 2. Conformity with International Good Practice

39. **Consistency with other multilateral development bank policies.** MDBs, as a group, have made significant progress in engaging in the results agenda and institutionalizing results-based approaches. MfDR builds on several years of work by MDBs and other partners to develop results-oriented tools and performance management frameworks. The Common Performance Assessment System (COMPAS), which was designed in 2005, has been used as a framework through which the MDBs can track their capacities to manage for development results. The five COMPAS reports issued between 2005 and 2010 constitute an authoritative document for constructive dialogue within and among MDBs and partners to sharpen their focus on MfDR.

40. The 2008 COMPAS report<sup>28</sup> self-reported that MDBs have made substantial progress toward strengthening their focus on results and improving their MfDR frameworks and systems, in particular (i) better support of country capacity for MfDR, (ii) improvements for the majority of MDBs in strengthening project results frameworks with explicit baseline data, and monitoring indicators, (iii) clearly defined outcomes, and (iv) improvements in decreasing the number and percentage of projects in execution with unsatisfactory progress and/or objectives not likely to be met. The 2009 COMPAS Report<sup>29</sup> reviewed the progress of MDBs in adopting corporate-layer results frameworks. The African Development Bank, ADB, European Bank for Reconstruction and Development, Inter-American Development Bank, International Fund for Agricultural Development, Islamic Development Bank, and World Bank corporate results frameworks and/or scorecards, even if they are at various stages of implementation, were said to cover both development results and MDB performance within a four-level structure (para. 19 gives details of the structure). Appendix 5 provides a comparison of ADB's MfDR approach vis-à-vis that of five comparator agencies.

41. While there is variation in MDBs' results management strategies and actual measures to implement an MfDR agenda, the recent COMPAS study concluded that common policy objectives, tools, and language have emerged in recent years. ADB performed satisfactorily on most COMPAS indicators concerning the alignment of MfDR through the project cycle. For instance, COMPAS claimed that most projects approved in 2009 had explicit baseline data, monitoring indicators, and clearly defined outcomes to be reached.

42. Various studies have evidenced ADB's substantial progress in mainstreaming MfDR processes. For instance, the 2011 Multilateral Organization Performance Assessment Network (MOPAN) report<sup>30</sup> provided a satisfactory assessment of ADB's institutional effectiveness based on stakeholder perception survey data across four DMCs (Afghanistan, Indonesia, Sri Lanka,

<sup>28</sup> World Bank. 2009. *Multilateral Development Banks' Common Performance Assessment System (COMPAS) Report 2008*.

<sup>29</sup> World Bank. 2010. *Multilateral Development Banks' Common Performance Assessment System (COMPAS) Report 2009*. Washington DC.

<sup>30</sup> MOPAN. 2011. *MOPAN Common Approach, Asian Development Bank (ADB) 2010*.

and Viet Nam) and four areas of performance: strategic management, operational management, relationship management, and knowledge management. ADB was seen by the 16 donor countries participating in MOPAN to be internally effective and to perform adequately or better on the majority of key performance indicators. The report gave ADB satisfactory to high marks in most key performance indicators, including in areas such as making transparent decisions in allocating resources, providing direction for results, corporate and country focus on results, monitoring external results, presenting and reporting performance information clearly, and harmonizing procedures with other development partners. In terms of strategic management assessment, the report noted that the capacity of ADB to provide direction for results is categorized as best practice.

43. A study sponsored by the Global Partnership for Managing for Development Results of OECD-DAC noted ADB's leadership in results reporting.<sup>31</sup> The study was done as a pilot exercise to assess the development effectiveness of the MDBs, and ADB and the World Health Organization were chosen as the pilots. It reviewed about 30 ADB evaluation reports, including ADB's DEfR, using the report's purpose, content, and presentation and analysis of results information as assessment criteria. The study concluded that the majority of reports presented a mix of both positive and negative information about results. However, many did not fully explain the negative performance and made only passing reference to it in narrative fashion, even when the indicators they used clearly showed poor performance. While ADB was credited with undertaking good evaluations, the report found its development effectiveness was mixed. The report found the DEfR to be a good example of a more complete investigation of poor performance when it occurs, also providing details of possible explanations for lower levels of performance than expected. Finally, a recent study published by the United Kingdom's (UK) Department for International Development found that ADB's ADF policies were aligned to those of the UK, concluding that the value for money for UK aid funding of the ADF was very good.<sup>32</sup>

44. **ADB's scorecard is aligned to the practices of the private sector.** Many companies in the private sector used balanced scorecards to achieve better performance and reach their targets. ADB's performance scorecard resembles their scorecard to a large degree.

45. ADB's scorecard relies on four processes to bind short-term activities to long-term objectives:

- (i) **Strategic planning.** The discipline of creating a scorecard linked to the DEfR forces ADB to integrate the planning function into its strategic thinking over the longer run, thereby ensuring that poor performance is discussed and eventually corrected.
- (ii) **Translating the vision.** By relying on measurement, ADB's scorecard forces staff to come to agreement on the metrics they will use to operationalize their visions.
- (iii) **Communicating and linking.** ADB's scorecard is disseminated up and down the organizational chart, thus allowing the results information summarized in the DEfR to be useful to everyone. As the high-level corporate scorecard cascades down to the department, division, and staff levels, overarching strategic objectives and measures are translated into objectives and measures appropriate to each particular level.

<sup>31</sup> OECD-DAC. 2011. *Results Reporting by Donor Agencies*. Paris.

<sup>32</sup> DFID. 2011. *Multilateral Aid Review. Ensuring Maximum Value for Money for United Kingdom Aid Through Multilateral Organisations*. London.

- (iv) **Learning.** By supplying a mechanism for strategic feedback and review, ADB's scorecard helps the organization foster learning and reflect on inferences about cause-and-effect relationships and long-term impacts.

46. For these reasons, the SES considers ADB's scorecard as a good practice and is fully aligned to the processes implemented by private sector entities to monitor and report performance to management, staff, and stakeholders.

## **B. Consistency of MfDR with ADB's Policies, Strategies, and Internal Procedures**

### **1. Consistency of Overall MfDR Agenda with ADB's High-level Strategies**

47. **Consistency with ADB's poverty strategies.** Poverty reduction became one of ADB's five strategic development goals in 1995. Four years later, in 1999, ADB made poverty reduction its overarching development goal, the PRS<sup>33</sup> resting on three mutually reinforcing pillars of pro-poor sustainable economic growth, inclusive social development, and good governance. The PRS made specific recommendations regarding the results orientation: (i) sharpened country focus, (ii) effective monitoring of results through outcome indicators, and (iii) enhanced accountability. An enhanced version of the PRS (EPRS)<sup>34</sup> was issued in December 2004, placing increased emphasis on MfDR and making the following specific recommendations: (i) establishing an MfDR unit; (ii) developing strategic and operational processes/procedures for MfDR; (iii) mainstreaming MfDR throughout ADB; (iv) aligning operational policies, strategies, and approaches with ADB's key strategic agenda including the enhanced PRS and long-term strategic framework; and (v) improving ADB's approaches to supporting capacity development in DMCs.

48. The EPRS was reinforced by the ambitious Reform Agenda issued on 25 August 2004 to make ADB more effective in delivering its overarching goal of poverty reduction. The agenda consisted of ADB-wide reform initiatives, including MfDR, the new human resource strategy, the knowledge management framework, and the innovation and efficiency initiative. The Medium-Term Strategy II (2006–2008) sharpened ADB's focus on poverty reduction and introduced new instruments and approaches, including the mainstreaming of results-based CPSs.<sup>35</sup> Box 1 describes the EPRS and the role that results have played in EPRS's operational cycle.

<sup>33</sup> ADB. 1999. *ADB's Poverty Reduction Strategy*. Manila.

<sup>34</sup> ADB. 2004. *Enhancing the Fight Against Poverty in Asia and the Pacific: Poverty Reduction Strategy*. Manila.

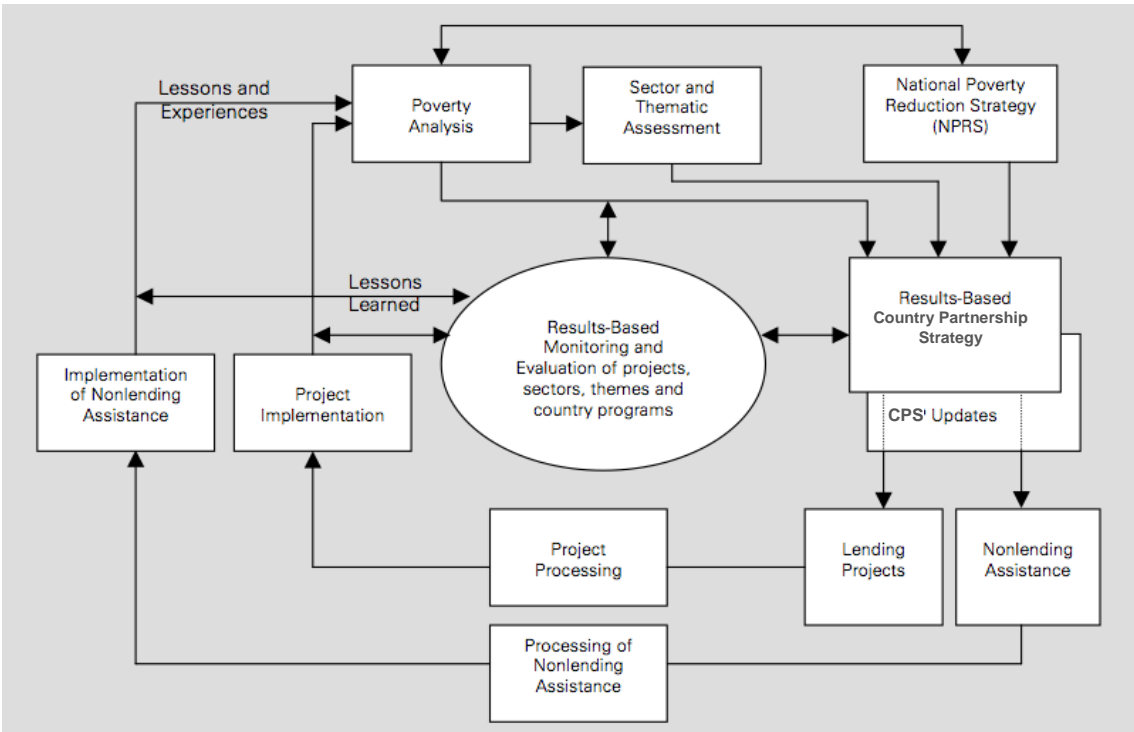
<sup>35</sup> ADB. 2006. *Medium-Term Strategy II (MTS II) 2006–2008*. Manila.

**Box 1: Results at the Center of the Poverty Reduction Strategy in 2004**

Based on its enhanced Poverty Reduction Strategy (EPRS), Asian Development Bank (ADB) is a leader in building a guiding coalition for implementing a results-based monitoring and evaluation framework. The figure below reproduces the operational cycle of the EPRS 2004 in which results-based monitoring takes place at the corporate, sector, and country layers.

Under the new 2011 business process, ADB will strengthen quality assurance for country assessments—poverty, sector, thematic, and past performance of ADB’s country assistance—to help improve the consistency and coherence of country partnership strategies (CPSs). The CPSs will indicate how the desired outcomes can be met through the country program by linking each lending, technical assistance, and knowledge product to one or more country outcome indicators. CPS outcomes will be quantified by indicators for each relevant pillar, sector, and thematic priority. To complement the results framework, links between project outputs and sector outcomes will be emphasized in sector road maps. Collating these sector outcome indicators in the CPS will demonstrate the overall contribution of the country program to outcomes for the strategic pillars and thematic priorities.

**Operational Cycle Presented in ADB’s Poverty Reduction Strategy 2004**



CPS = country partnership strategy.  
Source: ADB. 2004. *Enhancing the Fight Against Poverty in Asia and the Pacific: Poverty Reduction Strategy*. Manila (p.14); with updates by managing for development results special evaluation study team.

49. **Consistency with Strategy 2020.** Strategy 2020, approved in April 2008, is ADB’s corporate-wide planning document. Strategy 2020 was important for the MfDR agenda as it introduced two major tools: (i) a results framework to examine specific but wide-ranging indicators in line with Strategy 2020’s vision and strategic direction to monitor progress, measure results, and take corrective actions where required; and (ii) an annual DEfR to report to management on progress in implementing Strategy 2020 and to identify areas needing



further efforts or corrective action. Indeed, ADB's strategic intent on MfDR was more than simply unfettered ambition. The concept encompassed an active management process that included focusing the organization's attention on the emerging aid effectiveness agenda. With ADB's strategy clearly oriented toward results, all components of the management process could be designed to create a good alignment with the MfDR agenda.

## 2. Internal Consistency of the MfDR Agenda

50. **Consistency of ADB's MfDR key results areas and related monitoring tools.** The strategy pursued by ADB has been to include performance information at all the MfDR layers/corporate results framework levels in full conformity with the three MfDR KRAs (para. 13). For example, the results and monitoring tools prescribed in the guidelines for *Preparing Results Frameworks and Monitoring Results: Country and Sector Levels*<sup>36</sup> and other CPS-related guidelines (all formatted in the form of matrixes) include (i) CPS results framework, (ii) sector results framework, (iii) sector results monitoring matrix, (iv) updated CPS results framework, (v) CPS final review, , and (vi) DMF at the project layer. The DMF, the key element of the project performance management system, is a results-based tool with its own requirements for analyzing, conceptualizing, designing, implementing, monitoring, and evaluating projects. The CAPE, country operations business plan (COBP), and CPR related to the formulation and evaluation of the CPSs are also results-driven, and all require the collection of various performance data. In general, the consistency of the KRAs and the related monitoring tools appears to be appropriate.

51. **Consistency of MfDR chain linkages.** There is an issue with regard to the numerous layers of results-based information spread across all the MfDR layers and how best to aggregate such information in an already crowded and decentralized results reporting system (para. 26 and Figure 2). ADB has created multiple layers of results frameworks, which pose implementation challenges. There is a need to ensure the integrity of the data and quality of performance information fed into the results pipelines. With complex, data-driven measurement systems, integration is a key component of performance. There is an important difference between integrating physical systems (such as information technology [IT]) and integrating the performance of such systems to allow for aggregation of the data to higher layers. In the case of MfDR, most results frameworks collect performance data but do not necessarily aggregate them. For instance, most of the DEfR is done manually by collecting data from different sources, often using spreadsheets. Interviews also confirmed that staff in operational departments maintain their own data collection systems and indicators in parallel with the official processes. A related issue relates to the presence of some unclear interlinkages between the various MfDR layers. For example, the interlinkages between the project layer and the country/sector layer and between the country/sector layer and the corporate layer are not as clear as other results chain interlinkages.

## C. Alignment of MfDR with the Needs of DMCs and Stakeholders' Perceptions

### 1. Alignment of MfDR with the Needs of DMCs

52. The introduction of the MfDR approach at the country layer has been pursued by ADB for well over a decade. In recent years, ADB has been aligning its MfDR strategy at the country layer in an effort to seek more effectiveness of resource allocation with the governments' own development outcomes and targets. The case of Nepal is indicative of the relevance of such

<sup>36</sup> ADB. 2010. *Preparing Results Frameworks and Monitoring Results: Country and Sector Levels*. Manila.

strategy of introducing MfDR at the country layer (see case study in Box 2). Although MfDR had yet to be institutionalized at the corporate layer during the period of reference of the CPS (2005–2009), the pilot results-oriented country strategy and program for Nepal greatly enhanced the feedback from portfolio management, sector results profiles, and the country results profile, thus allowing partners to benefit from MfDR at both the country and corporate layers. A robust results matrix was attached to the CPS to allow tracking of indicators and facilitate annual monitoring. According to ADB's CPS Midterm Review of Nepal 2005–2009, the adoption of MfDR in Nepal constituted the first steps to implement DMFs for all ongoing projects with a strong results-based focus, thus helping review missions to assess and report on project outputs. Also, key Philippines and Viet Nam government informants interviewed indicated that they were satisfied with the usefulness of the CPS format, including the results framework. In Malaysia, key informants interviewed indicated that the use of ADB's MfDR approach has resulted in clearer formulation of performance indicators at the national level, which are substantiated by contribution of sectors/ministries to national goals and cascading down to activity levels within each sector/subsector.

**Box 2: Nepal's Country Strategy: A Pilot Project Showing the Relevance of the Managing for Development Results Approach at the Country Layer**

In the early 2000s, Nepal was facing unprecedented development challenges. Notwithstanding some important gains in economic and social conditions over the previous decade, the pace of overall poverty reduction in the country had been slow, and Nepal was one of the poorest countries in the world, with a per capita gross domestic product of around US\$270 and a poverty incidence of 38%. Poverty reduction had become more daunting due to the escalating armed insurgency that began in 1996. The conflict had adversely impacted on rural livelihoods, led to loss of life, caused outmigration, destroyed local government and the security infrastructure in certain parts, and restricted movement of people and goods.

It is in this context that Asian Development Bank (ADB) introduced its first results-based country strategy and program (CSP) for Nepal 2005–2009. It was results based because it (i) identified the "results" sought by the government to which ADB would contribute; (ii) identified what "outcomes" were expected during implementation of the CSP; (iii) provided a mechanism and indicators for monitoring progress made toward achieving those outcomes; and (iv) provided a basis for evaluating the success of this CSP, thereby providing a basis for adjusting future plans to improve results.<sup>a</sup> A results framework attached to the CSP was intended to serve as a management tool for focusing ADB assistance on the delivery of development results. The results framework provided a conceptual link between the government's long-term development goals, its medium-term development agenda, the development context, intermediate results, and the risks and assumptions underlining the provision of external assistance.

The results framework had a number of salient features. First, it clearly identified which of the long-term development goals and medium-term development agenda of the government were aligned with ADB's overarching goal and strategic focus. Second, the results framework identified key constraints that were barriers to the achievement of the identified goals and objectives. Third, the results framework described the focus of ADB assistance. This was not just a matter of the number of sectors or projects assisted by ADB, but the credibility and relevance of ADB's support to a wider effort aimed at achieving national development objectives. Therefore, in the results framework, ADB (along with other development partners) committed to contribute to the achievement of intermediate outcomes that were needed to address the development constraints facing Nepal. Fourth, the results framework reproduced a set of realistic intermediate indicators that were intended to show whether progress had been made toward achieving these intermediate outcomes. Fifth, the results framework clarified the key assumptions used and risks identified during strategy formulation that could affect the outcomes.

It should also be noted that three managing for development results (MfDR) related technical assistance (TA) operations were approved between 2006 and 2009 in order to mainstream MfDR in Nepal. TA No. 4765 (Operationalization of Managing for Development Results) was approved in 2006 with a total budget of US\$400,000 (financed with the support of the MfDR Cooperation Fund), the intended outcome being the adoption of the MfDR approach in the National Planning Commission, two line ministries, and three district development committees. TA No. 4905 (Supporting the Preparation of the 3-Year Interim Development Plan in Nepal) was approved in 2007 in a total amount of US\$300,000 from the TA Special Fund with the goal of implementing a 3-year interim development plan, a national development framework, and the strategy for a vision document. TA for Strengthening Capacity for Managing for Development Results was approved in 2008 in a total amount of US\$600,000 from ADB's TA funding program with the goal of operationalizing MfDR approaches and practices in selected public sector agencies.<sup>b</sup>

Source: MfDR special evaluation study team.

<sup>a</sup> ADB. 2004. *Country Strategy and Program 2005–2009, 2005–2009*. Nepal.

<sup>b</sup> ADB. 2008. *Technical Assistance to Nepal for Strengthening Capacity for Managing for Development Results*. Manila.

53. Many of ADB's DMC governments face a number of key challenges in increasing their understanding and use of MfDR: (i) absence of a strong champion with adequate technical capacity and power; (ii) lack of continuity of government processes and procedures for MfDR across governments when they change after expiry of their terms; (iii) lack of demand for results-based management at the project, program, and sector ministry levels; (iv) issues of quality, timeliness, and credibility of information collected and consolidated; and (v) cost effectiveness of the processes. At the DMC level, MfDR is not merely a technical or policy initiative, but a long-term and complex public sector reform process. It will encompass several administrative jurisdictions and political interests in matters such as accountability, participation and governance. The process also involves changing the attitudes of government staff and ideally fostering a results culture in the bureaucracy. Therefore, it should be tailor-made to the given cultural, institutional, and political situation of each country. Given this, a long-term approach with government ownership at the center is needed to successfully inculcate the MfDR agenda in DMCs.

54. **Conformity of the country partnership strategy cycle with international good practices for MfDR at the DMC level.** Results-based CPSs were mainstreamed in the 2006 enhanced business process, and, subsequently, CPS guidelines were produced to facilitate results management and monitoring at the country, sector, and project layers. Since 2009, all CPSs endorsed by the ADB Board have been results based, with results frameworks containing baseline data, monitoring indicators, and outcome statements to show how ADB intends to contribute to a country's development objectives in line with Strategy 2020 priorities.

55. MfDR has been accepted by ADB staff as a fundamental management approach for the design, management, monitoring, and evaluation of CPSs. The process of designing and implementing CPS is based on specific guidelines agreed upon in 2007.<sup>37</sup> These guidelines define the logical links among country-layer development goals, outcomes influenced by the CPS, and ADB-supported interventions. In March 2010, ADB released new guidelines in order to streamline CPS processes and align them with DMCs' strategies (footnote 36). Already in 2009, ADB was seen as very strong in ensuring consistency of its statements of expected

<sup>37</sup> ADB. February 2007. *Country Partnership Strategy Guidelines*. Manila.

results with those in the countries' national development strategies. For instance, in each CPS reviewed in the MOPAN assessment, reference is made to the country's national development strategy. In each case, the link between ADB's expected results and those identified in the national plans is clear. In most cases, the results framework for ADB contained in the CPS includes a column showing the expected results of the national plan, aligning these with ADB's expected results.

56. Over time, ADB has sought to develop its capacity to implement a managing for results agenda at the country layer. The monitoring tools identified in the CPSs include social and economic surveys, and analysis of data from country information systems and the records and statistics of public organizations (para. 75).

57. A culture of management-for-results has emerged at the corporate layer and cascaded down to the country layer. According to a recent IED study,<sup>38</sup> ADB has made very good progress in aligning its CPS papers and the associated country business plan framework with DMCs' national development or poverty reduction priorities. The study mentioned that the quality-at-entry of results-based CPSs rated "successful" increased rapidly, jumping to 75% in 2008 and 100% in 2010, against the target to increase to 80% by 2012. Thus, notable progress has been made at ADB to align results-oriented frameworks with national development strategies and priorities. Moreover, a qualitative process has been put in place for monitoring the implementation of the CPS results framework, which is expected to be done not only through project performance and completion reports at the project layer as natural extensions of results chains, but also through a separate country-layer exercise called the CPR mission.

58. **The APCoP-MfDR has been well-designed to fulfill its envisaged objective of disseminating MfDR knowledge at the DMC level.** Communities of Practice (CoPs) on MfDR have been developed in Africa, Latin-America and the Caribbean, and Asia and the Pacific with the aim of reinforcing capacity to manage for development results through sharing experiences and peer learning. The APCoP-MfDR is a regional country network of ADB DMCs in the Asia and Pacific region that shares the common objective of introducing and institutionalizing MfDR in public management. The APCoP-MfDR was created in 2006 when results management practitioners from 11 countries in the region came together to identify some key trends and good practices that had occurred in the Asia and Pacific region that would impact development results. ADB has financed and supported the operation of the APCoP-MfDR, and has served as its Secretariat. As of July 2011, the APCoP-MfDR was comprised of 28 countries and had about 680 members.

59. The APCoP-MfDR supported the mainstreaming of MfDR capacity development in country operations by helping establish country-based networks for demand-driven MfDR initiatives. ADB has created a country-based network, through the APCoP-MfDR, with a well-defined purpose for promoting MfDR. Similarly, the World Bank has supported the expansion of the African CoP on MfDR, and Inter-American Development Bank has enhanced the capacity of the Latin America Region CoP for South-South learning. These CoPs provide a forum for exchanging solutions to increase evidence-based decision and policy making for effective delivery of development results. Such practice appears to be both appropriately designed and relevant, because it is seeking alignment with efforts of other aid agencies.

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<sup>38</sup> ADB. 2011. Special Evaluation Study Update, The Implementation of the Paris Declaration at the Asian Development Bank—A Headquarters-Level Study Update (draft).

60. In terms of ongoing initiatives, ADB is supporting up to six DMC CoPs over the next 2 years (2010–2012) to work on select MfDR issues. The support, which is being funded from TA, is focusing on developing relevant MfDR capacity development plans around the core functions in public sector management. ADB is planning to finance workshops and seminars to develop plans, and possibly pilot exercises to test innovative ideas in the plan. Long-term support for the plan's implementation is expected through the governments' own initiatives and the existing ADB country operational portfolio of loans and TA. Other donors could also support the plan. The intention is for the CoPs once well-established to be brought together regularly to discuss progress on their plans' implementation and to suggest improvement. This should also help to crystallize further demand-driven initiatives. It is expected that after a 2-year period, continued capacity development will be fully integrated into the DMCs' own planning process.

## **2. Alignment of MfDR with the Needs of ADB's MfDR Stakeholders**

61. The main internal stakeholders in the MfDR approach are (i) the ADB Board of Directors, (ii) ADB Management, and (iii) ADB staff. During interviews, ADB's Board of Directors and Management were generally supportive of the MfDR agenda, noting that significant progress had been achieved since the implementation of the corporate results framework in 2008. However, one Board member voiced concern that the recent streamlined business process exercise had further exacerbated already poor DMF quality. A survey was administered to ADB's staff to gauge the relevance of the MfDR agenda. The overall outcome of the survey showed positive responses on the relevance of MfDR to the challenges in Asia and the Pacific, with 75% agreeing or strongly agreeing. On the question of whether ADB's MfDR strategies and action plans were conforming to best practice, 62% of respondents agreed or strongly agreed with the statement. Interviews with ADB staff, including many of the MfDR focal points, reconfirmed the generally positive view of the effects of the implementation of the MfDR agenda.

62. The main external stakeholders in the MfDR approach are (i) DMC government staff, (ii) civil society groups, and (iii) project beneficiaries. A survey was administered to members of the APCoP-MfDR, which include all three of the above stakeholder groups, to gauge the relevance of the MfDR agenda. The overall outcome of the survey showed unanimously positive responses on the relevance of MfDR to the challenges in Asia and the Pacific, with 95% of the APCoP-MfDR agreeing or strongly agreeing that the agenda was relevant. On the question of whether ADB's MfDR strategies and action plans were conforming to best practice, 77% of respondents agreed or strongly agreed. One area where respondents' views were comparatively less positive was with regard to the complementarity of ADB's MfDR capacity building efforts with those of other donor agencies. Just under two-thirds of respondents rated ADB's MfDR capacity building efforts as being sufficiently complementary. Follow-up interviews with several of the APCoP-MfDR members reconfirmed the need to ensure greater complementarity between donors' capacity building efforts so as to put less burden on DMC government agencies. Appendix 6 provides the detailed results of the perception surveys of ADB staff and APCoP-MfDR members. Table 4 summarizes the assessment and rating of the relevance subcriteria.

**Table 4: Assessment and Rating of Relevance**

<b>Criteria</b>	<b>Assessment</b>	<b>Relevance Rating</b>
<b>A. Conformity of Managing for Development Results (MfDR) with the International Aid Effectiveness Consensus</b>		
1. Conformity with international aid effectiveness agenda and donors requirements	The approach adopted by the Asian Development Bank (ADB) on MfDR conformed well with the current consensus on aid effectiveness. ADB has sought to align its results strategy with the Paris Declaration. Not only is ADB actively participating in international aid effectiveness, but it has also proposed solutions and tools to support participation of developing member countries (DMCs) to increase the dialogue and take into consideration the various perspectives. ADB has responded well to the recommendations of donors to strengthen the MfDR agenda over the years.	Highly relevant
2. Conformity with international good practice	The strategies and objectives of ADB's MfDR are in line with emerging international good practices. ADB Management has aligned four MfDR actions plans and developed results frameworks and aid effectiveness reporting tools, which are considered as good practice by the international community. The Multilateral Organization Performance Assessment Network report and other studies done by the international community concluded that the ADB MfDR functions are well defined to achieve the objectives.	Highly relevant
<b>B. Consistency of MfDR with ADB's Policies, Strategies, and Internal Procedures</b>		
1. Consistency of overall MfDR agenda with ADB's high-level strategies	The MfDR agenda responded well to ADB's existing poverty reduction strategies. With the adoption of Strategy 2020, strategic intent was to better align MfDR with the overall vision and goals of ADB. Strategy 2020 was important for the MfDR agenda, as it led to the development of the results framework in 2008 and strengthening of the aid effectiveness corporate reporting.	Highly relevant
2. Internal consistency of the MfDR agenda	In general, the internal consistency of the MfDR agenda appears to have been appropriate. The MfDR KRAs in the action plans are well-formulated and give a comprehensive picture of the activities necessary to mainstream the MfDR agenda. Also, the MfDR monitoring and reporting tools that have been put into place at the various layers ensure that performance information is properly monitored and reported. The only caveat is that there appears to be some weak linkages in terms of reporting among these multiple layers.	Relevant
<b>C. Alignment of MfDR with the Needs of DMCs and Stakeholders' Perceptions</b>		
1. Alignment of MfDR with the needs of DMCs	ADB has made efforts to introduce the MfDR approach in its DMCs, with the first results-based country partnership strategy in Nepal in 2005–2009. Government's objectives are the basis for the CPS results framework. This approach has to be mainstreamed in order to be fully inclusive of beneficiary needs, priorities, and strategies of ADB's DMCs. The Asia-Pacific Community of Practice on MfDR (APCoP-MfDR) is found to have supported the mainstreaming of MfDR capacity development in country operations by establishing country-based networks for demand-driven MfDR initiatives. APCoP-MfDR appears to be both appropriately designed and relevant, because it is seeking alignment with efforts of other aid agencies.	Relevant
2. Alignment of MfDR with the needs of ADB's MfDR stakeholders	Both internal and external stakeholders in the MfDR approach had a generally positive view of the effects of the implementation of the MfDR agenda. Separate surveys were administered to ADB staff and members of the APCoP-MfDR to gauge the relevance of the MfDR agenda. The overall outcome of the surveys showed positive responses on the relevance of MfDR to the challenges in Asia and the Pacific (77% of staff agreeing or strongly agreeing, and 95% of members of the APCoP-MfDR agreeing or strongly agreeing). On the question of whether ADB's MfDR capacity building efforts were well-aligned with other donors' efforts, both survey and key informant interviews indicated a need for more complementarity of effort.	Relevant
<b>Overall Relevance Rating</b>		<b>Relevant</b>

ADB = Asian Development Bank, APCoP-MfDR = Asia-Pacific Community of Practice on Managing for Development Results, DMC = developing member country, MfDR = managing for development results.

Source: MfDR special evaluation study team assessments.

## IV. RESPONSIVENESS

63. Responsiveness pertains to the effectiveness of both ADB's strategic and organizational responses to the MfDR agenda. Responsiveness is evaluated using two subcriteria: (i) strategic response, or the consistency of other ADB sector strategies and initiatives with the MfDR agenda and the extent to which the intended results set out in the MfDR action plans were achieved; and (ii) the extent to which ADB as an organization was responsive to the MfDR agenda and how effective the response was. Assessment and rating of the above subcriteria are shown in Table 10 at the end of the chapter.

### A. Strategic Response

#### 1. Consistency of Sector Strategies and Other Initiatives with the MfDR Agenda

64. **Consistency of other ADB sector strategies and plans with the MfDR agenda.** As shown in Table A4.1 in Appendix 4, ADB produced 26 corporate-layer sector/thematic policies and plans during the period 1999–2010, nine of which could be considered results oriented in that they contained some form of a monitoring framework, either a results framework, a DMF or an action plan. Since 2008, when Strategy 2020 started to guide operations, ADB has produced 10 sector/thematic plans (3 in draft stages), 6 of which have some form of a monitoring framework (Table A4.2 in Appendix 4). As an example of a well-formulated plan, the Education by 2020: A sector operations plan identified key educational challenges expected to confront developing countries in Asia and the Pacific in the coming years, and proposed ways for ADB to meet those challenges. It also indicated that ADB will scale up operations in this area (as did two other plans) and included a detailed DMF with indicative performance targets and indicators, data sources and reporting mechanisms, and anticipated risks and assumption. However, this information is neither time bound nor quantified.<sup>39</sup> As another positive example, the 2009 Operational Plan for Sustainable Food Security in Asia and the Pacific laid out ADB's operational plan for ensuring food security in the region, including broad unquantified output and outcome indicators.<sup>40</sup>

65. Other sector plans have been less results oriented and were sometimes not specific about their goals. The 2008 Operational Plan for Improving Health Access and Outcomes Under Strategy 2020 emphasized support for health outcomes as part of its core activities, but did not include a monitoring framework. This was also the case for the Financial Sector Operational Plan and the Action Plan for Implementing ADB Disaster and Emergency Assistance policy which have no information with respect to targets and anticipated results and lack monitoring frameworks. The 2010 Sustainable Transport Initiative (STI) Operational Plan provided details of how ADB would adapt its transport operations to serve the changing transport needs of DMCs, including targeted lending for transport subsectors and scale of support for private sector participation, but lacked a monitoring framework and did not include monitorable indicators. Another important drawback of many of the sector plans is that they do not include

<sup>39</sup> The Education CoP is in the process of revising education sector indicators for the ADB corporate results framework, in consultation with the DfER team in SPD, to be in line with education sector operation plan priorities. Once the revised indicators are in place in the ADB results framework, these will be used for monitoring the implementation of the operational plan.

<sup>40</sup> ADB is currently working on a revised DMF for sustainable food security engagement that provides more quantifiable monitoring indicators for the outputs and outcomes. It will also suggest links of ADB-wide deliverables for food security with those at the regional department levels, and will recommend a menu of quantifiable measures to the regional departments for their food security-related investments.

commitments to report to Management on a regular basis (such as is the case with the MfDR corporate results framework). Despite the above weaknesses, it is interesting to note that survey results indicate that staff generally perceive ADB's procedures in formulating sector strategies to be aligned (56% agreed vs. 6% disagreed) with the MfDR agenda (Table A6.4 in Appendix 6). One of the possible reasons for the lack of sufficient results orientation of the sector plans appears to be that, in some cases, plans that are not Strategy 2020 priorities are understandably unclear about whether operations are to increase and/or do not adopt a sufficiently selective approach to subsector focus. Another possible reason is that the guidelines and procedures for formulating such plans are not clear. Aside from sector plans, ADB is planning to prepare a number of thematic plans. The first such plan, for public-private partnership, is currently under preparation. As with the sector plans, the thematic plans should be consistently results oriented.

**66. Consistency of ADB's project classification system with the MfDR agenda.**

Originally ADB had developed a project classification system with a strong focus on tracking project inputs by country and sector, primarily on lending approvals and disbursements. With the initiation of strategic planning in the early 1990s, as well as the introduction of thematic priorities, the project classification system was revised in 1994 to take into account the extent to which ADB investments addressed various thematic priorities such as poverty reduction, gender, private sector development, and the environment. In 2004, the project classification system was further revised to better reflect poverty reduction impacts through the introduction of the targeting classification. In introducing its new classification system in 2009,<sup>41</sup> ADB sought to provide a normative framework for both decision making and accountability under the 2008 results framework.

67. However, the classification system is not applied in a consistent fashion by ADB's departments. Although there is an integrated classification system in place in which responsibilities for preparing data entry sheets are clearly defined in a guideline, ADB's regional departments still have the responsibility to apply the classification at their discretion. For each department, the project entry sheet is completed by the project officer based on the available information at the stage of the project cycle. Thus, the current system does not have a consistency check by a central department (except for gender mainstreaming, for which RSSD ensures consistency). Moreover, ADB's project classification system does not entirely capture ADB's main outputs and outcomes, except for the main outcomes formulated in Strategy 2020. On the positive side, ADB's classification has become progressively more detailed over the years, and contains more categorization options than ever before, which serves the MfDR purpose of reporting results at a more disaggregated level.

**68. Consistency of ADB's information technology strategies with the MfDR agenda.**

In June 2004, ADB's Office of Information Systems and Technology (OIST) released its IT Strategy and Capital Expenditure Requirement 2004–2009 (ISTS II). ISTS II reflected ADB's vision of an Asia and Pacific region free of poverty in accordance with ADB's poverty reduction strategy and the new global agenda on MfDR. ISTS II clearly stated that the strategy had the following objectives: (i) provide systems and data that support ADB's results-based agenda and action plan on MfDR; (ii) deliver a framework for knowledge management solutions that provides for internal and external exchange of information; (iii) institutionalize the business and IT partnership to foster the appropriate degree of ownership and direction; and (iv) develop an enabling IT infrastructure and services that are secure, available, responsive, and reliable.<sup>42</sup>

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<sup>41</sup> ADB. January 2009. *Staff Instructions for the Revised Project Classification System*. Manila

<sup>42</sup> ADB. 2004. *Information Technology Strategy and Capital Expenditure Requirements: 2004–2009*. Manila. p. 11.



69. At the same time, ISTS II confirmed that the systems in 2004 did not respond to the need for results-based management. ADB's information systems have been developed to support specific functions and business processes for one department rather than with an ADB-wide perspective in mind. Under the section on "Project Processing and Portfolio Management," ISTS II included resource allocation between 2006 and 2008 to improve the quality, accuracy, and timeliness of information system-generated indicators for results-based management. It accounted for the use of more systematic management and tracking of ADB projects and the generation of results-based performance indicators. The vision of ADB for its IT was coherent with the MfDR agenda, as it sought to provide access to knowledge and information any time, any place, in support of ADB goals on performance. Among other things, ISTS II envisaged an enhanced enterprise portal that would allow access to information anywhere in the world, including for MfDR at corporate and DMC levels.

70. In May 2011, ADB's OIST released a document refining ISTS II entitled "Providing Sustainable Services to the ADB: IT Strategic Update." This document indicated that the results framework and its indicators would need to be aligned to Strategy 2020 to monitor progress and take corrective actions. OIST thus clearly stated that ADB's data and reporting systems had to be upgraded with new management capabilities to be deployed. Following the release of its IT Strategic Update, OIST launched the development of its next IT strategy in order to cope with the five drivers of change announced in Strategy 2020. The information systems and technology infrastructure must be improved to support the proposed knowledge management framework and to align the systems with the new organization structure. Under the section "The ADB Workplace in 2009," ISTS II correctly highlighted the need to develop instruments, indicators, and trends that would enable staff to manage for development results. It is not useful to have an IT system if the data included therein lack good measurable indicators with adequate systems to collect the data.

71. In summary, ADB rates the consistency of other ADB sector strategies and initiatives as responsive. Generally, the sector operational plans, the information technology strategy and ADB's emphasis on better knowledge management, were consistent with the MfDR agenda. There is an issue with regard to how to apply the project classification system in a consistent manner within the organization so that the system does not become an impediment to the consolidation of performance information at the corporate layer.

## **2. Achievements Against the MfDR Action Plan**

72. As discussed in paras. 15–17 and 22, four MfDR actions plans were elaborated between 2003 and 2009 to translate the MfDR vision, with the last two time-bound action plans being issued in 2006 and 2009, ADB's MfDR action plans have been relevant to turn strategies into action plans that could then be executed at the operational level. These action plans have addressed key strategic goals through practical steps, and measure progress over time, assuring that staff have the resources they need to implement the MfDR agenda. For instance the last action plan included a monitoring framework agreeing on specific performance measures and outcomes. ADB's actions are also grounded in analysis and exchange of information at all levels with donors, providing diagnostic support (opportunity or problem) on which the plans can be based. Therefore, the sequence of MfDR action plans has been crucial to build a coherent and relevant results-oriented strategy at ADB. Moreover, the various plans have provided a package of time-bound measures designed to advance the MfDR process. They have been revised to take into account the changing corporate environment, in particular the adoption of Strategy 2020.

73. Given the 2009–2011 action plan's improved performance measures and outcomes, this section will assess ADB's strategic response in terms of the achievement of outcome and output performance targets/indicators. Table 5 summarizes the achievements against these targets, which are based on SPRU's own assessment of what has been achieved so far, which is in Appendix 7.

**Table 5: Summary of Achievement of 2009–2011 Managing for Development Results Action Plan**

<b>Outcomes/Outputs</b>	<b>Performance Target/ Indicator to 2011</b>	<b>IED Assessment<sup>a</sup></b>	<b>Achievement (as of 30 August 2011)</b>
<b>Key Result Area 1: Support DMC Capacity to Manage for Development Results</b>			
A1. ADB support for country capacity development on MfDR better targeted, better coordinated, and more effectively delivered	Develop capacity in DMCs that will support and promote MfDR; focus will be on monitorable results frameworks, public sector management that supports MfDR, and application of MfDR knowledge.	Partly achieved	Capacity development efforts at DMC level that will support and promote MfDR are still at their nascent stages (i.e., pilot-testing) and need to be further mainstreamed within DMCs (for more details, please see paras. 74–76).
<b>Key Result Area 2: Enhance ADB's Results Orientation and Institutional Effectiveness</b>			
B1. Improved results orientation in designing, monitoring, and evaluating CPSs and country programs	CPSs and supporting sector road maps will become results-focused; country development effectiveness briefs to be published.	Largely achieved	CPSs and road maps have become more results focused (e.g., better use of results framework) and aligned with government objectives (para. 77).
B2. Improved results focus in project design, implementation, monitoring, and evaluation	Improve the quality-at-entry (QAE) of project design and monitoring frameworks; improve the effectiveness of projects in achieving their designed outcomes and impacts; increase the number of staff in ADB and executing agencies trained in project implementation and planning.	Partly achieved	Modest improvement in QAE ratings noted, but there is still need for continued attention to DMF quality. Need also to step up conduct of MfDR training (para. 78).
B3. Institutionalized results-based management in ADB	Management and senior staff regularly monitor and take actions; utilization of DEfR findings in ADB-wide work program and budget framework.	Largely achieved	Leadership continuously monitors and evaluates results management. Planning directions on work programs and budget have become results oriented (para. 79).
B4. Improved awareness and increased staff skills on MfDR	Communication plan for MfDR developed and implemented; MfDR curriculum updated.	Largely achieved	The MfDR communication plan was developed and implemented and the MfDR curriculum was also updated (para. 80).
<b>Key Result Area 3: Maintain Effective Results Partnerships</b>			
C1. Sustained ADB collaboration with development partners for MfDR knowledge sharing	ADB and APCoP-MfDR to participate in regional and global partnership initiatives; ADB to collaborate with development partners on MfDR.	Fully achieved	ADB and APCoP-MfDR have participated in a number of global and regional initiatives. ADB has also closely collaborated with development partners (para. 81).
<b>Overall Assessment</b>		<b>Largely achieved</b>	

ADB = Asian Development Bank, APCoP-MfDR = Asia-Pacific Community of Practice on managing for development results, DEfR = development effectiveness review, DMC = developing member country, DMF = design and monitoring framework, IED = Independent Evaluation Department, MfDR = managing for development results.

<sup>a</sup> The assessment criteria are discussed in Appendix 1, Table A1.2. For the purpose of this assessment the following criteria are used: Highly responsive = > 80% achievement, Responsive = between 60-80% achievement, Less responsive = between 40–60% achievement, Unresponsive = <40% achievement.

Sources: MfDR special evaluation study team assessments and Results Management Unit's assessment (Appendix 7).

### **3. Achievements under Key Result Area 1: Support DMC Capacity to MfDR**

74. KRA 1 included one performance target/indicator for developing capacity in DMCs to support and promote MfDR. In response, ADB has successfully facilitated and funded the APCoP-MfDR that now has 680 members, of whom some 330 have been delegates in various training events covering results-based budgeting, MfDR in the education and transport sectors, and results-based monitoring and evaluation (M&E). ADB has also supported DMC capacity development via 42 TA operations that cover 23 DMCs. More recently, SPRU has made initial headway in building DMC demand for MfDR assistance by promoting a public sector management framework (PSMF) that has results management as a key component. The PSMF is intended to provide a principles-based analytical tool that DMCs can use to assess their public sector management systems, analyze gaps, and develop capacity initiatives to strengthen those systems. The PSMF has been quality tested with international education institutions and has been pilot tested in three DMCs.

75. ADB has been striving to develop its capacity in implementing the MfDR agenda at the country layer. A few monitoring tools have been identified in the CPSs such as social and economic surveys, and analysis of data from country information systems, among other things. ADB's South Asia Department has pursued extensively policy dialogues among South Asia DMCs on country capacity building initiatives to support MfDR mainstreaming. A TA covering Nepal, Bangladesh, Pakistan and Sri Lanka was also provided that focused on mainstreaming MfDR in support of poverty reduction in South Asia. In Cambodia, for example, the government and development partners have jointly identified a set of indicators to monitor development and aid effectiveness and to track annual progress on institutional and policy reforms and the country's National Strategic Development Plan. In the People's Republic of China, ADB has worked to establish results-based project M&E systems within the National Development and Reform Commission and to train government staff in modern project management techniques.

76. Despite the fact that the above inputs have been provided, the achievements are still lagging. It is apparent there is still a lot of work to be done to build the MfDR skill base and develop MfDR systems in DMCs, as well as to foster the willingness and commitment to apply the skills to improve aid effectiveness. To date, the development of the PSMF as a demand-creating tool is still in progress, and it is too early to assess the achievements in this respect. Nevertheless, discussions with key informants in the Philippine and Viet Nam governments indicated that they consider the MfDR agenda, including the PSMF as very useful, particularly in terms of helping to drive their own internal reform agenda for results. Additional support is required to build DMC MfDR capacity in a sustainable, cost-effective way. Therefore, the target/indicator under KRA 1 is considered partly achieved.

### **4. Achievements under Key Result Area 2: Enhance ADB's Results Orientation and Institutional Effectiveness**

77. KRA 2 included four performance targets/indicators to be achieved by 2011. The first target/indicator was for ensuring that the CPS becomes results focused by including results frameworks and through the preparation and publishing of CEFBs. As indicated in the Stocktaking Appendix (Table A4.1 in Appendix 4), since 2006 all CPSs have included country-layer results frameworks. In addition, a number of other country strategy documents, such as CPS midterm reviews, economic reports, interim operational strategies, and COBPs, have included country-layer results frameworks. Altogether, 34% (59 of 173) of the country strategy documents prepared by ADB during 2003–2010 included country-layer results frameworks. At

the sector layer, 198 CPS sector road maps were prepared by ADB over the same period, all of which included sector-layer results frameworks. An independent review of CPS quality at entry<sup>43</sup> undertaken in 2010 reported that all CPSs reviewed met the quality-at-entry standards. Nineteen CEfBs have been published to date.<sup>44</sup> At the country/sector level, achievements made included devising a separate results monitoring matrix, revising Project Administration Instruction 6.02 to expand the scope of CPR to include results monitoring, and using results monitoring information for decision making on investment programs during COBP preparation.

78. The second target/indicator was for improving the quality at entry of project DMFs, improving the effectiveness of projects in achieving their designed outcomes and impacts, and increasing the number of staff in ADB and executing agencies trained in project implementation and planning. An SES assessment based on Central Operations Services Office (COSO) data indicated that overall around 57% of all project DMFs met all or most of COSO's project quality criteria in 2010, up from 53% in 2009.<sup>45</sup> The success rate of TA projects is 75%, down from the 2006/2008 average of 78%. Meanwhile, the success rate of nonsovereign operations is 80%. Staff training in MfDR has been a continuing exercise provided by both SPRU and COSO. It is surprising, therefore, that only 29% of MfDR staff survey respondents said that they had attended training on MfDR.<sup>46</sup> Training in specific MfDR modules has an open invitation to all staff, and there is no standard set for attendance (see further discussion in paras. 97–98). A closer assessment of staff awareness and skills on MfDR is desirable. There appears to be additional scope for expanding training of staff in MfDR approaches, which should result in improved project design.

79. The third target/indicator was for institutionalizing MfDR inside ADB including publishing the DEfR, development of results dashboards, and ensuring that corporate results within the DEfR are used to refine ADB development directions in subsequent years. Considerable success has been achieved in using the DEfR to inform ADB's business planning process. In particular, early timing of the 2009 and 2010 DEfRs was crucial in enabling the reports to influence the annual planning directions and work plan and budget framework for 2010 and 2011, respectively. Moreover, for the first time, in 2011, ADB's strategic objectives as captured in the corporate results framework were cascaded down to the department, division, and staff levels. A results dashboard has been developed, although there is no information available to indicate to what extent it is being used. In 2010, the first results-based CPR was undertaken.

80. The fourth target/indicator was for developing and implementing a communication plan for MfDR and updating the MfDR curriculum. The MfDR communication plan was developed and implemented in 2010, while the MfDR curriculum was also updated in 2010.

## **5. Achievements under Key Result Area 3: Maintain Effective Results Partnerships**

81. KRA 3 included one performance target/indicator for participating in various regional and global partnership initiatives. ADB and the APCoP-MfDR have participated in a number of activities, including the OECD-DAC Cluster E on MfDR and the MDB working group on MfDR, including COMPAS. One area where ADB is playing a leading role is in the preparation of

<sup>43</sup> ADB. 2010. *Country Partnership Strategy Quality-at-Entry Assessment*. Manila.

<sup>44</sup> Improved guidelines and prototypes for CEfBS were also formulated.

<sup>45</sup> The figures are calculated from COSO ratings of DMF quality assuming equal weights among the seven criteria.

<sup>46</sup> Their response is based upon their interpretation of what "MfDR" means, and this may have been interpreted in a literal sense and may have excluded MfDR-related training such as the project DMF training, the Paris Declaration, CPS development, and CPRM.

proposals to be considered at the Fourth High-Level Forum on Aid Effectiveness to be held in Busan, Korea in November 2011. ADB's experience and expertise in MfDR is now highly recognized by development partners and, thus, the target/indicator under KRA 3 is considered fully achieved.

82. ADB has actively interacted with the APCoP-MfDR to promote results-based public sector management in its DMCs, focusing on country-led initiatives that contribute to country systems development. It has helped develop MfDR capacity by promoting learning and knowledge exchange through the APCoP-MfDR. The APCoP-MfDR supported in an effective manner the mainstreaming of MfDR capacity development in country operations by helping establish country-based networks for demand-driven MfDR initiatives. As a way of further building its expertise in the area of evaluation, one key informant in Viet Nam suggested that the APCoP-MfDR strengthen its linkages with other international and regional networks, such as the fledgling Asia-Pacific Evaluation Association Network.

## 6. Overall Achievements

83. Overall, the SES rates ADB as highly responsive in terms of achieving outcomes and outputs in its latest MfDR action plan. ADB achieved most of the intended results set out in the MfDR action plans. KRA 2 and KRA 3 are considered to have been largely achieved and fully achieved, respectively. KRA 1 was considered to be only partly achieved, with additional support required to develop DMC MfDR capacity in a sustainable, cost-effective way.

### B. Organizational Response

84. Organizational response considers the extent to which ADB, as an organization, has been responsive to the MfDR agenda, with the focus being on ADB's internal environment. The subcriteria focus on ADB's response in terms of: (i) providing an enabling environment and structures, and (ii) providing sufficient resources and developing the capacity to mainstream MfDR.

#### 1. Providing the Enabling Environment and Structures

85. **Backing of ADB Management.** The leadership/direction from ADB Management could be defined as the "political commitment" to pursue MfDR initiatives. This is premised on the fact that ADB Management (both senior and mid-level) has an in-depth understanding of the MfDR agenda and exerts leadership in putting into place appropriate MfDR mainstreaming efforts.

86. Staff perception is a good gauge of the extent to which ADB Management takes its role seriously. Results of the MfDR staff survey indicate that around 65% of respondents agree that senior Management actively supports the MfDR agenda in a tangible way. This figure is nearly double the 33% of staff who responded similarly to the same question in the previous survey done for IED's 2007 Preliminary MfDR Assessment. In addition, there has been a noticeable decline in the number of respondents who are skeptical about ADB Management's support for MfDR (6%) as compared with the 2007 survey (21%). Similarly, a decline was registered in the number of respondents who provided "don't know" answers (11%) as compared with the previous IED survey (17%). The above shows that staff have strong and growing confidence in ADB Management's commitment and support for MfDR. Although staff responded positively on senior leadership support to MfDR, staff perceptions on the level of guidance provided on MfDR (41% agreeing or strongly agreeing) and the level of the ADB culture supporting MfDR (49% agreeing or strongly agreeing) were much lower.

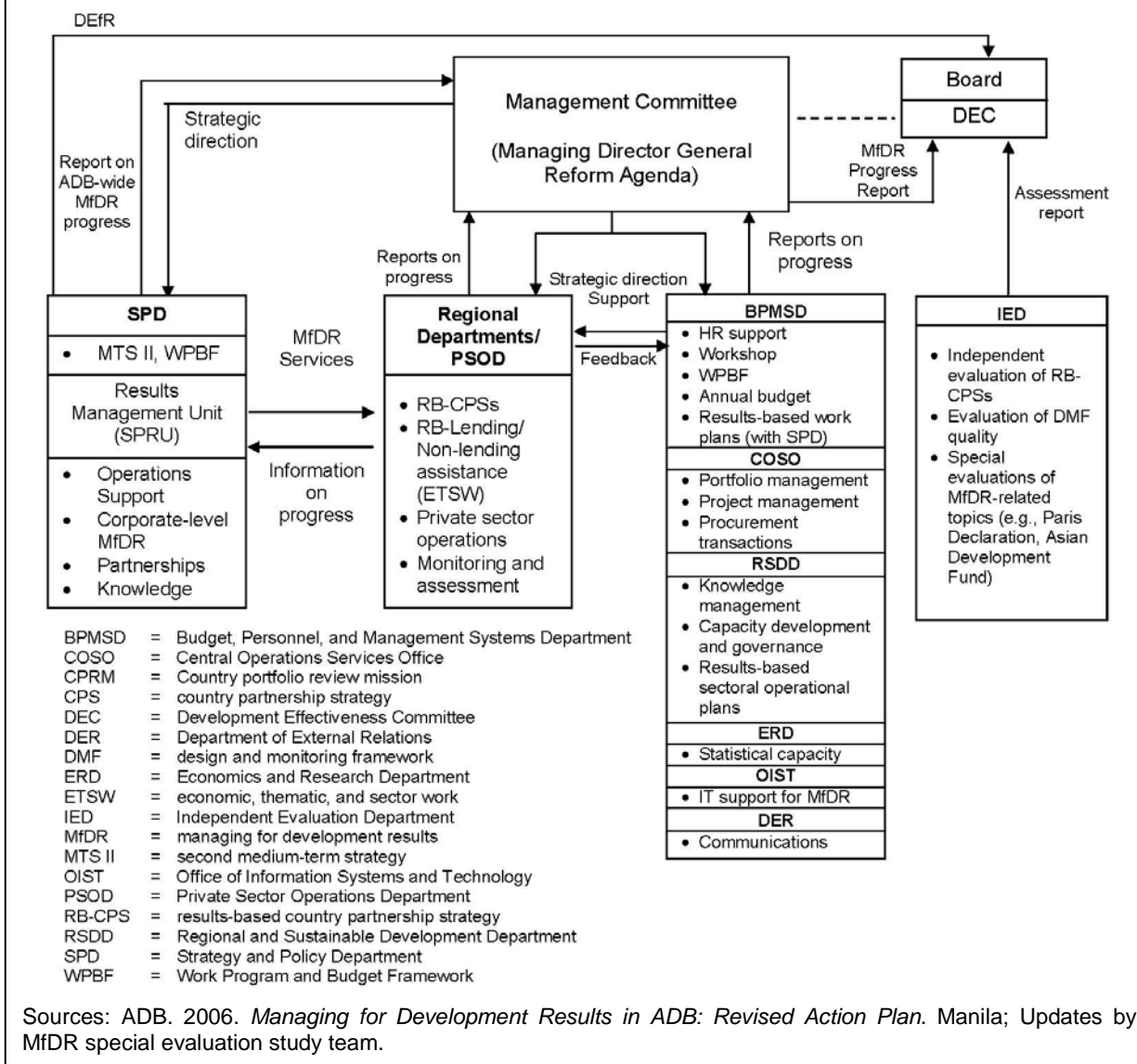
87. **Internal institutional arrangements.** An enabling institutional environment within the context of MfDR mainstreaming depends on both (i) the appropriateness of the organizational structure in place; and (ii) the clarity of the roles and responsibilities of the units concerned, taking into consideration the diverse relationships of various institutional units and levels within ADB. Implementation of ADB's results agenda was to be an ADB-wide responsibility. SPRU was established to take charge of the ADB-wide restructuring geared toward enhanced development effectiveness. Since its inception, SPRU has taken the lead and has responded well in mainstreaming MfDR internally. It has become the focal point of various MfDR-related initiatives within ADB.

88. SPRU has exhibited a high degree of collaboration and coordination with the other offices within ADB that are involved in MfDR mainstreaming activities, such as the Budget, Personnel and Management Systems Department (BPMSD); the OIST; the Department for External Relations; and COSO. Figure 3 shows a schematic representation of the organizational responsibilities for MfDR among these various offices that was prepared in 2006.<sup>47</sup> In terms of operational support, SPRU has coordinated the implementation of MfDR initiatives through its network of 47 MfDR focal points in both operations and non-operations departments. SPRU has also supported country teams in preparing results frameworks, CEfBs, and sector road maps, and has provided guidance to project administration unit heads and portfolio teams in monitoring country and sector results during CPR missions in terms of using results monitoring tools. Although not depicted in Figure 3, SPRU with BPMSD has coordinated the ADB-wide cascading of Strategy 2020 priorities to all levels of the organization.

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<sup>47</sup> The Operations Evaluation Department (OED) became the Independent Evaluation Department (IED) in January 2009.

**Figure 3: Organizational Responsibilities on Managing for Development Results**



89. Although originally set up as a seven-staff unit in February 2004, SPRU's staff complement has grown and currently consists of six international staff and six national and administrative staff. This gradual increase responds to the staff requirements of implementing comprehensive MfDR action plans. Despite its relatively small size, SPRU has exhibited strong technical and administrative capacity in terms of understanding its lead role and operationalizing the concept of results-based management. Given its staff complement and work load, SPRU's current set-up and structure appear adequate to accomplish its current mandate.

90. **Coordination on personnel, training, and budgeting issues.** There have been a considerable number of training activities, particularly of operational staff (see para. 97 for a more detailed discussion). In general, SPRU has sufficiently coordinated with BPMSD and MfDR focal points in the conduct of these trainings. More recently, SPRU has begun to customize the MfDR training programs to the needs of non-operations staff (e.g., training program designed and

conducted for all Office of Administrative Services [OAS] staff in 2011). One new area where SPD and BPMSD have exerted efforts is in organizing individual briefing sessions for all departments and offices on the preparation of results-based departmental work plans for 2011. The results-based work plan is envisaged to respond to the need for cascading Strategy 2020 goals (as reflected in ADB's results framework) down to work priorities at all levels in the organization (department, division, and staff) to align performance with corporate results and strengthen staff accountability. The intention of the departmental work plan enabled staff to see how their own work contributed to the attainment of ADB's goals.<sup>48</sup> BPMSD is also aligning the recruitment process, staff performance, and competencies with ADB's results agenda, in view of the complex nature of MfDR, that requires a wide range of expertise (e.g., on impact evaluation and on meaningful data reporting and monitoring). While the "cascading" objectives could still be considered a work-in-progress, a few challenges remain in terms of ensuring delivery of results (i.e., ensuring meaningful and accurate staff reporting on project results, given attribution difficulties and varying levels of competency) and in designing ADB-wide staff incentives and rewards (through rewards and recognition programs) to motivate staff to make them pay more attention to results in their work assignments.

91. **Coordination with other offices.** A good degree of collaboration is noted between SPRU and other ADB units in mainstreaming MfDR. For example, awareness-raising and dissemination of key messages is being done with the active involvement of Department of External Relations. These entail developing/implementing communication plans for DEfR and CEfBs and supporting internal communications requirements (e.g., *ADB Today*, myADB/ADB Avenue, digital signage, banners, etc.). OIST is also involved in the area of developing and testing new systems (e.g., dashboards); implementing changes in the MfDR-related IT systems and websites, based on feedback and user surveys; and in supporting development and maintenance of the MfDR website (both the internal website, which is supported by OIST, and the external website supported by Department of External Relations). Coordination is also being done with COSO in improving project DMFs and with IED on project quality at entry. COSO continues to help train staff in improving project DMFs.

92. The MfDR staff survey indicates that there has been a noticeable evolution on how positively the MfDR agenda is perceived by staff. About 42% of respondents strongly agree/agree that ADB has a well-articulated MfDR action plan and strategy, compared with the 23% of respondents who agreed or strongly agreed with this question in the 2007 survey. Another marked improvement is the perception that MfDR's implementation is well coordinated across the organization (31% vs. 17% in the previous survey). These results tend to show that internalization of the MfDR concept among staff is being successfully managed. It could also be inferred that staff ownership of the MfDR initiative appears to be broader, since the widely held perception is that it is an ADB-wide initiative (and thus not only confined to SPRU). Table 6 shows survey responses from the latest MfDR survey.

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<sup>48</sup> Department work plans were completed in April 2011. Using the department work plan as a guide, staff prepared individual work plans. Since this was a new initiative, SPRU briefed all departments and offices and worked with focal points to ensure understanding of the methodology behind the results-based work plan.



**Table 6: Staff Perceptions of Mainstreaming of Managing for Development Results Agenda**

Statement	Strongly Agree/Agree	Neutral	Disagree/Strongly Disagree	Don't Know
ADB has a well articulated action plan and strategy for managing the change process for MfDR				
2007	23	34	21	23
2011	42	32	9	17
The implementation of the MfDR agenda is well-coordinated across the organization.				
2007	17	30	35	19
2011	31	35	16	17

ADB = Asian Development Bank, MfDR = managing for development results.

Source: Managing for development results special evaluation study staff survey.

## 2. Providing Sufficient Resources and Developing Capacity to Mainstream MfDR

93. Given that the proper enabling environment and institutions are in place, aligning these structures with resources to enable capacity improvements is imperative to generate opportunities and incentives for mainstreaming MfDR.

94. **Resource provision.** SPRU's budget has increased by an annual average of about 21% since 2007, and resources earmarked for MfDR activities appear to be adequate. MfDR publications are being funded separately through the OAS, which oversees the printing of all ADB publications. Responses from ADB staff to questions concerning resources and capacity for MfDR implementation are shown in Table 7.

**Table 7: Staff Perceptions of Sufficiency of Resources to Mainstream the Managing for Development Results Agenda**

Statement	Strongly Agree/Agree	Neutral	Disagree/Strongly Disagree	Don't Know
ADB is willing to invest the resources required to support its MfDR agenda.				
2007	45	20	24	11
2011	53	23	8	17
ADB has built its overall organizational capacity to mainstream MfDR.				
2007	20	29	27	24
2011	46	27	11	16

ADB = Asian Development Bank, MfDR = managing for development results.

Source: MfDR special evaluation study staff survey.

95. As to the question on whether ADB is willing to invest the resources required to support its MfDR agenda, more than half of the respondents agreed or strongly agreed (53%), which is higher than the result (45%) of the 2007 survey. Also, the number of respondents who disagreed fell by a third from the previous figure of 24%. Forty-six percent of all respondents agreed/strongly agreed that "ADB has built its organizational capacity and is now ready to mainstream the MfDR agenda," while 11% disagreed. Compared to the result (20%) of the previous IED survey, there is now more confidence in ADB's organizational capacity to mainstream the MfDR agenda.

96. **Capacity development efforts.** Providing sufficient MfDR information dissemination activities and training is important to ensure that staff have a clear understanding of the results agenda and how they can meaningfully contribute to it. A communication plan for MfDR has been developed and implemented. ADB disseminates guidelines, tools, and other publications on MfDR to its managers and staff to develop internal capacity on MfDR. ADB has disseminated tools and good practices on MfDR through various means, including seminars, newsletters, the MfDR website, and intranet site. ADB's MfDR Resource Center contains over 500 documents and files related to MfDR. ADB has developed an information technology-supported results dashboard to support performance monitoring. Four progress reports on MfDR were submitted to the ADB Board of Directors' Development Effectiveness Committee. Publication of CEfBs is being done in collaboration with the regional departments to better explain how ADB is contributing to country results.

97. The MfDR training program has been implemented since 2006. It has been continuously updated and currently covers training on MfDR concepts and principles for the director level and above, CPS preparation for country team leaders, country portfolio management and review for country teams, sector road map preparation for country teams, and DMF preparation for staff in regional departments. Initially, SPRU organized training programs for around 200 participants from 2006 to 2009. Since 2010, SPRU has launched MfDR-related training courses with BPMSD, with a total of around 400 participants attending. Post-training feedback showed that around 89% of respondents were "very satisfied/satisfied," with 0% dissatisfaction. Also, ADB has also been striving to ensure DMF quality by building staff capability and improving quality assurance mechanisms in the regional departments. During 2005–2008, 795 staff received DMF training.<sup>49</sup> Staff responses to the MfDR survey on skills and training are shown in Table 8.

**Table 8: Staff Perceptions on Managing for Development Results Skills and Training**

Statement	Strongly Agree/Agree	Neutral	Disagree/Strongly Disagree	Don't Know
I have a clear understanding of what results have to be achieved in my work. 2007 2011	85 78.3	9 14.8	6 4.8	1 2.1
I have the knowledge and skills required to enable me to be results-oriented in my work. 2007 2011	86 82.8	9 11.5	4 3.5	1 2.3
The MfDR training I attended has helped me to better achieve results in my work. 2007 2011	41 66.9	39 25.1	19 7.4	1 0.6
ADB's MfDR agenda is clear to me. 2007 2011	36 44.1	30 32	26 17.6	8 6.3
Training efforts for improving both technical and process skills of ADB staff to advance the MfDR agenda are sufficient and have been effective. 2007 (question not asked) 2011	- 30	- 33	- 18.7	- 18.3

ADB = Asian Development Bank, MfDR = managing for development results.  
Source: MfDR special evaluation study staff survey.

<sup>49</sup> ADB. 2009. *ADB Action Plan on Managing for Development Results 2009–2011*. Manila.

98. The majority of staff (78%) indicated that they have a clear understanding of what results have to be achieved in their work. This is slightly lower than the result (85%) obtained by IED in its 2007 survey of ADB staff. Similarly, the response made by staff on “I have the knowledge and skills required to enable me to be results oriented in my work” was almost identical with that of the 2007 survey. Of those staff who attended MfDR training, 67% agreed that it had helped them to achieve better results in their work, while 25% were neutral and 7% disagreed. This was a major improvement from the 41% who agreed in the previous IED survey. There was also a slight increase from the previous survey (36%) on the number of respondents who agreed/strongly agreed that “ADB’s results agenda is clear to me.” Around 44% agreed/strongly agreed, while 18% disagreed/strongly disagreed.

99. When queried if training efforts<sup>50</sup> for improving both technical and process skills of ADB staff to advance the MfDR agenda are sufficient and have been effective, 30% of the respondents agreed/strongly agreed with the statement as against the 19% who disagreed/strongly disagreed. However, 18% replied “Don’t know,” while a third of the respondents (33%) adopted a neutral stance. Given these results, there may be a need to conduct more orientation/briefing for staff regarding the nature of MfDR for them to be able to appreciate its merits in achieving results.

100. **Providing adequate support mechanisms.** As mentioned in paras. 68–71, ADB has also undertaken steps to prepare a new IT strategy to continue increasing the level of automation of its business processes and deliver the required new IT capabilities to support Strategy 2020, given the anticipated increase in the volume and strategic focus of ADB’s work. The new IT strategy is expected to be in place by 2012. As part of this approach, interdepartmental business process flows are being given consideration in the design of IT projects and are being combined with IT strategic platform-based implementation such as P3M.<sup>51</sup> Survey responses from ADB staff to two queries regarding the adequacy of business processes support are shown in Table 9.

**Table 9: Staff Perceptions on Adequacy of Business Processes Support for Managing for Development Results**

Statement	Strongly Agree/Agree	Neutral	Disagree/Strongly Disagree	Don't Know
ADB business processes adequately support the MfDR agenda.				
2007	30.0	29.0	24.0	16.0
2011	44.2	28.7	11.5	15.7
ADB performance information systems adequately support the MfDR agenda.				
2007	26.0	28.0	29.0	18.0
2011	36.5	31.1	14.6	17.9

ADB = Asian Development Bank, MfDR = managing for development results.

Source: MfDR special evaluation study staff survey.

<sup>50</sup> Trainings provided were in the areas of results-based country partnership strategies and sector assessments and results-based country portfolio review and country operations business plan.

<sup>51</sup> The P3M initiative aims to provide an end-to-end pipeline and portfolio management support for ADB operations. This starts with the preparation of the country strategy and program/updates (now known as the country partnership strategy [CPS], and its processes), then continues through project administration and management until the projects have ended and loans have been paid. This initiative was originally made up of five components, namely: (i) Management Information System, (ii) Project Processing Management System, (iii) Portfolio Monitoring and Management System, (iv) Portfolio Administration System, and (v) Procurement Management System.

101. With regard to whether ADB's business processes adequately support the MfDR Agenda, a small improvement was noted from those who have agreed/strongly agreed (44%) as compared with the result of the previous survey (30%). Similarly, an improvement was observed in the responses to the statement "ADB performance information systems adequately support the MfDR Agenda," as 37% of respondents agreed/strongly agreed compared with about 26% who agreed during the previous survey. There seems to be substantial room for improvement on ADB's part.

102. Some of the lessons and recommendations from the two evaluations of ADB's MfDR efforts (paras. 27–28, and Appendix 3) were taken into consideration. For example, several of the recommendations of the 2005 evaluation were given implicit support (e.g., need for strategic leadership, staff incentives, and change management), although those were not explicitly incorporated into the 2006 Action Plan. In the case of the 2007 IED preliminary assessment, the main recommendation was to significantly increase MfDR mainstreaming efforts; however, ADB Management opted for a more modest increase in effort, due to administrative capacity and resource constraint considerations existing in 2007. Subsequently, ADB's efforts can be considered to have exceeded the "modest increase" envisaged in 2007, partly due to the relaxing of the resource and capacity constraints. In the end, one may consider that SES's recommendation to significantly increase MfDR mainstreaming effort was adopted by ADB Management, albeit with a lag following the alleviation of resources and capacity constraints.

### 3. Overall Organizational Response

103. Overall, ADB's organizational response is rated responsive. ADB has generally provided the necessary enabling environment and institutional structures to put MfDR in place. In particular, strong leadership and direction from senior management are noted. A high degree of collaboration and coordination is also noted between SPRU and various MfDR- concerned units. Sufficient resources have been provided, and capacity development efforts have been stepped up. There has been somewhat less progress in terms of the provision of an adequate support mechanism, such as IT systems. Table 10 summarizes the assessment and rating of the responsiveness subcriteria.

**Table 10: Assessment and Rating of Responsiveness**

Criteria	Assessment	Responsiveness Rating
<b>A. Strategic Response</b> 1. Consistency of other ADB sector strategies and initiatives with MfDR agenda	Other ADB strategies, including the sector operational plans, information technology strategy, and ADB's emphasis on better knowledge management, were generally consistent with the MfDR agenda. There is an issue with regard to how to apply the project classification system in a consistent manner within the organization so that the system does not become an impediment to the consolidation of performance information at the corporate layer.	Responsive
2. Achievements against the MfDR action plan	The four MfDR actions plans elaborated between 2004 and 2010 have been instrumental in translating the MfDR vision. These action plans have addressed key strategic goals through practical steps and have been useful in setting a baseline to measure progress over time. Overall, ADB achieved most of the intended results set out in the MfDR action plans. KRA 2 and KRA 3 are considered to have been largely achieved	Highly responsive

Criteria	Assessment	Responsiveness Rating
	and fully achieved, respectively. KRA 1 was considered to be only partly achieved, with additional support required to build DMC MfDR capacity in a sustainable, cost-effective way (see Table 5).	
<b>B. Organizational Response</b> 1. Extent to which ADB as an organization responded to the MfDR agenda	ADB has generally provided the necessary enabling environment and institutional structures to put MfDR in place. In particular, strong leadership and direction from senior Management are noted. A high degree of collaboration and coordination is also noted between SPRU and various MfDR concerned units. Sufficient resources have been provided, and capacity development efforts have been stepped up. There has been somewhat less progress in terms of the provision of an adequate support mechanism, such as information technology systems.	Responsive
<b>Overall Responsiveness Rating</b>		<b>Responsive</b>

ADB = Asian Development Bank, KRA = key result area, MfDR = managing for development results, SPRU = Results Management Unit.

Source: MfDR special evaluation study team assessments.

## V. RESULTS ORIENTATION

104. Results orientation assesses how the MfDR agenda has influenced results in terms of outputs and outcomes at the various MfDR layers. Assessments of ADB's results are based on the monitoring and reporting of the intended results at each layer and not on actual results on the ground. The three subcriteria/layers are (i) corporate results, (ii) country/sector results, and (iii) project results. Assessment and rating of the subcriteria are shown in Table 12 at the end of the chapter.

### A. Corporate Layer

105. At the corporate layer, a corporate results framework was introduced in September 2008 to serve as a guide for the implementation of Strategy 2020, ADB's corporate-wide planning document. This results framework includes targets for key development indicators for Asia and the Pacific—including the 2015 MDGs—and sets intermediate corporate performance targets for 2012. For assessing progress against the targets retained in the results framework 2008 and Strategy 2010, ADB explicitly designed a dedicated reporting instrument, the DEfR. The DEfR covers all operations financed by ADB's OCR and the ADF, ADB's concessional lending window. In October 2008, ADB issued its first DEfR, covering its 2007 performance. The second DEfR, covering 2008, was completed in July 2009; the third, covering 2009, was issued in April 2010; and the fourth was released in March 2011. Refinements to the 2008 results framework were approved in December 2010 that included modifications to the structure and indicators that would ensure comparability with past data and assessments against original targets.<sup>52</sup> These proposals were discussed at the Board meeting in January 2011. In addition, improvements were made to the DEfR's scorecard methodology to allow the scorecard to reflect both the likelihood of attaining the 2012 targets and annual change in an integrated signal, whereas the previous captured mainly annual change.

<sup>52</sup> ADB. 2010. *Refinements to ADB's Results Framework*. Manila.

106. ADB issued its first annual report on the implementation of the PRS back in 2004, and the second was issued the following year.<sup>53</sup> The 2004 report assessed how ADB had performed during 2004 in advancing the PRS and introduced a results-based M&E framework to assess progress toward desired results at the impact, outcome, output, and input levels, replacing the earlier reliance on monitoring lending targets for projects classified as poverty interventions. It adopted 25 main indicators, estimating baselines and setting targets for them where feasible, and identified issues and lessons requiring Management attention to improve implementation of the PRS.

107. The DEfR built on the work undertaken by the PRS annual reports. However, it represented a clear step forward from the annual reports by attempting to more systematically measure ADB's performance against a detailed results framework and in accordance with a standardized corporate scorecard. The ADB results framework contains four levels, two of which are development-oriented (outcome and output levels related to poverty and human development, among others) and two of which are management-oriented (operational effectiveness and organizational effectiveness).

108. The DEfR presented many comparative advantages over past attempts to report results. First, the visibility of the report has been high, with the report being made available to the public at large and eliciting comments from partners and donors. Second, MfDR reporting using the performance scorecard provides a mechanism for strategic feedback and helps the organization foster learning from results in conformity with good practices. Third, ADB has been successful in transforming its MfDR agenda into a living management system through the DEfR reporting process.

109. Under the standardized periodic documentation of DEfR performance metrics and the regular meetings for which these reports served as an agenda, ADB has created a corporate management reporting tool that enables a better view than before of how well it is executing strategy, when it is straying from its strategic objectives, and where to adjust strategic initiatives to get back on track. For instance, by tracking down the success rate of completed projects, ADB has been able to sharpen the discussions about strategy and to focus attention at the highest leadership level on improving future performance. ADB has also used the 2008 DEfR findings in better preparing the work program and budget framework (WPBF) 2010–2012 and linking performance information and corporate planning more clearly.

110. Many staff members interviewed during this study indicated that the existing reporting process was yielding other benefits, one of them being the capacity of the organization to achieve a greater consensus on—and deeper understanding of—the MfDR agenda and its relationship to cascaded results-oriented documents. The MfDR reporting under DEfR was said to foster a continuing dialogue on initiatives and their linkage to strategic objectives. The comparator assessment also suggested that the ADB DEfR was recognized as a good practice from a MDBs' perspective. ADB's DEfR has been the first development effectiveness report made available by an MDB's management, thus setting a standard for other development banks to improve their self-reporting of performance at the corporate level. According to MOPAN 2009, the ADB DEfR rated well in terms of use of a good variety of indicators at different levels as well as aggregation or rolling up of data to a summary level, thus enabling reporting at a macro, organizational level. Only over half of the MDBs' reports under review by MOPAN (seven out of 12) reported on performance against predefined targets, while only four reports reported

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<sup>53</sup> ADB. 2004. *An Assessment of the Asian Development Bank's Progress and Changes Introduced to Fight Poverty*. Manila; ADB. 2005. *Annual Report on the Implementation of the Poverty Reduction Strategy*. Manila.

consistently, explicitly, and comprehensively on their performance using both baselines and targets, including the ADB DEfR. Other notable features of the DEfR were highlighted by MOPAN, e.g., use of a rating scale to classify performance.

111. Despite this overall positive picture of the corporate results framework and the DEfR, the framework and the report could be further improved. First, there is a disconnect between the methodology adopted for measuring/reporting outputs and measuring/reporting outcomes. Outputs reported may be a subset of the total outputs expected from a project, which at times may reflect mainly physical outputs rather than difficult to achieve—non-tangible outputs—for example, ‘new household served with water supply.’ However, the DEfR methodology uses as outcomes, evaluation ratings of effectiveness relating of all outputs in the project, which includes both access/coverage-related outputs (e.g., households connected) and other outputs (e.g., quality of water, institutional capacity, efficiency and sustainability of water supply utilities, and pricing of water). If only the former output is achieved, but other outputs are not achieved, output measure may be high, while the outcome measure may be low for the same project. Another disconnect between outputs and outcomes is that outputs assessment includes anticipation of outputs not yet completed, but outcomes assessment concerns finished projects only. Second, as mentioned in para. 108, the framework and the DEfR now serve as a reporting tool to ADB’s shareholders as well as an accountability tool to better inform ADB Management about poor result areas that need to be addressed. At present, the framework and the DEfR consist mainly of lagging indicators (for example, reduced overall under-5 mortality rate by two-thirds by 2015, or increased water supply coverage in urban areas to 96.7% by 2015) that provide a good picture of past results, which was the main concern of shareholders. To make the DEfR more effective as a corporate management tool, there is a need to develop new types of indicators to give management a clearer picture of the current state of results. Moreover, new outcome indicators should be developed at level 2 that better and more comprehensively inform shareholders and corporate management on the success of completed operations. New indicators to ensure project sustainability and international benchmark indicators drawn from recognized external sources should also be considered for inclusion. However, the number of total indicators should be kept at a manageable level in line with international best practice. See Appendix 8 for more discussion of possible indicators for inclusion into the corporate results framework.

112. Overall, reporting at the corporate layer is rated results oriented. Although there is still an issue with regard to the lack of sufficient process and other indicators shown at the various levels in the DEfR (e.g., outcome indicators at level 2), both the corporate results framework as well as the performance analysis that followed in the four DEfRs have become an effective yardstick for corporate management in ADB, driving many internal reforms and serving as a management tool that helps ADB monitor and improve its business to achieve the long-term development goals laid out under Strategy 2020.

## **B. Country/Sector Layer**

113. Monitoring of country results is via the annual CPR exercise, while reporting of country results is via biannual quality-at-entry assessments of CPSs as well as a CPS final reviews and CAPEs<sup>54</sup> undertaken at approximately 3- to 5-year intervals per country. Monitoring and reporting of sector results is through the same mechanisms plus SAPEs undertaken for selected sectors.

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<sup>54</sup> In some cases, the CAPEs are replaced by CPS final review validations, undertaken by IED.

114. As indicated in para. 77, since 2006 all CPSs have included country-layer results frameworks, and 198 CPS sector road maps included sector-layer results frameworks (Appendix 4). The sector road maps are normally preceded by detailed sector and thematic assessments,<sup>55</sup> which undertake most of the sector and thematic work needed for country and project planning, while facilitating better alignment with DMC sector support needs and priorities and with Strategy 2020. The 2010 CPS quality-at-entry review<sup>56</sup> reported that all the CPSs approved in 2008 and 2009 met the standards. To supplement the review, an assessment of 13 CAPEs was undertaken covering a CPS planning period of 1985–2009. Ten CAPEs were rated as successful and three as partly successful. A further assessment of the same 13 CAPEs using applicable COSO assessment criteria<sup>57</sup> indicates that the average quality of the CPS results frameworks is still not high enough, particularly with regard to indicator quality. A summary of the CAPE and CPS assessments' findings is in Appendix 10.

115. There appears to be a monitoring and reporting gap at the country/sector layer in terms of reporting ADB's contribution to country outcomes. This may be attributable to the variable quality of CPS frameworks and their indicators (para. 114). At present, CEfBs are being used to provide information on (i) country development trends; (ii) how the ADB country strategies have supported national development priorities in the last 5–10 years; (iii) ADB's contributions in key sectors and thematic areas, including the inputs, outputs (Level 2 of the ADB results framework), outcomes, and impacts of ADB projects; and (iv) ADB's operational and organizational effectiveness in the country as measured by selected indicators from Levels 3 and 4 of the ADB results framework. The inclusion of more information on ADB's contribution to country outcomes would further improve the usefulness of the CEfBs. This presupposes that CEfBs are based on a good CPS results framework containing adequate and appropriate information for managing towards results during implementation. This should also be complemented by more systematic country and sector outcome monitoring during CPRs as envisaged under revised project administration instruction 6.02. SPRU is conducting training on results monitoring through its workshop on results-based CPRs (footnote 49).

116. CPS guidelines (footnote 37) were issued in March 2010 with the intention of making CPSs more results oriented. The guidelines are comprehensive and attempt to clarify the linkage between the government's country and sector objectives on the one hand, and the country sector output and outcomes to which ADB contributes on the other hand. Examples of country/sector outcomes and outputs are provided and expressed in terms of a goal or objective, supported with a performance measure. Overall, the guidelines are a good start, but still more clarity is needed on the interlinkages upward from country outcomes to overall ADB corporate outputs/outcomes and downward from sector outcomes/outputs to project impacts, and ADB needs pay more attention to monitoring of the CPS results frameworks.

117. **Learning country evaluation lessons.** At the country/sector layer, learning and decision-making should mainly take place at the CPS design stage, with more limited learning at the CPR stage. At the design stage, country team leaders are expected to review the issues and lessons that have emerged from past CPS final reviews, CAPEs, SAPEs and other post-evaluation reports and use these to improve the design of future CPS. At the implementation stage, monitoring from results-based CPRs should feed into COBPs and subsequent CPSs. The reports are available electronically via ADB's document repository, while the lessons from

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<sup>55</sup> These country-layer sector assessments are different from the corporate-layer sector plans mentioned in paras. 64–65.

<sup>56</sup> ADB. 2010. *Country Partnership Strategy Quality-at-Entry Assessment*. Manila.

<sup>57</sup> These are similar to the COSO assessment criteria used for the annual project DMF quality assessment.

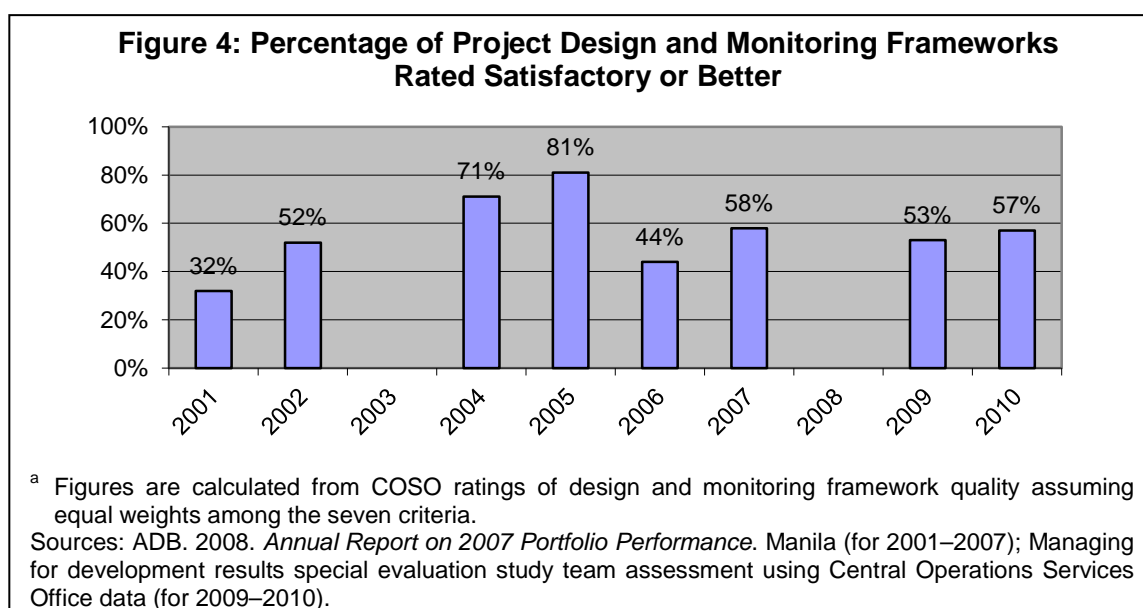


these evaluation studies (only for CAPEs and SAPEs) are regularly extracted and stored in IED's searchable evaluation information system database. Key informants interviewed in SPD indicated that, although country team leaders have used lessons from past strategies to design new strategies, this is still a work in progress. With the recent issuance of the CPS guidelines, more learning and decision-making based on past evaluation lessons should become evident.

### C. Project Layer

118. Monitoring project results is currently taking place via the new project processing and portfolio management system, while reporting of project results is via the annual portfolio performance review conducted by COSO.<sup>58</sup> The latter two assessments are in turn based on self-assessments of project success reported in PCRs, and independent assessments of project success reported in PCR validation reports, PPERs, and TA completion reports. An SES assessment based on COSO data indicated that overall around 57% of all DMFs met all or most of the quality criteria.

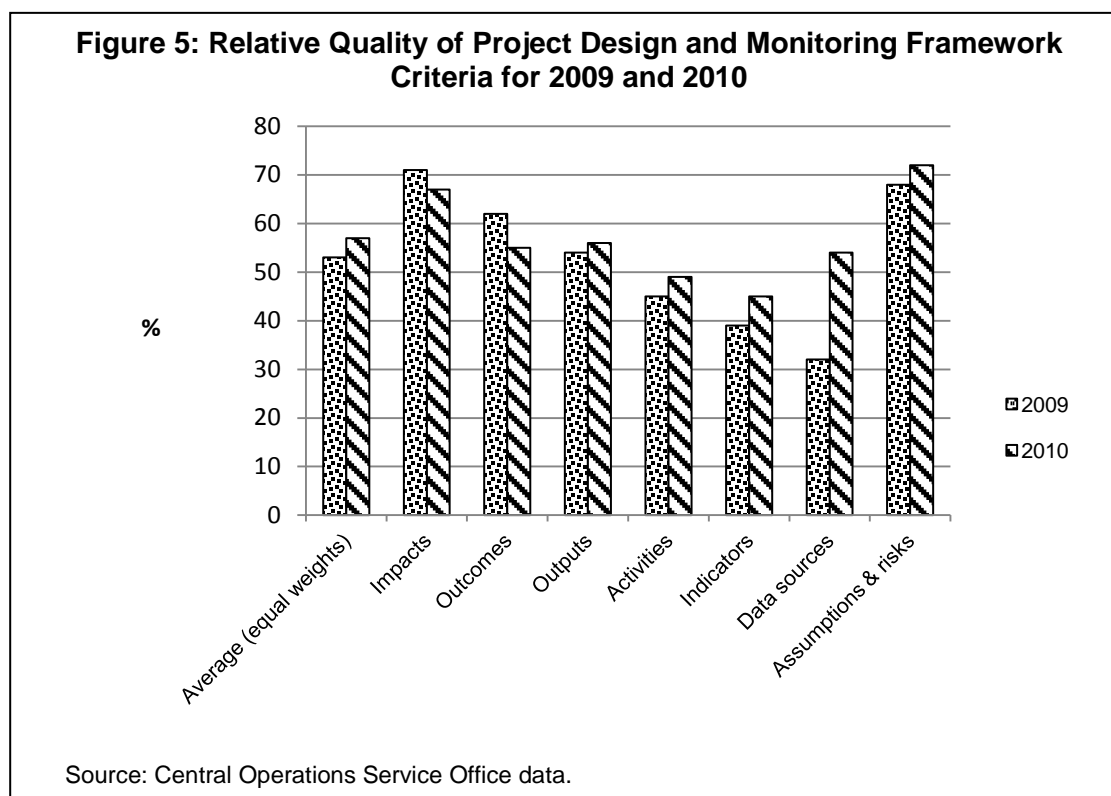
119. **Design and monitoring framework quality.** Figure 4 shows the percentage of projects rated satisfactory or better by IED over the period 2000–2010. Although project DMF quality has varied, there appears to have been a gradually improving trend over the 10 years.<sup>59</sup> It should be noted that the project DMF is a key design document that lays the foundation for M&E and hence supports MfDR approach to project management. Since the DMF is used to monitor the project's implementation and likely outcomes and impacts, it is important that the DMF quality continue to increase further to achieve at least 70%. A number of actions are being undertaken to bolster DMF quality. First, regional departments have undertaken considerable efforts to improve DMF quality, including the establishment of internal quality control mechanisms. Second, COSO has delivered significant training on project DMF preparation and is planning to revise the DMF guidelines in 2011. Third, the streamlined business procedures issued in 2010 have placed increased emphasis on identifying and managing project risks starting from concept stage and this has been reflected in the revised RRP and PAM templates, as well as monitoring implementation in the eOperations project record.



<sup>58</sup> The annual portfolio performance report was prepared annually by the IED until 2011.

<sup>59</sup> The methodology for assessing DMF quality has changed somewhat over this period.

120. Greater results orientation implies paying appropriate attention to all the links in project results chain. At present, attention is more focused on the beginning links of the chain (e.g., activities and outputs) vis-à-vis the later links (e.g., outcomes and impacts). Reinforcing the later (weaker) links would be a useful way of making the entire chain stronger and achieving greater results orientation. Figure 5 presents the weighted average score of the quality of seven criteria that make up project DMFs using COSO's DMF quality assessments for 2009 and 2010<sup>60</sup> covering approximately 300 DMFs per year. More detailed charts are provided in Appendix 10, Tables A10.1 and A.10.2 that show the scored results by individual criterion used within the seven elements shown in Figure 5. It can be seen that, although all criteria improved over 2009–2010, the level was still low (about 50%–60%) for most of the result chain links. There is no particular indication that impacts/outcomes improved more than activities/outputs. In fact, the improvement in outcome quality was the smallest of all the criteria, which may indicate that not enough attention is being paid to this crucial results link. The results indicate there is further room for improvement on specific project DMF criteria. For example, activities and indicators quality are the only criterion that rated less than 50% in both 2009 and 2010 and, thus, could be considered the greatest weaknesses of the DMF.



121. **Project outcomes.** The SES undertook a further evaluation of the performance of 50 completed projects<sup>61</sup> using the respective PCRs and PCR validation reports to determine the extent to which project outcomes have been achieved. The assessment indicated that, on average, 55% of the total number of expected project-specific outcomes as reported in DMFs were attained, 29% not attained and 16% were dropped or no data were available and only

<sup>60</sup> The methodology for assessing DMF quality has changed over the years and, as a consequence, only the last 2 years of data could be used for the purpose of analyzing shift in result chain focus.

<sup>61</sup> These are 50 sovereign loan projects with PCRs already validated by IED (i.e., with PCR validation reports) between December 2010 and June 2011.

about 32% of the sample projects achieved at least 80% of their expected outcomes by completion. Meanwhile, 16 out of the 50 sample projects (32%) have at least 80% of their expected (number of) outcomes accomplished by completion. Moreover, 21% of the projects rated had higher PCR ratings than PCR validation report ratings, which may indicate that self-assessments are sometimes too positive. Given the above, there may be a need for additional resources to ensure achievement and sustainability of outcomes through monitoring of projects during and after implementation. The regional departments have recently commenced post-project completion outcome monitoring activities as a step to identify lessons to be incorporated into sector assessments and road maps, while, at the same time, ADB is supporting DMC efforts to improve their own results M&E systems. This requires more attention, as this is a key to sustaining outcome monitoring and its use for decision making in DMCs and ADB. In addition, other innovative approaches to assure achievement and sustainability of outcomes (e.g., outcome mapping) maybe considered. The detailed results of the assessment are provided in Appendix 10.

122. **Project impacts.** There is limited information available on the achievement of project impacts. ADB has put in place an impact evaluation work program that is supposed to eventually provide a better picture of the development effectiveness of its operations and focuses specifically on the “tail end of the results chain.” The work plan has been supported by a regional TA<sup>62</sup> and activities are currently ongoing. Although the work program and TA are relevant, there is a question as to whether the resources earmarked for this activity are adequate.

123. **Learning project evaluation lessons.** One of the five key MfDR principles is that results should be used for learning and decision-making (para. 36). At the project layer, learning and decision-making normally take place at the project design and project implementation stages. At the project design stage, team leaders are expected to review the issues and lessons from past projects that have emerged from PCRs, PPERs, TA completion reports, TA performance evaluation reports and other post-evaluation reports and use these to improve the design of future projects. The reports are available electronically via ADB’s document repository, while the lessons from these past projects (only for PCRs, PPERs and technical assistance performance evaluation report) are regularly extracted and stored in IED’s searchable evaluation information system database. Survey results indicate that not all users find the database and/or repositories sufficiently comprehensive and easy to access. The staff perceptions survey reported that only 33% of respondents agree that results knowledge coming from PCRs is well documented, catalogued, indexed and kept in a knowledge bank. Likewise, only 36% of staff respondents agree that ADB’s collective knowledge on risks, assumptions and lessons learned is well used in the development of project concept papers (Table 11).

**Table 11: ADB Staff Response to Statements Related to Project Learning and Knowledge**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB is an effective learning organization.	58.9	24.8	15.6	0.7	545
2. Results knowledge coming from the project completion reports is well documented, catalogued, indexed, and kept in a knowledge bank.	33.1	27.1	16.7	23.0	538
3. ADB’s collective knowledge on risks, assumptions and lessons learned is well used in the development of project concept papers.	36.2	27.3	18.0	18.4	516

<sup>62</sup> ADB. 2010. *Technical Assistance for Implementing Impact Evaluation at ADB*. Manila.

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
4. As project officer, I have the authority, influence and flexibility to manage the project to a successful completion and achieve all the targets set in the design and monitoring framework.	28.2	32.3	11.8	27.6	532
5. The DMC executing and/or implementing agencies take timely and decisive actions to ensure project's desired outcomes.	23.4	33.7	15.1	27.8	504

ADB = Asian Development Bank, DMC = developing member country, MfDR= managing for development results, No. = number.

Source: Special evaluation study on MfDR survey results.

124. At the project implementation stage, project teams are focused on project activities, outputs and outcomes and on taking any necessary corrective actions to ensure project success. Project team leaders need to have the necessary authority and influence to implement the required corrective action and the DMC executing/implementing agencies need to be responsive to these corrective actions. The staff perceptions survey reported that only 28% of respondents agreed that as project officer, they have the authority, influence and flexibility to manage the project to a successful completion and achieve all the targets set in the design and monitoring framework. Further, in regard to the DMCs, only 23% of respondents agreed that the DMC executing/ implementing agencies take timely and decisive actions to ensure project's desired outcomes are achieved (Table 11).

125. Although ADB has taken the knowledge agenda seriously for many years and 59% of staff respondents agree that ADB is an effective learning organization, the much lower percentage of respondents using and applying the project learning and knowledge suggests a gap between the cultural perception and the actual practice of acquiring, using and applying project knowledge. Table 12 summarizes the assessment and rating of the results orientation subcriteria.

**Table 12: Assessment and Rating in Achieving Results Orientation**

Criteria	Assessment	Results Rating
1. <b>Corporate Layer:</b> Extent to which Asian Development Bank (ADB) effectively monitors and reports on intended results set out in the corporate results framework and uses this for learning and decision-making	Monitoring and reporting of corporate results is via the annual development effectiveness review (DEfR). The DEfR has been issued for the last 4 years and has provided a steadily improving picture of how well ADB has done in achieving results set out in its corporate results framework. Although there is still an issue with regard to the quantity and mix of indicators shown at the various levels in the DEfR, both the corporate results framework as well as the performance analysis that followed in the four DEfRs have become an effective yardstick for corporate management in ADB, driving many internal reforms. With regard to how ADB has used corporate results for better learning and decision-making, the DEfR has become a recognized part of the corporate planning process and feeds its findings directly into the annual planning directions and the work plan and budget framework.	Results oriented
2. <b>Country and Sector Layer:</b> Extent to which ADB effectively monitors and reports on intended results set out in country partnership	Monitoring of country results is mainly via the annual country portfolio review missions, while reporting is via biannual quality-at-entry assessments of CPSs as well as the CPS final reviews, country assistance program evaluations (CAPEs) undertaken at approximately 3–5 year intervals per country. Monitoring and reporting of sector results is through the same mechanisms plus sector assistance program evaluations (SAPEs) undertaken for selected sectors. The 2010 quality-at-entry assessment of 11 CPSs approved in 2008–2009 reported a 100% satisfactory rate, while the managing for development results special evaluation study's (SES's) own review of 13 CAPEs rated 10	Results oriented

Criteria	Assessment	Results Rating
strategy (CPS) results frameworks and uses this for learning and decision-making	successful or higher, and 3 as being partly successful. A further assessment of the same 13 CAPEs using applicable Central Operations Services Office (COSO) assessment criteria indicates that the average quality of the CPS results frameworks is still not high enough, particularly with regard to indicator quality. Overall, achievement is satisfactory; however, the CPS and sector result frameworks still require improvement. With regard to how ADB has used country results for better learning and decision-making, there is not yet sufficient evidence to judge this aspect.	
<b>3. Project Layer:</b> Extent to which ADB effectively monitors and reports on intended results set out in design and monitoring frameworks (DMF) and uses this for learning and decision-making	Monitoring of project results is currently via the project processing and portfolio management system, while reporting is via annual quality-at-entry assessment and annual portfolio performance review conducted by the COSO. An SES assessment based on COSO data indicated that overall around 57% of all DMFs met all or most of the quality criteria. An SES assessment of the achievement of project outcomes in selected project completion reports (PCRs) indicated that on average 53% of expected project-specific outcomes were attained and only about 32% of the sample projects achieved at least 80% of their expected outcomes at completion period. Moreover, 21% of the projects rated had higher PCR ratings than PCR validation report ratings, which may indicate that self-assessments are sometimes too positive. With regard to how ADB has used project results for better learning and decision-making, perception survey evidence suggests that project team leaders are not fully using past project results in designing their future projects and that there is a gap between the cultural perception and the actual practice of acquiring, using and applying project knowledge.	Results oriented
<b>Overall Results Orientation Rating</b>		<b>Results oriented</b>

Source: Managing for development results special evaluation study team assessments.

## VI. OVERALL ASSESSMENT

126. Overall, ADB's efforts in mainstreaming of the MfDR agenda are rated *successful* (Table 13). In terms of the three evaluation criteria, ADB's efforts are rated *relevant*, *responsive*, and *results oriented* on a four scale rating system.

**Table 13: Overall Performance Assessment**

Criterion	Assessment	Weighted Rating <sup>a</sup>
1. Relevance	Relevant	0.83
2. Responsiveness	Responsive	0.78
3. Results orientation	Results oriented	0.67
<b>Overall rating<sup>b</sup></b>	<b>Successful</b>	<b>2.28</b>

<sup>a</sup> The weights used were 33.3% (relevance), 33.3% (responsiveness), and 33.3% (results orientation). For details of rating methodology, see Table A1.2 in Appendix 1.

<sup>b</sup> Highly successful > 2.7; successful 2.7 ≥ S ≥ 1.6; partly successful 1.6 > PS ≥ 0.8; unsuccessful < 0.8.

Source: Managing for development results special evaluation study team assessments.

127. MfDR mainstreaming efforts are rated *relevant*, being aligned with both external and internal stakeholders' interests and consistent with ADB's internal context. The approach adopted conforms well to the current international consensus on aid effectiveness, with the strategies and objectives of the approach being in line with emerging international good practice. Likewise, the MfDR agenda is found to be well aligned with the needs of DMCs. Survey feedback from stakeholders suggests that the relevance of the MfDR agenda is high. However, APCoP-MfDR members had a somewhat less positive perception of the complementarity of the MfDR capacity building efforts vis-à-vis those of other donors. Some issues were also found with the internal consistency of the agenda, particularly with regards to the interlinkages among the various layers in the results chain.

128. MfDR mainstreaming efforts are rated *responsive* based on the effectiveness of ADB's strategic and organizational responses to the MfDR agenda. On the strategic side, ADB sector strategies and other initiatives generally followed the MfDR agenda. Efforts made so far are highly responsive to the MfDR action plan, since most of the intended results as set out in the current MfDR action plan have been achieved except for outcomes/outputs under KRA 1 which have been partly achieved as of mid-2011. ADB needs to give further attention to the development of MfDR capacity in DMCs in a sustainable, cost-effective way. On the organizational side, ADB's efforts are considered responsive, with strong leadership from senior management, high degree of internal collaboration and coordination, and adequate resources provided. Progress was sluggish in the provision of adequate support mechanisms for mainstreaming, such as the rolling out of suitable information technology systems, until 2011 when new initiatives were undertaken.

129. Mainstreaming efforts at the different MfDR layers are rated *results oriented*. At the corporate layer, the DEfR has become an effective yardstick for corporate management, driving many internal reforms and serving as a management tool to monitor and improve its businesses to achieve the long-term development goals laid out under Strategy 2020. At the country/sector layer, SES assessments of country assistance program evaluations indicate that the average quality of CPS results frameworks is still low, especially with regard to indicator quality. At the project layer, an SES assessment based on COSO data showed that overall around 57% of all DMFs met all or most of the quality criteria. An IED assessment of the extent of shift in attention from the beginning to the end of the results chain did not indicate that impacts and outcomes were being given more attention vis-à-vis the other result chain links. The evaluation of projects show that project outcomes are often not being achieved as envisaged at the project design stage and that the project self-assessments are sometimes too positively assessing project outcome achievement. Accordingly, additional resources may be required for ADB work to prepare and implement projects and programs to ensure achievement and sustainability of outcomes.

## VII. FINDINGS, LESSONS, ISSUES, AND RECOMMENDATIONS

### A. Key Findings and Lessons

130. **Mainstreaming of the MfDR agenda has progressed well to date, but there is the need to warrant the preparation of a follow up action plan.** After 7 years from the introduction of the MfDR agenda, and 5 years since the approval of the first time-bound MfDR action plan, the SES considers that mainstreaming of the MfDR agenda has progressed well to date, but that there are still enough areas that need attention to warrant the preparation of a new action plan by SPRU. The new action plan could focus mainly on KRA 1 and parts of KRA 2, where there is still additional work to be done (paras. 76 and 78). The new action plan could emphasize more evaluation and learning from results in line with ADB's MfDR definition (para. 9) and internationally-recognized MfDR principles (para. 36). It is recognized that the next phase of the implementation of the MfDR agenda may have substantial resource implications as well.

131. **The development effectiveness review has evolved into a valued tool for reporting corporate results under the MfDR agenda.** Over the course of the four DEfR issues published during 2007–2011, the report has proven its worth as an effective corporate results reporting tool. The fact that the DEfR report has moved from being simply a public accountability tool to also being an important internal planning document that is integrated into the ADB's high-level planning process is an additional factor demonstrating its utility. Given that other MDBs, such as

the World Bank and the African Development Bank, have followed ADB's lead in developing similar corporate results reports, the DEFDR represents an international "good practice."

**132. The paucity of systematic data updating efforts hamper the results orientation of ADB's country partnership strategies and projects.** The SES noted the issue of lack of reliable data, including baselines, was noted as a factor in project DMF and CPS results framework quality (paras. 115 and 120). The challenge of identifying time-trend indicators that are regularly updated (preferably by in-country partners) is a long-standing problem. Possible solutions covering both layers are: (i) avoid using indicators for which there is no baseline data, (ii) improve staff accountability and incentives for results framework preparation and monitoring, and (iii) support development of selected statistics often needed for monitoring and evaluation.

**133. Current reporting tools used at various layers do not adequately stress the later results chain links, which inhibits focusing on the achievement of results.** Greater results orientation implies paying attention to all the links in results chain. As mentioned in para. 120, reinforcing the monitoring of the later links (e.g., outcomes and impacts) of the results chain by better measuring their achievement would be a useful way of making the entire chain stronger and achieving greater results orientation at the each of the layers. As yet, there is insufficient evidence that the MfDR agenda has led to more outcome (and project impact) measurement. To facilitate this outcome orientation at the project layer, IED will revisit the weights accorded to the various evaluation criteria to put more importance on downstream results (e.g., effectiveness and sustainability criteria), and focus more on project outcome (and to the extent possible impact) reporting. Looking forward, ADB may consider additional ways to appropriately measure all the links of the results chain, with a view to making the chain stronger.

**134. Strategic approaches with government ownership at the center will be needed to successfully inculcate the MfDR agenda in DMCs.** As mentioned in para. 53, DMC governments face a number of key challenges in increasing their understanding and use of MfDR, chief of which are absence of strong champions, lack of continuity due to political change, and lack of domestic demand for results-based management at different government levels. Conditions of low capacity, weak reform commitment, poor governance, and deficiencies in public financial management delivery may also in some cases make the results culture difficult to implement at the country layer. To align its MfDR strategy to DMC goals and objectives, ADB will need to be sensitive and respond to specific DMC needs, and to consider approaches to developing more comprehensive capacity development policies and tools. As mentioned in para. 60, the APCoP-MfDR and fledgling DMC CoPs could play a valuable supportive role in this regard.

**135. Progress on project design and monitoring framework improvement has been slow and would benefit from further attention.** The project DMF was introduced in ADB in 1996, but despite this long gestation period, there appears to be continuing issues with DMF quality due to poorly formulated indicators, outputs, outcomes, and data sources. As mentioned in paras. 119–120, although DMF quality still needs improvement, there has been a gradual improvement over the last 10 years. ADB is currently undertaking a number of actions to bolster DMF quality. These include establishment of internal quality control mechanisms, training on project DMF preparation, and revisions to the DMF guidelines. While the DMF is still a useful instrument, significantly more attention needs to be paid to training, quality control, and management emphasis given to this instrument.

## B. Key Issues

136. **There is a crucial disconnect between output analysis and outcome analysis in the DEfR.** As mentioned in para. 111, the different methodologies adopted for measuring and/or reporting outputs and measuring and/or reporting outcomes has resulted in a disconnect between these two result chain links in the DEfR's corporate layer reporting. Outputs reported may be a subset of the total outputs expected from a project, which at times may reflect mainly physical outputs rather than difficult to achieve—non-tangible outputs. However, the DEfR methodology uses as outcomes evaluation ratings of effectiveness relating to all outputs in the project. If only the coverage and/or access-related outputs are achieved, but other outputs (e.g., quality, efficiency, sustainability) are not achieved, output measure may be high, while the outcome measure may be low for the same project.

137. **A number of factors are hindering the “percolation” of results up the results chain.** As mentioned in para. 51, there are numerous layers of results-based information across all the MfDR layers and aggregating such information in an already crowded and decentralized results reporting system constitutes a challenge. In theory, results should be able to percolate up the results chain (as shown in Figure 2 and discussed in para. 26) from project inputs up to the MDGs. In practice, however, this is not always possible due to a number of factors. First, there are still some unclear interlinkages between the various MfDR layers—particularly between the country/sector and corporate layers—that impede this movement (para. 51). Second, there are attribution issues related to indicators at different layers that need to be taken into consideration. Third, there is the issue of how to aggregate disparate results indicators at different MfDR layers so as to provide a holistic but focused picture of results at the corporate layer. The interlinkages and attribution issues do not appear to have any ready solutions, although better information technology systems (e.g., the new eOperations systems) that allow easier reporting across MfDR layers could be part of the answer for the aggregation issue.

138. **The results orientation of several corporate sector/thematic plans is ambiguous.** As discussed in paras. 64–65, since 2008, ADB has initiated 10 sector/thematic plans, of which seven have been finalized. However, there appears to be substantial variation in the structure and purpose of these plans (Appendix 4, Table A4.2). While some are action plans to divert resources to a certain sector or thematic area which needs more attention according to the corporate results framework, others appear to be frameworks within which sector/thematic operations can be designed and implemented. Some have a results framework with detailed information (education) while others lack baseline data and expected indicators/targets (financial sector). In addition, many of the sector operational plans do not include commitments to report to Management on a regular basis. This does not conform to the MfDR agenda and does not facilitate alignment to the overall corporate results framework. Closer review of the purposes and the contents of these plans would help steer the ADB resources to the areas where they are most needed.

139. **Inconsistent application of the new project classification system may be skewing results reporting at the higher MfDR layers.** A good project classification system that is consistently applied is one of the fundamental building blocks of a sound results-based system. As discussed in paras. 66–67, originally ADB had developed a project classification system with a strong focus on tracking project inputs by country, sector, and theme, primarily on lending approvals and disbursements. In 2004, the project classification system was revised to better reflect poverty reduction impacts through the introduction of the targeting classification. In January 2009, ADB implemented a new system with the intention of aligning project classification nomenclature to the new priorities set by Strategy 2020. The new project



classification is reflected in all project-related documents and at all stages of project development, with improved information on ADB contributions to development outcomes and impacts. However, there are definitional issues and overlaps in reporting the classification, which renders unclear the actual ADB inputs provided to a particular sector or thematic area. In addition, the classification is the responsibility of individual operations departments without sufficient central oversight to ensure consistency with the interpretation made by other departments. An integrated classification system with central oversight for checking and controlling the quality of data entry is needed to improve the consistency of reporting to track the shift to core areas of operation and thematic priorities.

### C. Recommendations

140. **Enhance DMC capacity for MfDR through a strategic, phased engagement.** As mentioned in para. 76 on need for further progress of KRA 1 outcomes and outputs, there is still work to be done to build the MfDR skills base and develop MfDR systems in DMCs, as well as to foster the willingness and commitment to apply the skills to improve aid effectiveness. Strengthening DMC capacity will both balance and improve the sustainability of the MfDR efforts. Options for supporting DMC capacity building include: (i) nurture in-country change agents (e.g., high-level DMC officials) to help foster a results culture and to help espouse the merits of MfDR; (ii) enhance sector and thematic assessments to identify national and sector/thematic-specific capacity development opportunities for better results orientation; (iii) evaluate the success of the pilot-tested PSMF (para. 76) in other DMCs as a means of building DMC capacity; (iv) encourage the APCoP-MfDR to strengthen its linkages with other international and regional networks (para. 82); and (v) build on the initial success of the APCoP-MfDR modality, encourage DMCs to embrace standards of good practice in terms of gathering, monitoring, and sharing information with practitioners from other branches of the government and counterparts from other countries. These efforts should be seen as a public sector reform process requiring a long-term engagement, thus, ADB should be ready to stay engaged.

141. **Improve the results orientation of the corporate sector and thematic plans by clearly defining their purpose and the means to monitor their achievement.** As mentioned in para. 139, further improvements and consistency among the sector and thematic plans is needed. It is necessary to be systematic in the preparation of these plans in terms of why a plan is needed, what its goals are and what direction they give to shifting resources or developing instruments to achieve these goals. They also need to specify what mechanism are built-in to monitor and steer them in the direction of their goal during the assigned time-frame and when they need to be reviewed and reformulated as needed. Options for improving results orientation are: adopting a consistent format both for the main text and result frameworks, and using advisory TA projects and other economic sector work to identify and collect consistent cross-country baseline indicators in sectors/subsectors which do not have sufficient indicator coverage. In cases where a sector or thematic plan has no clear priority in terms of Strategy 2020, they could be downgraded to sector guidance notes or a framework within which operations could be designed taking into account best practice. Options for further improving the plans' role as a management tool include specifying the mechanism and timing by which the plans are reviewed, followed up and adjusted.

142. **Improve the corporate results framework by (i) strengthening the links between outputs and outcomes used in the corporate results framework and (ii) review its indicators to serve as a better management tool to gauge development effectiveness.** As mentioned in para. 137, there is currently a disconnect between the methodology adopted for measuring/reporting outputs and measuring/reporting outcomes. An option for addressing this

situation is to report a wider range of outputs (including coverage/access, quality, efficiency and sustainability) that lead to project outcomes. In addition, as mentioned in para. 111, the DEfR has evolved from just a reporting tool to an accountability tool. There is a need to identify additional corporate layer indicators that would allow Management to have the most complete and holistic view of corporate results achievement across the broad spectrum of ADB's activities. Some indicators may be dropped and others may be added, however, the total number of indicators should be kept at a manageable level. Classes of indicators that should be considered for inclusion during the Management's comprehensive review of the corporate results framework are (i) indicators that could inform near-term decision-making, (ii) indicators to better track the sustainability of ADB initiatives, and (iii) benchmark indicators that would allow an external view of how ADB has progressed in a sector/thematic area.

**143. Improve the monitoring and reporting of outcomes and impacts at the country/sector and project layers to ensure greater results orientation.** As mentioned in para. 134, a lesson from the initial mainstreaming of MfDR is that attention should be paid to results all along the results chain, with more attention given especially to measuring outcomes and impacts vis-à-vis measuring outputs and activities. At the country/sector layer, possible options for improving results orientation include (i) nominating SPRU staff as core peer reviewers of new CPSs and COBPs to improve quality control (para. 114); (ii) adopting more systematic country/sector outcome monitoring during CPR missions (para. 117); and (iii) reinforcing the CEfBs as a tool for reporting on ADB's contributions to country outcomes and outputs in specific sectors (para. 115). At the project layer, possible (admittedly difficult) options include (i) putting in place a well-resourced system of post-project completion outcome monitoring, and (ii) undertaking more impact evaluations in selected sectors. At both layers, providing additional MfDR training to ADB staff to work towards the development effectiveness goal would be another new option.

## EVALUATION FRAMEWORK AND RATING METHODOLOGY

**Table A1.1: Evaluation Framework**

Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
<p><b>Relevance</b> of the managing for development results (MfDR) agenda to current international consensus; the needs and priorities of beneficiary countries; the Asian Development Bank's (ADB) internal structure, policies, and strategies; as well as compared with other similar change management agendas</p>	<p>Is ADB's MfDR approach aligned with outside stakeholders' interests?</p> <p>Is the MfDR approach aligned with internal stakeholders' interests?</p> <p>Is the MfDR approach appropriate to ADB's internal context?</p>			
<p><b>Supply-side relevance</b></p> <p>1. Conformity with international aid effectiveness agenda and donors' requirements</p>	<p>Does the MfDR agenda reflect current international consensus on aid effectiveness? Is the MfDR agenda likely to remain as a key area in future international development effectiveness efforts?</p> <p>Is ADB's current definition of MfDR and MfDR principles clear and appropriate? Could the definition and/or alignment to the MfDR principles be better formulated? Is the MfDR chain nomenclature consistent with that used by the Evaluation Cooperation Group (ECG)?</p>	<p>Desk review to assess MfDR agenda's conformity with ADB's Asian Development Fund (ADF) commitments</p> <p>Desk review to assess MfDR agenda's conformity with other international donors' MfDR efforts</p>	<p>MfDR objectives and key result areas (KRA), ADF donor reports, Paris Declaration action areas, Accra Agenda action areas, Marrakech 2004, Monterrey Accord action areas, November 2011 Busan High Level Forum agenda areas</p> <p>ADB's definition of MfDR MfDR chain nomenclature</p> <p>ECG results chain nomenclature</p>	<p>Initial MfDR strategy plans, 2006 Revised MfDR Action Plan, 2009 Revised MfDR Action Plan, ADF IX Donor Report, ADF X Donor Report, Paris Declaration on Aid Effectiveness, Accra Agenda for Action, Monterrey Accord, Marrakech 2004, Busan High Level Forum, results management literature, Paris Declaration Evaluation results, Common Performance Assessment System (COMPAS), Multilateral Organization Performance Assessment Network (MOPAN), MDB Working Group on MfDR, ADB Perception Survey, Asia/Pacific Nations MfDR Survey, other international</p>
<p>2. Conformity with</p>	<p>Is ADB's MfDR agenda consistent with other multilateral development banks'</p>	<p>Collation of data from various international</p>	<p>International benchmarking studies</p>	

Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
international good practice	<p>policies? Does the MfDR agenda reflect current best international practice? What can ADB learn from the experience of other agencies/entities that have adopted similar results management approaches to improve the MfDR agenda?</p> <p>Do MfDR stakeholders perceive the MfDR agenda as being in conformity with current global/regional challenges in development effectiveness? Do MfDR stakeholders perceive the MfDR agenda as being in conformity with international best practice?</p>	<p>perception surveys of ADB and other multilateral development agencies to allow benchmarking of ADB against those other agencies</p> <p>Comparator assessment of ADB's MfDR efforts vis-à-vis those of a few chosen comparators</p> <p>Literature survey examining empirical evidence of successful adoption of results management by other MDBs, bilateral donors, and private sector companies</p> <p>Perception survey and key informant interviews to assess MfDR stakeholders' perceptions</p>	<p>Assessments of chosen comparator agencies</p> <p>Results management literature</p> <p>MfDR stakeholder perceptions</p>	<p>benchmarking studies, Special Evaluation Study (SES) perception survey results, key informant interview notes</p>
<p><b>Internal relevance—</b></p> <p>1. Consistency of overall MfDR agenda with ADB's high-level strategies</p>	<p>How relevant is the MfDR agenda to ADB's overall development mandate, long-term strategic direction, and other high-level policies and strategies? Did the initial MfDR strategies reflect the priority actions enunciated in ADB's Long-Term Strategy 2001–2015 and Poverty Reduction Strategy? Did the revised 2009 revised action plan reflect the priority actions enunciated in the Medium-Term Strategy II (2006–2008) and Strategy 2020? Is the MfDR agenda still consistent with ADB's most recent strategic directions and priorities?</p>	<p>Assess strategic fit between MfDR strategies and action plans on one hand and ADB's overall development mandate and higher-level corporate strategies and directions and priorities on the other hand</p>	<p>MfDR objectives and KRAs</p> <p>MfDR action plans</p> <p>ADB's mandate for development cooperation</p>	<p>Initial MfDR strategy plans, 2006 Revised MfDR Action Plan, 2009 Revised MfDR Action Plan, ADB Charter, Long-Term Strategy 2001–2015, 1999 Poverty Reduction Strategy, 2004 Expanded Poverty Reduction Strategy, Medium-Term Strategy II (2006–2008), Strategy 2020, ADB's MfDR webpage, ECG Good Practice Standards, perception survey results, key informant interview notes</p>

<b>Assessment Criteria/Subcriteria</b>	<b>Evaluation Questions</b>	<b>Methodology</b>	<b>Information Required</b>	<b>Information Sources</b>
2. Internal consistency of the MfDR agendas	Is the ADB MfDR agenda consistent with ADB's MfDR Key Result Areas? Is there internal consistency within the MfDR layers of results frameworks? Are the MfDR monitoring tools appropriate? Is there consistency within the MfDR chain in terms of linkages?	Desk review to assess MfDR agenda's internal consistency, including between objectives, KRAs, and areas for further attention  Perception survey and key informant interviews to assess MfDR stakeholders' perceptions	MfDR KRAs  MfDR layers of results frameworks  MfDR monitoring tools  MfDR stakeholder perceptions	MfDR KRAs, results frameworks, monitoring tools, key informant interview notes
<b>Demand-side relevance</b>				
1. Alignment of MfDR agenda with the needs of ADB's developing member countries (DMCs)	How relevant is the MfDR agenda to the economic and social development context and challenges of ADB's DMCs? Is the country partnership strategy (CPS) cycle in conformity with international good practices for MfDR at the DMC level? How relevant is the Asia-Pacific Community of Practice (APCoP)-MfDR in disseminating MfDR knowledge at the DMC level?	Literature survey examining empirical evidence of successful adoption of results management in a country context (including emerging challenges)  Key informant interviews with selected APCoP-MfDR members	MfDR objectives and KRAs  Country results management literature  APCoP-MfDR reports and related documents  APCoP-MfDR members' perceptions	Initial MfDR strategy plans, 2006 Revised MfDR Action Plan, 2009 Revised MfDR Action Plan, country results management literature, ApCoP literature, perception survey results, key informant interview notes
2. Alignment of MfDR agenda with needs of ADB's MfDR stakeholders	Do country-layer MfDR stakeholders (e.g., ADB Board, DMC government officials) perceive the MfDR agenda as being relevant to their respective countries' development goals?	Perception survey and key informant interviews in selected DMCs to assess MfDR stakeholders' perceptions  Perception survey and key informant interviews with selected ADB officials and staff	MfDR stakeholder perceptions  Country results management literature	Country results management literature, perception survey results, key informant interview notes
<b>Responsiveness</b> pertains to the effectiveness of ADB's strategic and organizational response to the MfDR agenda,	How effective was ADB in mainstreaming the MfDR approach?  Was ADB able to learn from evolving experience during the mainstreaming of the MfDR approach?			

Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
including its ability to learn from past experience				
<p><b>Strategic response</b>—to what extent were the intended results set out in the MfDR action plans achieved?</p> <p>1. Consistency of other ADB sector strategies and initiatives with the MfDR agenda</p> <p>2. Achievements against the MfDR Action Plan</p>	<p>Are the other ADB sector strategies, including sector operational plans, and initiatives consistent with the MfDR agenda?</p> <p>Is there a consistency between the MfDR agenda with ADB's project classification system? Did the revised 2009 revised MfDR action plan reflect the changes made to the sector and thematic classification system of ADB? Is the classification system consistently applied by ADB's departments? Is the MfDR agenda also consistent with ADB's information technology (IT) strategies?</p> <p>Were the MfDR objectives and KRAs appropriately formulated? Are the KRAs mutually reinforcing? Do they cover all the necessary actions without leaving gaps and without overlapping too much?</p> <p>To what extent has ADB achieved the intended KRAs' results?</p>	<p>Qualitative assessment of other ADB sector strategies, including sector operational plans</p> <p>Key informant interviews with MfDR stakeholders</p> <p>Qualitative assessment of achievement of output and outcome indicators in the action plans</p> <p>Key informant interviews with MfDR stakeholders</p>	<p>ADB's policies and strategies, modalities, etc.</p> <p>ADB classification systems</p> <p>ADB IT strategies</p> <p>MfDR action plans</p> <p>MfDR stakeholder perceptions</p> <p>MfDR action plans</p> <p>MfDR stakeholder perceptions</p>	<p>Initial MfDR strategy plans, 2006 Revised MfDR Action Plan, 2009 Revised MfDR Action Plan, 2009 New ADB Classification System, project/program processing guidelines, 2006 Financing Partnership Strategy, water financing partnership annual progress reports, clean energy financing partnership annual progress reports, IT strategies, perception survey results, key informant interview notes</p> <p>Revised MfDR Action Plan, 2009 Revised MfDR Action Plan, key informant interview notes</p>
<p><b>Organizational response</b>—to what extent was ADB as an organization responsive to the MfDR agenda and how effective was the response</p>				

Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
<p>1. Providing the enabling environment and structure</p> <p>2. Providing sufficient resources and developing capacity to mainstream MfDR</p>	<p>How strong is the support from ADB's senior leadership to MfDR? Is there an enabling institutional environment currently in place? Is the organizational structure in place appropriate? Is there clarity in the roles and responsibilities of the units concerned? How are relationships among SPRU, MfDR focal points, and Central Operations Services Office (COSO) being managed and coordinated? Is there proper coordination with respect to personnel, training, and budgeting issues?</p> <p>Are staff incentives and practices that are supportive of MfDR in place? How aware of the MfDR agenda are ADB staff? Are there sufficient trainings among ADB staff in terms of improving both technical and process skills necessary to advance the MfDR agenda?</p> <p>Were sufficient resources allocated to support mainstreaming of MfDR in ADB in terms of staff and budgetary resources? Is the ADB business process adequately supporting the MfDR agenda? How adequate is ADB information systems in adequately supporting the MfDR agenda? Has ADB learned from previous evaluations on MfDR?</p> <p>Was ADB able to learn from evolving experience during mainstreaming of MfDR approach? For example, how did ADB respond to the 2005 independent evaluation? How have staff perceptions of MfDR evolved compared to the 2007 Independent Evaluation Department preliminary special evaluation study?</p>	<p>Assess to what extent staff incentives and practices that are supportive to MfDR are in place.</p> <p>Skills assessment of staff on MfDR, including training programs.</p> <p>Assessment of institutional arrangements among offices, including their capacities for managing MfDR agenda</p> <p>Perception survey</p> <p>Assessment of the sufficiency of operational capacity and resources, qualitative assessment; follow-up on evaluation findings</p>	<p>MfDR-related trainings</p> <p>Feedback from staff who participated in MfDR-related trainings.</p> <p>Resource allocations for MfDR mainstreaming</p> <p>MfDR guidelines</p> <p>ADB institutional setup and working relationships among various units involved in MfDR</p> <p>MfDR stakeholder perceptions</p> <p>MfDR stakeholder perceptions</p> <p>Number of staff who attended MfDR-related trainings.</p> <p>Staff perception survey results.</p> <p>Recommendations and findings of the 2005 and 2007 evaluations of MfDR</p>	<p>SPRU staff training database, SPRU budget allocated to MfDR, MfDR guidelines, BPHR training feedback results, ADB project database, perception survey results, key informant interview notes</p> <p>SPRU staff training database, SPRU budget allocated to MfDR, MfDR guidelines, BPHR training feedback results, ADB project database, perception survey results, key informant interview notes; 2005 and 2007 evaluation studies</p>
<p><b>Results orientation</b> assesses how MfDR has</p>	<p>How results oriented have ADB's efforts</p>			

Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
influenced ADB's results at four layers: corporate, country, sector, and project	been at the various MfDR layers?			
<b>Corporate layer</b> —Extent to which ADB's corporate-layer reporting effectively reports on intended results set out in the corporate results framework	<p>How well has ADB reported corporate-layer results? In particular, how useful were the four Development Effectiveness Reports (DEfRs) produced between 2008 and 2011?</p> <p>Is there any indication that corporate-layer reporting has become more results oriented in terms of paying closer attention to the end links of the results chain?</p> <p>Are the corporate results indicators/targets well formulated? Are there additional missing indicators that would better measure results and that should be added to the corporate results framework?</p> <p>What are the constraints and hindrances that are constraining more effective corporate results reporting?</p>	<p>Qualitative assessment of corporate layer results reporting in the DEfRs</p> <p>Key informant interviews with MfDR stakeholders to get views on utility of corporate results reporting efforts</p>	<p>ADB corporate results framework</p> <p>DEfRs</p> <p>MfDR stakeholder perceptions</p>	<p>2008 Corporate results framework, 2008 DEfR, 2009 DEfR, 2010 DEfR, 2011 DEfR, perception survey results, key informant interview notes</p>
<b>Country and Sector Layers</b> —Extent to which ADB's country- and sector-layer reporting effectively reports on intended results set out in country partnership strategy (CPS) results frameworks	<p>Are there sufficient linkages between the various MfDR layers? Does the use of diverse MfDR tools impede the linkages? How realistic is it for indicators to cascade from the corporate layer down to the project layer? What are MfDR stakeholders' views of the consistency of the objectives, KRAs and areas for further attention?</p> <p>How well has ADB reported country- and sector-layer results? In particular, how useful were the CPS Final Reviews, CAPEs and SAPEs in reporting results?</p>	<p>Qualitative assessment of 13 CPS results frameworks using modified project design and monitoring framework (DMF) assessment methodology, including progress in moving towards end links of results chain over time</p> <p>Qualitative assessment of 13 evaluated CPSs against the corresponding CPS completion reports and/or country assistance</p>	<p>CPS and country operational business plan (COBP) result frameworks</p> <p>CPS final review findings</p> <p>CAPE, SAPE report findings</p> <p>Modified project DMF assessment methodology</p> <p>MfDR stakeholder perceptions</p>	<p>CPSs, COBPs, CPS final reviews, CAPEs, SAPEs, perception survey results, key informant interview notes</p>



Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
	<p>Is there any indication that country- and sector-layer reporting has become more results oriented in terms of paying closer attention to the end links of the results chain?</p> <p>Are the country- and sector-layer results indicators/targets well formulated? Are there additional missing indicators that would better measure results that should be added to future results frameworks?</p> <p>What are the constraints and hindrances to more effective corporate results reporting?</p> <p>Is there a need for a more frequent country/sector-layer reporting mechanism? If so, would the country development effectiveness briefs be appropriate for this purpose?</p>	<p>program evaluation (CAPE) report</p> <p>Key informant interviews with MfDR stakeholders to get their views of any systemic risks that are affecting achievement of results</p>		
<p><b>Project Layer</b>—Extent to which ADB's project-layer reporting effectively reports on intended results set out in design and monitoring frameworks (DMFs)</p>	<p>How well has ADB reported project-layer results? In particular, how useful are the Annual Portfolio Performance Report, Quality-at-Entry Assessment?</p> <p>Is there any indication that project-layer reporting has become more results oriented in terms of paying closer attention to the end links of the results chain?</p> <p>Are the project-layer results indicators/targets well formulated? Are there additional missing indicators that would better measure results that should be added to the project DMFs?</p> <p>Do the chosen indicators/targets reflect recognized results framework quality criteria?</p> <p>What are the constraints and hindrances</p>	<p>Qualitative assessment of DMFs using project DMF assessment methodology, including progress in moving towards end links of results chain over time</p> <p>Qualitative assessment of evaluated project/program DMFs against the corresponding project completion reports (PCRs), and/or project/program performance evaluation reports (PPERs) to see if project outcomes have been achieved</p> <p>Synthesis of the results reported in the 2010 Annual Portfolio</p>	<p>Project/program DMFs</p> <p>PCR findings</p> <p>PPER findings</p> <p>Project DMF assessment methodology</p> <p>Postcompletion monitoring activities</p> <p>MfDR stakeholder perceptions</p>	<p>DMFs, PCRs, PPERs, 2010 Annual Portfolio Performance Report, 2010 Quality-at-Entry Assessment, perception survey results, key informant interview notes</p>

Assessment Criteria/Subcriteria	Evaluation Questions	Methodology	Information Required	Information Sources
	<p>to more effective project-layer results reporting?</p> <p>To what extent is the lack of consistent and reliable data impinging on the evaluation of the indicators? For example, are fragmented databases a problem?</p> <p>To what extent is postcompletion monitoring to better track project impacts taking place? What are the plans, if any, for improving postcompletion monitoring systems?</p>	<p>Performance Report and the 2010 Quality-at-Entry Assessment</p> <p>Key informant interviews with MfDR stakeholders to get their views on any systemic risks that are affecting achievement of results</p>		

ADB = Asian Development Bank, ADF = Asian Development Fund, BPHR = Human Resources Division, CAPE = country assistance program evaluation, COBP = country operations business plan, CPS = country partnership strategy, DEfR = development effectiveness report, DMC = developing member country, DMF = design and monitoring framework, ECG = Evaluation Cooperation Group, KRA = key result area, MDB = multilateral development bank, MfDR = managing for development results, PCR = project completion report, PPER = project performance evaluation report, RD = regional department, SAPE = sector assistance program evaluation, SPRU = Results Management Unit.

Source: Independent Evaluation Department, MfDR special evaluation study team assessment.

Table A1.2: Rating Methodology

Criterion	Weight (%)	Subcriteria	Subcriterion Rating Description	Rating Value
<b>Relevance</b>	33.3	The rating for relevance is based on the following subcriteria:  A. Conformity of the managing for development results (MfDR) agenda with the international development effectiveness consensus <sup>a</sup> B. Consistency of the MfDR agenda with the Asian Development Bank's (ADB) policies, strategies and internal procedures C. Alignment of the MfDR agenda to the needs of developing member countries and stakeholders' perceptions	Highly relevant  Relevant  Partly relevant  Irrelevant	3  2  1  0
<b>Responsiveness</b>	33.3	The rating for responsiveness is based on the following subcriteria:  A. Strategic response <sup>b</sup> B. Organizational response	Highly responsive  Responsive  Less responsive  Unresponsive	3  2  1  0
<b>Results Orientation</b>	33.3	Results orientation rating is undertaken at the following MfDR layers:  A. Corporate B. Country and sector C. Project/program	Highly results oriented  Results oriented  Less results oriented  Not results oriented	3  2  1  0
<b>Overall Assessment</b> (weighted average of above criteria)	<p><b>Highly Successful:</b> Overall weighted average is greater than 2.7.  <b>Successful:</b> Overall weighted average is greater than or equal to 1.6 and less than 2.7.  <b>Partly Successful:</b> Overall weighted average is greater than or equal to 0.8 and less than 1.6.  <b>Unsuccessful:</b> Overall weighted average is below 0.8.</p>			

ADB = Asian Development Bank, MfDR = managing for development results.

<sup>a</sup> For alignment of ADB's MfDR processes for each MfDR principle, the following criteria have been used: Highly aligned = >80% alignment, Aligned = 60%–80% alignment, Less aligned = 40%–60% alignment, Nonaligned = <40% alignment.

<sup>b</sup> For achievements against the MfDR action plan, the following criteria have been used: Highly responsive = > 80% achievement, Responsive = between 60–80% achievement, Less responsive = between 40–60% achievement, Unresponsive = <40% achievement.

Source: Independent Evaluation Department rating guidelines, MfDR special evaluation study team.

## OVERVIEW OF MANAGING FOR DEVELOPMENT RESULTS AGENDA

### A. Emergence of Managing for Development Results Agenda and Main Principles

1. The managing for development results (MfDR) agenda has emerged as an approach that focuses on using performance information to improve decision making. MfDR involves using results information such as desired outputs, outcomes, and impacts to guide development efforts toward clearly defined objectives. This involves using practical tools for strategic planning, risk management, progress monitoring, and outcome evaluation, such as the design and monitoring framework at the project layer and the results framework at the country and sector layers. It also focuses on making international development more effective<sup>1</sup> and results oriented, and follows the emerging international consensus on the importance of performance measurement in development.

2. In Asian Development Bank's (ADB) interpretation, MfDR enables informed decision making by integrating results focus across mutually reinforcing core functions: (i) defining outcomes and outputs with measurable indicators and time-bound targets, and agreeing on associated upon activities; (ii) allocating resources to agreed upon activities; (iii) implementing agreed activities and monitoring progress against targets; (iv) establishing responsibility and accountability for planned actions; (v) evaluating performance against targets; and (vi) using results information to determine actions and resource use to improve performance. Considered integral to effective MfDR is regular reporting to key stakeholders to increase accountability and promote learning.<sup>2</sup>

3. Thus, instead of focusing on inputs and procedural compliance (project administration), MfDR stresses using intended results (outputs/outcomes/impacts) as the starting point, then constructing a "results chain" to guide measuring, monitoring, and reporting activities at the planning, implementation, and evaluation stages. MfDR also requires an organizational culture that is committed to learning and achieving outcomes for clients, along with a compatible incentive structure and set of business processes. Box A2 below provides a schematic illustration of the intended causal relationships among various elements of the results chain over time.

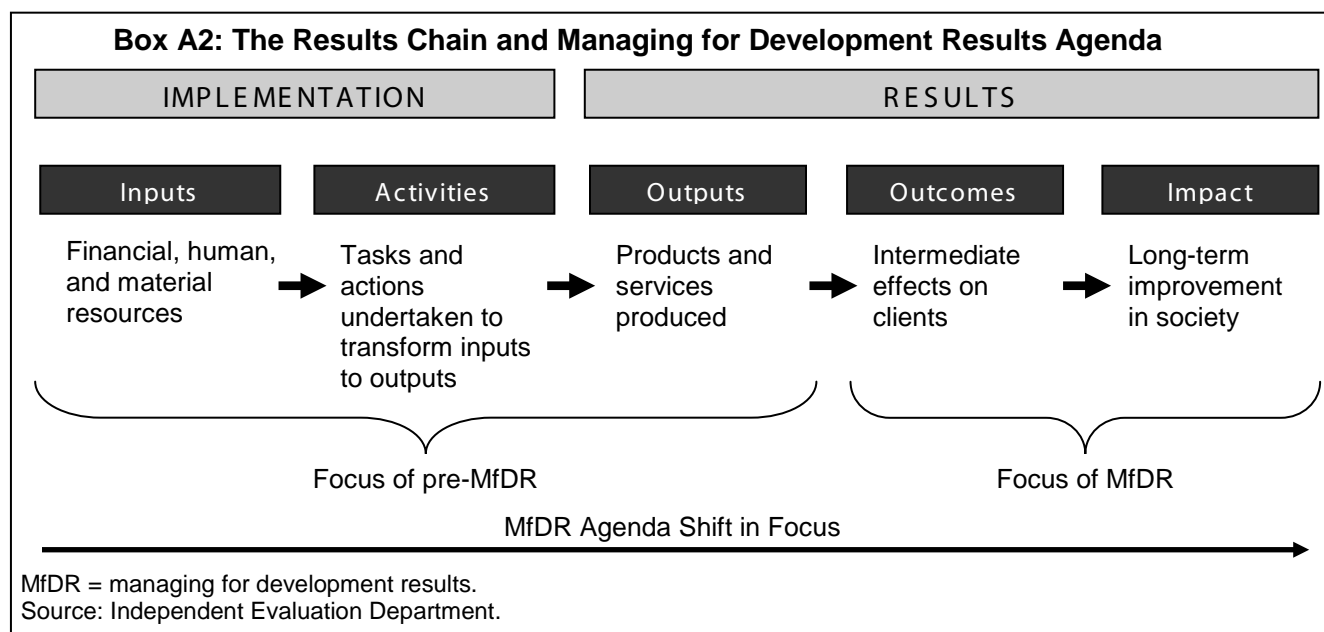
4. Key MfDR principles form the basis for sound performance management. These principles are as follows: (i) at all phases—from strategic planning through implementation to completion and beyond—focus the dialogue on results for partner countries, development agencies, and other stakeholders; (ii) align actual programming, monitoring, and evaluation activities with the agreed upon expected results; (iii) keep the results reporting system as simple, cost effective, and user friendly as possible; (iv) manage for, not by, results, by arranging resources to achieve outcomes; and (v) use results information for management learning and decision making, as well as for reporting and accountability.<sup>3</sup>

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<sup>1</sup> Development effectiveness, broadly defined, means that countries and development agencies are better able to achieve their collective development outcomes, and that they have the right tools at their disposal to measure progress toward those outcomes, report on them, and use the lessons learned to continuously improve performance.

<sup>2</sup> ADB. Development Effectiveness and Results. <http://beta.adb.org/site/development-effectiveness/overview>

<sup>3</sup> Managing for Development Results. *MfDR Principles in Action: Sourcebook on Emerging Good Practices*. <http://www.mfdr.org/Sourcebook/1stEdition/4-MfDRPrinciples.pdf>



5. For ADB, the operational implications of these MfDR principles could be, in general, summarized in the following manner: (i) need to create results-based country assistance strategies in close dialogue with national governments, and sometimes other multilateral development banks to support country outcomes, harmonize and align programming procedures (including monitoring and reporting requirements) to reduce transaction costs for the partner country; (ii) need to design realistic country programming strategies in which progress toward outcomes can be assessed using performance information generated at the country layer; and (iii) need to foster a learning culture within ADB to better support its developing member countries in their learning process.

## B. Historical Context of Managing for Development Results

6. The advent of “aid fatigue,” a generalized perception among the public, government decision makers, and funding agencies that aid programs were not effective in attaining development objectives, paved the way for the “results revolution” in the international development arena. By 2000, there was growing pressure for institutional reform and a rethinking of the traditional way of doing development activities. The transition to results orientation was implicit in the millennium development goals adopted by 189 countries in 2000. The millennium development goals set clear targets for eradicating poverty and other sources of human deprivation.<sup>4</sup>

7. During the international conference on financing for development in Monterrey, Mexico (2002), the need to measure results throughout the development process was highlighted, as well as the need to demonstrate that results were achieved. An agreement was also reached during the International Roundtable on Better Measuring, Monitoring, and Managing for

<sup>4</sup> ADB. 2006. *An Introduction to Results Management: Principles, Implications, and Applications*. Manila.

Development Results<sup>5</sup> for development agencies to offer coordinated support for capacity development and to harmonize approaches to results measurement, monitoring, and reporting. The importance for development agencies to develop results-focused corporate cultures and incentives was also discussed.

8. At the Second International Roundtable on Managing for Development Results, in Marrakech, Morocco (2004), a set of core principles on how best to support partner countries' efforts to manage for results was endorsed, including an agreement on a budgeted and time-bound action plan for improving baseline national and international statistics. The Second Roundtable successfully culminated with the endorsement of the Joint Marrakech Memorandum ("the Joint Memorandum"), with two important Annexes, namely, Promoting a Harmonized Approach to Managing for Development Results: Core Principles for Development Agencies ("the Core Principles"); and Action Plan on Managing for Development Results ("the Global Action Plan").<sup>6</sup> The issuance of the Joint Memorandum, and Annexes, is an important milestone where the Heads of the multilateral development banks and the Chairman of the OECD-DAC made commitments to align cooperation programs with desired country results, to clearly define expected contributions to support country outcomes, and to rely on, and strengthen countries' monitoring and evaluation systems to track progress and assess outcomes. After the 2002 Monterrey declaration on results, this Joint Memorandum represents the second major international statement on the importance for all development partners to better manage for development results.

9. During the Paris High-Level Forum on Aid Effectiveness (2005), the international community committed to specific action to further country ownership, harmonization, alignment, managing for development results, and mutual accountability for the use of aid. These commitments are known as the Paris Declaration which lays out a practical, action-oriented roadmap to improve the quality of aid and its impact on development. It puts in place a series of specific implementation measures and establishes a monitoring system to assess progress and ensure that donors and recipients hold each other accountable for their commitments. The Paris Declaration outlines the following five fundamental principles for making aid more effective: (i) Ownership—developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption; (ii) Alignment—donor countries align behind these objectives and use local systems; (iii) Harmonization—donor countries coordinate, simplify procedures and share information to avoid duplication; (iv) Results—developing countries and donors shift focus to development results and results get measured; and (v) Mutual accountability—donors and partners are accountable for development results.

10. The Third Roundtable on Managing for Development Results in Viet Nam (2007), focused on country-to-country learning and on how best to build country's capacity for MfDR. It hosted a Results Marketplace of ideas and emerging 'good practices' on how countries and development partners are working to improve results based management around the world. Discussions at the Roundtable were anchored around five key themes including leadership and accountability, monitoring and evaluation, mutual accountability and partnerships, planning and

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<sup>5</sup> The 2-day International Roundtable took place on 5–6 June 2002 at the World Bank headquarters. The Roundtable was jointly sponsored by the MDBs—the African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank, and World Bank—in collaboration with the Development Assistance Committee of the Organisation for Economic Co-operation and Development. It included representatives from borrowing and donor countries, the International Monetary Fund, United Nations agencies, the European Commission, other international agencies, and civil society.

<sup>6</sup> Report on the Second International Roundtable on Managing for Development Results, 4–6 February 2004, Marrakech, Morocco.

budgeting, and statistics. The roundtable reaffirmed the importance of the Paris Declaration on Aid Effectiveness to improve aid practices and effectiveness.<sup>7</sup>

11. The 2008 Third High Level Forum on Aid Effectiveness in Accra, Ghana, expressed the international community's commitment to further increase aid effectiveness. In this high level forum, ministers of developing and donor countries responsible for promoting development and heads of multilateral and bilateral development institutions manifested their commitment to accelerate and deepen implementation of the Paris Declaration on Aid Effectiveness (2 March 2005). These are the MfDR commitments by countries and development partners embodied in the Accra Agenda for Action:<sup>8</sup>

- (i) We will focus on delivering results. We will improve our management for results by taking the following actions:
  - (a) Developing countries will strengthen the quality of policy design, implementation and assessment by improving information systems, including, as appropriate, disaggregating data by sex, region and socioeconomic status.
  - (b) Developing countries and donors will work to develop cost-effective results management instruments to assess the impact of development policies and adjust them as necessary. We will better co-ordinate and link the various sources of information, including national statistical systems, budgeting, planning, monitoring, and country-led evaluations of policy performance.
  - (c) Donors will align their monitoring with country information systems. They will support, and invest in strengthening, developing countries' national statistical capacity and information systems, including those for managing aid.
  - (d) We will strengthen incentives to improve aid effectiveness. We will systematically review and address legal or administrative impediments to implementing international commitments on aid effectiveness. Donors will pay more attention to delegating sufficient authority to country offices and to changing organizational and staff incentives to promote behavior in line with aid effectiveness principles.
- (ii) We will be more accountable and transparent to our publics for results. Transparency and accountability are essential elements for development results. They lie at the heart of the Paris Declaration, in which we agreed that countries and donors would become more accountable to each other and to their citizens. We will pursue these efforts by taking the following actions:
  - (a) We will make aid more transparent. Developing countries will facilitate parliamentary oversight by implementing greater transparency in public financial management, including public disclosure of revenues, budgets, expenditures, procurement and audits. Donors will publicly disclose regular, detailed and timely information on volume, allocation and, when available, results of development expenditure to enable more accurate budget, accounting and audit by developing countries.

<sup>7</sup> G. Kim. 2007. ADB DMCs Played a Leading Role at the Third International Roundtable on MfDR. *ADB Results Matter: Ideas and Experiences on Managing for Development Results* (special issue). March 2007.

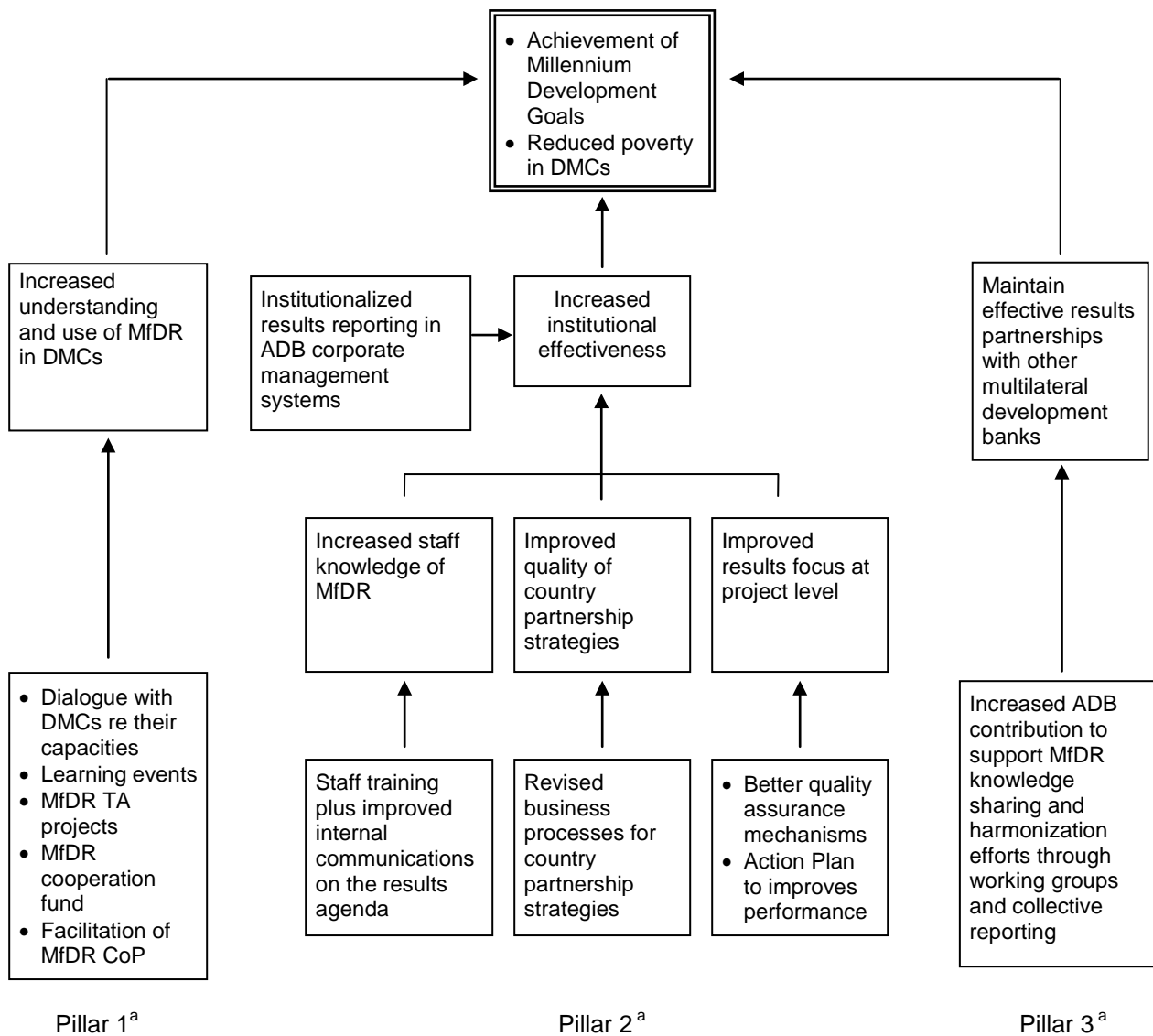
<sup>8</sup> ADB. 2009. *MfDR in the Accra Agenda for Action*, An excerpt from the document endorsed at the Third High Level Forum on Aid Effectiveness in Accra, Ghana on 4 September 2008. <http://www.adb.org/Documents/Periodicals/MfDR/jan2009.pdf> (in Results Matter, January 2009 issue).

- (b) We will step up our efforts to ensure that as agreed in the Paris Declaration mutual assessment reviews are in place by 2010 in all countries that have endorsed the Declaration. These reviews will be based on country results reporting and information systems complemented with available donor data and credible independent evidence. They will draw on emerging good practice with stronger parliamentary scrutiny and citizen engagement. With them we will hold each other accountable for mutually agreed results in keeping with country development and aid policies.
- (c) To complement mutual assessment reviews at country level and drive better performance, developing countries and donors will jointly review and strengthen existing international accountability mechanisms, including peer review with participation of developing countries. We will review proposals for strengthening the mechanisms by end 2009.
- (d) Effective and efficient use of development financing requires both donors and partner countries to do their utmost to fight corruption. Donors and developing countries will respect the principles to which they have agreed, including those under the United Nations Convention against Corruption. Developing countries will address corruption by improving systems of investigation, legal redress, accountability and transparency in the use of public funds. Donors will take steps in their own countries to combat corruption by individuals or corporations and to track, freeze, and recover illegally acquired assets.

12. All these high level forums indicate the international community's consensus and commitment for improving aid management and delivery and management in order to achieve improved effectiveness and results.



**Figure A2: Conceptual Diagram of ADB’s 2006 Managing for Development Results Action Plan**



ADB = Asian Development Bank, CoP = community of practice, DMC = developing member country, MfDR = managing for development results, TA = technical assistance.

Note: Within the context of ADB’s broader reform agenda, including: strategic direction (MTS II); business planning (WPBF); knowledge management; HR management and staff incentives.

<sup>a</sup> Subsequently, the terminology “pillar” was replaced with “key result area.”

Source: ADB. 2006. *Managing for Development Results in ADB: Revised Action Plan (2006–2008)*. Manila.

## PREVIOUS EVALUATION FINDINGS

### A. 2005 External Assessment<sup>1</sup>

1. In 2005, a private consulting firm was commissioned to undertake an independent evaluation of the Asian Development Bank's (ADB) efforts to mainstream managing for development results (MfDR). Overall, the assessment found that significant progress had been made in relation to what ADB had set out to do more than a year before. ADB was able to initiate a wide set of institutional reforms aimed at modernizing and improving its performance as a multilateral development bank. A wide array of initiatives were undertaken to improve its results orientation at the operational and nonoperational levels, many of which were brought together in ADB's reform agenda, and included the Human Resource Strategy approved in 2004 and the subsequent introduction of a new performance management system (based on the Performance and Development Plan) and the results-based country strategy and programs, among other things.

2. Eleven recommendations were made, which were organized around strategic leadership and MfDR at ADB, organizing MfDR at ADB, and MfDR and the Results Management Unit (SPRU) of the Strategy and Policy Department. The salient features were as follows:

- (i) ADB's Senior Management team should help shape a strategy and business plan to guide ADB in its implementation of MfDR. It should develop processes that would show how ADB staff could be "champions" of this organizational change effort. It was also recommended that ADB's Senior Management team should monitor both the content and process of the change effort in order to support ADB-wide MfDR initiatives. It should assess options for bringing some of SPRU's functions closer to the operations departments. ADB operational vice presidents should also ensure that operations departments have the staff resources and expertise necessary to support developing member country capacity development for development effectiveness and that resident missions coordinate these efforts with the international agencies working in the respective countries.
- (ii) SPRU should ensure that MfDR forms part of ADB's future strategy, which should be results based, with outcomes and the ability to monitor, evaluate, and link it to a broader development agenda. It should also provide the reporting and data management functions that could support and improve upon reporting on development effectiveness.
- (iii) SPRU should be restructured to better focus on the implementation, monitoring, and reporting requirements associated with MfDR. It should lead a coordinated effort to develop an internal communications strategy on MfDR, involving the focal points and the Department of External Relations. It should coordinate with the capacity development network and the Human Resources Division to assess needs and develop a plan for improving the capabilities of ADB staff (including SPRU) in the technical and process skills required to implement MfDR. Also, SPRU should develop its own results-based planning, monitoring, and reporting system.

3. These recommendations were meant to support the institutionalization of MfDR within ADB. They were used as an input for ADB's 2006 Revised MfDR Action Plan. However, the

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<sup>1</sup> ADB. 2005. *Independent Assessment of Managing for Development Results at ADB*. Consultant's report. Manila (25 November) [www.adb.org/Documents/Reports/Consultant/MfDR/Independent-Assessment-of-MfDR-at-ADB.pdf](http://www.adb.org/Documents/Reports/Consultant/MfDR/Independent-Assessment-of-MfDR-at-ADB.pdf)

preamble to the 2006 revised action plan showed that, while several of the report's 11 recommendations were given implicit support (e.g., need for strategic leadership, staff incentives, and change management), these same recommendations were not explicitly incorporated into the 2006 plan. However, many of these recommendations were implemented starting in 2009.

## **B. 2007 Preliminary Assessment<sup>2</sup>**

4. In 2007, the Independent Evaluation Department undertook an independent preliminary assessment of ADB's achievements in meeting its MfDR commitments. Independent Evaluation Department's special evaluation study (SES) found that ADB's progress and difficulties in implementing MfDR were generally comparable to those of other MDBs. ADB was able to modify a number of its policies, procedures, and tools to support staff and the organization as they worked toward the full implementation of MfDR. However, the results of the staff survey and focus group discussions suggested that the engagement and commitment of ADB staff to MfDR were lagging behind ADB's formulation of policies and procedures.

5. The assessment report noted that the international literature and the experiences of other development institutions showed that the use of results by senior management, combined with staff incentives and active management of the change process, are the key building blocks for further advancing ADB's MfDR agenda and developing a results-oriented organizational culture. ADB's efforts to improve its own institutional performance were considered a key factor in better measuring, monitoring, and managing for development results.

6. In seeking to mainstream MfDR, the evaluation recommended that ADB pursue a course of action similar to that described under Scenario 3, "Significantly Increased Effort." This would require considerably more emphasis on changing established practices in order to achieve full implementation in a shorter time.

7. ADB Management broadly agreed with the SES findings. However, it noted that the ADB's long-term strategic framework was currently being revised; the MfDR Action Plan (2006–2008) was to be reviewed; and a full evaluation of MfDR was yet to be conducted. Given these circumstances, ADB Management considered that Scenario 2: "Modestly Increasing Effort," offered the most appropriate course of action at that time. It also agreed with the SES observation that this Scenario 2 was a pragmatic response within ADB's administrative capacity and resource constraints. After 2008, ADB Management's efforts to mainstream MfDR increased significantly as demonstrated by the improvement in the DEfR format and content, the development of 2009–2011 action plan, and the follow-up given to this action plan.

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<sup>2</sup> ADB. 2007. *Brief Special Evaluation Study on Managing for Development Results in Asian Development Bank: A Preliminary Assessment*. Manila.

## STOCKTAKING OF MANAGING FOR DEVELOPMENT RESULTS IN ADB

Table A4.1: Sector and Thematic Policies and Plans, 1999–2011

Core Operational Area/Sector/Theme	Brief Description (Purpose/Priority)	√ = with Results Framework	√ = with Design and Monitoring Framework
<b>A. Infrastructure</b>			
<b>Transportation and Communications</b>			
1. 2010: Sustainable Transport Initiative Operational Plan (July 2010)	The Sustainable Transport Initiative Operational Plan aims to (i) help Asian Development Bank (ADB) adapt its transport operations to serve the changing transport needs of developing member countries (DMCs); and (ii) build upon the strengths of ADB's existing transport operations, introduce effective models of support for new and emerging fields of sustainable transport		
<b>Energy</b>			
2. 2009: Energy Policy (June 2009)	The objective of the 2009 Energy Policy is to help DMCs provide reliable, adequate, and affordable energy for inclusive growth in a socially, economically, and environmentally sustainable way. It will emphasize energy efficiency and renewable energy; access to energy for all; and energy sector reforms, capacity building, and governance.	√	
<b>Water Supply and Sanitation</b>			
3. 2001: Water for All: The Water Policy of the Asian Development Bank (October 2001)	ADB's water policy is premised on the Asia and Pacific region's urgent need to formulate and implement integrated, cross-sectoral approaches to water management and development. It seeks to promote the concept of water as a socially vital economic good that needs increasingly careful management to sustain equitable economic growth and to reduce poverty. The conservation and protection of water resources in the region through a participatory approach are at the heart of the policy.		
4. 2004: Interim Review of ADB Water Policy Implementation (February 2004)	<p>The review has been undertaken by ADB's Water Sector Committee to assess how the water policy has been integrated into ADB operations, take stock of achievements, and stimulate improvements in project design and implementation.</p> <p>Findings: ADB has substantially achieved its internal water policy actions relating to the skills mix in the operational departments, information dissemination, capacity building, monitoring, and coordination at the focal point. However, further work is needed to: (i) adopt water management as a thematic classification, including both the delivery of water services and the management of water resources, as advocated in the water policy; (ii) prioritize water sector reforms and investments through the country strategy and program process; (iii) increase the number of specialists in policy and institutional development, water quality and wastewater management, social sciences and resource economics, and private sector participation; and (iv) strengthen networking among water staff.</p> <p>The review found that ADB's reorganization in January 2002 had positive impacts on the support provided to operational departments by the Water Sector</p>		

Core Operational Area/Sector/Theme	Brief Description (Purpose/Priority)	✓ = with Results Framework	✓ = with Design and Monitoring Framework
	Committee and other means. It also found that ADB's Cooperation Fund for the Water Sector, established in 2001 to catalyze the implementation of the Water Policy, provided a strategic framework and much-needed financial resources to support water policy implementation by adding value and creating greater synergy in ADB's water operations.		
5. 2005: Revision of the Water Policy of the Asian Development Bank (January 2005)	<p>In 2005, ADB revised paragraph 32 of its Water for All Policy, adopted in 2001, to reflect a cautious yet practical approach to large water resources projects.</p> <p>ADB's Water Sector Committee recommended to revise the policy provision in the context of ADB's new accountability mechanism, and to reflect how ADB can promote the participation of stakeholders in project preparation. The revised version reads</p> <p>"...All such projects will need to be justified in the public interest and stakeholders must be provided with the opportunity to comment on the justification with their views considered. The ADB will promote the informed participation of government, civil society, and other stakeholders in the country in an open and inclusive manner towards this end. Where the risks are acceptable..."</p>		
6. 2011. Water Operational Plan 2011–2020 (September 2011)	<p>Under Strategy 2020, water is central to the attainment ADB's three strategic agendas, and is integral to the Strategy's five drivers of change. One core area is infrastructure, where water resources management and the delivery of efficient and sustainable irrigation, water supply, sanitation, and wastewater management services are key elements.</p> <p>Development Effectiveness Review 2010 stated the need to adopt and implement a new water sector operational framework complementing plans already in use for other core sectors. It was reported that the water sector performed particularly poorly attributed to complex design, which often targeted multiple sector outcomes, inadequate supervision, and implementation shortcomings.</p> <p>During the Plan 2011–2020, ADB will sustain what it has accomplished in 5 years (2006–2010) of doubling its investments to over \$10 billion, and will thus maintain its water investments of \$2 billion–\$2.5 billion annually or a total of \$20 billion–\$25 billion over the 10-year period.</p>	✓	
<b>Urban Infrastructure</b>			
7. 1999: Urban Sector Strategy (December 1999)	The urban sector strategy of the ADB was formulated in 1999 to bring more coherence to ADB's work in the urban sector.		
8. 2006: Review of the Urban Sector Strategy (September 2006)	This Regional and Sustainable Development Department (RSDD) review focuses on the relevance of the Urban Sector Strategy (USS) to current and emerging urban challenges. It also assesses the scope, coverage, and performance of the strategy, and recommends changes and revisions that are needed to update the strategy.		

<b>Core Operational Area/Sector/Theme</b>	<b>Brief Description (Purpose/Priority)</b>	<b>✓ = with Results Framework</b>	<b>✓ = with Design and Monitoring Framework</b>
9. 2011: Urban Operational Plan (UOP) under Strategy 2020 (Draft September 2011)	The UOP sets out a new direction and approach for ADB urban sector operations that will respond to current and anticipated future needs towards the efficient, sustainable and equitable development of cities.		✓
<b>B. Environment</b>			
10. 2002: Environment Policy (November 2002)	The Environment Policy is grounded in the ADB's Poverty Reduction Strategy and the Long-Term Strategic Framework (2001–2015). The Poverty Reduction Strategy recognizes that environmental sustainability is a pre-requisite for pro-poor economic growth and efforts to reduce poverty. Environmental sustainability is also one of three cross-cutting themes of the LTSF. The Environmental Policy reinforces and complements the environmental issues and concerns addressed in ADB's sector and cross-cutting policies.		
11. 2009: Safeguard Policy Statement (June 2009)	The Safeguard Policy Statement (SPS) aims to avoid, minimize, or mitigate harmful environmental impacts, social costs, and to help borrowers or clients strengthen their safeguard systems. The SPS builds upon ADB's previous safeguard policies on the environment, involuntary resettlement, and indigenous peoples, and brings them into one consolidated policy framework with enhanced consistency and coherence, and that more comprehensively addresses environmental and social impacts and risks. The SPS also provides a platform for participation by affected people and other stakeholders in project design and implementation.		
12. 2010: Addressing Climate Change in Asia and the Pacific: Priorities for Action (April 2010)	Development patterns need to shift to simultaneously respond to the causes and consequences of climate change. Consequently, ADB will adopt an integrated approach—addressing climate change mitigation and adaptation, facilitated by financing, knowledge generation, and partnerships. ADB has identified five priority areas for support: (i) expanding the use of clean energy; (ii) encouraging sustainable transport and urban development; (iii) managing land use and forests for carbon sequestration; (iv) promoting climate-resilient development; and (v) strengthening policies, governance, and capacities.		
<b>C. Regional Cooperation and Integration</b>			
13. 2006: Regional Cooperation and Integration Strategy (July 2006)	The Regional Cooperation and Integration Strategy will promote “open regionalism” in Asia and the Pacific, making regionalism a building block of a more liberalized global economy. Client orientation, prioritization, and open regionalism will thus guide the strategy.	✓	
<b>D. Finance Sector Development</b>			
14. 2000: Finance for the Poor: Microfinance Development (June 2000)	The goal of ADB's proposed microfinance development strategy is to ensure permanent access to institutional financial services for a majority of poor and low-income households and their microenterprises. The purpose is to support the development of sustainable microfinance systems that can provide diverse services of high quality. Therefore, the strategy focuses on (i) creating a policy environment conducive to microfinance, (ii) developing financial infrastructure, (iii) building viable institutions, (iv) supporting pro-poor innovations, and (v) supporting social intermediation.		

<b>Core Operational Area/Sector/Theme</b>	<b>Brief Description (Purpose/Priority)</b>	<b>✓ = with Results Framework</b>	<b>✓ = with Design and Monitoring Framework</b>
15. 2011: Finance Sector Operational Plan (May 2011)	This operational plan aims to articulate the financial sector development agendas of Strategy 2020 and guide its implementation by ADB.		
<b>E. Education</b>			
16. 2008: Education and Skills: Strategies for Accelerated Development in Asia and the Pacific (June 2008)	This study analyzes education sector issues and strategies in the Asia and Pacific region. The study report is expected to guide ADB operations in the education sector and help ensure they remain responsive and relevant to the needs of its DMCs. The study reaffirms that the goal of inclusive growth depends on continuous development of an adequate human resource base, and provides a strategic framework for ADB's work in the education sector in support of that development.		
17. 2010: Education by 2020: A Sector Operations Plan (July 2010)	This Plan identifies key challenges confronting the developing countries of Asia and the Pacific and presents ADB's response in meeting those challenges.		✓
<b>F. Other Operational/Thematic Areas</b>			
<b>Health</b>			
18. 2005: Strategic Directions Paper on HIV/AIDS (April 2005)	ADB will support DMCs to achieve Millennium Development Goal 6/Target 7: <i>to have halted and begun to reverse the spread of HIV/AIDS by 2015</i> . The purpose of ADB's intervention is to have an effective response to HIV/AIDS in place at the country and regional levels in Asia and the Pacific. The priorities for action are: (i) leadership support: strengthen the commitment of regional leaders to address HIV/AIDS; (ii) capacity building: increase capacity at country and regional levels to address HIV/AIDS; and (iii) targeted programs: expand HIV/AIDS interventions that mitigate risk among the poor, the vulnerable, and the high-risk groups.		✓
19. 2008: An Operational Plan for Improving Health Access and Outcomes Under Strategy 2020 (October 2008)	This plan updates the implementation and operationalization of the 1999 Policy for the Health Sector in the light of Strategy 2020 and changes in the international environment for health.		
<b>Agriculture</b>			
20. 2009: Operational Plan for Sustainable Food Security in Asia and Pacific (December 2009)	The plan aims to (i) clarify direct and indirect contributions of ADB's core and other areas of operations in helping the region achieve sustainable food security, and (ii) increase the impacts of ADB's multisector operations on food security, particularly for the poor and disadvantaged, through greater synergy and value addition.	✓	
<b>Disaster and Emergency Assistance</b>			
21. 2004: Disaster and Emergency Assistance (May 2004)	<p>ADB's Board of Directors approved on 1 June 2004 a comprehensive disaster and emergency assistance policy that provides rehabilitation and reconstruction assistance and assists DMCs with prevention, preparation, and mitigation of the impact of future.</p> <p>The policy establishes a series of objectives focusing on (i) strengthening support for reducing disaster risk in DMCs; (ii) providing rehabilitation and reconstruction assistance following disaster; and (iii) leveraging ADB's activities by developing partnerships. While the Disaster and Emergency Assistance Policy (DEAP) builds on lessons learned from two earlier disaster policies (in 1987 and 1989), its implementation is directed more to rehabilitation and reconstruction assistance.</p>		

Core Operational Area/Sector/Theme	Brief Description (Purpose/Priority)	√ = with Results Framework	√ = with Design and Monitoring Framework
	Nevertheless, the DEAP sets out a series of objectives that, if followed, would enable ADB to mainstream disaster risk management (DRM) and disaster risk reduction (DRR) into its development programs and operations.		
22. 2008: Positioning ADB Disaster and Emergency Assistance Policy in the Changing Regional Environment (April 2008)	This paper aims to provide the context for developing an action plan to effectively embed DRR into ADB operational processes at the country level, and to assist DMCs in developing DRM. It examines the DEAP in the context of its application to date.		
23. 2008: Action Plan for Implementing ADB Disaster and Emergency Assistance Policy (April 2008)	This action plan supports the effective implementation of the 2004 DEAP of ADB and is consistent with Strategy 2020, which calls for mainstreaming DRM and providing early and medium-term disaster response and assistance in partnership with selected aid agencies.		
<b>Social Protection</b>			
24. 2001: ADB Social Protection Strategy (July 2003)	The ADB Social Protection Strategy established that social protection is an integral part of social development. It is one of the three pillars of the ADB Poverty Reduction Strategy, which aims to assist individuals to break the cycle of poverty and enhance the ADB's DMCs quality of growth by investing in human capital, increasing productivity, and reducing citizen's vulnerability to risks.		
25. 2011: ADB Social Protection Strategy Action Plan (Draft: August 2011)	<p>Strategy 2020 indicates that the region must promote greater access to opportunities by expanding human capacities, especially for the disadvantaged, through investments in education, health, and basic social protections.</p> <p>Development Effectiveness Review 2010 did not explicitly identify social protection as needing additional attention.</p> <p>The draft social protection strategy action plan indicates that the realization of the potential of social protection implies that there is a greater scope for supporting the ADB's inclusive growth agenda and contributing to reducing vulnerabilities in the region. There are also significant business opportunities for ADB that arise from ADB initiatives in social protection. This implies that ADB should be prepared to get involved in long-term social protection efforts, potentially including major reforms of existing programs.</p>	√	
<b>Public-Private Partnership</b>			
26. 2011: Public-Private Partnership Operational Plan (2011–2020) (Draft: May 2011)	<p>ADB's Strategy 2020 identified private sector development and private sector operations as drivers of change. ADB aims to expand its work with the private sector to generate greater economic growth in the region. Public-private partnership is viewed as an important modality to achieve this objective.</p> <p>Under Strategy 2020, ADB attempts to promote public-private partnerships in all of its core operational areas.</p>		√

Source: Asian Development Bank website.



**Table A4.2: Sector/Thematic Plans Issued from 2008**

Core Operational Area/Operational Plan	Purpose/Scope/ Directional Target of the Plan	With RF/DMF and its Quality	Without DMF/RF but with related discussions
<b>A. Infrastructure</b>			
<p><b>1. Transportation.</b> 2010: Sustainable Transport Initiative (STI) Operational Plan (July 2010)</p>	<p>Transport is a major part of infrastructure sector which is one of Asian Development Bank's (ADB's) five core operational areas under Strategy 2020.</p> <p>Development Effectiveness Review (DEfR) 2010 did not explicitly identify transport as needing additional attention.</p> <p>STI Operational Plan envisions a “<b>progressive shift</b> in the transport portfolio sector of ADB. The changes will include: (i) significant expansion of lending for urban transport and railways projects, and (ii) by 2020, overtaking of lending for roads, although remaining a larger part of operations, by other transport subsectors.”</p>	<p>No RF/DMF</p>	<p>The plan provides:</p> <ul style="list-style-type: none"> <li>• timeframe—focus areas/ activities to be done in three phases from 2010–2020</li> <li>• directional targets on transport sector portfolio of ADB</li> </ul>
<p><b>2. Water Supply and Sanitation.</b> 2011. Water Operational Plan 2011–2020 (September 2011)</p>	<p>Under Strategy 2020, water is central to the attainment ADB's three strategic agendas, and is integral to the Strategy's five drivers of change. One core area is infrastructure, where water resources management and the delivery of efficient and sustainable irrigation, water supply, sanitation, and wastewater management services are key elements</p> <p>DEfR 2010 stated the need to adopt and implement a new water sector operational framework complementing plans already in use for other core sectors. It was reported that the water sector performed particularly poorly attributed to complex design, which often targeted multiple sector outcomes; inadequate supervision; and implementation shortcomings.</p> <p>During the Plan 2011–2020, <b>ADB will sustain</b> what it has accomplished in 5 years (2006–2010) of doubling its investments to over \$10 billion, and will thus maintain its <b>water investments of \$2 billion–\$2.5 billion annually</b> or a total of \$20 billion–\$25 billion over the 10-year period.</p>	<p>With RF</p> <p>RF to guide the Plan's activities and provide basis for monitoring performance presented in a Appendix 1 with discussion</p> <p>Targets are mostly quantified</p>	
<p><b>3. Urban Development.</b> Urban Operational Plan (UOP) under Strategy 2020 (Draft September 2011)</p>	<p>Urban sector is a major part of livable cities under environment which is one of ADB's five core operational areas under Strategy 2020.</p> <p>DEfR 2010 did not explicitly identify urban sector as needing additional attention.</p> <p>The draft Urban Operational Plan indicates that “<b>there is scope to at least double the proportion of ADB lending to</b></p>	<p>With DMF</p> <p>Quality of DMF:</p> <p>Specified sector outcomes with ADB contribution</p> <p>Performance indicators mostly with targets but hardly any</p>	

Core Operational Area/Operational Plan	Purpose/Scope/ Directional Target of the Plan	With RF/DMF and its Quality	Without DMF/RF but with related discussions
	<p><b>urban agencies, or leveraged</b> (including parallel and ADB-administered loan co-financing, syndicated financing, among others) by 2015 largely through increasing the share of urban investment in energy, transport, water, and sanitation sectors.”</p>	<p>baselines</p>	
<b>C. Finance Sector Development</b>			
<p>4. 2011: Finance Sector Operational Plan (May 2011)</p>	<p>Financial sector development is one of ADB's five core operational areas under Strategy 2020.</p> <p>DEfR 2010 explicitly indicated that ADB was to prepare a new financial sector operational plan to respond better to the region's needs for financial sector development. The plan was to articulate ADB's operational focus, business models, and product lines, and steps for improving the organization and staff capacity to support the plan's implementation.</p> <p>According to the Financial Sector Operational Plan, “the share of financial sector operations in ADB's total operations <b>should increase</b> from that of the past 10 years (9.55% in number and 9.11% in amount), although the volume in the immediate future needs to be guided by the existing CPSs.”</p>	<p>No RF/DMF</p>	<p>Timetable for the Plan's implementation—two phases: (i) 2011–2012—to strengthen operations in <i>established areas</i>; and (ii) 2013–2014—to enhance business models in the <i>areas of limited experience</i>.</p> <p>FSD CoP to develop measures for the six outcomes identified and improve the indicators for the DEfR framework</p> <p>The Plan also indicates that by 2020, the share of financial sector operations in its total operations should increase from that of the past 10 years by 9.55% in number and 9.11% in amount</p> <p>The FSD CoP will periodically review the implementation of the plan and consider needs of amendments to the Plan</p>
<b>D. Education</b>			
<p>5. 2010: Education by 2020: A Sector Operations Plan (July 2010)</p>	<p>Education is one of ADB's five core operational areas under Strategy 2020.</p> <p>DEfR 2010 explicitly identifies education as adopting an education operation plan in 2010.</p> <p>Under the Education Sector Operations Plan, “ADB will <b>scale up its financing</b> of loans, grants, and technical assistance.”</p> <p>The Work Program and Budget Framework (2010–2012) covering the first 3 years of this Plan's duration envisions that education sector assistance will rise to \$1.5 billion, or about 4% of total ADB programming for loans and grants. From 2012, ADB will build on this base and substantially increase lending in the sector.</p>	<p>With DMF</p> <p>The DMF outlines the design (impact, outcome, outputs, activities and milestones, and inputs), performance targets and indicators (though not quantified), data sources and reporting mechanisms, and assumptions and risks</p>	

Core Operational Area/Operational Plan	Purpose/Scope/ Directional Target of the Plan	With RF/DMF and its Quality	Without DMF/RF but with related discussions
	Under the Plan, ADB will support comprehensive educational programs to improve basic and secondary education to meet international development targets. Decentralized approaches and partnerships with local communities will receive increasing support. A larger share of ADB's education sector portfolio will be dedicated to post secondary education.		
<b>E. Other Operational/Thematic Areas</b>			
<p><b>6. Agriculture.</b> 2009: Operational Plan for Sustainable Food Security in Asia and Pacific (December 2009)</p>	<p>Agriculture sector is listed as belonging to other areas of operations under Strategy 2020. It is not a part of the 5 core operational areas for ADB.</p> <p>DEfR 2010 did not explicitly identify the agriculture sector as needing additional attention.</p> <p>The Operational Plan “aims to maintain the level of ADB’s sustainable food security engagement at about \$2billion annually from 2010 to 2012.” The Operational Plan “not only <b>aspires to increase ADB investments</b> in food security but also seeks to enhance impacts of ADB engagement.”</p>	<p>With RF</p> <p>The progress, performance, and immediate impacts of individual projects and programs will be tracked (by RSDD) according to the strategic results framework presented in the Plan that shows impact, outcome, outputs, output indicators (not quantified), key activities, assumptions and risks</p> <p>The Plan further indicates that a more detailed and comprehensive set of outcome and output indicators will be jointly developed by RSDD and regional departments given the wide range of food security engagement across various multisector operations.</p>	
<p><b>7. Health.</b> 2008: An Operational Plan for Improving Health Access and Outcomes Under Strategy 2020 (October 2008)</p>	<p>Health sector is listed as belonging to other areas of operations under Strategy 2020. It is not a part of the 5 core operational areas for ADB.</p> <p>DEfR 2010 did not explicitly identify health sector as needing additional attention.</p> <p>The Operational Plan for Health under Strategy 2020 envisages “<b>not so much a reduction</b> of ADB health activities per se as <b>a rationalization of activities</b> that better play to ADB’s special strengths, and the strengths of others.</p> <p>According to the plan, the “Health CoP foresees no difficulty in keeping lending to health well within the remaining 20% of lending, even given the possibility that there will be ‘competition’ for that 20% from agriculture and rural</p>	<p>No RF/DMF</p>	<p>The plan has a section on ‘Resources, Risks and Results of this Operational Plan’</p>

Core Operational Area/Operational Plan	Purpose/Scope/ Directional Target of the Plan	With RF/DMF and its Quality	Without DMF/RF but with related discussions
	development lending.”		
<b>8. Disaster and Emergency Assistance.</b> 2008: Action Plan for Implementing ADB Disaster and Emergency Assistance Policy (April 2008)	<p>Disaster and emergency assistance is listed as belonging to other areas of operations under Strategy 2020. It is not a part of the 5 core operational areas for ADB.</p> <p>DEfR 2010 did not explicitly identify health sector as needing additional attention.</p> <p>The action plan focuses on developing approaches that will embed disaster risk management within ADB’s operational practices. The Action Plan was to prepare a concept paper to be shared with potential funding partners regarding the feasibility of establishing a regional disaster response fund.</p>	No DMF/RF	Provides implementation matrix identifying activities per component, the accountable ADB division, resources and timeline
<b>9. Social Protection.</b> 2011: ADB Social Protection Strategy Action Plan (Draft: August 2011)	<p>Strategy 2020 indicates that the region must promote greater access to opportunities by expanding human capacities, especially for the disadvantaged, through investments in education, health, and basic social protections.</p> <p>DEfR 2010 did not explicitly identify social protection as needing additional attention.</p> <p>The draft social protection strategy action plan indicates that the realization of the potential of social protection implies that there is a greater scope for supporting the ADB’s inclusive growth agenda and contributing to reducing vulnerabilities in the region. There are also significant business opportunities for ADB that arise from ADB initiatives in social protection. This implies that ADB should be prepared to get involved in long-term social protection efforts, potentially including major reforms of existing programs.</p>	With RF	
<b>10. Public-Private Partnership.</b> 2011: Public-Private Partnership Operational Plan (2011–2020) (Draft: May 2011)	<p>ADB’s Strategy 2020 identified private sector development and private sector operations as drivers of change. ADB aims to expand its work with the private sector to generate greater economic growth in the region. Public-private partnership is viewed as an important modality to achieve this objective.</p> <p>Under Strategy 2020, ADB attempts to promote public-private partnerships in all of its core operational areas.</p>	<ul style="list-style-type: none"> <li>• With DMF</li> </ul>	

DMF = design and monitoring framework, RF = results framework.

Sources: ADB. 2011. *Development Effectiveness Review 2010 Report*. Manila and various operational and action plans, available at ADB website.

**Table A4.3: Country Partnership Strategies, 1999–2010**

Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Afghanistan	5				CSP 2002–2004 (May 2002)									
		1				CSPU 2003–2005 (Apr 2003)		CSPU 2004–2006 (Aug 2004)		CSPU 2006–2008 (Aug 2005)		CPS 2009–2013 (Nov 2008)		
Armenia	2	1								Economic Report & Interim Operational Strategy 2006–2009 (Oct 2006)				
		1										COBP 2008–2010 (Nov 2007)		
Azerbaijan	5				CSPU 2001–2004 (Jul 2001)									
						CSPU 2003–2005 (Jul 2002)								
							CSPU 2004–2006 (Sep 2003)		CSPU 2005–2006 (Jul 2004)					
											CSPU 2006 (Jan 2006)			
Bangladesh	7					CSPU 2003–2005 (Jul 2002)								
							CSPU 2004–2006 (Jul 2003)		CSPU 2005–2006 (Aug 2004)					
		1								CSP 2006–2010 (Oct 2005)				
												COBP 2008–2010 (Aug 2007)		COBP 2009–2011 (Aug 2008)
												CPS Midterm Review 2006–2010 (Aug 2009)		
Bhutan	10			COS 2000–2002 (Oct 2000)										
					CSPU 2002–2004 (Jul 2001)									
						CSPU 2003–2005 (Aug 2002)								
							CSPU 2004–2006 (Aug 2003)		CSPU 2005–2006 (Aug 2004)					
												CSP 2006–2010 (Sep 2005)		
		1										COBP 2007–2009 (Oct 2006)		

Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
		1										COBP 2008–2010 (Aug 2007)	COBP 2009–2011 (Aug 2008)	
														CPS Midterm Review 2006–2010 (Jul 2009)
<b>Cambodia</b>	8					CSPU 2003–2005 (Aug 2002)								
		1						CSPU 2004–2006 (Jul 2003)						
		1							CSPU 2005–2009 (Jan 2005)					
		1									COBP 2007–2009 (Dec 2006)			
		1										CSP Midterm Review 2005–2009 (Aug 2007)		
		1											COBP 2008–2010 (Oct 2008)	
		1											COBP 2009–2012 (Oct 2009)	
		1											COBP 2010–2013 (Jan 2011)	
<b>China, People's Republic of</b>	7					CSPU 2002–2004 (Jul 2001)								
							CSPU 2003–2005 (Aug 2002)							
								CSP 2004–2006 (Oct 2003)						
									CSPU 2005–2007 (Sep 2004)					
										CSPU 2006–2008 (Jul 2005)				
											CSPU 2007–2008 (Aug 2006)			
		1												CPS 2008–2010 (Feb 2008)
<b>Cook Islands</b>	5					CSPU 2002–2004 (Jul 2001)								
								CSPU 2004–2006 (Jul 2003)						
		1										COBP 2007–2009 (Aug 2007)		
		1												CSP 2008–2012 (Jun 2008)
														COBP 2010–2012 (Dec 2009)
<b>Fiji</b>	3					CSPU 2003–2005 (Jul 2002)								
		1							CSPU 2005–2007 (Aug 2004)					
										CSPU 2006–2008 (Feb 2006)				
<b>Georgia</b>	1											Interim Operational Strategy 2008–2009		

Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
												(Jan 2008)		
India	4						CSPU 2003–2005 (Aug 2002)							
								CSP 2003–2006 (Apr 2003)						
		1											CPS 2009–2012 (Jul 2009)	
													COBP 2010 (Dec 2009)	
Indonesia	7					CSPU 2002–2004 (Jul 2001)								
							CSP 2003–2005 (Oct 2002)							
								CSPU 2004–2006 (Sep 2003)						
								CSPU 2005 (Mar 2005)						
		1								CSP 2006–2009 (Oct 2006)				
		1											COBP 2009–2011 (Oct 2008)	
													COBP 2010–2012 (Sep 2009)	
Kazakhstan	4						CSPU 2003–2004 (Aug 2002)							
								CSP 2004–2006 (Sep 2003)						
									CSPU 2005–2007 (Sep 2004)					
										CSPU 2006–2008 (Sep 2005)				
Kiribati	6					CSPU 2002–2004 (Jul 2001)								
							CSPU 2003–2005 (Jul 2002)							
								CSPU 2005–2006 (Sep 2004)						
									CSPU 2006–2007 (Jan 2006)					
		1											COBP 2009–2011 (Feb 2009)	
		1											CPS 2010–2014 (May 2010)	
Kyrgyz Republic	5						CSPU 2003–2005 (Aug 2002)							
								CSP 2004–2006 (Oct 2003)						
										CSPU 2006–2008 (Nov 2005)				





Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
		1							CSPU 2005–2006 (Jul 2004)	CSP 2006–2008 (Aug 2005)	CSPU 2007–2009 (Aug 2006)	COBP 2008–2010 (Nov 2007)	COBP 2008–2010 (Oct 2008)	COBP 2009–2012 (Oct 2009)
<b>Nepal</b>	7					CSPU 2003–2005 (Jul 2002)		CSPU 2004–2006 (Aug 2003)		CSP 2005–2009 (Sep 2004)	COBP 2007–2009 (Oct 2006)	COBP 2008–2010 (Jul 2007)		CPS Midterm Review 2005–2009 (Aug 2008)
		1												CPS 2010–2012 (Oct 2009)
		1												
		1												
		1												
<b>Pakistan</b>	1							CSPU 2004–2006 (Jul 2003)						
<b>Palau</b>	2										CSPU 2007–2009 (Aug 2006)			CPS 2009–2013 (May 2009)
		1												
<b>Papua New Guinea</b>	6					CSPU 2003–2005 (Aug 2002)		CSPU 2004–2006 (Jan 2004)		CSPU 2005–2006 (Sep 2005)				
		1									CSP 2006–2010 (Jun 2006)	COBP 2008–2010 (Aug 2007)		
		1									CSP Midterm Review 2007–2011 (Aug 2009)			
<b>Philippines</b>	7				CSPU 2002 (Jul 2002)			CSPU 2003–2005 (Oct 2002)		CSPU 2004–2006 (Nov 2003)				
		1								CSP 2005–2007 (Jun 2005)				

Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
											COBP 2007–2008 (Sep 2007)		COBP 2009–2010 (Oct 2008)	COBP 2010–2012 (Oct 2009)
<b>Samoa</b>	5					CSPU 2003–2005 (Jul 2002)		CSPU 2004–2006 (Jul 2003)	CSPU 2005–2006 (Aug 2004)		COBP 2007–2009 (Aug 2008)		CPS 2008–2012 (Sep 2008)	
		1												
<b>Solomon Islands</b>	5								CSPU 2005–2006 (Aug 2004)		CSP 2007–2009 (Sep 2006)		COBP 2008–2010 (Aug 2007)	COBP 2009–2011 (Jul 2008)
		1												Interim CPS 2009–2011 (Aug 2009)
		1												
		1												
<b>Sri Lanka</b>	8					CSPU 2003–2005 (Jul 2002)		CSPU 2004–2008 (Sep 2003)	CSPU 2005–2006 (Sep 2004)		CSPU 2006–2008 (Aug 2005)	COBP 2007–2008 (Oct 2006)		COBP 2008 (Feb 2008)
		1											CPS 2009–2011 (Oct 2008)	
		1												COBP 2010–2012 (Dec 2009)
<b>Tajikistan</b>	10				CSPU 2002–2004 (Aug 2002)									
						CSPU 2003–2005 (Aug 2002)								
								CSP 2004–2008 (Sep 2003)						

Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
		1								CSPU 2005–2006 (Sep 2004)				
										CSPU 2006–2008 (Jul 2005)				
											COBP 2007–2009 (May 2007)			
												COBP 2008–2010 (Sep 2007)		
													COBP 2010–2012 (Apr 2010)	
													Joint CPS 2010–2012 (Nov 2009)	
													CPS 2010–2012 (Apr 2010)	
<b>Thailand</b>	4	1				CSPU 2002–2004 (Jul 2001)								
		1									CPS 2007–2011 (Apr 2007)			
		1										COBP 2008–2010 (Jun 2008)		
													COBP 2009–2011 (Aug 2009)	
<b>Timor-Leste</b>	4	1				CSPU 2003–2004 (Sep 2003)								
		1							CSPU 2005–2006 (Aug 2004)					
		1								CSPU 2006–2008 (Sep 2005)				
												COBP 2008–2010 (Sep 2007)		
<b>Tonga</b>	5	1				CSPU 2003–2005 (Jul 2002)								
									CSPU 2005–2006 (Aug 2004)					
											CPS 2007–2012 (Nov 2007)			
											COBP 2007–2009 (Aug 2008)			
													COBP 2009–2011 (Sep 2008)	
													COBP 2010–2012 (Oct 2009)	
<b>Tuvalu</b>	4					CPS 2002–2004 (Jul 2002)								
		1						CSPU 2004–2006 (Jul 2003)						
												CPS 2008–2012 (Sep 2008)		
														COBP 2010–

Country	No.	No. with Results Framework	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
														2012 (Oct 2009)
<b>Uzbekistan</b>	6					CSPU 2002–2004 (Jul 2001)								
							CSPU 2003–2005 (Sep 2002)							
		1						CSPU 2004–2006 (Aug 2003)						
		1							CSPU 2005–2006 (Sep 2004)					
										CSP 2006–2010 (Feb 2006)				
<b>Vanuatu</b>	7					CSPU 2002–2004 (Jun 2001)								COBP 2010–2011 (May 2010)
							CSPU 2003–2005 (Oct 2002)							
		1						CSPU 2004–2006 (Oct 2003)						
		1							CSPU 2005–2006 (Oct 2004)					
										CSPU 2006–2010 (Aug 2006)				
													COBP 2009–2011 (Jul 2008)	
														CPS 2010–2014 (Aug 2009)
<b>Viet Nam, Socialist Republic of</b>	7					CSPU 2002–2004 (Jun 2001)								
									CSPU 2005–2006 (Jul 2004)					
										CSPU 2006–2008 (Aug 2005)				
		1									CSP 2007–2010 (Sep 2006)			
												COBP 2008–2010 (Oct 2007)		
													COBP 2009–2011 (Nov 2008)	
														CSP Midterm Review 2007–2010 (Dec 2009)
<b>Total</b>	<b>190</b>	<b>59</b>												

COBP = country operations business plan, COS = country operational strategy, CPS = country partnership strategy, CSP = country strategy and program, CSPU = country strategy and program update.

Source: Asian Development Bank website database.

**Table A4.4: Country Sector and Theme Roadmaps, 1999–2010**

Country	Sectors										Country Sector Road Maps (no.)
	Agriculture (ANR/ARD)	Education	Energy	Finance	Health & Social Protection	Industry & Trade/ SME	LEMPP/ Public Sector Management	Transport & ICT	Water & OMIS/ Urban Development	Multi-Sector	
Afghanistan	2009–2013		2009–2013					2009–2013			<b>3</b>
Armenia							2008–2010	2008–2010	2008–2010		<b>3</b>
Azerbaijan											<b>0</b>
Bangladesh	2006–2010 2009–2010	2006–2010 2009–2010	2006–2010 2009–2010	2006–2010 2009–2010	2006–2010 2009–2010			2006–2010 2009–2010	2006–2010 2009–2010		<b>14</b>
Bhutan			2006–2010	2006–2010				2006–2010	2006–2010		<b>4</b>
Cambodia	2004–2006 2007–2009 2008–2010 2009–2012	2004–2006 2007–2009 2008–2010 2009–2012	2008–2010 2009–2012	2004–2006 2007–2009 2008–2010				2004–2006 2007–2009 2008–2010 2009–2012	2008–2010 2009–2012		<b>19</b>
China, PR	2004–2006 2008–2010		2004–2006 2008–2010	2004–2006 2008–2010				2004–2006 2008–2010	2004–2006		<b>9</b>
Cook Islands										2008–2010	<b>1</b>
Fiji Islands											<b>0</b>
Georgia											<b>0</b>
India	2003–2006 2009–2012		2003–2006 2009–2012	2003–2006			2003–2006	2003–2006 2009–2012	2003–2006 2009–2012		<b>11</b>
Indonesia	2003–2005 2006–2009	2003–2005 2006–2009	2003–2005 2006–2009	2003–2005	2003–2005	2003–2005		2003–2005 2006–2009	2003–2005		<b>12</b>
Kazakhstan	2004–2006	2004–2006						2004–2006	2004–2006		<b>4</b>
Kiribati											<b>0</b>
Kyrgyz Republic	2004–2006 2007–2010 2009–2011	2004–2006 2007–2010 2009–2011		2004–2006				2004–2006 2007–2010 2009–2011			<b>10</b>
Lao PDR	2007–2011	2007–2011	2007–2011	2007–2011	2007–2011			2007–2011	2007–2011		<b>16</b>

Country	Sectors										Country Sector Road Maps (no.)
	Agriculture (ANR/ARD)	Education	Energy	Finance	Health & Social Protection	Industry & Trade/ SME	LEMPP/ Public Sector Management	Transport & ICT	Water & OMIS/ Urban Development	Multi-Sector	
	2008–2010 2009–2011	2008–2010 2009–2011	2009–2011	2009–2011	2009–2011			2009–2011	2009–2011		
Maldives			2007–2011			2007–2011	2007–2011	2007–2011			4
Marshall Islands										2005–2006	1
Micronesia											0
Mongolia	2006–2008	2006–2008			2006–2008			2006–2008	2006–2008		5
Nepal	2005–2009 2008–2009 2010–2012	2005–2009 2008–2009 2010–2012	2005–2009 2008–2009 2010–2012	2005–2009 2008–2009 2010–2012				2005–2009 2008–2009 2010–2012	2005–2009 2008–2009 2010–2012		18
Pakistan	2004–2006	2004–2006	2004–2006	2004–2006	2004–2006			2004–2006	2004–2006		7
Palau											0
Papua New Guinea					2006–2010		2006–2010	2006–2010			3
Philippines	2005–2007		2005–2007	2005–2007		2005–2007	2005–2007	2005–2007	2005–2007		7
Samoa		2004–2006 2008–2012	2004–2006 2008–2012						2004–2006 2008–2012		6
Solomon Islands								2007–2009			1
Sri Lanka	2004–2008	2004–2008 2009–2011	2004–2008 2009–2011	2004–2008			2008	2004–2008 2009–2011	2004–2008 2009–2011		11
Tajikistan	2004–2008	2004–2008	2004–2008 2010–2012		2004–2008			2004–2008 2010–2012			7
Thailand			2009–2011	2009–2011				2009–2011	2009–2011		4
Timor-Leste											0
Tonga							2007–2012		2007–2012		2
Tuvalu							2008–2012				1
Uzbekistan	2006–2010		2006–2010					2006–2010			3

Country	Sectors										Country Sector Road Maps (no.)
	Agriculture (ANR/ARD)	Education	Energy	Finance	Health & Social Protection	Industry & Trade/ SME	LEMPP/ Public Sector Management	Transport & ICT	Water & OMIS/ Urban Development	Multi-Sector	
Vanuatu			2010–2014					2009–2011 2010–2014	2010–2014		<b>4</b>
Viet Nam	2007–2010	2007–2010	2007–2010	2007–2010	2007–2010		2007–2010	2007–2010	2007–2010		<b>8</b>
<b>Total</b>	<b>30</b>	<b>26</b>	<b>30</b>	<b>22</b>	<b>10</b>	<b>3</b>	<b>9</b>	<b>40</b>	<b>26</b>	<b>2</b>	<b>198</b>

ANR = agriculture and natural resources, ARD = agriculture and rural development, ICT = information and communications technology, Lao PDR = Lao People's Democratic Republic, OMIS = other municipal infrastructure and services, SME = small-medium-sized enterprise.

Source: Asian Development Bank website database.

**Table A4.5: Country Theme Roadmaps, 1999–2010**

COUNTRY	Themes													Country Theme Road Maps (no.)
	Private Sector Devt.	Gender Equity	Governance	Environment (&NR)	Climate Change	Sustainable Economic Growth/ Poverty Reduction	Improving Business Environment	Macroeconomic Stability & Fiscal Mgt.	Regional Coop/ RCI	Partnerships	Capacity Devt./ Bldg Human Capital	Knowledge Solutions	Counter-narcotics	
Afghanistan	2009–2013	2009–2013	2009–2013						2009–2013				2009–2013	5
Armenia														
Azerbaijan														
Bangladesh		2009–2010	2009–2010											2
Bhutan														
Cambodia	2009–2012	2009–2012	2009–2012	2009–2012	2009–2012	2009–2012								6
China, PR	2008–2010		2008–2010	2008–2010		2008–2010								4
Cook Islands				2008–2010		2008–2010					2008–2010			3
Fiji Islands														
Georgia														
India	2009–2012	2009–2012	2009–2012							2009–2012		2009–2012		5
Indonesia	2003–2005	2003–2005	2003–2005	2003–2005										4
Kazakhstan			2004–2006	2004–2006										2
Kiribati														
Kyrgyz Republic	2007–2010			2007–2010					2007–2010					6
	2009–2011			2009–2011					2009–2011					
Lao PDR	2007–2011		2007–2011											2
Maldives														
Marshall Islands	2005–2006													1
Micronesia														
Mongolia														
Nepal		2010–2012	2010–2012	2010–2012					2010–2012					4



COUNTRY	Themes													Country Theme Road Maps (no.)
	Private Sector Devt.	Gender Equity	Governance	Environment (&NR)	Climate Change	Sustainable Economic Growth/ Poverty Reduction	Improving Business Environment	Macroeconomic Stability & Fiscal Mgt.	Regional Coop/ RCI	Partnerships	Capacity Devt./ Bldg Human Capital	Knowledge Solutions	Counter-narcotics	
Pakistan			2004–2006											1
Palau														
Papua New Guinea	2006–2010													1
Philippines			2005–2007											1
Samoa	2004–2006					2008–2012								3
	2008–2012													
Solomon Islands							2007–2009							1
Sri Lanka	2004–2008													1
Tajikistan	2010–2012													1
Thailand	2009–2011		2009–2011	2009–2011										3
Timor-Leste														
Tonga								2007–2012						1
Tuvalu														
Uzbekistan	2006–2010			2006–2010					2006–2010		2006–2010			4
Vanuatu	2009–2011													1
Viet Nam	2007–2010							2007–2010	2007–2010					4
									2009–2010					
<b>Total</b>	<b>18</b>	<b>6</b>	<b>12</b>	<b>10</b>	<b>1</b>	<b>4</b>	<b>2</b>	<b>1</b>	<b>7</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>66</b>

Devt. = Development, Lao PDR = Lao People's Democratic Republic, NR = natural resources, RCI = regional cooperation and integration.

Source: Asian Development Bank website database.

## COMPARATOR ASSESSMENT ON MANAGING FOR DEVELOPMENT RESULTS

**Table A5.1: Comparator Assessment of Managing for Development Results in Multilateral Development Banks**

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
<p><b>1. Definition and objectives of MfDR</b></p>	<p>An approach focused on development of outcomes throughout the management cycle defining outcomes and outputs</p> <p>Enables informed decision-making by integrating a results focus across core management functions</p> <p>Involves regular reporting to key stakeholders to increase accountability and promote learning</p>	<p>An multilateral development bank (MDB) approach that focuses on (i) development effectiveness in terms of country progress on key outcomes, and (ii) institutional effectiveness in terms of program outputs and outcomes and business processes</p>	<p>MfDR practices aim to improve the design, implementation, and evaluation of strategies and operations with a view to achieving relevant development results</p>	<p>A combination of two approaches: (i) bottom-up—measuring results of each intervention at different points in the cycle, and (ii) top-down—developing a corporate layer results framework and results-based budget</p>	<p>MfDR is both (i) a management approach, and (ii) a set of tools for strategic planning of activities and expenditures, managing risks, monitoring and evaluating performance, reporting, and learning</p> <p>"Results" refers to both outputs and outcomes, with a particular focus on the relationship between outputs and outcomes</p> <p>IFAD adopted MfDR approach to focus the organization on achieving and measuring development results</p>	<p>WB is focusing on results to (i) improve its effectiveness in supporting country development, and (ii) help donor countries, clients, and stakeholders monitor our contribution to development</p> <p>WB's goal is to help its partner countries take the lead on the results agenda</p>
<p><b>2. Date of initial mainstreaming of MfDR</b></p>	<p>1999—introduction of MfDR with the adoption of the Poverty Reduction Strategy</p> <p>March 2002—signatory to "Better</p>	<p>2003—introduction of a results framework in the African Development Fund (AfDF)</p>	<p>March 2002—signatory to "Better Measuring, Monitoring and MfDR" Statement</p> <p>2003–2004: started to implement a</p>	<p>March 2002—signatory to "Better Measuring, Monitoring and MfDR" Statement</p>	<p>2000—adoption of MDGs</p> <p>2002</p>	<p>March 2002—signatory to "Better Measuring, Monitoring and MfDR" Statement</p> <p>2003—start of MfDR implementation</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>Measuring, Monitoring and MfDR” Statement</p> <p>2003–2004—under ADF IX committed to improve effectiveness through better MfDR</p>		scorecard			
<p><b>3. Level of commitment of leadership to the MfDR agenda</b> (meetings, decision-making, ...)</p>	<p>International Conference on Financing for Development; Monterey, Mexico; March 2002</p> <p>International Roundtable on Development Results: 1st—Washington DC, 2002 2nd—Marrakech, Morocco, 2004 3rd—Hanoi, Viet Nam 2007</p> <p>High-Level Forum on Aid Effectiveness: 1st—Rome, 2003 2nd—Paris, 2005 3rd—Ghana, 2008 4th—Busan, Republic of Korea, 2011</p> <p>MDB Working Group on MfDR—ADB as Chair, 2003</p> <p>ADF IX negotiations—ADB committed to improve effectiveness through better MfDR</p>	<p>International Conference on Financing for Development; Monterey, Mexico; March 2002</p> <p>Introduction of a results measurement framework in AfDF, 2003</p> <p>Indicators of AfDB leadership commitment (based on interview with the Director of ORQR):</p> <ul style="list-style-type: none"> <li>• Creation of the ORQR</li> <li>• Appointment of a Chief Executive Officer also is sign that the President values results</li> <li>• “Champions for results” scattered throughout AfDB</li> <li>• Management committee heavily engaged in the development of results indicators</li> </ul>	<p>International Conference on Financing for Development, March 2002</p> <p>1st International Roundtable on Development Results, June 2002</p> <p>Member, Working Group for Managing Results, 2008</p>	<p>International Conference on Financing for Development, March 2002</p> <p>1st International Roundtable on Development Results, June 2002</p>	<p>“Focus on results” is one of the organization’s core values</p>	<p>International Conference on Financing for Development, March 2002</p> <p>1st International Roundtable on Development Results, June 2002</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>Creation of MfDR website, 2003</p> <p>First MDB to adopt a corporate results framework (2004) reflected in the 2004 Enhanced Poverty Reduction Strategy</p> <p>Creation of Results Management Unit, 2004</p> <p>Organization of Asia-Pacific Community of Practice on MfDR, 2006, ADB as Secretariat</p>	<p>Measures taken in 2009 to implement AfDB commitments:</p> <ul style="list-style-type: none"> <li>• adoption of Results Measurement Framework for its concessional lending window (AfDF)</li> <li>• continued improvement in the quality of operations through (i) ex ante quality at entry (QAE) assessment for public sector investment operations, and (ii) the additionality and development effectiveness assessment (ADEA) for private sector operations</li> </ul>				
<p><b>4. MfDR design to meet needs and priorities of member countries</b></p>	<p>Helps DMCs increase their understanding and use of MfDR through:</p> <ul style="list-style-type: none"> <li>• a multidonor MfDR Cooperation Fund,</li> <li>• awareness-raising at the country layer including the formation of the APCoP on MfDR</li> </ul> <p>Introduced approaches to better manage country operations for</p>	<p>The AfDF results measurement framework focuses on (i) development effectiveness in terms of country progress on key outcomes, and (ii) institutional effectiveness in terms of program outputs and outcomes and business processes</p> <p>For AfDF 10, this</p>	<p>Implements MfDR in supporting transition of countries (in Central Europe and Central Asia) from social economy to functioning market economy</p> <p>Implements MfDR at four levels:</p> <ul style="list-style-type: none"> <li>• Level 1—Defining "transition" and identifying countries' needs and gaps</li> </ul>	<p>To improve internal efficiency and achieve effectiveness with countries, IDB has initiated</p> <ul style="list-style-type: none"> <li>• a development effectiveness framework</li> <li>• a corporate results framework</li> </ul> <p>IDB has enhanced the capacity of the Latin America Region Community</p>	<p>Results-Based Country Strategic Opportunities Programme (RB-COSOP), which promotes stronger alignment and synergy among countries' national development strategies</p> <p>Capacity-building for MfDR within client countries at both central and</p>	<p>Helps countries achieve results through financial assistance and global knowledge</p> <p>Works with country partners to better document joint achievements and increase accountability to its clients, donors, and their citizens</p> <p>Efforts to strengthen</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>development results:</p> <ul style="list-style-type: none"> <li>• guidelines on country and sector results frameworks, and</li> <li>• publication of Development Effectiveness Briefs to describe its contributions to country's development outcomes objectively using the results framework indicators</li> </ul>	<p>framework was tailored to AfDF priorities with increased emphasis on progress on governance and regional integration in Africa, and significant focus on institutional reform.</p>	<ul style="list-style-type: none"> <li>• Level 2— Assessment of ex - ante potential impact and risks</li> <li>• Level 3—Identifying investments</li> <li>• Level 4— Monitoring and reporting of project implementation</li> </ul> <p>Strategic priorities:</p> <ul style="list-style-type: none"> <li>• building stable financial sectors</li> <li>• diversifying economies</li> <li>• tackling energy intensity and climate change</li> <li>• accelerating transition in infrastructure</li> <li>• applying the lessons of the recent economic crisis</li> </ul>	<p>of Practice for South-South learning</p>	<p>decentralized levels to identify intended results and subsequently monitor and measure their achievement</p> <p>Support to the Joint Venture for MfDR to establish communities of practice (CoPs) in Asia-Pacific, Africa, and Latin America, as model cases for South-South cooperation and peer-to-peer learning on MfDR approaches</p>	<p>country-level statistical capacity</p> <p>WB has supported the successful expansion of the African Community of Practice on MfDR</p>
<p><b>5. MfDR institutional arrangements</b> (dedicated results management unit, if any, MfDR focal points, etc.)</p>	<p>Results Management Unit (SPRU) in SPD mainstreams MfDR by (i) coordinating monitoring of corporate performance using results framework, (ii) preparing DEfRs, and (iii) coordinating ADB assistance for country capacity development on MfDR</p> <p>MfDR focal points</p>	<p>Quality Assurance and Results Department (ORQR):</p> <ul style="list-style-type: none"> <li>• A full department handling the Results Agenda for AfDB</li> <li>• With three divisions: Quality Assurance, Environment and Special Safeguards, and Gender and Civil</li> </ul>	<p>Office of the Chief Economist (OCE) is responsible for results monitoring and reporting to the Board</p> <p>Corporate planning works on the Scorecard</p> <p>OCE assesses the transition impact of every project as part of the process of</p>	<p>Vice-presidencies are responsible for ensuring that (i) interventions are designed and executed according to good practice standards, and (ii) self-evaluations are conducted on time</p> <p>Vice-presidents establish delivery schedules for completion reports</p>	<p>IFAD's main units for MfDR:</p> <ul style="list-style-type: none"> <li>• Programme Management Department</li> <li>• Strategic Planning and Budget Division</li> </ul>	<p>Development Impact Department is responsible for measuring, monitoring, and reporting on the development results of IFC investment operations and advisory services activities</p> <p>IFC operational staff identified clear, standardized, and</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>designated for each department</p> <p>Strategy and Policy Department (SPD) coordinates aid effectiveness (Paris Declaration) initiatives</p> <p>Operations departments are responsible for managing overall operational quality needed to achieve intended results</p> <p>Independent Evaluation Department (IED) evaluates the effectiveness of ADB operations independently</p>	<p>Society</p> <ul style="list-style-type: none"> <li>• 40 staff</li> </ul> <p>Functions: (i) monitors and reports on the results of AfDB Group operations in its regional member countries, (ii) leads the development of the corporate action plan to strengthen focus on results, and (iii) develops appropriate institutional instruments for quality assurance and results reporting at all stages in the project cycle</p>	<p>choosing, preparing, and appraising projects</p> <p>OCE acts as EBRD's independent evaluator</p>	<p>(i.e., self-evaluation reporting tool for interventions)</p> <p>Strategic Planning and Development Effectiveness Department, reporting directly to the Executive Vice-President, supports the self-evaluation function across interventions, including the development and application of evaluation guidelines and standards, and the identification of problems</p>		<p>monitorable indicators with baselines and targets at the outset of a project. Staff then track performance against these targets during supervision for feedback into the operations.</p> <p>Compliance monitoring bodies—Internal Auditing Department, Independent Evaluation Group, Quality Assurance Group, and Department of Institutional Integrity—oversee all aspects of the WB's work</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
<b>6. Dedicated intranet/ website on MfDR</b>	(i) ADB.org/mfdr <ul style="list-style-type: none"> <li>Managing for Development Results</li> <li>Subsite with pages on MfDR Action Plan, Country Capacity, ADB's Results Orientation, DEfR, etc.</li> </ul> (ii) cop-mfdr.adb.org <ul style="list-style-type: none"> <li>Asia-Pacific CoP-MfDR: Community of Practice on MfDR</li> <li>Focused on MfDR country ownership/ capacity development</li> </ul>	AfDB.org <ul style="list-style-type: none"> <li>Quality Assurance and Results</li> <li>Page linking to:               <ul style="list-style-type: none"> <li>AfDB Results Framework, and</li> <li>Simply Results bi-annual publication</li> </ul> </li> </ul>	EBRD.com/ <ul style="list-style-type: none"> <li>Common Performance Assessment Report</li> <li>One page discussing EBRD's participation in the COMPAS report on MfDR practices (not updated)</li> <li>Currently in process of designing a web page dedicated to MfDR</li> </ul>	laDB.org <ul style="list-style-type: none"> <li>Development Effectiveness = Results</li> <li>Subsite with pages on results framework, monitoring, impact id quarterly bus. review, country strategy, non-sovereign guaranteed operations, knowledge and capacity building</li> </ul>	Ifad.org <ul style="list-style-type: none"> <li>Managing for Development Results at IFAD</li> <li>Page with links to frameworks, related topics, MfDR website,</li> </ul>	(i) Worldbank.org/ results <ul style="list-style-type: none"> <li>Results</li> <li>One page linking to various existing WB pages to demonstrate and highlight the bank's development results</li> </ul> (ii) mfdr.org <ul style="list-style-type: none"> <li>Managing for Development Results</li> <li>Focused on MfDR international roundtables and country ownership/ capacity development</li> </ul>
<b>7. Adoption of specific Results Frameworks (or roadmaps, scorecard...)</b>	Poverty Reduction Strategy, 1999  Long-Term Strategic Framework (LTSF) 2001–2015  2004 Enhanced Poverty Reduction Strategy  Action Plans: 2004, 2006–2008, 2008–2010  Long-term Strategic Framework (LTSF) 2008–2020 (Strategy 2020)  Results framework (2008) and scorecard	One-Bank Results Management Framework: <ul style="list-style-type: none"> <li>Focused and consistent with the AfDB Mid-term Strategy (2008–2012)</li> <li>Aims to facilitate bank-wide management and reporting on development results at all levels</li> <li>Includes indicators common to both private and public sector</li> <li>Allows for aggregation of results across sectors and</li> </ul>	EBRD corporate results framework covers both development results and MDB performance, within a four-level structure like that of ADB (see 1st column) and other MDBs (AfDB, IDB, IFAD, WB)  EBRD implements results framework quite differently from other MDBs due to mandate, and conducts transition impact analysis: <ul style="list-style-type: none"> <li>For each investment, OCE assesses how the</li> </ul>	Development Effectiveness Framework (2008): <ul style="list-style-type: none"> <li>frames IDB's activities with a greater focus on results, based on empirical evidence,</li> <li>enhances IDB's accountability, by emphasizing evidence based decision making, and</li> <li>provides an environment for learning what works and why</li> </ul> A new corporate results framework was proposed (in	Overall MfDR framework is three-tiered: <ul style="list-style-type: none"> <li>(i) top tier focuses on development effectiveness with reference to its Strategic Framework 2007–2010;</li> <li>(ii) results-based country strategies and programs measured through the results measurement framework; and</li> <li>(iii) achievement of the fund's strategic objectives, sustained through organizational-level results—corporate</li> </ul>	All country assistance strategies, sector strategies, and projects have results frameworks  Development Impact Evaluation Initiative (since 2009) for a more effective use of, and systematic learning from impact evaluations  Corporate Scorecard (2010–2011) <ul style="list-style-type: none"> <li>Apex tool for facilitating strategic dialogue of Management with the Board on overall corporate</li> </ul>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>to measure performance</p> <p>ADB corporate results framework covers both development results and MDB performance, within a four-level structure covering: (i) high-level global or regional development progress (setting the context for remaining development challenges), (ii) MDB contribution to development results through their program-related activities, (iii) MDB operational effectiveness and results orientation as a building block for achieving better results, and (iv) MDB organizational effectiveness.</p> <p>New Action Plan 2009–2011</p>	<p>regions and for either window separately</p> <ul style="list-style-type: none"> <li>• Aggregates results across countries by project</li> <li>• Indicators target 75% of operations</li> </ul>	<p>project contributes to EBRD's mandate of promoting entrepreneurship and open, market-based economies covering both potential transition impact and the risks involved</p> <ul style="list-style-type: none"> <li>• Transition impact potential is rated based on seven criteria measured on a scale of Unsatisfactory, Marginal, Satisfactory, Good, Excellent</li> </ul> <p>Risks to transition impact depend both on the likelihood that transition impact potential will not be realized and on the risk of negative transition impact deriving from wrong signals or certain attributes of the project. Risks to transition impact are classified as Excessive, High, Medium, or Low</p>	<p>2009) to the governors as part of capital increase, to ensure alignment of IDB activities with strategic objectives and results.</p> <p>Results Framework of the IDB, 2012–2015</p>	<p>management results managed within the Corporate Planning and Performance Management System.</p> <p>Results-oriented reforms implemented:</p> <ul style="list-style-type: none"> <li>• reformulation of IFAD's Strategic Framework</li> <li>• establishment of results-based country strategies and programs</li> <li>• enhanced quality-at-entry process</li> <li>• new supervision policy, knowledge management, and innovation strategies, and</li> <li>• enhanced country presence</li> </ul> <p>Medium-term plan for 2010–2012</p> <p>New corporate strategic framework, 2011–2014</p> <p>Results-based work program and budget, 2011 and indicative plan for 2012–2013</p>	<p>performance</p> <ul style="list-style-type: none"> <li>• Structured around an integrated results and performance framework</li> <li>• To view performance within the context of the development results that it supports, and to take actions internally to enhance results achieved on the ground</li> <li>• Builds on the IDA 16 Results Management System and reflects current best practice developed by MDBs in the use of corporate scorecards</li> <li>• Organized into a four-tier structure that groups indicators along a results chain—Tier I and Tier II capture development results, and Tier III and Tier IV focus on WB performance</li> </ul>
<b>8. Tools and activities for</b>	Helps increase MfDR capacity in partner	Key activities: • Develops	Each investment project has been	Development Effectiveness	Activities: • Defining and	Annual Review of Development



Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
<p><b>mainstreaming MfDR</b></p>	<p>countries by (i) promoting learning and knowledge exchange through the APCoP-MfDR, and (ii) supporting countries' initiatives to apply MfDR to public sector management</p> <p>Publications</p> <ul style="list-style-type: none"> <li>• Development Effectiveness Briefs</li> <li>• Moving from concept to action on MfDR good practice</li> <li>• Results matter</li> </ul> <p>Creation and maintenance of MfDR website</p> <p>Refined processes at operational level aimed at increasing results orientation and improving project outcomes (cited by SARD):</p> <ul style="list-style-type: none"> <li>• Regular results-based CPRMs and TPRMs</li> <li>• Results-based project reviews including mid-term review</li> <li>• Regular regional management team and sector "results" meetings</li> <li>• Impact Evaluation</li> </ul>	<p>advocacy tools</p> <ul style="list-style-type: none"> <li>• Designs new business process tools, and</li> <li>• Helps strengthen the institutional and country capacity to manage for results</li> </ul> <p>Three types of reports on development effectiveness:</p> <ul style="list-style-type: none"> <li>• ADF-11 Midterm Review Report</li> <li>• Annual Portfolio Performance Review, and</li> <li>• Information Notes to the Board of Directors.</li> </ul>	<p>assessed for its transition impact, and measured against the transition challenges faced by the country and sector</p> <p>Recent initiatives:</p> <ul style="list-style-type: none"> <li>• Update and streamlining of transition challenges assessment, thus improving the context in which results are assessed.</li> <li>• Results retrospective of the past 5 years that fed into the latest capital resources review, and</li> <li>• Linking technical cooperation projects to investments in order to improve reporting to donors and the Board of Directors</li> </ul>	<p>Overview— a reporting instrument through which IDB provides its Board with—</p> <ul style="list-style-type: none"> <li>• overall assessment of compliance with the development effectiveness standards;</li> <li>• outcomes achieved at an aggregate level;</li> <li>• results achieved through its interventions;</li> <li>• lessons learned</li> <li>• IDB contribution to the region's development goals</li> </ul> <p>Since 2009, all projects include a development effectiveness matrix at the design phase.</p> <p>Various reports:</p> <ul style="list-style-type: none"> <li>• Project monitoring report for investment operations since 2009</li> <li>• Completion reports</li> <li>• Corporate reports aligned with management processes</li> <li>• Reports for accountability and learning</li> </ul>	<p>stating IFAD strategic objectives in the Strategic Framework;</p> <ul style="list-style-type: none"> <li>• Focusing all systems, processes, and resources (human and financial) on achieving those strategic objectives;</li> <li>• Ensuring that all systems, processes, and resource uses are consistent and aligned with each other;</li> <li>• Closely monitoring progress in achieving the strategic objectives, and using this information in decision making and learning; and</li> <li>• Creating an MfDR culture across the organization</li> </ul>	<p>Effectiveness</p> <p>Assessment and validation of outcomes by IEG based on results frameworks of country assistance strategies, sector strategies, and projects</p> <p>Systematically learn from operations to strengthen results through the Development Impact Evaluation Initiative</p> <p>Introduction of Standard Sector Indicators for IDA operations in 2009 allowing the WB to capture, aggregate, and report on project-level output and outcome data for operations under implementation; Use of core sector indicators expanded to IBRD operations and additional sectors</p> <p>Quality assessment of project results framework design, relevance of indicators, and institutional and</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>Program (SARD produces its own DEfRs for enhanced learning)</p> <ul style="list-style-type: none"> <li>• Good project implementation practice recommendations.</li> <li>• SARD has embraced the “One ADB Approach” in its operations.</li> <li>• eOperations—an important core element that is expected to improve results orientation covering, in one IT system, the full project cycle, i.e., from project identification and processing thru implementation to self evaluation (PCR)</li> </ul>			<ul style="list-style-type: none"> <li>• Annual business review</li> <li>• Development Effectiveness Overview</li> </ul>		<p>capacity challenges addressed at the project design stage</p> <p>Reports:</p> <ul style="list-style-type: none"> <li>• Qualitative results briefs at the country, sector, thematic, and project level</li> <li>• Retrospective reports on CAS outcomes;</li> <li>• Retrospective assessment reports on its Development Policy lending</li> <li>• IDA retrospective and midterm reviews</li> </ul>
<p><b>9. Ability to track information at the outcome and impact levels</b></p>	<p>Not outcome level in a satisfactory fashion Nonetheless, output-level and activities monitoring and reporting done are necessary and useful since (i) outputs and activities are part of the results chain; (ii) many outputs and activities can serve as leading indicators for outcomes; and (iii) outcomes of ADB –</p>	<p>The additionality and development outcomes assessment tool was introduced for ex-ante assessment of private sector operations.</p> <p>Over the last 2 to 3 years, AfDB has adopted standardized indicators, which has enabled better and</p>	<p>Transition Impact Monitoring System:</p> <ul style="list-style-type: none"> <li>• Builds on the existing methodology for ex-ante transition Impact assessment for each EBRD operation</li> <li>• Monitors the implementation of transition objectives</li> <li>• Measures success or failure using internal monitoring</li> </ul>	<p>Implementation is monitored using a quantitative approach to track the achievement of a project’s outputs and outcomes relative to its estimated time and cost parameters, through the project monitoring report. At 18 months from execution a loan results report will be</p>	<p>Since 2006, the IFAD self-evaluation system has been strengthened, although project-level monitoring and evaluation systems remain generally weak and the quality of the project completion reports (PCRs) prepared by governments is not yet satisfactory overall.</p>	<p>In July 2009, WB introduced Standard Sector Indicators for IDA operations, allowing WB to capture, aggregate, and report on project-level output and outcome data for operations under implementation. The use of core sector indicators is now being expanded to IBRD operations and</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>supported projects are usually achieved at the end of the project.</p> <p>Over the last 2–3 years, ADB has adopted standardized indicators, which has enabled better and expanded reporting on outcomes and outputs (COMPAS, 2009)</p>	<p>expanded reporting on outcomes and outputs (COMPAS, 2009)</p>	<p>benchmarks and expected timing for implementation of each benchmark.</p> <ul style="list-style-type: none"> <li>• Ex-post monitoring of each operation done semiannually with credit review meetings</li> </ul>	<p>prepared to assess potential implementation issues.</p> <p>Results at completion are reported in the project completion report (PCR), and are externally validated by the Office of Evaluation and Oversight.</p> <p>IDB’s strong commitment to produce evidence on “what works” has resulted in an increased number of operations that include rigorous impact evaluation.</p>		<p>additional sectors.</p> <p>Development Outcome Tracking System 2</p> <ul style="list-style-type: none"> <li>• Launched by IFC in 2009</li> <li>• Further standardized indicators across regions and industries,</li> <li>• Enhanced indicators</li> <li>• Allows comparison of actual results against the original baselines and expectations faster and more accurately</li> <li>• Permits tracking, monitoring, and reporting on IFC additionality in projects in terms of risk mitigation, policy setting, knowledge and innovation, and standard-setting</li> </ul>
<p><b>10. Management information systems for measuring performance and results at all organizational levels</b></p>	<p>P3M/e-Operations projects aims to provide integrated end to end pipeline and portfolio management support for ADB operations to replace the numerous information systems by a consolidated,</p>	<p>AfDB has no single system at present, but is very close to establishing one by the end of the year</p> <p>Planned functional upgrade of ERP/SAP</p>	<p>EBRD Board is quite happy with the monitoring and reporting done internally</p> <p>Centralized system of data entry and data collection in OCE</p>	<p>Not available <sup>a</sup></p>	<p>Not available <sup>a</sup></p>	<p>Not available <sup>a</sup></p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>new, more automated, and workflow-based information system</p> <p>ADB adopted a corporate-wide results framework and completed the first development effectiveness review in 2008. ADB management and heads of departments monitor ADB performance regularly. To support performance monitoring, ADB is developing an information technology-supported results dashboard. A working group is improving the methodology for preparing country briefs to better explain ADB's contributions to country development outcomes.</p>	<p>A lot is still done manually</p>	<p>Quarterly reports on institutional performance and portfolio performance</p> <ul style="list-style-type: none"> <li>• inputs into country strategies</li> <li>• submitted to Management and Board</li> </ul> <p>Lacks platform, reporting/IT system to process data and produce reports of any format</p>			
<p><b>11. Current gaps in MfDR agenda and strategy</b></p>	<p>ADB needs to</p> <ul style="list-style-type: none"> <li>• Consistently apply results management to its decision-making at the corporate, department, office, division, and staff level in both operations and non-operations units and,</li> </ul>	<p>The MfDR Agenda is mostly driven by donors.</p> <ul style="list-style-type: none"> <li>• Need to be careful in responding to demand which is not there, as very limited number of countries have real demand.</li> <li>• Need to see</li> </ul>	<ul style="list-style-type: none"> <li>• EBRD does not have targets in terms of numbers/volumes/ amounts across all sectors and countries primarily because of its mandate (not easy to define)</li> <li>• EBRD currently</li> </ul>	<p>Challenges:</p> <ul style="list-style-type: none"> <li>• Improve planning and objective setting</li> <li>• Allocate resources more effectively</li> <li>• Link performance evaluations to results</li> <li>• Improve transparency and</li> </ul>	<p>Not available <sup>a</sup></p>	<p>Improving/building country capacity for managing for results remains a priority</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>in the process, clearly demonstrate the benefits of this approach;</p> <ul style="list-style-type: none"> <li>Continue refining MfDR tools to ensure their quality and promote their wider use in decision making at the country and project layer of ADB operations</li> <li>Have better focus and coordination in providing support for capacity development in development planning and implementation including DMCs' statistical capacity;</li> <li>Enhance staff awareness of ADB's MfDR agenda</li> </ul>	<p>stronger demand coming from the countries with donors/MDBs responding to this demand rather than the supply-driven approach.</p>	<p>lacks a system of reporting to the "outside world" similar to what it does internally.</p> <ul style="list-style-type: none"> <li>It has no separate system of monitoring use of donor funds (mostly technical assistance), and there is pressure to provide more numbers and hard evidence in terms of what it has done with donors' funds</li> </ul>	<p>timelines of information</p>		
<p><b>12. Future plans for developing the MfDR agenda within and outside the organization</b></p>	<p>ADB MfDR website needs continuing improvement to (i) consolidate tools and references into a one-stop e-learning subsite; (ii) further improve the e-newsletter to appeal to more external users, improve the home page and country-specific pages, and explore the use of social media</p>	<p>AfDB targets decentralization for 2012 "to leverage field presence to deliver outstanding results for client countries"</p> <p>Accelerated decentralization is one of three KRAs of AfDB 2008 Action Plan for MfDR (together with promoting</p>	<ul style="list-style-type: none"> <li>EBRD is rethinking its monitoring and reporting systems</li> <li>It plans to produce a separate system for technical assistance and development of indicators is ongoing</li> <li>Project completion reports need to show more quantitative results</li> <li>EBRD plans to put</li> </ul>	<p>(i) Improve planning and objective setting</p> <ul style="list-style-type: none"> <li>Improve collaboration and coordination</li> <li>Align workload to resource allocation in the planning exercise</li> </ul> <p>(ii) allocate resources more effectively</p> <ul style="list-style-type: none"> <li>Improve reporting of time used and input costs</li> </ul>	<p>Important for IOE to continue working closely with Management in developing IFAD's self-evaluation system, for example, by undertaking evaluations of such components as the quality enhancement and quality assurance processes, supervision and</p>	<p>WB results agenda will move to the next level on four fronts: (a) measurement for results, (b) management for results, (c) openness for results, and (d) learning for results</p> <p>Focus on building country MfDR capacity remains a priority, and which would entail</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	<p>applications (DER's publishing channels and other social media applications)</p> <p>MfDR Intranet's structure and content need improvement; and more promotional effort: SPRU's web team will re-conceptualize the intranet to tailor it to the needs of targeted staff. The team will launch a new intranet in 2011. The team will request OIST to transfer the site from C-Cube to the more popular MyADB portal, and increase efforts to promote the intranet</p> <p>For 2009–2011, ADB's MfDR efforts generally aim to: (i) extend efforts to integrate a results-focused approach to implementing Strategy 2020; (ii) improve support for MfDR capacity development in DMCs; and (iii) enhance collaboration with development partners on selected MfDR initiatives</p> <p>Within ADB, MfDR</p>	<p>international partnership on results and building country capacity to manage for results)</p> <p>“Accelerating decentralization for better results on the ground” and “instilling a results oriented supervision culture” are key thrusts towards increased agency effectiveness</p> <p>For AfDF 11, increased strategic focus on governance, private sector development, regional integration, and infrastructure provision.</p> <p>ADB efforts to strengthen statistical capacity at the country level will also reflect these priorities for improved data collection and reporting.</p>	<p>together a booklet on results/MfDR (as it has indicated during the 2010 MfDR meeting in Washington)</p>	<p>incurred for any given product</p> <ul style="list-style-type: none"> <li>• Link unit products to results at the corporate level</li> <li>(iii) link performance evaluations to results</li> <li>• The performance evaluation of units and individuals needs to reflect their contribution to corporate results</li> <li>(iv) improve transparency and timelines of information</li> <li>• Improve information system integration and analytical capacity</li> </ul>	<p>implementation support, and by providing comments on the annual Report on IFAD's Development Effectiveness</p>	<ul style="list-style-type: none"> <li>• strengthening country systems including the use of impact evaluations, procurement, financial management, and monitoring and evaluation</li> <li>• complementary policy dialogue and knowledge sharing to support country institutions and reforms</li> <li>• continuing with current initiatives and partnerships focused on improving country MfDR capacity such as the CAP-Scan for MfDR and support to the African CoP and Statistics for Results Facility</li> </ul> <p>2011—first stage of implementation of a new corporate scorecard (integrated results and performance framework)</p>

Item	Asian Development Bank	African Development Bank	European Bank for Reconstruction and Development	Inter-American Development Bank	International Fund for Agricultural Development	World Bank Group
	2009–2011 will strive to deliver: (i) consistent application of results-management at all levels of decision-making; (ii) more refined and wider use of MfDR tools at country and project levels; (iii) stronger support for country systems to adopt MfDR in development work; (iv) greater internal communication to increase staff awareness, understanding and support for the MfDR agenda					

ADB = Asian Development Bank; AfDB = African Development Bank; AfDF= African Development Fund; APCoP = Asia-Pacific Community of Practice; CoP = community of practice; CPRM = country portfolio review mission; DEfR = Development Effectiveness Review; DER = Department of External Relations; DMC = developing member country; EBRD = European Bank for Reconstruction and Development; ERP/SAP = enterprise resource planning/systems applications and products; IDA = International Development Association; IDB = Islamic Development Bank; IED = Independent Evaluation Department; IEC = information, education and communication; IFAD = International Fund for Agricultural Development; IFC = International Finance Corporation; IT = information technology; KRA = key result area; LTSF = long-term strategic framework (2008–2020); MDB = multilateral development bank; MDG = Millennium Development Goal; MfDR = managing for development result; OIST = Office of Information Systems and Technology; P3M = project processing and portfolio management system; PCR = project completion report; PRS = poverty reducing spending; QAE = quality at entry; SARD = South Asia Regional Department; SPD = Strategy and Policy Department; SPRU = Result Management Unit; TPRM = tripartite portfolio review meetings.

<sup>a</sup> Data/info not available as yet. To be obtained from key informant interviews.

Sources: ADB. 2009. *ADB Action Plan on Managing for Development Results 2009–2011*. Manila; AfDB, AsDB, EBRD, IADB, IFAD, IsDBG, WBG. 2009. *Multilateral Development Banks' Common Performance Assessment System: 2009 COMPAS Report*. The World Bank Group. Washington DC; AfDB. 2010. *Bank Group Results Measurement Framework for 2010–2012*; IFAD. *An Overview of Managing for Development Results at IFAD*; IFAD. 2010. *Preview of the Office of Evaluation's results-based work program and budget for 2011 and indicative plan for 2012–2013*; OECD. *Managing for Development Results*. Information Sheet; OECD. 2009. *Managing for Development Result*. Policy Brief. Interviews with AfDB ORQR Director Thomas Hurley, EBRD Senior Economist Anita Taci, ADB SPRU Josie Balane and Norman Lu; and MDB websites.

**Table A5.2: Profile of Multilateral Development Banks (MDBs)**

	<b>Asian Development Bank</b>	<b>African Development Bank</b>	<b>European Bank for Reconstruction and Development</b>	<b>Inter-American Development Bank</b>	<b>International Fund for Agricultural Development</b>	<b>World Bank Group<sup>a</sup></b>
<b>Vision</b>	An Asia and Pacific region free of poverty	AfDB strives to be the leading development finance institution in Africa, dedicated to providing quality assistance to African regional member countries (RMCs) in their poverty alleviation efforts	The attainment of higher living and working standards through well-functioning market economies, where businesses are competitive, where innovation is encouraged, where household incomes reflect rising employment and productivity, and where environmental and social conditions reflect peoples' needs	Overarching objectives: reducing poverty and inequality and achieving sustainable growth  Strategic goals: addressing the special needs of the less developed and smaller countries and fostering development through the private sector	IFAD's goal is to empower poor rural women and men in developing countries to achieve higher incomes and improved food security	Contribute to an inclusive and sustainable globalization – to overcome poverty, enhance growth with care for the environment, and create individual opportunity and hope
<b>Mission</b>	Help developing member countries reduce poverty and improve living conditions and quality of life	Spur sustainable economic development and social progress in its member RMCs, thus contributing to poverty reduction	Help countries from Central Europe to Central Asia make the transition toward well-functioning market economies by investing mainly in the private sector and with associated technical cooperation, legal reform and policy dialogue	Contribute to the acceleration of the process of economic and social development of the regional developing member countries, individually and collectively	IFAD's mission is to enable poor rural people to overcome poverty	To fight poverty with passion and professionalism for lasting results. To help people help themselves and their environment by providing resources, sharing knowledge, building capacity, and forging partnerships in the public and private sectors



	<b>Asian Development Bank</b>	<b>African Development Bank</b>	<b>European Bank for Reconstruction and Development</b>	<b>Inter-American Development Bank</b>	<b>International Fund for Agricultural Development</b>	<b>World Bank Group<sup>a</sup></b>
<b>Members</b>	67 members: 48 from the Asia and Pacific region and 19 from other parts of the world	Shareholders include 53 African countries (RMCs) and 24 non-African countries from the Americas, Asia, and Europe (nonregional member countries—non-RMCs)	EBRD is owned by 61 countries and two intergovernmental institutions	IDB is owned by 48 members: 26 are from Latin America and the Caribbean, and 22 are from other parts of the world	Membership in IFAD is open to any state that is a member of the United Nations, any of its specialized agencies, or the International Atomic Energy Agency: 165 Member States: OECD member; OPEC members; and developing countries	IBRD has 186 member countries and IDA has 169
<b>Offices</b>	Headquarters in Manila, Philippines; 27 other offices around the world	Headquarters in Abidjan, Cote d'Ivoire. AfDB moved to its temporary location in Tunis, Tunisia, in February 2003  25 field offices across Africa	Headquarters in London, United Kingdom; 35 resident offices in 27 of its 29 countries of operations (as of 31 December 2009)	Headquarters in Washington, D.C., and has offices in all 26 of its borrowing countries, as well as in Paris and Tokyo	Headquarters in Rome, Italy, with smaller offices in 30 partner countries	The headquarters of WBG is in Washington, DC. It has more than 100 other offices around the world

IDA = International Development Association, OECD = Organisation for Economic Cooperation and Development, OPEC = Organization of Petroleum Exporting Countries.

<sup>a</sup> World Bank Group includes the International Bank for Reconstruction and Development (IBRD), International Finance Corporation (IFC), and International Development Agency (IDA).

Sources: MDB websites, *Multilateral Development Banks' Common Performance Assessment System: 2009 COMPAS Report*. The World Bank Group. Washington, DC.

## STAKEHOLDERS' PERCEPTIONS

### A. Introduction

#### 1. Survey Objectives, Scope and Methodology

1. A perceptions survey was conducted by the Asian Development Bank's (ADB) Independent Evaluation Department (IED) to gather stakeholders' view of ADB's efforts in mainstreaming the Managing for Development Results (MfDR) Agenda. Stakeholders surveyed comprised two groups: (i) ADB staff, and (ii) Members of the Asia-Pacific Community of Practice on MfDR (APCoP-MfDR). Separate questionnaires were designed for each of these groups but were similarly structured in terms of the IED's main evaluation criteria of relevance, responsiveness, and results orientation of the MfDR mainstreaming efforts. In addition, the questionnaire for ADB staff was aligned with that of the 2007 preliminary MfDR assessment and included most of the questions from the earlier survey to allow a comparison of progress over time (see Supplementary Appendix A for the survey questionnaires). Survey findings are intended to support the evidence-base of the evaluation and its triangulation with the other findings from desk assessments, key informant interviews, and focus group discussions/video conferencing with selected ADB resident missions, members of the APCoP-MfDR, and development partners.

2. All ADB staff and listed members of the APCoP-MfDR were requested to participate in the survey. The names of ADB staff were obtained from the ADB directory, while the members of the APCoP-MfDR were obtained from its website. The survey was web based<sup>1</sup> and the questionnaires were sent by email. Responses were collected in May–June 2011. Several reminders were sent to target respondents to achieve the highest possible response rate within the survey period.

3. The next section presents the survey response rates and a profile of the ADB staff and APCoP-MfDR members who responded to the survey. Separate discussions of the responses to the survey questions ensue, with the results of the ADB staff survey given first, followed by the findings from the APCoP members survey.

#### 2. Respondents' Profile

4. **Response rates.** The ADB staff questionnaire was emailed to 2,777 individuals, and 616 responded for a response rate of 22%. Meanwhile, 77 of the 435 members or about 18% of the APCoP-MfDR with known email address responded to the survey. Overall, the survey attained about 22% response rate (Table A6.1).

**Table A6.1: Perceptions Survey Response Rate**

Item	Total No. Sent	No. of Responses	Response Rate, %	Margin of Error at 95% Confidence Level
ADB Staff	2,777	616	22.2	± 3.48%
APCoP - MfDR Members	435	77	17.7	± 10.14%
<b>Total</b>	<b>3,212</b>	<b>693</b>	<b>21.6</b>	

ADB = Asian Development Bank, APCoP-MfDR = Asia-Pacific Community of Practice on Managing for Development Results, no. = number.

Source: Special evaluation study on managing for development results survey results.

<sup>1</sup> The SurveyMonkey (www.surveymonkey.com) online survey tool was used in administering the survey.

5. **Profile of Respondents.** Table A6.2 presents a profile of the ADB staff respondents in terms of position, department, their office location, and the number of years they have worked in ADB. Of the ADB staff respondents who indicated their position/designation, 34% are professional/international staff below director level, while about 8% hold positions of director level or above. Another 34% of the ADB staff are administrative staff, while 24% are national staff. By department, 43% are with the regional operations groups, namely Central and West Asia Department, East Asia Department, Pacific Department, South Asia Department, and Southeast Asia Department including Private Sector Operation Department. Eighty-one percent (81%) of the ADB staff respondents are based in Manila at Headquarters. Moreover, 32% have been with ADB for more than 10 years, while 27% have been in ADB for less than 2 years.

**Table A6.2: Profile of ADB Staff Survey Respondents**

Item	No. of Responses	% of Responses
<b>Position</b>		
Professional Staff		
Professional staff member at director level or above	37	7.7
Professional staff member below director level	164	34.3
National Staff	115	24.1
Administrative Staff	162	33.9
<b>Subtotal</b>	<b>478</b>	<b>100.0</b>
Not specified	136	
Total respondents	614	
<b>Department</b>		
CWRD	49	10.4
EARD	31	6.6
PARD	18	3.8
PSOD	14	3.0
SARD	37	7.9
SERD	51	10.9
BPMSD/SEC/OGC/OAI/OAS/CTL/TD/OIST/COSO/OCRP	155	33.0
OSPF/ORM/OREI/OAG/DER/SPD/ RSDD/ERD/OCO/IED	99	21.1
ADBI/OPR/VPs	16	3.4
<b>Subtotal</b>	<b>470</b>	<b>100.0</b>
Not specified	144	
Total respondents	614	
<b>Office Location</b>		
Headquarters (Manila)	390	81.3
Resident mission/Others (ADBI)	90	18.8
<b>Subtotal</b>	<b>480</b>	<b>100.0</b>
Not specified	134	
Total respondents	614	
<b>No. of Years Worked in ADB</b>		
Less than 2 years	130	26.7
2 years to 5 years	98	20.2
More than 5 years but less than 10 years	103	21.2

Item	No. of Responses	% of Responses
More than 10 years	155	31.9
<b>Subtotal</b>	<b>486</b>	<b>100.0</b>
Not specified	128	
Total respondents	614	

ADB = Asian Development Bank, ADBI = Asian Development Bank institute, BPMSD = Budget, Personnel, and Management Systems Department, COSO = Central Operations Services Office, CTL = Controller's Department, CWRD = Central and West Asia Department, DER = Department of External Relations, EARD = East Asia Department, ERD = Economics and Research Department, IED = Independent Evaluation Department, OAG = Office of the Auditor General, OAS = Office of the Administrative Services, OCO = Office of Cofinancing Operations, OCRP = Office of the Compliance Review Panel, OGC = Office of the General Counsel, OIST = Office of Information Systems and Technology, OPR = Office of the President, OREI = Office of Regional Economic Integration, ORM = Office of Risk Management, OSPF = Office of the Special Project Facilitator, PARD = Pacific Department, PSOD = Private Sector Operations Department, RSDD = Regional and Sustainable Development Department, SARD = South Asia Department, SEC = Office of the Secretary, SERD = Southeast Asia Department, SPD = Strategy and Policy Department, TD = Treasury Department, VP = Vice-President.

<sup>a</sup> Based on staff list in the ADB portal as of May 2011.

<sup>b</sup> Numbers are based on responses for those who made known their department

Source: Special evaluation study on managing for development results survey results.

6. Members of the APCoP who responded to the survey come from various regions with the most number from South Asia (39%) followed by Southeast Asia (32%). Other respondents are from other parts of Asia (20%) with a few from other parts of the world (Table A6.3). Majority (70%) of the respondent APCoP members are working for a public ministry or project while the rest are staff of a donor agency, a multilateral development bank (MDB), a research firm or an independent consultant. More than half (56%) are members of the APCoP for 2 to 5 years now but there are also a significant number (31%) who are relatively new in the association. As regards status of membership in the APCoP, about 39% cited they are active participants in online discussions and face-to-face events.

**Table A6.3: Profile of Asia-Pacific Community of Practice on Managing for Development Results Survey Respondents**

Item	No. of Responses	% of Responses
<b>Region/Country of APCoP- MfDR Member</b>		
Central and West Asia (Afghanistan, Armenia, Pakistan, Tajikistan, Uzbekistan)	11	16.9
East Asia (Republic of Korea)	1	1.5
The Pacific (Solomon Islands)	1	1.5
South Asia (Bangladesh, Bhutan, India, Nepal, Sri Lanka )	25	38.5
Southeast Asia (Cambodia, Lao PDR, Malaysia, Philippines, Thailand)	21	32.3
Others (Australia, Denmark, East and West Africa, Uganda, USA)	6	9.2
<b>Subtotal</b>	<b>65</b>	<b>100.0</b>
Not specified	13	
<b>Total respondents</b>	<b>78</b>	

Item	No. of Responses	% of Responses
<b>Agency/Department/Ministry</b>		
Government Ministry/Unit/Project	43	70.5
Economic and Planning	9	14.8
Education	8	13.1
Electric/Power, Water and Transport	6	9.8
Agriculture/Rural Development	3	4.9
Finance, Industry & Trade, and International Cooperation	11	18.0
Others (local government units, govt projects/programs)	6	9.8
MDB, Donor	9	14.8
Independent Consultants/Research Firms	9	14.8
<b>Subtotal</b>	<b>61</b>	<b>100.0</b>
Not specified	15	
<b>Total respondents</b>	<b>76</b>	
<b>Status of Membership in APCoP-MfDR</b>		
Active (participating in online discussions and face-to-face events)	24	38.7
Onlooker	38	61.3
<b>Subtotal</b>	<b>62</b>	<b>100.0</b>
Not specified	14	
<b>Total respondents</b>	<b>76</b>	
<b>No. of Years of Membership in APCoP-MfDR</b>		
Less than 2 years	16	30.8
2 years to 5 years	29	55.8
More than 5 years but less than 10 years	7	13.5
<b>Subtotal</b>	<b>52</b>	<b>100.0</b>
Not specified	24	
<b>Total respondents</b>	<b>76</b>	

APCoP = Asia Pacific Community of Practice, MDB = multilateral development bank, MfDR = managing for development results, no. = number, USA = United States of America.

Source: Special evaluation study on managing for development results survey results.

## B. ADB Staff Survey Results

### 1. Relevance

7. The majority ADB staff believe that the ADB's MfDR agenda is in general relevant (Table A6.4). In particular, 74% staff respondents agree with the statement that ADB's strategies and action plans are relevant to the economic and social development context and challenges across the Asia and Pacific region. Moreover, these strategies and action plans are perceived by the majority of the staff (62%) as in conformity with best practice.

**Table A6.4: Responses to Statements on the Relevance of ADB's Managing for Development Results Agenda**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB's MfDR strategies and action plans are relevant to the economic and social development context and challenges across the Asia-Pacific Region.	74.0	11.4	4.0	10.6	605
2. ADB's MfDR strategies and action plans conform to best practice.	62.2	19.0	3.7	15.2	600
3. ADB's procedures in formulating country program and strategies are aligned with MfDR.	61.2	19.3	4.0	15.4	596
4. ADB's procedures in formulating sector strategies are aligned with MfDR.	55.9	22.0	5.5	16.6	596
5. ADB's procedures in formulating project design are aligned with MfDR.	56.7	21.2	6.9	15.2	594
<b>Overall</b>	<b>62.1</b>	<b>18.6</b>	<b>4.8</b>	<b>14.6</b>	<b>598</b>

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on managing for development results survey results.

## 2. Senior Leadership Support

8. More than two-thirds (65%) of staff affirm that ADB management actively supports the MfDR agenda (Table A6.5). However, not that many staff (41%) agree that management provides adequate guidance with regard to the MfDR agenda. Comparing these with the ADB staff's responses during the 2007 MfDR evaluation survey, senior leadership support to the MfDR agenda appears to have improved. In the 2007 survey, only 33% of the ADB staff concurred with the statement that ADB management supports the MfDR Agenda in a tangible way compared with 65% in the current survey. Also, those who felt that they had adequate guidance from management on the MfDR agenda numbered only 26% in the 2007 survey compared with 41% in the current survey (Table A6.6).

**Table A6.5: Response to Statements on Senior Leadership Support to the Managing for Development Results Agenda**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB's Management actively supports the MfDR agenda in a tangible way.	65.4	18.3	5.5	10.8	595
2. There is adequate guidance for staff with regard to the MfDR agenda.	41.1	32.4	17.2	9.3	593
<b>Overall</b>	<b>53.3</b>	<b>25.3</b>	<b>11.4</b>	<b>10.0</b>	<b>594</b>

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

**Table A6.6: Response to Statements on Senior Leadership Support  
2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB's Management actively supports the MfDR agenda in a tangible way.					
2007	33	29	21	17	811
2011	65	18	6	11	595
2. There is adequate guidance for staff with regard to the MfDR agenda.					
2007	26	29	37	8	858
2011	41	32	17	9	593

ADB = Asian Development Bank, MfDR = managing for development results, No. = number, SES = special evaluation study.

Source: Special evaluation study on MfDR survey results.

### 3. Staff Skills and Training

9. A great majority of ADB staff confirm that they have a clear understanding of the results they have achieved in their work (78%) and that they have the knowledge and skills to be results oriented (83%). These findings are similar to the 2007 survey results, although an even greater majority of staff respondents agreed with the same statements in 2007 (Table A6.7).

**Table A6.7: Response to Statements on Staff Skills and Training on Managing for Development Results, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. I have a clear understanding of what results have to be achieved in my work.					
2007	85	9	6	1	862
2011	78	15	5	2	581
2. I have the knowledge and skills required to enable me to be results oriented in my work.					
2007	86	9	4	1	862
2011	83	11	3	2	576

ADB = Asian Development Bank, MfDR = managing for development results, No. = number, SES = special evaluation study.

Source: SES on MfDR survey results.

10. When asked if they have attended training on MfDR provided by ADB, only 29% responded in the affirmative. It can be noted that this proportion of staff trained on MfDR that came out from the 2011 survey is bigger than the proportion of staff who had received MfDR training by the 2007 survey period (Table A6.8). Moreover, in the 2011 survey, the majority (67%) of staff trained claim that the training they have attended has helped them better achieve results in their work. On the other hand, for the ADB staff who received training based on the 2007 survey, less than half (41%) did not seem to find their training useful in the achievement of results in the work that they do (Table A6.9).

**Table A6.8: Whether Staff Has Attended Managing for Development Results Training, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	2007		2011	
	No.	%	No.	%
Have you attended an ADB training course on MfDR?				
Yes	154	18	166	29
No	704	82	411	71
<b>Total responses</b>	<b>858</b>	<b>100</b>	<b>575</b>	<b>100</b>

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

**Table A6.9: Response to Statement on Training Attended, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
The MfDR training I attended has helped me to better achieve results in my work.					
2007	41	39	19	1	155
2011	67	25	7	1	175

MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

#### 4. Organizational Culture

11. Table A6.10 presents the responses of ADB staff on statements related to organizational culture that were asked in both 2007 and 2011 SES surveys. It can be noted that in both surveys, more than half (58% in 2007 and 59% in 2011) concurred that ADB is an effective learning organization. Similarly, more than half of the ADB staff (53% in 2007 and 60% in 2011), affirmed that they are held accountable for achieving results. With regards staff perception on whether ADB management is held accountable for achieving development results, half (52%) agreed, and this appears slightly better than in 2007 as fewer staff (45%) agreed with the same statement.

**Table A6.10: Response to Statements on Organizational Culture, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. In ADB, achieving development objectives is more important than achieving disbursement and lending targets.					
2007	29	23	38	11	904
2011	42	27	23	7	546
2. The culture in ADB supports the MfDR agenda.					
2007	29	27	35	9	866
2011	49	26	16	9	545
3. ADB is an effective learning organization.					
2007	58	15	25	2	958
2011	59	25	16	1	545



Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
4. Decision-making is effectively delegated in ADB.					
2007	35	21	41	4	927
2011	42	30	25	3	545
5. ADB management is held accountable for achieving development results.					
2007	45	18	28	9	882
2011	52	23	17	8	546
6. ADB staff are held accountable for achieving results.					
2007	53	20	23	4	882
2011	60	23	13	4	541
7. I have the authority to make decisions effectively.					
2007	26	30	39	5	892
2011	33	37	26	4	544
8. I am encouraged to innovate even if this means making mistakes sometimes.					
2007	49	18	30	3	927
2011	40	29	25	5	540

ADB = Asian Development Bank, MfDR = managing for development results, No. = number, SES = special evaluation study.

Source: Special evaluation study on MfDR results survey results.

## 5. Capacity and Resources

12. ADB's support and initiatives in strengthening the capacity of its staff and developing member countries (DMCs) on MfDR seem to be inadequate based on the perceptions of the ADB staff respondents. Not many staff (30%) agree with the statement that there has been sufficient and effective training for improving both technical and process skills of ADB staff to advance the MfDR agenda (Table A6.11). At the same time, only 33% of the staff perceives that the capacity development support provided by ADB to DMCs is adequate and has been effective.

**Table A6.11: Responses to Statements on Capacity and Resources**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB is willing to invest the resources required to support its MfDR agenda.	52.7	23.0	7.7	16.6	605
2. ADB has built its overall organizational capacity to mainstream MfDR.	46.2	26.9	11.4	15.5	600
3. ADB's support to DMCs in terms of strengthening their capacity in MfDR is adequate and has been effective.	33.1	28.8	14.9	23.2	596
4. Training efforts for improving both technical and process skills of ADB staff to advance the MfDR agenda are sufficient and has been effective.	30.0	33.0	18.7	18.3	596
<b>Overall</b>	<b>40.5</b>	<b>27.9</b>	<b>13.1</b>	<b>18.4</b>	<b>599</b>

ADB = Asian Development Bank, DMC = developing member country, MfDR = managing for development results, No. = number.

Source: Special evaluation study on MfDR survey results.

13. As regards resources, half of the staff (53%) seem to be under the impression that ADB is willing to invest the resources required to support its MfDR agenda. This result is not much different from what came out in the 2007 survey (Table A6.12). Meanwhile, a significant number of staff (46%) believes that ADB has built its organizational capacity to mainstream MfDR. Although this proportion is not significant, this is more than double the 20% of ADB staff who agreed to a similar statement in the 2007 survey.

**Table A6.12: Responses to Statements on Capacity and Resources, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB is willing to invest the resources required to support its MfDR agenda.					
2007	45	20	24	11	904
2011	53	23	8	17	605
2. ADB has built its overall organizational capacity to mainstream MfDR.					
2007 <sup>a</sup>	20	29	27	24	819
2011	46	27	11	16	600

ADB = Asian Development Bank, MfDR = managing for development results, No. = number, SES = special evaluation study.

<sup>a</sup> 2007 statement: ADB has built its overall organizational capacity and is now ready to mainstream MfDR.

Source: Independent Evaluation Department, based on SES on MfDR survey results.

## 6. Management Practices and Incentives

14. The ADB staff appear to be divided on their views on human resource systems and incentives and how these affect results in their work (Table A6.13). While there are more staff who conform (41%) than disagree (25%) with the statement that human resource systems motivate them to focus on results in their work, there are slightly fewer staff who agree (28%) than disagree (32%) that current incentives encourage staff to be results-oriented. In particular, the annual performance and development plan (PDP) is perceived by 38% of the staff as motivating them to focus on results in their work, whereas 31% think otherwise (Table A6.13).

**Table A6.13: Responses to Statements on Management Practices and Incentives**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. Human resource systems motivate staff to focus on results in their work.	41.4	30.7	24.9	3.0	531
2. The current incentives encourage staff to manage for development results.	27.5	36.2	31.5	4.7	530
3. The annual performance and development plan motivates staff to focus on results in their work.	37.8	28.9	30.6	2.6	532
<b>Overall</b>	<b>35.6</b>	<b>32.0</b>	<b>29.0</b>	<b>3.5</b>	<b>531</b>

Source: Independent Evaluation Department, based on special evaluation study on managing for development results survey results.

15. It can be noted from Table A6.14 that similar statements on management practices and incentives in the 2011 survey generated slightly different, more positive reaction from the staff in the 2007 survey. A bigger proportion of staff (46%) in 2007 concurred with the statement that human resource systems motivate staff to focus on results in their work. Likewise, a higher proportion of staff (54%) in 2007 agreed with the statement that current incentives encourage staff to manage for development results.

**Table A6.14: Responses to Statements on Management Practices and Incentives, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. Human resource systems motivate staff to focus on results in their work.					
2007	46	22	27	4	811
2011	41	31	25	3	531
2. The current incentives encourage staff to manage for development results.					
2007	54	25	14	7	801
2011	32	36	28	5	530

No. = number.

Source: Special evaluation study on managing for development results survey results.

## 7. Managing the Change

16. In managing the change process for MfDR, not many staff agree that ADB has a well articulated Action Plan (42%) and strategy and that the MfDR agenda is well coordinated across the organization (31%). These proportions of staff responding positively to how they perceived ADB has managed the change process for MfDR are bigger than to those in 2007 (Table A6.15). This could mean better appreciation by staff of the MfDR agenda and how it has been coordinated within ADB.

**Table A6.15: Responses to Statements on Managing the Change, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB has a well articulated Action Plan and strategy for managing the change process for MfDR.					
2007	23	34	21	23	779
2011	42	32	9	17	530
2. The implementation of the MfDR agenda is well coordinated across the organization.					
2007	17	30	35	19	819
2011	31	35	16	17	529

ADB = Asian Development Bank, MfDR = managing for development results, No. = number, SES = special evaluation study.

Source: Special evaluation study on managing for development results survey results.

## 8. Business Systems and Processes

17. Business systems and processes in support of the MfDR agenda are perceived by about 40% of staff as adequate (Table A6.16). In the 2007 survey, a smaller proportion of staff believed that ADB business processes (30%) and its performance information systems (26%) adequately support the MfDR agenda (Table A6.17).

**Table A6.16: Response to Statements on Business Systems and Processes**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB business processes adequately support the MfDR agenda.	44.2	28.7	11.5	15.7	523
2. ADB performance information systems adequately support the MfDR agenda.	36.5	31.1	14.6	17.9	521
3. Guidelines for the preparation of results frameworks at the country and sector levels are adequate and provide sufficient mechanisms for data collection, aggregation, and monitoring at various levels.	34.4	27.7	11.9	26.0	523
4. Guidelines for the preparation of design and monitoring frameworks (DMFs) at the project level are adequate and provide sufficient mechanisms for data collection, aggregation, and monitoring at various levels.	43.2	23.4	10.6	22.8	521
5. ADB's collective knowledge on risks, assumptions and lessons learned is well used in the development of project concept papers.	36.2	27.3	18.0	18.4	516
6. Project completion reports (PCRs) always inform our knowledge in respect of risks, assumptions and lessons.	35.9	27.9	17.1	19.2	516
<b>Overall</b>	<b>38.4</b>	<b>27.7</b>	<b>13.9</b>	<b>20.0</b>	<b>520</b>

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

**Table A6.17: Response to Statements on Business Systems and Processes, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB business processes adequately support the MfDR agenda.					
2007	30	29	24	16	833
2011	44	29	11	16	523
2. ADB performance information systems adequately support the MfDR agenda.					
2007	26	28	29	18	833
2011	36	31	15	18	521

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

## 9. Perceptions of Progress of MfDR in ADB

18. It is interesting to note that the majority (62%) of the ADB staff affirm that ADB is increasingly practicing results-based management throughout the organization (Table A6.18). This implies an improvement in the practice of results-based management in ADB over the 2007 survey when only 42% agreed with the statement. Moreover, an increased proportion of ADB staff agreed that ADB's MfDR agenda is clear to them (from 36% to 44%) and that ADB has made significant progress implementing the MfDR agenda (from 23% to 39%) (Table A6.19).

**Table A6.18: Response to Statements on Progress of Managing for Development Results in ADB**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB is increasingly practicing results-based management throughout the organization.	62.3	22.3	7.3	8.1	506
2. ADB's MfDR agenda is clear to me.	44.1	32.0	17.6	6.3	506
3. Over the past 3 years I feel the ADB has made significant progress implementing the MfDR agenda.	38.6	33.0	6.2	22.2	500
4. Managing for Development Results (MfDR) is a fad.	20.0	32.7	33.9	13.3	504
5. The DMCs adequately contribute to the development of the country partnership strategy results framework.	35.2	24.3	13.7	26.8	503
6. The DMC executing/implementing agencies adequately contribute to the development of the projects' design including the results specified in the DMF.	31.0	24.6	17.1	27.4	504
7. The DMC executing/implementing agencies collect performance data in accordance with projects' DMF.	23.3	31.1	15.9	29.7	502
8. The DMC executing/implementing agencies take timely and decisive actions to ensure project's desired outcomes.	23.4	33.7	15.1	27.8	504
9. ADB's initial gains in supporting DMCs to build capacity for MfDR can be sustained in the medium term.	35.3	28.9	7.6	28.3	502

ADB = Asian Development Bank, DMC = developing member country, DMF = design and monitoring framework, MfDR = managing for development results, No. = number, SES = special evaluation study.  
Source: Special evaluation study on MfDR survey results.

**Table A6.19: Response to Statements on Progress of Managing for Development Results in ADB, 2007 vs. 2011 Special Evaluation Study Surveys**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB is increasingly practicing results-based management throughout the organization.					
2007	42	27	17	14	779
2011	62	22	7	8	506
2. ADB's MfDR agenda is clear to me.					
2007 <sup>a</sup>	36	30	26	8	892
2011	44	32	18	6	506
3. Over the past 3 years I feel the ADB has made significant progress implementing the MfDR agenda.					
2007 <sup>b</sup>	23	36	21	20	801
2011	39	33	6	22	500
4. Managing for Development Results (MfDR) is a fad.					
2007	26	31	33	11	866
2011	20	33	34	13	504

ADB = Asian Development Bank, MfDR = managing for development results, No. = number, SES = special evaluation study

<sup>a</sup> 2007 statement: The ADB's Results Agenda is clear to me.

<sup>b</sup> 2007 statement: Over the past two years I feel the ADB has made good progress implementing the MfDR agenda.

Source: Special evaluation study on managing for development results survey results.

## 10. Value Addition

19. Based on responses of staff to the statements about possible value addition and benefits of implementing MfDR in ADB presented in Table A6.20, only a minority of ADB staff agree that the implementation of MfDR has added value to ADB operations in general and to their work in particular. For example, only 34% of ADB staff believe that projects are more successful as a result of ADB's implementation of MfDR, and only 37% feel that the adoption of MfDR has increased accountability at all levels in ADB.

**Table A6.20: Response to Statements on Value Addition of Managing for Development Results**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. Projects are more successful as a result of ADB's implementation of MfDR.	34.2	30.2	9.5	26.2	497
2. I am more aware of the critical success factors for projects as a result of my knowledge and application of MfDR principles.	39.2	32.7	9.1	19.0	495
3. The adoption of the MfDR agenda has rendered expectations more realistic.	40.1	31.6	8.5	19.8	494
4. The adoption of the MfDR agenda has rendered the identification of risks and assumptions more complete.	36.8	33.7	9.5	20.0	495

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
5. The adoption of the MfDR agenda has led to greater accountability in the ADB at all levels.	37.2	30.3	13.2	19.3	492

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

## 11. Factors for Successful Implementation of MfDR

20. Given seven factors known to be crucial for the successful implementation of MfDR, ADB staff were asked to rate the level of importance of each factor for ADB to further progress its implementation of MfDR, on a scale of 1 to 5 with 1 as “not important” and 5 as “very important.” These factors are (i) organizational culture that focuses on achieving results; (ii) staff with the necessary skills, receiving appropriate training; (iii) strong support from senior leadership; (iv) appropriate management of change process for introducing MfDR; (v) suitable business systems and processes in place; (vi) supportive staff management practices and incentives; and (vii) sufficient operational capacity and resources. “Strong support from senior leadership” came out as the most important with the highest average rating of 4.6 and the majority (68%) of staff considering it “very important.” The second highest ranking factor is “staff with the necessary skills, receiving appropriate training” with a 4.4 average rating and regarded as “very important” by more than half (56%) of the respondents. All four remaining factors are also considered “important” or “very important,” with average ratings between 4.1 and 4.4 (Table A6.21).

**Table A6.21: Ranking of Critical Factors for Successful Implementation of Managing for Development Results**

Factors	1-Not Important	2-Slightly Important	3-Somewhat Important	4-Important	5-Very Important	Rating Average	Total No.
	Percent (%) of responses						
1. An organizational culture that focuses on achieving results	0.6	3.8	5.9	37.9	51.8	4.36	494
2. Staff with the necessary skills, receiving appropriate training	1.0	2.4	4.2	36.4	56.0	4.44	495
3. Strong support from senior leadership	1.2	2.6	3.7	24.3	68.2	4.56	493
4. Appropriate management of change process for introducing MfDR	1.4	4.1	10.8	46.9	36.9	4.14	493
5. Suitable business systems and processes in place	1.0	3.0	5.7	48.8	41.5	4.27	492
6. Supportive staff management practices and incentives	1.6	3.0	6.3	35.1	54.0	4.37	493
7. Sufficient operational capacity and resources	0.8	2.8	5.9	40.4	50.0	4.36	492

MfDR = managing for development results.

Source: Special evaluation study on managing for development results survey results.

21. The current survey results on the ranking of critical factors for the successful implementation of MfDR are close to the staff's rating in the 2007 survey (Table A6.22). As in the 2007 survey, "senior leadership support" ranked as the most important factor and "staff skills and training" as second. "Management/human resource practices and incentives" ranked third in both surveys, while "organizational culture" that focuses on results ranked fourth.

**Table A6.22: Ranking of Critical Factors for Successful Implementation of Managing for Development Results**

Item	1-Not	2-Slightly	3-	4-	5-Very	Rating	Overall
	Important	Important	Somewhat	Important	Important		
Percent (%) of responses							
1. Organizational culture							
2007	0	1	8	34	58	4.52	3.5
2011	1	4	6	38	52	4.36	4.5
2. Staff skills and training							
2007	0	1	6	31	62	4.54	2
2011	1	2	4	36	56	4.44	2
3. Senior leadership support							
2007	0	1	3	23	74	4.73	1
2011	1	3	4	24	68	4.56	1
4. Managing the change							
2007	0	1	8	41	49	4.35	6
2011	1	4	11	47	37	4.14	7
5. Systems and processes							
2007	1	1	11	38	49	4.33	7
2011	1	3	6	49	41	4.27	6
6. Management/HR practices and incentives							
2007	1	1	7	27	64	4.52	3.5
2011	2	3	6	35	54	4.37	3
7. Capacity and resources							
2007	0	1	7	34	57	4.44	5
2011	1	3	6	40	50	4.36	4.5

<sup>a</sup> Rank: 1 to 7, 1 with the highest average rating.

Source: Special evaluation study on managing for development results survey results.

## 12. Suggestions to Improve MfDR Implementation

22. About 15% of staff respondents raised suggestions on how to improve ADB's implementation of MfDR, particularly in the following areas: (i) information dissemination and increasing awareness of staff, (ii) staff training, (iii) human resources (HR) practices including staff performance review and incentives system, (iv) business systems and procedures, and (v) support to DMCs. Specific recommendations are outlined below.

23. **Increasing awareness of staff and promotion of MfDR.** Staff suggestions intended to increase awareness of staff at all levels and promote MfDR across ADB are to (i) conduct more frequent and regular meetings to share information and remind staff of the importance of MfDR, discuss issues, and report on progress to know if expected results are achieved within the target period; (ii) include "introduction to MfDR" in the orientation/induction programs for new staff members; (iii) continue conduct of orientation or briefing sessions regarding the nature of MfDR for staff to better appreciate its use in achieving results; (iv) communicate to staff especially to non-operations staff how MfDR has made a difference in projects on the ground; (v) make attendance at least one MfDR training mandatory to all staff; (vi) adopt more intensive



information campaign and communication strategies to promote MfDR across ADB; and (vii) disseminate the concept widely and harmonize among all departments and units through better coordination.

24. **Staff training.** More intensive training for staff is proposed, mainly to promote MfDR across ADB and make it a way of life in the organization. In particular, it is suggested that staff be trained on various operational aspects of MfDR including how to apply MfDR principles in their daily work, and set project goals that are realistic and measurable. Some respondents also advised that training may be in the form of (i) workshops including focus group discussions on how to apply MfDR in staff's work; (ii) constant, short training course offerings; (iii) compulsory training so that staff will not have any excuse for not knowing how to align MfDR in their work; and (iv) training that includes more "real-life cases."

25. **Human resource practices including staff performance review and incentives system.** Recommended changes and improvements in HR practices aim for more transparent and capacity-based HR practices, and strengthening of MfDR culture among staff. Specific recommendations include (i) granting of promotions and accountability based on quality of work produced or projects administered instead of size of loans and meeting internal deadlines; (ii) filling of vacancies first from among staff within before considering external applicants to promote career progression and motivate them to excel; (iii) improved monitoring and consistent application of sanctions if expected "results" are not achieved; (iv) where applicable, each department should have a "utility staff" whose responsibility is to fill in for staff who are on leave/mission similar to having an "internal pool" to serve the particular needs of the department; (v) encourage staff to focus on MfDR rather than contract awards and disbursement, particularly in annual reviews; and (vi) investing more resources in staff development. Meanwhile, staff suggestions also hinted at several of changes involving senior management such as improving the "quality" of top management and changing senior management culture of "politics and whims."

26. With regard to improvements in the PDP exercise, there are propositions such as the following: (i) give heavier weight to project administration for project team leaders to take their roles more seriously; (ii) evaluate staff performance based on outcomes and results delivered; (iii) enhance accountability and reward systems for delivering results; (iv) "spread out" rewards on staff performance: for instance, a staff member who gets promoted during the year would no longer be eligible to be rated "E" in his/her PDP for that same year; and (v) allow staff to rate their supervisors in an objective manner to ensure fairness in the performance review process.

27. **Business systems and procedures.** Another important area perceived by some staff as requiring improvement is internal systems and procedures to reduce unnecessary redundancies and introduce realistic, appropriate, and results-oriented systems. Specific suggestions related to this are the following:

- (i) In order for projects to be timely and relevant, there is a need for realistic cost estimates, clear baselines and targets, and well thought out risks and assumptions (so that once a project becomes effective, work could start immediately and staff would not waste time preparing change in scope/costs).
- (ii) There is a need for a consistent and objective way to effect project success but at the same time not penalizing staff who have clearly implemented things well, although a project did not have the expected impacts due to unknown or outside factors that are impossible to identify at the implementation stage.

- (iii) Incorporate additional resources in strategy formulation, project design, and project appraisal for selecting appropriate indicators, and carrying out baseline studies to assess outcomes.
- (iv) Put in place an information and technology system that allows information on 'results' to be shared across units of the bank in real time, in ways that one unit can examine the results of another unit(s) and determine if those results are relevant to its ongoing work and vice versa.
- (v) Utilize rigorous screening, a monitoring and evaluation (M&E) framework, and systems like safeguards compliance.
- (vi) Refine the methodology for assessing sector results to evaluate development results by country.
- (vii) Put more emphasis on actual monitoring of results rather than just using them as a conceptual tool in project design. There should also be selective impact evaluation.
- (viii) Consider sustained and consistent policies and procedures across the organization in order to "override" the old culture; employ consistent implementation and practice of MfDR in all departments with the support of senior management.
- (ix) Manage workload and resource allocation (staff and budget) during the process of change, allowing short-term adjustments/realignment to achieve sustainable long-term benefits of MfDR.
- (x) Involve project officers (national staff) in decision making processes, DMF design, and project conceptualization.
- (xi) Sector directors and Project Administration Unit heads need to focus on and track project outcomes and outputs rather than inputs.
- (xii) Continuity of ADB project teams would build trust and better focus on results rather than immediate performance goals. Staff need to be given the time to focus more on quality rather than quantity.
- (xiii) Increase MfDR efforts for middle-income countries or ordinary capital resources countries rather than Asian Development Fund countries.

28. **Support to developing member countries.** Other suggestions raised by a number of staff respondents are with regard to ADB's support to DMCs to advance its MfDR agenda at the country level and strengthen DMC focus on results. Specific proposals include (i) strong engagement of executing agency and implementing agency staff in project identification, design, and implementation; (ii) get the DMC proponent involved in formulating the results framework, and have the executing agency/implementing agency staff define results rather than the ADB staff; (iii) provide funds in projects to support the MfDR requirements of the DMC; (iv) increase staff resources for DMC capacity development on MfDR; (v) provide systematic training for executing agency staff; and (vi) conduct an intensive information campaign to promote MfDR in DMCs.

### **C. APCoP-MfDR Members Survey Results**

29. Similar to the ADB staff survey, APCoP-MfDR members were asked to respond to statements that indicate their perceptions on the relevance, responsiveness, and value addition of ADB's MfDR agenda and support to DMCs. There are also statements with regard to the implementation of MfDR in developing countries and on the usefulness of the APCoP in advancing the MfDR agenda. Moreover, APCoP members were also asked to rate the critical factors for the successful implementation of MfDR and were invited to give suggestions to

improve ADB's support to DMCs. The combined responses of 77 APCoP-MfDR members or 18% of 435 members to whom the questionnaire was sent are presented in the ensuing discussions.

## 1. Relevance

30. Overall, most APCoP-MfDR members (81%) find ADB's MfDR Agenda relevant (Table A6.23). In particular, an overwhelming majority (95%) of respondents confirmed that the MfDR agenda of ADB is relevant to the economic and social development context and challenges across the Asia and Pacific region. Most of the respondents also agree that ADB's MfDR strategies and action plans conform to the development goals of developing countries (88%) and to international best practice (77%). Likewise, more than two-thirds of the respondents concur that the capacity development for MfDR provided by ADB to its DMCs is relevant to them (80%) and complementary to the capacity development assistance provided by other agencies (64%).

**Table A6.23: Response to Statements on the Relevance of ADB's Managing for Development Results Agenda**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. The MfDR agenda of the ADB is relevant to the economic and social development context and challenges across the Asia-Pacific Region.	94.8	1.3	3.9	0.0	77
2. ADB's MfDR strategies and action plans are relevant and conform to the development goals of developing countries.	88.3	5.2	5.2	1.3	77
3. ADB's MfDR strategies and action plans conform to international best practice.	76.6	16.9	2.6	3.9	77
4. The capacity building for MfDR provided by ADB to developing countries is relevant to them.	79.7	12.2	5.4	2.7	74
5. MfDR capacity building done by ADB in the developing countries is complementary to the capacity building assistance provided by other agencies.	63.6	27.3	3.9	5.2	77
<b>Overall</b>	<b>80.6</b>	<b>12.6</b>	<b>4.2</b>	<b>2.6</b>	<b>76</b>

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on managing for development results survey results.

## 2. Responsiveness of ADB Support

31. ADB's support to DMCs in terms of strengthening their capacity for MfDR seems to be generally responsive but quite inadequate (Table A6.24). More than half of the respondent APCoP members agree that the MfDR capacity developed in DMCs with ADB support is applied properly in developing country partnership strategies and in managing projects to achieve targeted outcomes. Moreover, the majority (61%) of respondents concur with the statement that ADB's initial gains in developing the capacity of developing countries for MfDR can be sustained in the medium term. Meanwhile, such ADB's support to DMCs aimed at strengthening their capacity to manage for development results is considered by half of the respondents as not adequate.

**Table A6.24: Response to Statements on Responsiveness of ADB Support to Developing Countries**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB provides adequate support to developing countries in terms of strengthening their capacity to manage for development results.	51.4	27.0	16.2	5.4	74
2. The MfDR capacity built in developing countries with ADB support is applied properly in developing country partnership strategies.	54.1	28.4	13.5	4.1	74
3. The MfDR capacity built in developing countries with the support of ADB is applied properly in managing projects to achieve targeted outcomes.	56.8	25.7	14.9	2.7	74
4. ADB's initial gains in building the capacity of developing countries for MfDR can be sustained in the medium-term.	60.8	31.1	5.4	2.7	74
<b>Overall</b>	<b>55.7</b>	<b>28.0</b>	<b>12.5</b>	<b>3.7</b>	<b>74</b>

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation Study on Managing for Development Results survey results.

### 3. MfDR in Developing Member Countries

32. Two of every three (66%) APCoP members indicated that there are champions and advocates promoting MfDR principles and practices within DMCs. However, there is still much to be done to institutionalize MfDR within these countries, as indicated by the responses to relevant statements (Table A6.25). For instance, although a minority, there are more who disagree (32%) than agree (27%) that “incentives offered at the developing country level are adequate to change their behaviors to apply MfDR principles and earnestly pursue project success and sustainability.” What seems lacking in DMCs, as borne out in the survey responses of APCoP members, is “sufficient data collection and monitoring systems to adequately manage project outcomes.”

**Table A6.25: Response to Statements on the Implementation of Managing for Development Results in Developing Countries**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. Within developing countries and executing agencies, there are champions and advocates promoting MfDR principles and practice.	66.2	19.7	14.1	0.0	71
2. Incentives offered at the developing country level are adequate to change their behaviours to apply MfDR principles and earnestly pursue project success and sustainability.	26.8	33.8	32.4	7.0	71
3. Developing countries have sufficient data collection and monitoring systems to adequately manage project outcomes.	26.8	25.4	47.9	0.0	71
4. MfDR principles and practices are now institutionalized within developing countries.	32.4	32.4	31.0	4.2	71

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

#### 4. MfDR and APCoP

33. For the majority (66%) of APCoP members, MfDR is the best management model to improve aid effectiveness when compared with other models such as output, outcome, or program-based funding. Most of them (81%) agree that “achieving sustainability of a project is an explicit part of MfDR.” As for the APCoP-MfDR, the majority of its respondent members affirm that the APCoP has been effective in raising awareness and knowledge of developing country stakeholders on MfDR. In addition, a large proportion of respondents (78%) indicated that “APCoP-MfDR has been effective in promoting the sharing of experiences and good practices on MfDR among developing country stakeholders” (Table A6.26).

**Table A6.26: Response to Statements on Managing for Development Results and Asia-Pacific Community of Practice**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. MfDR is the best management model to improve aid effectiveness when compared with other models such as output, outcome, or program-based funding.	65.7	27.1	4.3	2.9	70
2. Achieving sustainability of a project is an explicit part of MfDR.	81.4	10.0	8.6	0.0	70
3. APCoP-MfDR has been effective in raising awareness and knowledge of developing country stakeholders on MfDR.	77.5	18.3	2.8	1.4	71
4. APCoP-MfDR has been effective in promoting the sharing of experiences and good practices on MfDR among developing country stakeholders.	76.1	19.7	2.8	1.4	71

APCoP = Asia-Pacific Community of Practice, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

#### 5. Value Addition of MfDR in DMCs and ADB's Contribution

34. Perceptions of APCoP-MfDR members on the benefits or value addition of implementing MfDR to the DMCs are mixed (Table A6.27). At least half of the respondents believe that MfDR has strengthened the quality of project concept papers, country partnership strategies, and design and monitoring frameworks at the country, sector, and project levels. Only a minority (39%) of respondents think that projects of DMCs are more successful as a result of the capacity development on MfDR that countries received or that project sustainability has improved as a result of MfDR. The survey responses also indicate that DMCs have inadequate capacity, particularly in analyzing data, evaluating results, and completing causal analysis (Table A6.27).

**Table A6.27: Response to Statements on Managing for Development Results' Value Addition in Developing Member Countries**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. MfDR has strengthened quality assurance particularly the quality-at-entry of project concept papers and country partnership strategies.	54.2	27.8	8.3	9.7	72
2. Design and monitoring frameworks (DMFs) at the country, sector, and project levels are of high quality because of MfDR	50.0	33.3	11.1	5.6	72
3. Developing countries have adequate capacity to analyze data, evaluate results and complete causal analysis as a result of their mainstreaming of MfDR	25.0	34.7	37.5	2.8	72
4. Projects in developing countries are more successful as a result of capacity building on MfDR	38.9	38.9	18.1	4.2	72
5. Project sustainability has improved as a result of MfDR	38.9	38.9	16.7	5.6	72
<b>Overall</b>	<b>41.4</b>	<b>34.7</b>	<b>18.3</b>	<b>5.6</b>	<b>72</b>

MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

35. While many APCoP members do not perceive MfDR in general has added value to DMC capacity in data analysis as well as project success and sustainability in the DMCs, the majority (at least 63%) of them seem to believe that ADB has so far contributed to development results, knowledge exchange, and institutionalizing MfDR in public management in DMCs (Table A6.28). Moreover, many of the respondent APCoP members (60%) agree that ADB's implementation of MfDR has enhanced global partnerships.

**Table A6.28: Response to Statements on ADB's Managing for Development Results Contribution to Developing Member Countries**

Item	Agree	Neutral	Disagree	Don't Know	Total No.
	Percent (%) of responses				
1. ADB has enhanced development results among developing countries.	67.6	22.5	4.2	5.6	71
2. ADB's implementation of MfDR has enhanced learning and knowledge exchange among stakeholders in developing countries.	68.1	19.4	8.3	4.2	72
3. ADB has contributed to institutionalizing MfDR in public management in developing countries.	63.4	21.1	8.5	7.0	71
4. ADB's implementation of MfDR has enhanced global partnerships.	59.7	23.6	6.9	9.7	72

ADB = Asian Development Bank, MfDR = managing for development results, No. = number.  
Source: Special evaluation study on MfDR survey results.

## 6. Factors for Successful Implementation of MfDR

36. The APCoP members were also asked to rate the level of importance of each of the seven critical factors known to be key to successful implementation of MfDR, and their consolidated responses are presented in Table A6.29. Just as in the ADB staff survey, the majority (73%) of APCoP members rated “strong support from the senior leadership” as “very important,” and it came out as the most important factor among the seven critical factors. This is followed by “appropriate management of change process for introducing MfDR” and “staff with the necessary skills, receiving appropriate training,” with half of the respondents indicating that each is considered “very important.”

**Table A6.29: Ranking of Critical Factors for Successful Implementation of Managing for Development Results**

Factors	1-Not	2-Slightly	3-	4-	5-Very	Rating	Rank
	Important	Important	Somewhat Important	Important	Important		
			3-Somewhat Important				
			% of responses			Average	
1. An organizational culture that focuses on achieving results	2.8	4.2	5.6	29.6	57.7	4.35	4
2. Staff with the necessary skills, receiving appropriate training	1.4	1.4	4.2	42.3	50.7	4.39	3
3. Strong support from the senior leadership	1.4	1.4	1.4	22.5	73.2	4.65	1
4. Appropriate management of change process for introducing MfDR	2.9	0.0	5.7	37.1	54.3	4.40	2
5. Suitable business systems and processes in place	2.8	1.4	22.5	53.5	19.7	3.86	7
6. Supportive staff management practices and incentives	1.4	0.0	9.9	54.9	33.8	4.20	5
7. Sufficient operational capacity and resources	1.5	5.9	8.8	44.1	39.7	4.15	6

MfDR = managing for development results.  
Source: Special evaluation study on MfDR survey results.

## 7. Suggestions to Improve ADB’s MFDR Support to Developing Countries

37. Below are the suggestions raised by at least 41 respondents in order for ADB to improve its support with regard to enhancing global partnerships, introducing and institutionalizing MfDR in public management in developing countries, and promoting learning and knowledge exchange. The proposals cover the following areas: (i) scope and focus of ADB support, (ii) data collection and analysis, (iii) platform and institutional arrangement for knowledge exchange, (iv) partnership and harmonization with other MDBs, (v) APCoP-MfDR, and (vi) awareness and capacity development.

38. **Scope and focus of ADB support.** A number of APCoP members hinted at priority areas and focus of ADB support to advance its MfDR agenda in the DMCs. Specific suggestions are to (i) introduce MfDR to all public institutions and down to the lowest operational level; (ii) incorporate MfDR in operational programs, key sector assistance programs, and technical assistance (TA) support; (iii) direct MfDR support to the country’s finance and planning ministries; (iv) standardize design of programs and projects for ADB funding; (v) make MfDR a precondition for eligibility to access ADB support; (vi) make MfDR mandatory in designing and in

M&E of ADB-assisted projects/programs; (vii) support projects of other aid agencies such as the Canadian International Development Agency (CIDA), International Fund for Agricultural Development (IFAD), etc; (viii) provide TA to apply best MfDR practices in implementing projects; (ix) incorporate the application of MfDR into local executive agencies' agenda as a prerequisite for effective project implementation; (x) focus on government agency staff living standards/incentives of each country to motivate staff to be honest and energetic toward their jobs; (xi) increase support in the area of transparency and accountability as a source of incentives for demand-driven institutionalization of MfDR in public management; and (xii) manage the change process in a sustainable manner to inject a favorable organizational culture for results orientation by way of developing a long and medium term strategy and action plan for each DMC for institutionalizing MfDR.

**39. Data collection and analysis.** One respondent commented that regular and accurate data collection to show the real status of projects/programs is essential for M&E of project impacts. Another important requirement cited by an APCoP member is to ensure that cross-sector analysis occurs routinely (e.g., at local levels, increase in incidence of waterborne disease with respect to location and problems identified in water supply/sewerage systems, etc.). Suggested approaches for better M&E include (i) local evaluation of projects by beneficiaries and partners against MfDR criteria; (ii) institutionalization of MfDR within the public sector by ADB itself visiting the institutions and monitoring them; and (iii) conduct of annual conferences to develop personal contacts and provide feedback from stakeholders. Moreover one respondent noted that one of the tests for the success of MfDR would be to evaluate how project-level data collection and analysis are complementing (rather than overlapping) national data requirements without increasing the “data-collection” and managing responsibilities and burden at the local levels. He/she further noted that this is the only way to ensure the sustainability of systems introduced for data collection and analysis.

**40. Platform and institutional arrangements for knowledge exchange.** There is a proposal from APCoP members for a more organized and practical knowledge exchange platform that should be provided with sufficient resources. One arrangement suggested is the establishment of focal points in each country. Another is the establishment of a community of practice consisting of government members. It is also suggested that ADB work with other similar organizations in sharing knowledge and exchange of knowledge products and services.

**41. Partnership and coordination with other MDBs.** In promoting MfDR learning and knowledge, it was suggested that ADB enhance partnership and coordination with other MDBs. Specific suggestions are as follows:

- (i) ADB should continue to work with the Organisation for Economic Cooperation and Development- Developing Assistance Committee and other MDBs in sharing MfDR experiences and practices. In particular the Results Management Unit is proposed to play a more pro-active role in sharing MfDR experience and practices by linking up with regional and global partners. Where appropriate and justified, ADB can also consider forming strategic and other partnerships. It was further suggested that the Results Management Unit and the Regional and Sustainable Development Department work more closely with regional directors to ensure government buy-in and demand for MfDR among DMCs.
- (ii) Implement the “partnership principle” for each sector and in compliance with the Paris Declaration, wherein the planning, implementation, and review of priority sectors should be country owned and led. Capacity development is the responsibility of developing countries, with aid agencies playing a supportive role, and technical cooperation is one means to develop capacity.



- (iii) ADB projects can be connected with other externally supported projects/programs as in pooled funding arrangements.
- (iv) ADB is urged to build stronger partnerships with government and nongovernment institutions. ADB cannot do this alone. There should "ownership" of the program for everyone to take responsibility.

42. **Use of APCOP-MfDR experts.** In promoting MfDR in developing member countries, it is proposed that those who possess competence in ADB's agenda be engaged, particularly in the process of project designing. Experts suggested include (i) alumni of the APCoP-MfDR as trainers of trainers to promote MfDR, and (ii) trained experts as agents of change in their host countries by involving them in designing ADB projects. It was also noted by a respondent that, "ADB is providing support in introducing and institutionalizing MfDR in public management of developing countries. This effort should continue, so that it does not seem as a one-time project. However, consultants employed for the purpose should be competent than trainees/beneficiaries."

43. **Awareness and capacity development.** This involves increased ADB support for enhancing the capacity of DMCs and building awareness among stakeholders and the general public regarding MfDR. Proposed ways to build awareness and country capacity in MfDR include (i) short training courses for government staff on MfDR, and annual review meetings to share best practices and strengthening; (ii) more frequent exchange of views through training, workshops and targeting public policies for mainstreaming MfDR; (iii) training programs and symposiums for government officials in order to gain senior government bodies' support; (iv) ADB can invite a country that has been successful in implementing MfDR (may be a developed country) to discuss and share strategies on how to develop the best way; (v) sufficient learning materials to be deployed and cross-country experience sharing program need to be introduced; (vi) ADB should organize training/workshops in as many countries as possible, where it is open widely for those who are willing to participate and learn about MfDR; (vii) MfDR can also be partially applied in university/college curricula; and (viii) orientation about MfDR should be from policy to the grassroots level.

**PROGRESS ON ACTION PLAN ON MANAGING FOR DEVELOPMENT RESULTS, 2009–2011**  
(as of 31 May 2011)

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
<b>A. Improved support for DMC Capacity on Managing for Development Results</b>		
<p>A1. ADB support for country capacity development on MfDR better targeted, coordinated, and more effectively delivered</p>	<p>Target A1.1: Increase in the number of developing member countries (DMCs) with monitorable results frameworks from 2006 (Indicator 11 of Paris Declaration) Status: 2 (Bangladesh and Lao PDR) of 7 DMCs included in the 2008 Paris Declaration Survey<sup>a</sup> showed improvement in the quality of their country-layer results-based frameworks</p> <p>Target A1.2: At least 75% of MfDR TA operations rated satisfactory in TCRs Status: 10 TCRs of MfDR-related TA operations were issued in 2009–2010, of which 5 (50%) were rated successful</p> <p>Target A1.3: DMCs applying the knowledge gained from APCoP (at least 80%) Status: APCoP's 700 members come from 38 DMCs. Of these DMCs, 29 (76%) have APCoP members participating in face-to-face initiatives such as meetings, workshops and training programs, with 18 of them having participated in at least 5 key events since 2006. Three DMCs are piloting MfDR approaches in various sectors.</p>	<p>Target: A more strategic, coordinated approach to capacity development in DMCs designed (2010) and implemented (2010–2011), and adequate financial resources available to sustain ADB's MfDR capacity building program in DMCs</p> <p>Status:</p> <ol style="list-style-type: none"> <li>1. Framework for results-based public sector management (PSM) developed (2010) and validated by academe and PSM practitioners in DMCs, including the objectives, key features, key PSM components, and their core results attributes, and approach to capacity development</li> <li>2. ADB support for results-based PSM in pilot DMCs using the framework and supported under country programs (2010): <ul style="list-style-type: none"> <li>• Bangladesh: national- and sector layer monitoring and evaluation</li> <li>• Bhutan: results-based approaches in Bhutan's Transport 2040 Integrated Strategic Vision</li> <li>• Cambodia: results-based monitoring and evaluation (M&amp;E) in three rural development ministries (agriculture, fisheries and forestry; rural development; and water resources and meteorology)</li> </ul> <p>106 members from pilot countries have participated in training programs on results-based PSM in 2010–2011.</p> </li> <li>3. Additional funding of \$1.55 million for APCoP operations approved in 2010–2011.<sup>b</sup> ADB application for funding of \$500,000 from the Korea e-Asia and Knowledge Partnership Fund under review.</li> <li>4. The five completed TA projects rated <i>highly successful</i> or <i>successful</i> supported MfDR capacity development in planning (Samoa and Viet Nam), M&amp;E (Kyrgyz Republic and Viet Nam), and project design and management (regional). The other 5 rated <i>partly successful</i> supported capacity in planning (Nepal), M&amp;E (Bangladesh, Pakistan, and Tajikistan), and budgeting (Tonga).</li> </ol>

<sup>a</sup> Eleven DMCs were included in the 2008 Paris Declaration Survey, of which 4 did not have sufficient data for assessment.

<sup>b</sup> ADB approved the RETA, *Asia-Pacific Community of Practice on Managing for Development Results (APCoP)—From Concept to Practice*, amounting to \$520,000 in 2010. This amount was augmented by \$1,031,500 from the Japan Fund for Poverty Reduction and MfDR Cooperation Fund in April 2011, bringing the total RETA amount to \$1,551,500.

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
		<p>Target: Asia-Pacific CoP on MfDR (APCoP) operations reviewed and the recommendations implemented (2010)</p> <p>Status:</p> <ol style="list-style-type: none"> <li>1. APCoP operations reviewed<sup>c</sup> and findings incorporated into a new regional technical assistance (RETA) which was approved in 2010.<sup>d</sup></li> <li>2. APCoP operations aim to increase application of MfDR by its members in their country contexts by delivering key outputs: (i) knowledge products on MfDR created and disseminated, (ii) increased MfDR capacity of APCoP members, (iii) expanded APCoP membership, and (iv) country-layer capacity development plans for MfDR approaches in PSM.</li> <li>3. APCoP's membership grew from 26 members from 11 DMCs in 2006 to over 700 members from 38 DMCs in 2011. A total of 330 officials from 28 DMCs trained in results-based budgeting, MfDR in the education and transport sectors, and results-based monitoring and evaluation.</li> </ol>
<b>B. Increased ADB Results Orientation in Managing Operations and Organization</b>		
<p>B1. Improved results orientation in designing, monitoring, and evaluating CPSs and country programs</p>	<p>Target B1.1: Overall quality-at-entry (QAE) rating of CPS results framework and performance indicators (<i>improvement from 2008 QAE rating</i>)</p> <p>Status: QAE of CPSs rated <i>satisfactory</i> was 100% in 2010, compared with 33% in 2006 (the baseline) and 75% in 2008, and has exceeded the 2012 ADB target of 80% The average score for country results frameworks—one of the 7 criteria for assessing QAE of CPSs in 2010—was 2.95 (out of a maximum 4.0 score, with 3.0 equivalent to <i>satisfactory</i>), showing an improvement from 2.6 in 2008 and 2.0 in 2006. However, the 2010 QAE suggested the need for well-defined and better quality performance indicators with baselines and quantitative targets.</p> <p>Target B1.2: % of CPSs for which a results monitoring plan has been prepared during processing (<i>100% of CPSs endorsed</i>)</p> <p>Status: Based on the 2010 QAE, only some of the 11 CPSs approved in 2008–2009 clearly described monitoring actions for the results frameworks.</p>	<p>Target: Improved approaches and tools for country results monitoring, evaluation, and management. Possible changes to CPS processes, formats, guidelines, and relevant project administration instructions (QI 2010)</p> <p>Status: Refined guidelines on country and sector results frameworks issued in QI 2010 to support the 2010 streamlined CPS business processes to better align these with the objectives of DMCs and Strategy 2020 and to improve results planning, monitoring, and reporting</p> <p>Target: Selected output indicators in the ADB Results Framework systematically integrated in country and sector results monitoring (QIV 2009 guidelines issued)</p> <p>Status: Guidelines issued in QI 2010 on the capture and recording in eOperations of core sector indicators under level 2 of ADB's Results Framework, from RRP. The refined guidelines on country and sector results frameworks provide standard formats and guidance to improve monitoring of country and sector results including output indicators from the ADB Results Framework.</p>

<sup>c</sup> The review covered APCoP operations supported under the RETA: ADB. 2006. *Technical Assistance Report: Community of Practice on Managing for Development Results – Phase II*. Manila.

<sup>d</sup> ADB. 2010. *Technical Assistance Report: Asia-Pacific Community of Practice on Managing for Development Results (APCoP)—From Concept to Practice*. Manila.

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
	<p>Target B1.3: % of CPRMs that report progress on country results (<i>100% of CPRMs conducted</i>)            Status: The revised Project Administration Instruction (PAI) 6.02, approved in June 2010, expanded the scope of CPRMs to include country- and sector- layer outcomes and outputs monitoring. SPRU plans to conduct a survey among RDs by the 4th quarter of 2011 to determine whether CPRMs conducted in 2010 and 2011 complied with the new PAI. It is unlikely, however, that the 100% target will be reached within the first year of PAI implementation, given the complexity of the tasks.</p> <p>Target B1.4: No. of new country briefs completed (<i>increase from 2 prototypes</i>)            Status: 19 country briefs (including 2 prototypes) using the improved format have been published to date, and 9 more will be completed by end-2011.</p>	<p>Target: Country development effectiveness briefs (country briefs) guidelines and prototypes completed (QIV 2009); country briefs prepared for selected DMCs and disseminated (starting 2010)            Status: Following completion of the country brief guidelines and two prototypes in 2009, 19 country briefs prepared and disseminated to ADB's stakeholders. Resident missions (RMs) increasingly used the brief as a tool for communicating ADB's development contributions at the country layer. Central Asia Regional Economic Cooperation (CAREC) results framework launched in 2009. Development effectiveness review of CAREC prepared in 2010.</p> <p>Target: Actions to improve staff incentives at field level for CPS M&amp;E reviewed (QIV 2009)            Status: Staff training (including RM staff) on CPS M&amp;E implemented (2010); additional national officer positions at RMs allocated for CPS M&amp;E (2010)</p>
B2. Improved results focus in project design, implementation, monitoring and evaluation	<p>Target B2.1: QAE rating of DMFs of projects and TA projects (improvement from 2008 QAE rating)            Status: The average rating for the criterion on development outcomes and impacts, based on which the DMFs were rated, improved from 2.80 in 2006, to 2.83 in 2008, and to 2.89 in 2010 (out of a maximum 4.0 score, with 3.0 equivalent to <i>satisfactory</i>). However, the modest improvement in the rating underscores the need for continued attention to the quality of DMFs.</p> <p>Target B2.2: % of PCRs and TCRs rated satisfactory (<i>improvement from average level in 2006–2008</i>)            Status:</p> <ul style="list-style-type: none"> <li>• 66% (2008–2010 average) of completed sovereign operations rated successful, slightly better than 63% in 2009 (2007–2009 average) but lower than 68% in 2008 (2006–2008 average) and the baseline of 72% (2004–2006 average)</li> <li>• 80% of completed nonsovereign operations rated <i>successful</i> in 2010 (2008–2010 average)</li> <li>• 75% of completed TA operations rated <i>successful</i> in 2010 (2008–2010 average), lower than the 2006–2008 average of 78% and has been declining since</li> </ul>	<p>Target: Improved project quality assurance mechanisms within operations departments. Good practices and a checklist on QAE of projects recommended by Project Performance Management System (PPMS) working group for adoption by departments (2009)            Status:</p> <ol style="list-style-type: none"> <li>1. Assessment of the technical quality of DMFs in 337 projects (including 145 TA operations) approved in 2009 undertaken by COSO, to establish a baseline for succeeding assessments. The PPMS working group developed the assessment criteria in 2009.</li> <li>2. ADB undertaking initiatives to improve project performance including implementation of the recommendations by the project implementation working group established in 2010.<sup>e</sup></li> </ol> <p>Target: Increased number of ADB and executing agency staff trained on project implementation planning. At least 85% of staff in RDs, PSOD, and RMs trained to develop sound and monitorable DMFs and to monitor project implementation. (2009, 2010, 2011)            Status: COSO conducted the following training:</p> <ol style="list-style-type: none"> <li>1. in-house training for staff on basic principles of DMF, its importance in project implementation and quality assurance,</li> </ol>

<sup>e</sup> Updated status of recommendations available at SPD intranet site.

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
	<p>2007 (2005–2007 average)</p>	<p>and held DMF clinics for staff in 2009 and 2010. A total of 318 staff participated in these programs.</p> <p>2. training for executing agencies (EAs) and facilitators on results-focused project design and management in 2009 and 2010. About 200 staff of EAs participated in these programs.</p> <p>Target: Guidelines issued on the alignment of project DMF with the ADB corporate results framework (selected sector output indicators) (QIV 2009)  Status: Guidelines issued in QI 2010 on the capture and recording in eOperations of core sector indicators under level 2 of ADB's Results Framework, from RRP.</p> <p>Target: P3M project becomes operational (QIV 2009)  Status: ADB's new E-Operations system for processing and implementing sovereign operations rolled out in 2010. The modules for processing and implementing nonsovereign operations, and financial systems are currently being developed. Under the new system, the DMF is closely integrated with the performance report to improve M&amp;E. Peer review and approval are accomplished online to facilitate the process.</p>
<p>B3. Institutionalized results-based management in ADB</p>	<p>Target B3.1: Staff perception ratings on leadership, change management, and human resource practices (<i>improvement from results of IED 2007 survey</i>)  Status: TBD (IED 2011 survey results)</p> <p>Target B3.2: DEfR findings used as inputs to Work Program and Budget Framework (WPBF) starting in 2009 (<i>clear linkages based on qualitative assessment</i>)  Status: The President's Annual Planning Directions issued in 2009, 2010, and 2011, and the WPBF 2010–2012, and 2011–2013, responded to the DEfR findings.</p>	<p>Target: ADB management and senior staff regularly monitor and evaluate results performance and decide on actions (continuous)  Status: Using the corporate results framework adopted in 2008, ADB has completed 4 annual development effectiveness review (DEfR) reports for 2007 to 2010. In response to the DEfR findings, ADB management has initiated measures and expedited ongoing actions to correct performance weaknesses and improve performance. The first development effectiveness report for private sector operations prepared in 2010.</p> <p>Target: Results dashboard developed and accessible to management and staff, and maintained (QIII 2009 dashboard launched) (Continuous: dashboard maintained)  Status: The results dashboard was launched in 2009 and is being updated regularly. It presents performance on ADB results framework indicators at the country and department levels.</p> <p>Target: DEfR findings and actions reflected in ADB WPBF (every year)  Status: DEfR findings are fully reflected in the President's planning directions and WPBF starting 2010 (2009 DEfR).</p> <p>Target: Staff performance metrics aligned with the corporate</p>

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
		<p>results framework (QIV 2009)            Status: All departments and offices prepared annual results-based work plans in 2011, providing the basis for staff work plans. This responds to the need to cascade corporate priorities to work plans at the department/office, division/unit, and staff levels.</p> <p>Target: ADB corporate results management system refined continuously, based on experience and good practices (continuous)            Status: The corporate results framework refined in January 2011, learning from lessons gained in the application of the framework in the DEfRs for 2007 to 2009, and applied to the 2010 DEfR. An improved scorecard methodology for assessing progress towards 2012 targets also applied to the 2010 DEfR. Performance measurement also expanded over time to cover ADF-only countries, countries in fragile and conflict-affected situations, and sector and thematic results and program outcomes.</p> <p>Target: The system and its effectiveness independently reviewed by IED (2011)            Status: IED initiated its evaluation of ADB's achievements on MfDR in 2011.</p>
B4. Improved awareness and increased staff skills on MfDR	<p>Target B4.1: Staff perception ratings on awareness on MfDR (improvement from results of IED 2007 survey)            Status: TBD (IED 2011 survey results)</p> <p>Target B4.2: Post-training feedback from BPHR (satisfactory or better)            Status: 89% of participants rated the MfDR training programs <i>satisfactory</i> or better</p>	<p>Target: Communication plan for MfDR developed and implemented (QIV 2009 plan developed); (2010–2011 plan implemented)            Status: The internal communication plan designed and implemented since 2010 to enable more systematic dissemination and exchange of messages on ADB's MfDR agenda within and outside ADB.</p> <p>Target: MfDR curriculum updated (continuous)            Status: MfDR Learning and Development Program upgraded and implemented since 2010. A total of 13 MfDR courses/briefings conducted from 2010 to 2011, participated in by 482 staff:</p> <ol style="list-style-type: none"> <li>1. MfDR for Directors, held twice with 27 participants;</li> <li>2. MfDR Overview for Staff, 4 times, 191 participants;</li> <li>3. MfDR for OAS, 3 sessions, 150 staff;</li> <li>4. Results-based CPS and Sector Assessments, 2 times, 63 participants, and</li> <li>5. Results-based Country Portfolio Review and Country Operations Business Plan, 2 times, 51 participants</li> </ol>

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
<b>C. Effective Partnerships in Global and Regional Forums on MfDR</b>		
<p>C1. Sustained ADB collaboration with development partners for MfDR knowledge sharing</p>	<p>Target: Contributions by ADB and APCoP members consistently reflected in global and regional initiatives (<i>based on qualitative assessment</i>)</p> <p>Status: ADB's support to APCoP replicated by the World Bank and the Inter-American Development Bank in their support for regional African and Latin American CoPs. APCoP formed knowledge sharing partnerships with Centers of Excellence on results-based PSM in 5 DMCs (People's Republic of China, Korea, Malaysia, Singapore, and Sri Lanka).</p>	<p>Target: ADB and Asian CoP-MfDR members participate in regional and global partnership initiatives (continuous)</p> <p>Status: ADB and APCoP members participated in the following regional and global partnership initiatives:</p> <ol style="list-style-type: none"> <li>1. Singapore training on MfDR (75 APCoP members and 11 ADB staff; 2 participants from development partners, regional CoPs and other countries)</li> <li>2. SHIPDET training (66 APCoP members and 15 ADB staff; 5 participants from development partners, regional CoPs and other countries)</li> <li>3. APCoP Annual Meetings, 2006 to 2010 (189 APCoP members and 61 ADB staff; 21 participants from development partners, other regional CoPs and other countries)</li> <li>4. Visit of APCoP Coordinating Committee (CC) Chairman Koshy Thomas of Malaysia to Kazakhstan in April 2011, at ADB's invitation, to share Malaysian experience on results-based planning and budgeting with Kazakhstan. Visit of APCoP CC Member Tuon Thavrak, from Cambodia's Ministry of Planning to the Philippines in March 2011 for a study tour on ODA projects monitoring.</li> </ol> <p>Target: Contribution to OECD-DAC Cluster E on MfDR and MDB Working Group on MfDR, including contribution to COMPAS (continuous)</p> <p>Status:</p> <ol style="list-style-type: none"> <li>1. Active ADB participation in the Multilateral Development Banks' Working Group on MfDR to promote knowledge sharing on results management; and contribution to the preparation of the Common Performance Assessment System (COMPAS) report for 2009 and 2010.</li> <li>2. Regular ADB and APCoP member participation in the meetings of OECD-DAC's Global Partnerships on MfDR. ADB led the preparation of MDB proposals for the Fourth High-Level Forum on Aid Effectiveness to be held in Busan, Republic of Korea in November 2011. As part of its contributions to the Forum, ADB will present a framework and case studies on results-based PSM in collaboration with APCoP and other regional CoPs on MfDR.</li> </ol> <p>Target: MfDR publications produced and/or posted on the web (at least 15 per year)</p> <p>Status: ADB produced and/or posted at least 15 documents per year on the MfDR website. These include the DEfR reports and</p>

KRA and Outcome	Outcome Indicator (Target and Status)	Outputs (Target and Status)
		brochures for 2008, 2009 and 2010 (6 publications), development effectiveness country briefs (19 publications), and reports about the ADB results framework and MfDR action plan (6 publications). ADB is revamping its MfDR website and intranet to respond to user feedback and as part of the ongoing redesign of ADB's website.

ADB = Asian Development Bank, APCoP = Asia-Pacific Community of Practice, BPHR = Human Resources Division, CAREC = Central Asia Regional Economic, CC = Climate Change Program Coordination Unit, CoP = Community of Practice, CPS = country partnership strategy, CPRM = country portfolio review mission, COSO = Central Operation Services Office, DAC = development assistance committee, DEfR = development effectiveness report, DMC = developing member country, DMF = design and monitoring framework, EA = executing agency, IEA = International Energy Agency, MDB = multilateral development bank, MfDR = managing for development result, M&E = monitoring and evaluation, ODA = official development assistance, OAS = Office of Administrative Services, PCR = project completion report, PAI = project administration instruction, PPMS = project performance management system, PSOD = Private Sector Cooperation, Operation Department, QAE = quality-at-entry, RETA = regional technical assistance, RM = resident mission, RRP = report and recommendation of the president, SPRU = Result Management Unit, SPD = Strategy and Policy Department, TA = technical assistance, WPBF = work program and budget framework.

Source: SPRU staff estimates.



## CORPORATE-LAYER INDICATORS FOR POSSIBLE INCLUSION IN THE CORPORATE RESULTS FRAMEWORK

1. This Appendix presents a number of possible indicators proposed for inclusion into the corporate results framework. The objective of introducing new indicators is to have a more complete and holistic view of corporate results achievement across the broad spectrum of Asian Development Bank's (ADB) activities. Some indicators currently in the results framework that are considered less useful are also proposed to be dropped. It is recognized that the number of indicators should be kept at a manageable level in line with international best practice. The suggested indicators are categorized into three classes as follows: (i) leading indicators that could inform near-term decision-making, (ii) leading indicators to better track sustainability of ADB initiatives, and (iii) more benchmark indicators that would allow an external view of how ADB has progressed in a sector/thematic area. These are identified below with the reasons for suggesting these indicators, including their relevance to corporate priorities and to the extent feasible the definition and availability of baseline data. All these however would require further consultation and study.

### A. Leading Indicators for Decision-Making

2. New leading or process indicators are proposed to give management a clearer picture of current state of results and in particular to make the Development Effectiveness Review report more effective as a corporate management tool. Suggested leading indicators to inform near-term management decision-making are presented in Table A8.1.

**Table A8.1: Leading Indicators for Decision-Making for Possible Inclusion in the Results Framework**

RF Level/Indicator	Justification/Relevance	Definition and Availability of Baseline Data
<b>Level 1: Asia and Pacific development outcomes</b>		
Forest cover maintained or increased	To replace carbon dioxide emissions indicator (no internationally agreed target has been set for this controversial indicator)	Percentage of land within a specific area covered by forests; data available
Increase in volume of trade in Asia and Pacific	As a general indicator of trade/regional cooperation and integration	Total volume of exports and imports in the region; Data available (Current sources such as the International Monetary Fund, Direction of Trade Statistics [DOTS], CEIC Data Company Ltd.)
Indicators which may be dropped:		
<ul style="list-style-type: none"> <li>• Telecommunications indicator</li> <li>• Cost to start a business and Time to start a business</li> </ul>	<ul style="list-style-type: none"> <li>• Not a core business of ADB</li> <li>• These indicators have been on track for a long period</li> </ul>	
<b>Level 2: Core outputs and outcomes</b>		
Number of villages and small towns with water supply and sanitation investments increased	A measure of the geographic outreach of ADB-supported water projects (replacing water pipe km indicator)	Data from country EAs
Number of already connected households with improved water supply increased	A measure of outreach of ADB-supported water projects	Data from country EAs

RF Level/Indicator	Justification/Relevance	Definition and Availability of Baseline Data
Outcomes of completed ADB-supported operations in five sectors (education, energy, finance, transport, and water) rated effective	To give indications of potential project impact achievement, overall and by sector	Consolidated project performance reports
<b>Level 3. Operational effectiveness</b> CPS final review validated and CPS rated successful	To validate and assess country partnership strategic plans (in addition to existing validation of CAPEs)	CPS with a successful or better validation rating as percentage of total CPSs validated in a year
Percentage of infrastructure projects climate-proofed	In line with the Strategy 2020 focused on climate change	Proportion (%) of projects that are climate proofed to the total number of projects. Climate proofing is a shorthand term for identifying risks to a development project, or any other specified natural or human asset, as a consequence of climate variability and change, and ensuring that those risks are reduced to acceptable levels through long-lasting and environmentally sound, economically viable, and socially acceptable changes implemented at one or more of the following stages in the project cycle: planning, design, construction, operation, and decommissioning.
Satisfactory financial audit compliance of active projects	An indicator of whether the projects' financial audit requirements are complied with satisfactorily	Assessment of compliance of financial audit requirement rated satisfactory or better as a percentage of the number of assessments of financial audit compliance done within a particular period
Satisfactory safeguards compliance of active projects	An indicator of whether the projects' safeguards requirement are carried out satisfactorily or as planned	Assessment of compliance of safeguards requirement rated satisfactory or better as a percentage of the number of assessments of safeguards requirement compliance done within a particular period
Successful operations by % of total expenditures incurred	Additional indicator of the quality of completed operations that provides a measure of efficiency of successful operations	Projects with successful or better ratings based on PCR, PCR validation reports and PPERs as a percentage of total expenditures of these projects
Successful program loans and MFF tranches (%)	An indicator of the quality of completed operations particularly of program loans under the MFF modality	Program loans and MFF tranches rated successful or better by PCR, PCR validation reports and PPERs as a percentage of total program loans and MFF tranches assessed with PCR, PCR validation reports and PPERs during a particular period
TA performance rating at implementation	Current indicator covers only loan projects	Average percentage of ongoing TA projects with a highly satisfactory or satisfactory performance report (TPR) rating in the last 3 years

RF Level/Indicator	Justification/Relevance	Definition and Availability of Baseline Data
Indicators which may be dropped:		
<ul style="list-style-type: none"> <li>• CPS and CPR missions conducted jointly with at least one other development partner (%) annually</li> <li>• New program based approaches approved (number)</li> </ul>	<ul style="list-style-type: none"> <li>• Partnership arrangements for CPS and CPR missions already in place</li> <li>• Mainly on track</li> </ul>	
<b>Level 4. Organizational effectiveness</b>		
Increased proportion of ADB's project processing led by resident mission-based staff	For clearer accountability, and better portfolio performance, resident missions targeted to lead not only country programming, economic work, project implementation, and portfolio review but also project preparation and processing	Resident missions taking the lead in project preparation and processing, as a percentage of the 20 resident missions and two regional offices in the Pacific existing or created in 2006
Vacancy fill ratio lower	An indicator of the organization's efficiency in its use of its internal resources	Proportion (%) of authorized positions filled up
Staff premature attrition rate (%) decreasing	A measure of a motivated and committed workforce which is an important determinant of good institutional performance	Proportion (%) of staff leaving the organization prematurely or for reasons other than retirement, disability or death

ADB = Asian Development Bank, CAPE = country assistance program evaluation, CPR = country portfolio review, CPS = country partnership strategy, EA = executing agency, MFF = multitranchise financing facility, PCR = project completion report, PPER = project performance evaluation report, RF = results framework, TA = technical assistance, TPR = technical assistance performance report.

Source/References: ADB. 2010. Preparing Results Frameworks and Monitoring Results: Country and Sector Level; ADB. 2010. Development Effectiveness Review Report. Manila; ADB. 2005. *Climate Proofing: A Risk-based Approach to Adaptation*. Manila; AfDB. *Bank Group Results Measurement Framework*; Key informant interviews.

## 1. Leading Indicators for Better Sustainability

3. Leading indicators that are aimed at better tracking of the sustainability of ADB initiatives are likewise suggested to be considered for inclusion in the corporate results framework. These indicators are intended to give a view of potential project impact achievement.

- (i) Combined rating of sustainability assessment of outputs and outcomes of completed ADB-supported operations in five sectors—education, energy, finance, transport and water (overall and sectoral level indicators)
- (ii) Quality of risk assessment plan which can be part of the Quality-at-entry process—a risk assessment plan is required in every project design which is assumed to be implemented, monitored, and assessed. A well-formulated risk assessment plan that is implemented properly is likely to contribute to sustainable project outputs and outcomes, and overall to sustainable operations. It would therefore be useful to be able to determine the quality of the risk assessment plan as an indicator of sustainability of ADB-supported operations.

## 2. Benchmark Indicators

4. Targets and actual results of ADB operations at the country and regional level should be compared with those of comparator multilateral development banks. The proposal is to use recognized international benchmarks drawn from recognized external sources such as (i) Corruption Perceptions Index of the Transparency International (TI), (ii) the United Nations Development Group's (UNDG) Human Development Index (HDI), (iii) the World Bank's Country

Policy and Institutional Assessment (CPIA), and (iv) the Environmental Performance Index. Using such benchmarks is also aligned with the harmonization focus of the 2005 Paris Declaration on Aid Effectiveness. These benchmark indicators are defined below:

- (i) Corruption Perceptions Index provides ranking of countries "by their perceived levels of corruption, as determined by expert assessments and opinion surveys published annually by TI. TI is the global civil society organization leading the fight against corruption."<sup>1</sup>
- (ii) The HDI of UNDG is a composite statistic used to rank countries by level of "human development" and separate "very high human development," "high human development," "medium human development," and "low human development" countries. HDI is a comparative measure of life expectancy, literacy, education and standards of living for countries worldwide. It is a standard means of measuring well-being, especially child welfare. It is used to distinguish whether the country is a developed, a developing or an under-developed country, and also to measure the impact of economic policies on quality of life. The HDI sets a minimum and a maximum for each dimension, called goalposts, and then shows where each country stands in relation to these goalposts, expressed as a value between 0 and 1.<sup>2</sup> HDI is compiled and reported in UNDG's annual Human Development Report.
- (iii) CPIA is a diagnostic tool developed by the World Bank that is intended to capture the quality of a country's policies and institutional arrangements. "Quality" means "how conducive that framework is to fostering poverty reduction, sustainable growth and the effective use of development assistance."<sup>3</sup> Its focus is on the key elements that are within the country's control, rather than on outcomes (such as growth rates) that are influenced by elements outside the country's control. (Note: The annual country performance assessment done by the ADB's Strategy and Policy Department is similar to CPIA).
- (iv) Environmental Performance Index is a method of quantifying and numerically benchmarking the environmental performance of a country's policies. It ranks 163 countries on 25 performance indicators tracked across ten policy categories covering both environmental public health and ecosystem vitality. These indicators provide a gauge at a national government scale of how close countries are to established environmental policy goals. This index was developed by Yale University (Yale Center for Environmental Law and Policy) and Columbia University (Center for International Earth Science Information Network) in collaboration with the World Economic Forum and the Joint Research Centre of the European Commission.<sup>4</sup>

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<sup>1</sup> Transparency International. 2010. *Corruption Perceptions Index*. (<http://www.transparency.org>)

<sup>2</sup> <http://hdr.undp.org/en/statistics/hdi/>

<sup>3</sup> [www.worldbank.org/ieg/hipc/docs/appendix\\_h.pdf](http://www.worldbank.org/ieg/hipc/docs/appendix_h.pdf)

<sup>4</sup> Yale Center for Environmental Law & Policy, and Center for International Earth Science Information Network at Columbia University. ([www.envirocenter.research.yale.edu/programs/environmental](http://www.envirocenter.research.yale.edu/programs/environmental))

## ACHIEVEMENT OF COUNTRY AND SECTOR-LAYER MANAGING FOR DEVELOPMENT RESULTS

**Table A9.1: Assessment of Country and Sector-Layer Managing for Development Results for 13 Selected Developing Member Countries**

Country/ CAPE Completion Year	CAPE Cover- age	A. Top-down ratings				B. Bottom-Up Ratings by Sector										C. Overall Rating
		Strategic position- ing	Contri- bution to Dev't Results	ADB Perform- ance	Overall Top- down	Energy	Transport	Education	Agriculture & Natural Resource	Urban Dev- Water Supply & Sanitation	Public Policy/ Resource Mgt	Finance & Private Sector Dev't	Health & Social Protection	Others/ Cross- cutting Areas	Overall Bottom-up	
<b>Bangladesh</b> 2009	1999- 2008	High	Modest	Substantial	<b>Successful</b>	Successful	Partly successful	Successful	Partly successful	Partly successful	Partly successful		Partly successful	<b>Partly successful</b>	<b>Successful</b>	
<b>Bhutan</b> 2010	2001- 2009	Satisfactory			<b>Satisfactory</b>	Successful	Partly successful			Successful		Partly successful	Successful		<b>Successful</b>	
<b>CAM</b> 2009	1998- 2008	Substantial	Substantial	Substantial	<b>Successful</b>	Partly successful	Partly successful (high)	Successful (low)	Successful (low)		Successful (low)		Successful (low)	<b>Partly successful (high)</b>	<b>Successful</b>	
<b>China PR</b> 2007	1998- 2005	Successful (high)	Successful	Partly successful	<b>Successful</b>	Successful	Successful		Successful	Successful				<b>Successful</b>	<b>Successful</b>	
<b>India</b> 2007	1986- 2006	Substantial	Modest (high)	Modest (high)	<b>Successful</b>	Successful	Partly successful (high)			Partly successful (high)	Successful	Partly successful (high)		<b>Successful (low)</b>	<b>Successful</b>	
<b>Lao PDR</b> 2010	2000- 2009	Satisfactory			<b>Satisfactory</b>	Successful	Successful	Successful	Successful		Successful	Successful	Successful	Successful	<b>Successful</b>	
<b>Mongolia</b> 2008	1997- 2007	Substantial	Substantial	Substantial	<b>Successful</b>		Successful	Highly Successful	Successful	Successful	Partly successful	Successful	Partly successful	<b>Successful</b>	<b>Successful</b>	
<b>Nepal</b> 2009	2004- 2008	Substantial	Modest to substantial	Substantial	<b>Successful</b>	Partly successful	Partly successful	Successful	Partly successful	Partly successful	Partly successful	Successful		<b>Partly successful</b>	<b>Partly successful</b>	
<b>Pakistan</b> 2007	1985- 2006	Modest	Modest	Modest	<b>Partly successful</b>	Successful	Successful	Partly successful	Partly successful	Unsuccessf ul	(Likely to be) Partly successful	Partly successful	Un- successful	<b>Partly successful</b>	<b>Partly successful</b>	
<b>Philippines</b> 2008	2003- 2008	Satisfactory	Modest to substantial	Satisfactory	<b>Successful</b>	Successful	Partly successful	Successful (expected)	Partly successful	Partly successful	Successful	Successful	Successful (expected)	<b>Successful (low)</b>	<b>Successful</b>	
<b>Sri Lanka</b> 2007	1986- 2006	Satisfactory	Modest	Satisfactory	<b>Successful (Low)</b>	Partly successful	Successful	Successful	Partly successful	Successful (low)			Partly successful	<b>Partly successful</b>	<b>Partly successful</b>	
<b>Uzbekistan</b> 2006	1996- 2004	<b>4 (Good)</b>				3 (Satisfactory)			3 (Satisfactory)	3 (Satisfactory)	2 (poor)			<b>3 (Satisfactory)</b>		
<b>Vietnam</b> 2009	1999- 2008	Substantial	Substantial	Substantial	<b>Successful</b>	Successful	Partly successful	Successful	Successful	Successful	Partly successful	Partly successful	Partly successful	<b>Partly successful</b>	<b>Successful</b>	
<b>Overall rating</b>		Substantial	Modest	Substantial	<b>Successful</b>	Successful	Partly successful	Successful	Partly successful	Partly successful	Partly successful	Partly successful	Partly successful	Successful	<b>Partly successful</b>	

ADB = Asian Development Bank, CAPE = country assistance program evaluation, MfDR = managing for development results.  
Source: Independent Evaluation Department country assistance program evaluations and sector assistance program evaluations.

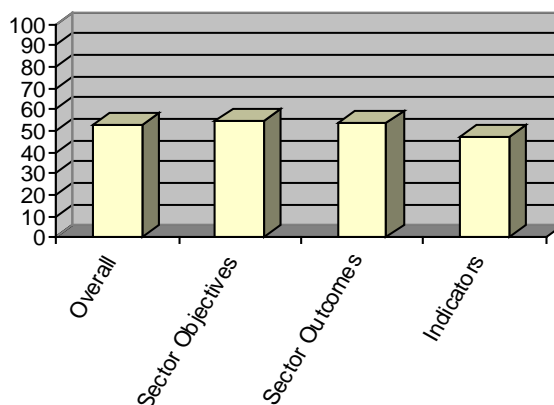
**Table A9.2: Quality Assessment of Country Result Frameworks<sup>a</sup>**

Criteria	All		Mostly		Few		None		N.A.	Wtd.
	#	%	#	%	#	%	#	%		
<b>A. Overall DMF</b>										
1. Means/end relationship clear with story line describing the results chain	1	5	11	50	10	45	0	0	0	<b>53</b>
<b>B. Impact</b>		<b>17</b>		<b>38</b>		<b>39</b>		<b>7</b>		<b>55</b>
1. One statement that does not include means to achieve	7	32	8	36	6	27	1	5	0	<b>66</b>
2. Phrased as an end situation	3	14	9	41	8	36	2	9	0	<b>53</b>
3. Appropriate level	2	9	11	50	8	36	1	5	0	<b>56</b>
4. Outlines expected beneficial consequences (impact) on a defined group of people or for sector performance	2	9	6	27	12	55	2	9	0	<b>43</b>
<b>C. Outcome</b>		<b>16</b>		<b>44</b>		<b>19</b>		<b>21</b>		<b>54</b>
1. One statement that does not include means to achieve	8	36	11	50	3	14	0	0	0	<b>77</b>
2. Phrased as an end situation	6	27	11	50	5	23	0	0	0	<b>70</b>
3. Causal link to impact	0	0	14	64	8	36	0	0	0	<b>57</b>
4. Change statement describing institutional or organizational performance change, or behavioral change of beneficiaries	3	14	12	55	6	27	1	5	0	<b>61</b>
<b>D. Indicators</b>		<b>10</b>		<b>35</b>		<b>41</b>		<b>14</b>		<b>47</b>
1. Describes how impact, outcome, or output has been achieved	0	0	11	50	11	50	0	0	0	<b>50</b>
2. Describes what is to be measured	2	9	12	55	8	36	0	0	0	<b>59</b>
3. Identifies how much, by when	3	14	6	27	11	50	2	9	0	<b>47</b>
4. Baseline data in evidence	3	14	6	27	9	41	4	18	0	<b>44</b>
5. Target value is provided	2	9	8	36	10	45	2	9	0	<b>48</b>

COSO = Central Operation Services Office, DMF = design monitoring framework, MfDR = managing for development results, N.A. = not applicable, Wtd. = weighted.

<sup>a</sup> This assessment uses modified assessment criteria based on the COSO assessment criteria used for the annual project DMF quality assessment.

Source: MfDR team assessments based on results frameworks in country partnership strategy reports.

**Figure A9: Relative Quality of Country Result Frameworks by Main Component**

Source: Managing for development results team assessments based on results frameworks in country partnership strategy reports.

## ACHIEVEMENT OF PROJECT-LAYER RESULTS

**Table A10.1: Achievement of Project-Layer Design and Monitoring Framework Results for 2009**

Criteria	All		Mostly		Few		None		N.A.	Wtd.
	#	%	#	%	#	%	#	%	#	%
<b>A. Overall DMF</b>										<b>53<sup>b</sup></b>
Means/end relationship clear with story line describing the results chain	74	28	69	26	103	38	23	9	0	56
<b>B. Impact</b>	<b>60</b>		<b>12</b>		<b>8</b>		<b>20</b>		<b>71</b>	
One statement that does not include means to achieve	182	68	4	1	2	1	81	30	0	69
Phrased as an end situation	196	73	38	14	6	2	29	11	0	84
Appropriate level	125	46	48	18	54	20	42	16	0	65
Outlines expected beneficial consequences (impact) on a defined group of people or for sector performance	151	56	48	18	23	9	47	17	0	72
<b>C. Outcome</b>	<b>52</b>		<b>11</b>		<b>7</b>		<b>30</b>		<b>62</b>	
One statement that does not include means to achieve	161	60	5	2	1	0	102	38	0	61
Phrased as an end situation	183	68	35	13	17	6	34	13	0	79
Causal link to impact	151	56	51	19	47	17	20	7	0	75
Indicates owner(s) and/or beneficiary(ies)	70	26	11	4	8	3	180	67	0	30
Change statement describing institutional or organizational performance change, or behavioral change of beneficiaries	150	56	57	21	30	11	32	12	0	74
<b>D. Outputs</b>	<b>46</b>		<b>8</b>		<b>7</b>		<b>39</b>		<b>54</b>	
Phrased as an end situation, not an action	108	40	39	15	23	9	98	37	1	53
Casual link to outcome	120	45	62	23	61	23	26	10	0	68
No reference to components	209	78	0	0	0	0	60	22	0	78
Describes who delivers what goods, services, institutional change	4	1	3	1	7	3	255	95	0	3
Each output is distinctly different	203	75	21	8	18	7	27	10	0	83
Management output is included	56	21	2	1	0	0	205	78	6	22
<b>E. Activities</b>	<b>35</b>		<b>10</b>		<b>12</b>		<b>43</b>		<b>45</b>	
Phrased as action statements, not inputs	136	51	61	23	24	9	48	18	0	70
Causal link to outputs	96	36	42	16	69	26	62	23	0	54
Describe how the output is to be achieved	86	32	44	16	62	23	77	29	0	50

Criteria	All		Mostly		Few		None		N.A.	Wtd.
	#	%	#	%	#	%	#	%	#	%
Describe who is responsible for each activity	5	2	7	3	4	1	252	94	1	4
Include milestones for each activity	167	62	13	5	19	7	70	26	0	67
Primary data sources must be included as an activity	58	23	1	0	2	1	188	76	20	24
<b>F. Indicators</b>		<b>18</b>		<b>19</b>		<b>26</b>		<b>37</b>		<b>39</b>
Describes how impact, outcome, or output has been achieved	94	35	57	21	79	29	39	14	0	58
Describes what is to be measured	97	36	56	21	79	27	37	14	0	59
Identifies how much, by when	44	16	64	24	87	32	74	28	0	42
Baseline data in evidence	16	6	18	7	56	21	179	67	0	16
Target value is provided	46	17	73	27	73	27	77	29	0	44
Gender disaggregated baseline and target	4	2	5	2	21	8	227	88	12	5
<b>G. Data Sources</b>		<b>11</b>		<b>16</b>		<b>37</b>		<b>36</b>		<b>32</b>
Data source for each indicator	58	22	28	10	4	1	179	67	0	30
Identifies who produces the data	21	8	42	16	128	48	78	29	0	31
Identifies where the information can be found	16	6	54	20	150	56	49	18	0	35
<b>H. Assumptions and Risks</b>		<b>51</b>		<b>14</b>		<b>23</b>		<b>11</b>		<b>68</b>
Risk is a negative statement	235	87	2	1	0	0	32	12	0	88
Assumption is a positive statement	252	94	1	0	0	0	16	6	0	94
Assumptions and/or risks at each level	103	38	56	21	83	31	27	10	0	62
Correct level	82	30	61	23	102	38	24	9	0	57
Assumptions and risks are specific and clear	76	28	62	23	108	40	23	9	0	56
No duplication	200	74	10	4	3	1	56	21	0	77

<sup>a</sup> COSO's assessment of DMFs of sample of 209 projects

<sup>b</sup> This weighted overall DMF rating is the average of the individual ratings of the 7 criteria given equal weights (weighted ratings for items B-H).

Source: Central Operations Services Office.



**Table A10.2: Achievement of Project-Layer Design and Monitoring Framework Results for 2010<sup>a</sup>**

Criteria	All		Mostly		Few		None		N.A.	Wtd.
	#	%	#	%	#	%	#	%	#	%
<b>A. Overall DMF</b>										<b>57<sup>b</sup></b>
Means/end relationship clear with story line describing the results chain	2	1	215	65	102	31	11	3	0	57
<b>B. Impact</b>	<b>53</b>		<b>16</b>		<b>8</b>		<b>23</b>		<b>67</b>	
One statement that does not include means to achieve	207	63	41	12	6	2	76	23	0	72
Phrased as an end situation	206	62	47	14	18	5	59	18	0	74
Appropriate level	149	45	59	18	49	15	73	22	0	62
Outlines expected beneficial consequences (impact) on a defined group of people or for sector performance	153	46	62	19	31	9	84	25	0	63
<b>C. Outcome</b>	<b>44</b>		<b>13</b>		<b>6</b>		<b>32</b>		<b>55</b>	
One statement that does not include means to achieve	222	67	29	9	9	3	70	21	0	74
Phrased as an end situation	215	65	49	15	19	6	47	14	0	77
Causal link to impact	140	42	67	20	59	18	64	19	0	62
Indicates owner(s) and/or beneficiary(ies)	0	0	0	0	0	0	3	75	327	0
Change statement describing institutional or organizational performance change, or behavioral change of beneficiaries	150	45	73	22	24	7	82	25	1	64
<b>D. Outputs</b>	<b>44</b>		<b>14</b>		<b>7</b>		<b>31</b>		<b>56</b>	
Phrased as an end situation, not an action	141	43	70	21	52	16	67	20	0	62
Casual link to outcome	141	43	109	33	58	18	22	7	0	72
No reference to components	279	84	17	5	6	2	28	8	0	89
Describes who delivers what goods, services, institutional change	0	0	0	0	0	0	4	80	326	0
Each output is distinctly different	203	64	65	21	21	7	25	8	16	82
Management output is included	38	12	7	2	3	1	281	85	1	13
<b>E. Activities</b>	<b>34</b>		<b>17</b>		<b>11</b>		<b>34</b>		<b>49</b>	
Phrased as action statements, not inputs	189	57	71	21	28	8	42	13	0	75
Causal link to outputs	109	33	78	24	68	21	75	23	0	56
Describe how the output is to be achieved	101	31	83	25	72	22	74	22	0	55
Describe who is responsible for each activity	0	0	0	0	0	0	3	75	327	0

Criteria	All		Mostly		Few		None		N.A.	Wtd.
	#	%	#	%	#	%	#	%	#	%
Include milestones for each activity	200	60	59	18	26	8	45	14	0	76
Primary data sources must be included as an activity	63	25	19	8	7	3	163	64	78	31
<b>F. Indicators</b>		<b>12</b>		<b>35</b>		<b>26</b>		<b>27</b>		<b>45</b>
Describes how impact, outcome, or output has been achieved	52	16	173	52	86	26	19	6	0	61
Describes what is to be measured	58	18	167	50	85	26	20	6	0	62
Identifies how much, by when	37	11	123	37	106	32	63	19	1	47
Baseline data in evidence	23	7	60	19	62	19	174	54	11	26
Target value is provided	44	13	132	40	101	31	53	16	0	51
Gender disaggregated baseline and target	10	4	25	9	37	14	196	73	62	14
<b>G. Data Sources</b>		<b>16</b>		<b>42</b>		<b>25</b>		<b>17</b>		<b>54</b>
Data source for each indicator	77	23	128	39	35	11	90	27	0	55
Identifies who produces the data	46	14	137	42	99	30	47	14	1	53
Identifies where the information can be found	41	12	147	44	107	32	35	11	0	54
<b>H. Assumptions and Risks</b>		<b>43</b>		<b>35</b>		<b>13</b>		<b>9</b>		<b>72</b>
Risk is a negative statement	262	84	21	7	4	1	25	8	18	89
Assumption is a positive statement	309	93	8	2	0	0	13	4	0	95
Assumptions and/or risks at each level	227	69	62	19	20	6	20	6	1	84
Correct level	41	12	194	59	80	24	15	5	0	62
Assumptions and risks are specific and clear	50	15	194	59	72	22	14	4	0	65
No duplication	197	60	41	12	7	2	85	26	0	69

DMF = design monitoring framework, N.A. = not applicable, Wtd. = weighted.

<sup>a</sup> COSO's assessment of the DMFs of sample of 331 projects

<sup>b</sup> This weighted overall DMF rating is the average of the individual ratings of the 7 criteria given equal weights (weighted ratings for items B-H).

Source: Central Operations Services Office.

**Table A10.3: Number and Percentage of Expected Project Outcomes Accomplished at Completion Period**

Project	No. of Outcome Indicators				
	Expected Outcomes	Achieved	% Achieved	Not Achieved	No Data/Dropped
1. L1817 Tajikistan: Power Rehabilitation Project	2	0	0	2	
2. L1785-SAM(SF) Samoa: Small Business Development Project	4	1	25	0	3
3. L2174 Cook Islands: Cyclone Emergency Assistance Project	4	4	100	0	
4. L1967 People's Republic of China: Shanxi Road Development II Project	12	7	58	1	4
5. L2032 People's Republic of China: Gansu Clean Energy Development Project	8	6	75	2	
6. L1652 Papua New Guinea: Smallholder Support Services Pilot Project	6	4	67	0	2
7. L2199 Philippines: Microfinance Development Program	4	3	75	0	1
8. L1738 Indonesia: Industrial Competitiveness and Small and Medium Enterprise Development Program	6	4	67	2	
9. L1848 Mongolia: Rural Finance Project	2	0	0	0	2
10. L1891 Pakistan: Road Sector Development Program	7	1	14	1	5
11. L2045 Kyrgyz Republic: Emergency Rehabilitation Project	4	4	100	0	
12. L2129 Cambodia: Small and Medium Enterprise Development Program	3	2	67	0	1
13. L1900 Pakistan: Reproductive Health Project	11	0	0	11	
14. L1403 Pakistan: Forestry Sector Project	2	1	50	1	
15. L1637 Maldives: Postsecondary Education Development Project	8	7	88	1	
16. L1657 Uzbekistan: Road Rehabilitation Project	5	0	0	5	
17. L2066–2067 Pakistan: Small and Medium Enterprise Sector Development Program	2	0	0	1	1
18. L2000–2001 Tajikistan: Microfinance Systems Development Program	10	8	80	1	1
19. L2291–2291 Pakistan: Improving Access to Financial Services (Phase I) Program	5	3	60	2	
20. L1987–1988 Pakistan: Rural Finance Sector Development Program	7	0	0	7	
21. L2083 Afghanistan: Agriculture Sector Program	5	2	40	3	
22. L1934 Pakistan: Sindh Rural Development Project	2	0	0	2	
23. L1986 Sri Lanka: Road Sector Development Project	6	2	33	0	4
24. L2216 Pakistan: Punjab Resource Management Program (Subprogram 2)	7	2	33	5	
25. L1890 People's Republic of China: Acid Rain Control and Environmental Improvement Project	3	3	100	0	
26. L1710 Lao People's Democratic Republic: Water Supply and Sanitation Sector Project	2	0	0	2	
27. L2049 Pakistan: Sindh Devolved Social Services Project	7	1	14	4	2

Project	No. of Outcome Indicators				
	Expected Outcomes	Achieved	% Achieved	Not Achieved	No Data/Dropped
28. L2068 Azerbaijan: Flood Mitigation Project	1	1	100	0	
29. L2017 Uzbekistan: Grain Productivity Improvement Project	8	8	100	0	
30. L1916 Pakistan: Decentralized Elementary Education Project (Sindh)	3	0	0	3	
31. L1846 Sri Lanka: North East Community Restoration and Development Project	3	3	100	0	
32. L 2107/2108 Pakistan: Balochistan Resource Management Program	5	0	0	2	3
33. L2153 Pakistan: Multisector Rehabilitation and Improvement Project for Azad Jammu and Kashmir	9	0	0	2	7
34. L2109 Pakistan: Supporting Public Resource Management Reforms in Balochistan	6	0	0	6	
35. L1877/1878/1879 Pakistan: Agriculture Sector Program II	3	2	67	0	1
36. L1778 Nepal: Crop Diversification Project	4	4	100	0	
37. L1789 Bangladesh: Road Maintenance and Improvement Project	3	2	67	1	
38. L1649 Sri Lanka: Road Network Improvement Project	3	3	100	0	
39. L1826 India: Gujarat Earthquake Rehabilitation and Reconstruction Project	1	1	100	0	
40. L1925 Papua New Guinea: Coastal Fisheries Management and Development Project	3	1	33	2	
41. L1798 India: Gujarat Earthquake Rehabilitation and Reconstruction Project	2	1	50	1	
42. L2047 Pakistan: Sindh Devolved Social Services Program	7	5	71	0	2
43. L1861 Nepal: Governance Reform Program	3	0	0	2	1
44. L1805 Pakistan: Microfinance Sector Development Program (Program Loan)	8	6	75	2	
45. L1806 Pakistan: Microfinance Sector Development Program (Investment Loan)	2	1	50	1	
46. L1995 People's Republic of China: Harbin Water Supply Project	5	5	100	0	
47. L1784 People's Republic of China: Chongqing-Guizhou Roads Development Project (Chongzun Expressway)	13	11	85	0	2
48. L1781 Viet Nam: Tea and Fruit Development Project	7	6	86	1	
49. L2262 Viet Nam: Support for the Implementation of the Poverty Reduction Program III	13	13	100	0	
50. L1866 Indonesia: State-Owned Enterprise Governance and Privatization Program	3	3	100	0	
Average	5	3	55	2	2
<b>Total</b>	<b>259</b>	<b>141</b>		<b>76</b>	<b>42</b>
<b>%</b>	<b>100.0</b>	<b>54.6</b>		<b>29.3</b>	<b>16.2</b>

L = loan.

Note: 16 of 50 sample projects (32%) had at least 80% of their expected outcomes accomplished at project completion period.

Source: Project completion reports and project completion validation reports.

**Table A10.4: Project Completion Report and Project Completion Validation Report Ratings of 'Effectiveness in Achieving Outcomes' and Overall Performance of Selected Projects**

Project	Effectiveness in Achieving Outcomes Rating		Overall Rating	
	PCR	PVR	PCR	PVR
	1. L1817 Tajikistan: Power Rehabilitation Project	Effective	Less effective	Successful
2. L1785(SF) Samoa: Small Business Development Project	Less effective	Less effective	Partly successful	Partly successful
3. L2174 Cook Islands: Cyclone Emergency Assistance Project	Effective	Effective	Successful	Successful
4. L1967 People's Republic of China: Shanxi Road Development II Project	Effective	Effective	Successful	Successful
5. L2032 People's Republic of China: Gansu Clean Energy Development Project	Highly effective	Highly effective	Highly successful	Highly successful
6. L1652 Papua New Guinea: Smallholder Support Services Pilot Project	Effective	Effective	Successful	Successful
7. L2199 Philippines: Microfinance Development Program	Highly effective	Effective	Highly successful	Successful
8. L1738 Indonesia: Industrial Competitiveness and Small and Medium Enterprise Development Program	Effective	Effective	Partly successful	Partly successful
9. L1848 Mongolia: Rural Finance Project	Not rated	Less effective	Unsuccessful	Unsuccessful
10. L1891 Pakistan: Road Sector Development Program	Effective	Effective	Satisfactory	Successful
11. L2045 Kyrgyz Republic: Emergency Rehabilitation Project	Effective	Effective	Successful	Successful
12. L2129 Cambodia: Small and Medium Enterprise Development Program	Effective	Effective	Successful	Successful
13. L1900 Pakistan: Reproductive Health Project	Ineffective	Ineffective	Unsuccessful	Unsuccessful
14. L1403 Pakistan: Forestry Sector Project	Less effective	Less effective	Partly successful	Partly successful
15. L1637 Maldives: Postsecondary Education Development Project	Effective	Effective	Successful	Successful
16. L1657 Uzbekistan: Road Rehabilitation Project	Less effective	Ineffective	Unsuccessful	Unsuccessful
17. L2066–2067 Pakistan: Small and Medium Enterprise Sector Development Program	Less effective	Less effective	Partly successful	Partly successful
18. L2000–2001 Tajikistan: Microfinance Systems Development Program	Highly effective	Highly effective	Highly successful	Highly successful
19. L2291–2292 Pakistan: Improving Access to Financial Services (Phase I) Program	Effective	Less effective	Successful	Partly successful
20. L1987–1988 Pakistan: Rural Finance Sector Development Program	Less effective	Ineffective	Unsuccessful	Unsuccessful

Project	Effectiveness in Achieving Outcomes Rating		Overall Rating	
	PCR	PVR	PCR	PVR
	21. L2083 Afghanistan: Agriculture Sector Program	Effective	Less effective	Successful
22. L1934 Pakistan: Sindh Rural Development Project	Ineffective	Ineffective	Unsuccessful	Unsuccessful
23. L1986 Sri Lanka: Road Sector Development Project	Efficacious	Less effective	Successful	Partly successful
24. L2216 Pakistan: Punjab Resource Management Program (Subprogram 2)	Less effective	Less effective	Partly successful	Partly successful
25. L1890 People's Republic of China: Acid Rain Control and Environmental Improvement Project	Effective	Effective	Successful	Successful
26. L1710 Lao PDR: Water Supply and Sanitation Sector Project	Less effective	Less effective	Partly successful	Partly successful
27. L2049 Pakistan: Sindh Devolved Social Services Project	Less effective	Less effective	Partly successful	Partly successful
28. L2068 Azerbaijan: Flood Mitigation Project	Effective	Effective	Successful	Successful
29. L2017 Uzbekistan: Grain Productivity Improvement Project	Effective	Effective	Successful	Successful
30. L1916 Pakistan: Decentralized Elementary Education Project (Sindh)	Ineffective	Ineffective	Unsuccessful	Unsuccessful
31. L1846 Sri Lanka: North East Community Restoration and Development Project	Effective	Effective	Highly successful	Successful
32. L 2107–2108 Pakistan: Balochistan Resource Management Program	Less effective	Less effective	Partly successful	Unsuccessful
33. L2153 Pakistan: Multisector Rehabilitation and Improvement Project for Azad Jammu and Kashmir	Less effective	Less effective	Partly successful	Partly successful
34. L2109 Pakistan: Supporting Public Resource Management Reforms in Balochistan	Ineffective	Ineffective	Unsuccessful	Unsuccessful
35. L1877/1878/1879 Pakistan: Agriculture Sector Program II	Less effective	Ineffective	Partly successful	Unsuccessful
36. L1778 Nepal: Crop Diversification Project	Effective	Effective	Successful	Successful
37. L1789 Bangladesh: Road Maintenance and Improvement Project	Effective	Less effective	Successful	Successful
38. L1649 Sri Lanka: Road Network Improvement Project	Effective	Effective	Successful	Successful
39. L1826 India: Gujarat Earthquake Rehabilitation and Reconstruction Project	Effective	Effective	Successful	Successful
40. L1925 PNG: Coastal Fisheries Management and Development Project	Less effective	Less effective	Partly successful	Partly successful

Project	Effectiveness in Achieving Outcomes Rating		Overall Rating	
	PCR	PVR	PCR	PVR
	41. L1798 India: Gujarat Earthquake Rehabilitation and Reconstruction Project	Not rated	Less effective	Successful
42. L2047 Pakistan: Sindh Devolved Social Services Program	Less effective	Less effective	Partly successful	Partly successful
43. L1861 Nepal: Governance Reform Program	Partly effective	Less effective	Partly successful	Partly successful
44. L1805 Pakistan: Microfinance Sector Development Program (Program Loan)	Less effective	Less effective	Partly successful	Partly successful
45. L1806 Pakistan: Microfinance Sector Development Program (Investment Loan)	Effective	Less effective	Partly successful	Partly successful
46. L1995 People's Republic of China: Harbin Water Supply Project	Effective	Effective	Successful	Successful
47. L1784 PRC: Chongqing-Guizhou Roads Development Project (Chongzun Expressway)	Effective	Effective	Successful	Successful
48. L1781 Viet Nam: Tea and Fruit Development Project	Effective	Effective	Successful	Successful
49. L2262 Viet Nam: Support for the Implementation of the Poverty Reduction Program III	Effective	Effective	Successful	Successful
50. L1866 Indonesia: State-Owned Enterprise Governance and Privatization Program	Effective	Effective	Successful	Successful

L = loan, PCR = project completion report, PVR = project completion validation report.  
Source: Project completion reports and project completion validation reports.

**Table A10.5: Summary of Selected Projects' Comparative Ratings at Completion and Validation**

Item	PCR Rating		PVR Rating	
	No.	% of Total	No.	% of Total
<b>Effectiveness in achieving outcomes</b>				
Highly effective	3	6	2	4
Effective	26	52	21	42
Less/Partly effective	15	30	20	40
Ineffective	4	8	7	14
Not rated	2	4	0	0
<b>Total sample projects</b>	<b>50</b>	<b>100</b>	<b>50</b>	<b>100</b>
PVR rating lower than PCR rating			10	21
PVR rating same as PCR rating			38	79
<b>Overall performance</b>				
Highly successful	4	8	2	4
Successful	24	48	21	42
Partly successful	15	30	18	36
Unsuccessful	7	14	9	18
<b>Total sample projects</b>	<b>50</b>	<b>100</b>	<b>50</b>	<b>100</b>
PVR rating lower than PCR rating			7	14
PVR rating same as PCR rating			43	86

PCR = project completion report, PVR = project completion validation report.

Source: Asian Development Bank project completion reports and project completion validation reports.