



MOPAN COMMON APPROACH

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Appendices

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Appendix I Methodology

1. Introduction

The following presents the methodology used to conduct the MOPAN Common Approach in 2010. It is important to note that the methodology for the Common Approach has changed significantly in 2010 (in particular due to the introduction of the document review component). Due to these differences, comparisons of the results of this year with those from previous years should be done with caution.

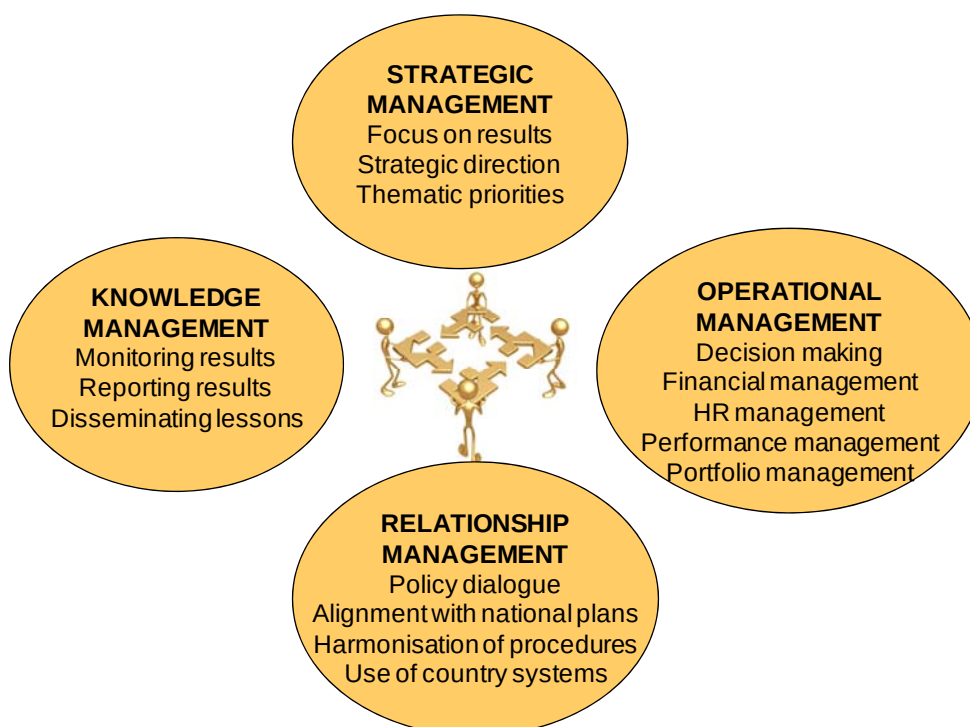
1.1 The MOPAN Common Approach Assessment Framework

MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates.

Using a survey of stakeholders and a document review, the MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results at the country level. The Common Approach framework groups these organisational capacities in four areas of performance:

- *strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *operational management*: managing operations in a way that is performance oriented, thus ensuring organisational accountability for resources and results;
- *relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and,
- *knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

Dimensions of organisational effectiveness in the MOPAN Common Approach



1.2 Indicators

Within each performance area (or quadrant), organisational effectiveness is described using several key performance indicators (KPIs) that are then measured in a series of micro-indicators (MIs).

In an initial mapping exercise of existing bilateral donor assessment tools in 2007, MOPAN identified some 250 indicators, many of which were overlapping. The Common Approach reduced these to 35 key performance indicators and 120 micro-indicators. In 2008, the indicators were further refined and tested and this led to the adoption in 2009 of 19 KPIs and 63 MIs for international financial institutions and 64 MIs for UN funds and programs. In 2010, the assessment included 19 KPIs and 68 MIs for international financial institutions and 69 MIs for UN Funds and Programs. The full list of MIs assessed in 2010 is provided in Appendix VI (KPI and MI Data by Quadrant).

1.3. Multilateral Organisation Selection Method

Each year MOPAN selects multilateral organisations for the Common Approach assessment on the basis of the following key criteria:

1. Size of contribution and percentage of contribution classified as Official Development Assistance (ODA)
2. Interest to all MOPAN members
3. Medium-Term Strategic Planning (or equivalent) and replenishment cycles. The organisations should be assessed by the beginning of the planning process or prior to the start of the replenishment negotiation process
4. MOPAN aims to assess institutions with the highest contributions on a 3-5 year cycle. The organisations include International Financial Institutions (IFI) and UN Funds, programs, and specialised agencies.

In 2010, the Asian Development Bank (ADB), United Nations Population Fund (UNFPA), World Health Organization (WHO), and International Fund for Agricultural Development (IFAD) were assessed.

1.4. Country Selection Method

Each year countries are selected for the Common Approach assessment on the basis of presence and availability of MOPAN members, no recent inclusion in the survey,¹ and the need for geographical spread.

The assessment in 2010 was conducted in Afghanistan, Benin, Colombia, Indonesia, Kenya, Nicaragua, Rwanda, Sri Lanka, Viet Nam and Zambia.

Country selection in 2010 included two Delivering as One (DAO) countries: Rwanda and Viet Nam. MOPAN reflected on whether the Common Approach assessment could be carried out in DAO countries and concluded that MOPAN should learn from the experiences of working in DAO pilot countries and that the analysis of responses in those countries should acknowledge the One UN context. Where relevant and feasible, data analysis and country level discussions on the data for UNFPA, WHO, and IFAD have taken this into account.

¹ Countries should not be surveyed by MOPAN in two consecutive years.

2. Survey

2.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and at the country level) and direct partners or clients of the multilateral organisations under review.

The main instrument for conducting the survey was Computer-Aided Web Interviewing (CAWI) through an online survey. Respondents were able to complete the web-based survey in English, French, or Spanish. Most of the respondents took the survey online.

When it was not possible for direct partners/clients to complete the survey online, off-line methods were used. Respondents could either fill out a paper-based survey, complete an electronic version of the survey in Microsoft Word that was sent by email, or participate in a structured interview either in person or by telephone. Consultants (independent of MOPAN) conducted all off-line surveys to ensure confidentiality.

Paper-based versions of the survey were made available in English, French, and Spanish. Direct partners/clients in Afghanistan, Indonesia and Viet Nam had the opportunity to complete the paper-based survey in local languages (Vietnamese, Pashto, Bahasa Indonesian). Among this respondent group, approximately 39 percent completed a paper-based or electronic version of the survey sent by email and 9 percent completed it via a structured interview.² The remainder completed the survey online.

The survey data were collected over a seven-week period in April and May 2010.

Respondent Types

To provide different perspectives on the multilateral organisations being assessed, MOPAN seeks the perceptions of three respondent groups: donors at headquarters (HQ) and at the country level (CO), and direct partners (DP) of multilateral organisations in developing countries. Respondents are considered qualified on the basis of their expertise: the survey targets specific, knowledgeable, individuals. They include:

- **Donor Headquarters Oversight (HQ):** Working for a (MOPAN) donor government, professional staff who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Working for a (MOPAN) donor government, professional who shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):**³ Working for a national partner organisation (government or civil society) in the developing country, professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or has direct interaction with it at country level. This could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.

² These approximate percentages are based on reports from local consultants in 7 of the 10 countries.

³ In the context of IFIs, these are referred to as "Clients."

2.2 Sampling and Response Rates

Sampling

The Common Approach uses a purposive sampling method called 'expert sampling' in which potential respondents are identified either by MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed. The identification process, which involved all MOPAN members in collaboration with the multilateral organisations assessed, resulted in a master list of 1276 names that defined the universe of potential respondents for all four organisations.

Individuals were invited to complete the survey for each organisation for which they had functional responsibility and sufficient knowledge.⁴ This was confirmed through a screening question that asked respondents to indicate their level of familiarity with the multilateral organisation assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents could continue the survey only if they indicated they were familiar with the multilateral organisation (i.e., a rating of 2, 3, 4, or 5). The data on potential and actual respondents and their level of familiarity with the organisation are provided below.

Respondent Overview

Multilateral Organisation	Potential Survey Respondents	Actual Survey Respondents	Percentage of Respondents who reported a good level of familiarity with the organisation ⁵
ADB	186	105	88%
IFAD	350	162	79%
UNFPA	369	238	86%
WHO	371	208	82%
Total	1276	713	

Response Rate

Because each survey respondent could respond for more than one multilateral organisation, the master list of potential respondents provided a potential for 1276 opinions (as illustrated above in the total number of potential respondents for each organisation). The overall response rate, based on the total number of potential opinions, was 56 percent.⁶ Although the response rates varied considerably across organisations (from 46 percent for IFAD to 64 percent for UNFPA), response rates in the range of 50-60 percent are considered to be acceptable for a survey that targets respondents who need to have detailed knowledge in order to participate.

MOPAN set quotas (i.e., targets) for the percentage of respondents that would be considered satisfactory for each respondent group (i.e., donors at headquarters, donors in country offices, and direct partners/clients): 50 percent response rate among direct clients/partners of multilateral organisations in each survey country, and 75 percent response rate among MOPAN members in country offices and at headquarters. The target response rate for MOPAN members was higher as it was expected that they would have greater ownership of the process and thus more incentive to complete the survey. The target response rates for both groups were higher than those frequently used in international survey research. Despite follow-up

⁴ Each individual was provided with a unique link that reflected the respondent type (HQ, CO, or DP) and the multilateral organisation(s) they had been assigned to. Some individuals, particularly among MOPAN members, completed surveys about more than one organisation.

⁵ This percentage includes only those who responded 3, 4 or 5 as their level of familiarity. Also note, these are un-weighted data.

⁶ Out of the 1276 potential opinions, 713 completed the survey.

efforts, MOPAN was unable to meet the quotas for the different respondent groups in some cases. However, MOPAN was satisfied with the respondents' 'self-reported' level of familiarity with respect to each organisation. Section 1.2 under 'Respondents' of the organisational report provides response rates and quotas by respondent group.

2.3. Survey Instrument

Survey Customisation

The survey instrument was customised to reflect both the type of respondent and the type of multilateral organisation. The survey customisation stage included consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who were familiar with these organisations.

A core set of questions was developed for all respondents and additional questions were designed for specific respondent groups (reflecting their functional responsibility or relationship with the organisations). For example, questions relating to corporate issues, such as reporting to the Executive Board, were asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems, were asked only of donors in-country and clients/direct partners of multilateral organisations.

In addition, micro-indicators that related to cross-cutting thematic priorities, for example, were adjusted to reflect the nature of the multilateral organisation.

The final customised survey for each multilateral organisation is presented in Appendix II.

Survey Instrument

At the beginning of the survey, respondents were invited to assess the overall internal effectiveness of the multilateral organisation and were asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, for each of the four dimensions of effectiveness, respondents were asked to identify the most important strategic element for the management of the organisation and were invited to provide additional comments.

The main part of the survey consisted of a series of closed-ended questions on the micro-indicators presented in groupings designed to reflect the key performance indicator (KPI) structure. Respondents were presented with a statement describing an organisational practice, system, or behaviour and asked to rate the performance of the multilateral organisation in this area as: 1 (Very Weak), 2 (Weak), 3 (Inadequate), 4 (Adequate), 5 (Strong), or 6 (Very Strong). These labels were defined for the respondents at the beginning of the survey as shown below:

- | | |
|-----------------|--|
| (6) Very strong | The multilateral organisation's system is "best practice" in this area. |
| (5) Strong | The multilateral organisation's system is more than acceptable yet without being "best practice" in this area. |
| (4) Adequate | The multilateral organisation's system is acceptable in this area. |
| (3) Inadequate | The multilateral organisation's system in this area has deficiencies that make it less than acceptable. |
| (2) Weak | The multilateral organisation has this system but there are important deficiencies. |
| (1) Very weak | The multilateral organisation does not have this system in place and this is a source of concern. |

2.4 Survey Data Analysis

SPSS Version 17.0 statistical software was used to analyse the data collected and calculate an overall mean score for each question (micro-indicator).⁷

Calculation of Mean Scores

The mean scores were calculated for each question (micro-indicator) and for each key performance indicator (KPI) by aggregating the scores for each micro-indicator (MI) within that KPI. For example, a KPI consisting of three micro-indicators that individually scored 2, 3, and 4 has a KPI mean of 3. A few of the MIs consist of more than one question. In these cases, the mean score was calculated for each question and then an average was calculated for the MI.

The resulting mean scores were interpreted according to band ranges outlined below. This system assigns mean scores (which potentially range from 1 to 6) into six bands. Any mean score below 3.5 is interpreted as, at best, inadequate. The findings presented in the report are based on this interpretation of the survey data.

Band Ranges and Descriptions

Band	Range of the mean scores	Rating	Definitions
1	1 to 1.49	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	1.50 to 2.49	Weak	The multilateral organisation has this system but there are important deficiencies.
3	2.50 to 3.49	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	3.50 to 4.49	Adequate	The multilateral organisation's system is acceptable in this area.
5	4.50 to 5.49	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
6	5.50 to 6.00	Very Strong	The multilateral organisation's system is "best practice" in this area.

Other Statistical Analysis

Other characteristics of the data, including standard deviation and frequencies for each question, were calculated in order to analyse the data. Standard deviation, as a measure of dispersion in the data, provided indication of the level of similarity or divergence in opinions on topics covered in the survey among different respondents. Frequency distributions, generated in terms of percentages and absolute numbers, from both weighted and un-weighted data, provided richer detail on the layout of the data.

In addition, statistical analysis was used to test the significance of differences observed across countries and respondent groups in responses to micro-indicator questions. Due to the ordinal nature of the data, non-parametric tests of significance (including Mann-Whitney U and Kruskal-

⁷ Some micro-indicators corresponded to more than one survey question. In this case, mean scores were calculated for each question but not for the micro-indicator itself. However, KPI mean scores were calculated applying equal weight to micro-indicators, not to individual questions.

Wallis tests as applicable) were used. These tests are also considered to be useful for analysing small samples.

Tests of significance were deemed to be useful in our analysis as they take account of both the magnitude of difference between groups and the dispersion internal to each group, so that differences occurring by chance are ruled out as non-significant. In our analysis, judgment was suspended on groups whose difference was found to be non-statistically significant: as it is possible that no statistical difference exists, or that the data were not sufficient to provide evidence for the difference.⁸ Given the sizes of the samples, the comparisons across countries and respondent groups are provided as indicative information that can be used as a basis for discussion.

Analysis of Open-Ended Questions

Responses to open-ended questions were analysed using a content analysis technique in which codes were not pre-defined, but were based on the themes emerging from the comments. Then, the frequency of occurrence of each theme was calculated. Section 3.4 of the organisational reports summarises findings based on the data from the open-ended questions on areas of strength and areas for improvement for the multilateral organisation. Respondent comments on the different areas of the survey were also analysed in order to put the survey responses into context. Respondent quotes were drawn from open-ended questions to illustrate tendencies in the ratings and the comments, wherever possible illustrating the positive and negative points of view provided on the theme.

Don't Know Responses

For each question, respondents had the option to indicate that they 'don't know' and these responses were not incorporated into the calculation of mean scores. As a result, some mean scores are based on fewer responses than others.⁹ The respondent base size and rate of 'don't know' responses by KPI are provided in Appendix IV.

Weighting Factors

Due to the fact that the numbers of respondents answering differs – both between respondent types and between survey countries – a weighting factor was applied to the survey data based on the survey response rate. This weighting was designed to give equal weight to:

- The views of each of the three respondent groups;¹⁰
- The countries where the survey took place; and
- Donors in-country and direct partners within each country where the survey took place.¹¹

⁸ This is particularly true of tests involving groups of small sample sizes.

⁹ Although this reduces the respondent base, the results can still be taken to be indicative of perceptions of those who provided an answer and are presented as a basis for discussion between MOPAN and the multilateral organisation.

¹⁰ This is via the application of individual weights, whereby in-country donors, headquarter-level donors, and direct partners are given different weights in order to account for the fact that different numbers of each group were interviewed.

¹¹ In-country donor and direct partner weights are also determined by the total number of respondents from each group who answered in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carries a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

The multilateral organisation weight factor was calculated based on the following general equation. In each case, the variables refer to one multilateral organisation (each organisation's weight is calculated independently of those of other organisations).

R = number of respondent groups in the survey sample (for one organisation)

C = number of countries in the survey sample (for one multilateral organisation)

P = total number of respondents (for one multilateral organisation)

G = number of respondents in a particular country/respondent group unit (for one multilateral organisation)

W = weight factor for a given unit (for one multilateral organisation)

The general equation for weighting is:

$$W = \frac{P}{RCG}$$

For 2010, ADB had four countries in its sample, while the rest of the multilateral organisations (UNFPA, WHO and IFAD) had ten. In all cases, there were three respondent groups (HQ, CO and DP).

For HQ respondents, there is no country value. Therefore, for the HQ unit the weight factor is equal to:

$$W = \frac{P}{3G}$$

For CO and DP respondents, for UNFPA, WHO and IFAD the weight factor is equal to:

$$W = \frac{P}{3 \times 10 \times G}$$

For CO and DP respondents, for ADB, the weight factor is equal to:

$$W = \frac{P}{3 \times 4 \times G}$$

For example, if there are 250 total respondents for UNFPA, and 10 DP respondents in Viet Nam for that multilateral organisation, the weighting for DPs in Viet Nam would be:

$$W = \frac{250}{3 \times 10 \times 10}$$

$$W = 0.83$$

This weight factor is applied uniformly to all quantitative responses of each individual in that unit. Each response to each question is multiplied by the weight factor calculated above.

To illustrate the above:

- If fewer MOPAN headquarter than country office respondents answered on a particular multilateral organisation, then each headquarter respondent was relatively 'up-weighted' and each country office respondent relatively 'down-weighted' to ensure parity between those two groups (in practice, this was carried out to ensure parity between the three respondent groups);
- If more respondents of a certain respondent type in survey country X answered on a particular multilateral organisation than in survey country Y, then respondents in survey country Y were relatively 'up-weighted' and respondents in survey country X were relatively 'down-weighted'.

- If in-country X more CO than DP respondents answered on a particular multilateral organisation, then each DP respondent was relatively 'up-weighted' and each CO respondent relatively 'down-weighted'.

The weighting scheme ensures that when analysing a multilateral organisation at the *overall level*, no single respondent group or survey country is over-represented. It also ensures that when analysing a multilateral organisation at the *country level* there is equal representation of Country Officers and Direct Partners.

Weighted figures are used:

- In the multilateral organisation reports: everywhere unless otherwise stated.
- In the summaries of results for the multilateral organisation in each of the countries surveyed : overall means for the multilateral organisation within that country (i.e., not respondent group means)

3. Document Review

3.1 Overview

Through an examination of publicly available documents,¹² the MOPAN document review explored evidence that the multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's internal effectiveness.

The document review considered three types of documents:

- Multilateral organisation documents relevant to the assessment of the MOPAN micro-indicators. The organisations helped to identify these documents.
- Organisational reviews or assessments (external or internal) about the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management and knowledge management). These studies were either found on the organisation's website or provided by the organisation.
- External assessments such as the Survey on Monitoring the Paris Declaration (2008), the Common Performance Assessment (COMPAS) report (2008), and previous MOPAN surveys.¹³

3.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic sampling strategy. However, the collection of documents followed a number of overall principles to ensure consistency and focus in the sampling process.

All documents, regardless of type or level within the organisation, were approved by the relevant authority (e.g., organisation-wide documents were usually approved by the multilateral organisation's Executive Management or Board).¹⁴

¹² Documents are considered to be "publicly available" if the organisations are able to provide them upon request for the purposes of assessing the micro-indicators.

¹³ If data from these sources were not available for the multilateral organisations participating in this year's survey, either an alternate approach was developed or the micro-indicators were not assessed.

¹⁴ This was intended to ensure that documents reviewed were final documents (rather than drafts) and that they were providing guidance for organisational behaviour.

All documents (including policies, guidelines, strategies, thematic documents and web site information) were selected at least in part based on the “type-specific” and “level-specific requirements” noted below.

a) Type-specific requirements

The following requirements apply to policies, guidelines, strategies, thematic documents, or web site information at any level of the organisation. These documents were also subject to the “level-specific requirements” listed in the following subsection.

- Policies or guidelines, at any level within the multilateral organisation, were selected only if they were currently in force as of the year of assessment. In most cases, only one policy or guideline was selected per organisational unit (i.e., country, region, or the organisation as a whole, depending on the micro-indicator). For organisation-wide policies, only one document was selected in total.
- Strategies, regardless of level within the multilateral organisation, were selected only if they were being implemented within the year of assessment. For each MI, normally only one strategy was selected per organisational unit (although two were selected in some instances, if for example the multilateral organisation has both a medium-term and a long-term strategy).
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, were selected based on a principle of reviewing a mix of thematic areas (i.e., two thematic documents covering the same or similar thematic areas will not both be selected). For each MI, up to five thematic documents were selected per organisational unit.
- Any information presented on the multilateral organisation's web site (i.e., the text from a page on this site, not a downloadable document available on the site) was retrieved within the year of assessment, and was assumed to be current unless the web page itself stated otherwise.

b) Level-specific requirements

For all other types of documents, a maximum of five documents per organisational unit were selected based on the level-specific requirements below.

- All documents (except for policies, guidelines and strategies) were published within the following timelines:
 - Project/program level documents: the current or previous year
 - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- All documents from country level and project/program level were subject to the following country sampling methods. For each MI, up to five countries out of the 10 countries surveyed by MOPAN in 2010 were selected for the sample, based on the organisation's Official Development Assistance (ODA) to sample countries.¹⁵ For project or program level documents, all relevant documents within the countries selected in the above manner were subject to review.¹⁶

¹⁵ The data on ODA were drawn from OECD Creditor Reporting system (CRS). ODA data were not available for WHO. Because of this, and in recognition of the distinct organisational and management culture in each regional office of WHO, the country selection is as follows: Afghanistan (EMRO); Colombia (AMRO/PAHO), Indonesia (SEARO); Kenya (AFRO); Viet Nam (WPRO).

¹⁶ The Asian Development Bank was the exception because all four countries participating in the assessment were considered (Afghanistan, Indonesia, Sri Lanka, and Viet Nam).

The countries selected for document review in the 2010 assessment were as follows:

ADB:	Afghanistan, Indonesia, Sri Lanka and Viet Nam
IFAD:	Kenya, Rwanda, Nicaragua, Indonesia and Viet Nam
UNFPA:	Kenya, Zambia, Nicaragua, Afghanistan and Indonesia
WHO:	Kenya, Colombia, Afghanistan, Indonesia and Viet Nam

When specific MIs required a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach was developed and tailored for each of the multilateral organisations.

3.3 Document Collection

The collection of documents followed the steps outlined below, although it was not a linear process:

- Initial document research on the website of the multilateral organisation;
- Collection of COMPAS and Paris Declaration Survey Data;
- Consultation with the multilateral organisation, who reviewed and refined the initial data set (through the MOPAN Institutional Lead);
- Finalisation of document list.

Once the document list was finalised and the document review commenced, further documentation needed to fill any gaps in information for certain indicators was requested from the multilateral organisation. If the documents obtained from the third request did not contain the information needed, the consultant team made the assessment based on the information available.

Other External Assessments

As noted above, the document review included a review of other external assessments.

- **Common Performance Assessment System (COMPAS) report, 2008 and 2007:** COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The annual COMPAS report provides data in eight categories that are relevant to the MDBs' implementation of the MfDR agenda. The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR. For the ADB and IFAD assessments, MOPAN drew on the following indicators from COMPAS report¹⁷ in order to assess five of the micro-indicators:
 - Subcategory 3. Allocation of Concessional Resources. Amount and percentage of total concessional lending resources allocated on the basis of performance
 - Subcategory 4e: Portfolio risk management (ii) Proactivity index
 - Category 4g: Project ex-post evaluation. Number of projects independently reviewed ex-post during the previous year, as a percent of the average number of projects completed annually during the last five years.

¹⁷ For most indicators the source is the 2008 COMPAS report, with one exception. The COMPAS Indicator Subcategory 5b changed between 2007 and 2008, from a focus on management uptake of evaluation results to a question that asks about the organisation's system for capturing lessons from project evaluations and applying them to new projects. Since there is a MOPAN micro-indicator that is concerned with management uptake of evaluation recommendations, as a data source the indicator from the 2007 report was used, complemented with other data (if available) from the organisation.

- Subcategory 5b: Evaluation of operational experience. Management uptake of evaluation recommendations as reported to Executive Boards
- Category 6b. Results-focused Human Resources Management. Emphasising results-related efforts and or/achievements while assessing operational staff performance
- **Survey on Monitoring the Paris Declaration, 2008.** Since the Paris Declaration on Aid Effectiveness was signed in 2005, two monitoring surveys and an early evaluation have been carried out to assess progress on the agreed indicators. The monitoring surveys, managed by the OECD, highlight areas in which countries and organisations may be falling short in reaching their established targets. Since eight of the MOPAN indicators are based on the Paris Declaration indicators, the assessment looks at the data provided in Appendix C: Donor Data, for the following indicators¹⁸:
 - Indicator 3: Aid flows aligned on national procedures
 - Indicator 4: Strengthen capacity by co-ordinated support
 - Indicator 5 a and b. Use of country public financial systems and use of country procurement systems
 - Indicator 6: Strengthen capacity by avoiding parallel implementation structures
 - Indicator 7: Aid is more predictable
 - Indicator 9: Use of common arrangements or procedures
 - Indicator 10a: Joint missions
 - Indicator 10b: Joint analytical work

The OECD survey data were available for ADB and IFAD. ADB also conducts its own annual survey to track progress on these indicators; because ADB data were more recent, ADB reports were used for the assessment. The OECD survey reports data for the United Nations as a whole, thus the consultant team relied on UN Funds and Programs to provide their data as input for these indicators.

3.4 Document Analysis

In 2010, the multilateral organisations were assessed on relevant micro-indicators in the Common Approach document review framework.¹⁹ (The list of MIs assessed through document review is provided in [Appendix VI](#).) The document review ratings build on the definitions and scale used in the survey, as described in section 2.1 above.²⁰ The document review ratings ranged from 1 (Very Weak) to 6 (Very Strong).

¹⁸ In general, the assessment draws on the data from the “Average Country Ratio – All Countries”, unless it is not available.

¹⁹ Some MOPAN MIs were not identified for document review. For some organisations, document review on certain MIs was not relevant given the type of indicator (for example, conditionality in the case of UN organisations) or the source of data identified (COMPAS reports).

²⁰ For document review, however, the definition of “Very Weak” is expanded to mean that “the multilateral organisation does not have this system in place and this is a source of concern / or the organisation has no document that can provide evidence of such a system being in place.”

For most micro-indicators, five criteria were established which, taken together, were considered to represent the best practice in that topic area. Each criterion was designed as a yes/no alternative and each “yes” answer counted as one point in the rating. Ratings were arrived at by totalling the number of criteria met, as shown in the following table. The text box to the right shows an example of the criteria used for the document review. These criteria are for micro-indicator I-2A: “The MO’s organisation wide strategy is based on a clear definition of mandate.”

Example of document review criteria

From MI I-2A (The MO’s organisation wide strategy is based on a clear definition of mandate):

1. A top-level statement of the MO mandate (non-IFI) or articles of agreement (IFI) exists
2. The organisational strategic plan articulates goals & focus priorities
3. The organisational strategic plan mentions the MO’s mandate/articles of agreement
4. (If first two criteria are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation’s mandate/articles of agreement
5. (If first three criteria are met) there is an explicit link between these goals and focus priorities to the organisation’s mandate/articles of agreement

Document Review Criteria and Rating

Number of criteria met	Descriptors	Definitions
No criteria met (or required document(s) do not exist)	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place
One criterion met	Weak	The multilateral organisation has this system but there are important deficiencies.
Two criteria met	Inadequate	The multilateral organisation’s system in this area has deficiencies that make it less than acceptable.
Three criteria met	Adequate	The multilateral organisation’s system is acceptable in this area.
Four criteria met	Strong	The multilateral organisation’s system is more than acceptable yet without being “best practice” in this area.
All five criteria met	Very Strong	The multilateral organisation’s system is “best practice” in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source, followed a different rating method. In these cases, ratings were established on a case-by-case basis through the delineation of percentage ranges. The percentage ranges reflected the perspective of MOPAN with respect to what should be considered “Strong” performance in relation to the targets established by the Paris Declaration (meeting the Paris Declaration target, for example, was considered to be “Strong”).

Ratings for key performance indicators (KPIs) were based solely on the ratings for the component micro-indicators in each KPI. Each KPI rating was calculated by taking the arithmetic mean of all micro-indicator ratings in that KPI, rounded to the nearest whole number. This number was given the appropriate descriptor. In cases where the micro-indicator ratings

for one key performance indicator were highly divergent (i.e., if there were two micro-indicators, and one was rated as “very weak” while the other was rated as “very strong”), this was noted in the narrative of the report.

Content Analysis

Documents were reviewed by content analysis based on the themes of the micro-indicators. Specific criteria for assessing the content of documents were developed, based on existing standards and guidelines for each of the indicator areas (for example, any UNEG or OECD-DAC guidelines), on MOPAN identification of key aspects to consider, and on the input of subject-matter specialists.

The analysis included an examination of four broad areas:

- **Quality:** Documents were assessed in terms of their content, and in particular for the presence or absence of particular items or characteristics noted in standards as best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document were examined, such as evidence from budget documents that a certain policy or priority area was being financed, or evidence from evaluations that showed implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type were examined (such as country strategies in different countries) to assess the extent to which criteria were met consistently across the organisation.
- **Improvement over time:** In some cases, documents were examined over several years to assess the extent to which progress could be seen over time.

4. Basis for Judgment

In the past, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. With the introduction of document review, judgments now draw on a variety of sources that can be compared and triangulated.

- **Perceptions:** Survey respondent perceptions are still an important component of the judgments on multilateral organisation performance.
- **Criteria:** The document review process was guided by specific criteria for assessing the content of documents in relation to the micro-indicators. These criteria draw on existing standards where available (e.g., OECD-DAC, UNEG or other standards) and are adapted to the needs of the MOPAN Common Approach. See sidebar for example.

To the extent possible, the assessment standards and criteria are framed in a way that reflects the differences between the multilateral organisations under review. This helps to ensure that judgements reflect the nature of the organisation and its authorising environment.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias, and detect errors or anomalies.²¹ In the Common Approach, triangulation was done in a number of ways:

- Document review ratings were not combined with survey results, but are presented separately to illustrate convergence with or divergence from survey results.
- Other assessments of the organisations were reviewed to help to validate or question the findings.

²¹ Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage

- The findings were widely vetted within the MOPAN network and revised based on feedback from members.
- The reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

The MOPAN reports gain trustworthiness through the multiple reviews and validation processes that are carried out by members of the network and by the multilateral organisations themselves.

5. Strengths and Limitations of the Common Approach

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools.
- It is derived from, and meant to replace, seven existing bilateral assessment tools. It is also meant to forestall the development of other assessment approaches.
- It seeks perceptual information from two different perspectives: MOPAN members (both at headquarters and country level) and direct partners/clients of multilateral organisations. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action regarding harmonisation, partner voice, and mutual accountability.
- It complements perception data with document review, thus adding an additional data source. This should enhance the analysis and basis for discussion on agency effectiveness, and increase the validity of the methodology through triangulation of data sources.
- The reports undergo a validation process, including multiple reviews by MOPAN members.
- MOPAN strives to have some degree of consistency across its survey questions and document review for each of the multilateral organisations, while allowing for certain customisation to account for differences between the types of multilateral organisations.

Limitations

As a learning organisation, MOPAN will continue to make improvements in the methodology based on the experience in each year of implementation. The following limitations should be taken into consideration when reading the MOPAN reports.

MOPAN Framework

- The countries were selected based on established MOPAN criteria and comprise only a small proportion of each institution's total portfolio of partner/clients, thus limiting broader generalisations.²²
- The Common Approach indicators are designed for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, there is a need for greater nuance in the analysis.

²² MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread, with a bias toward Asian countries given that the ADB was assessed in 2010.

Sources of Data

- The Common Approach is based on a perception survey and document review; it does not include interviews, focus groups, and other data collection methods that can help to analyse the current state of results-oriented behaviours, systems, and procedures in the organisation. It produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's direct partners/clients.
- The MOPAN Common Approach asks MOPAN members and the organisations assessed to identify the most relevant individuals to complete the survey. MOPAN does not have a way of determining if the most knowledgeable and qualified individuals are the ones completing the survey.
- Because one of MOPAN's intentions is to merge existing assessment tools into one, and to forestall the development of others, the survey instrument is still quite long. If documents prove to be an appropriate source of data for some of the MIs, MOPAN may consider eliminating some survey questions in the future.
- Some questions, particularly those referring to the internal operations of the organisations, are challenging for respondents to answer and were characterised by high levels of respondents answering 'don't know.'
- Perception data has several potential limitations, one of which is 'central tendency bias', or the tendency of respondents to avoid the extreme points of the scale.
- In some countries, MOPAN was either just short or systematically short of the quotas set for the different respondent groups. There were challenges in getting responses from high ranking officials and in using an online survey as a primary method for collecting data from direct partners/clients. In some countries, such as Sri Lanka, the timing was also an issue due to general elections and/or public holidays during the survey period.
- The document review was limited by the availability of documents in certain indicator areas related to the internal procedures of the organisations (e.g., on audit and human resource policies).

Sampling

- The countries surveyed in the 2010 assessment, which were selected based on established MOPAN criteria,²³ comprise only a small proportion of ADB's programming. As a result of this sampling approach, no country from the Pacific region was included among the sampled countries, despite ADB's active involvement in this region.
- Similarly, the selection of countries also determined the universe of country programming documents reviewed. Documents were only collected from the four countries selected for the survey sampling.

Data Analysis

- While the document review can comment on the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).
- 2010 has been the first year a document review was carried out and it is therefore likely to require further refinement.

²³ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread, with a bias toward countries in Asia given that the Asian Development Bank (ADB) was assessed in 2010.

Basis for Judgment

- For many of the MOPAN indicators there are no pre-established standards or criteria for what constitutes good practice for a multilateral organisation. As a result, many of the criteria for the review of the content of documents have been developed for MOPAN to meet the needs of this assessment process.
- In the document review component, low ratings may be due to the lack of appropriate documents available in relation to the assessment criteria.

Despite the limitations, in general, we contend that the data presents a reasonable picture of the systems associated with the internal effectiveness of the multilateral organisations.

Appendix II MOPAN Common Approach Survey for ADB, 2010

Note: This is the survey used to assess the ADB in 2010. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Your time spent in participating in the MOPAN Common Approach is very much appreciated.

[1 - Agency - multiple]

Which of the following Multilateral Organisations will you be able to assess?

- ☐ 1. ADB/BAD/BAsD
- ☐ 2. IFAD/FIDA
- ☐ 3. UNFPA/FNUAP/FPNU
- ☐ 4. WHO/OMS

[2 - Level - single]

Samplegroup - Autoanswered

- ☐ 1. HQ
- ☐ 2. CO
- ☐ 3. DP

[ADB]

Welcome to the Survey for the MOPAN Common Approach in 2010 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions of the Asian Development Bank (ADB), as well as your knowledge. Your perceptions may be shaped by anything you have seen, heard about or read, and by your general impressions.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take around 30 minutes to complete. Note, however, that it may take longer depending on the answers you give.

Please Note: It would be ideal if you would complete the survey in one session;

however, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in the email you received from us.

If at any point you have questions about this survey please contact
mopan2010@capacent.com.

At any point you can move back and forth in the questionnaire if you would like to change a response or a comment.

[3 - single]

Which of the following best describes how often you, in your professional role, have contact with the ADB?

- ☐ 1. Daily
- ☐ 2. Weekly
- ☐ 3. Monthly
- ☐ 4. A few times per year or less
- ☐ 5. Never

[Screener question]

[4 - single]

You have been identified to assess the organisational practices, systems and behaviours of the Asian Development Bank (ADB). However, before answering the questionnaire we would like to know how familiar you are with the ADB and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is 'very familiar' and 1 is 'not at all familiar'.

- ☐ 1. 5 - Very familiar
- ☐ 2. 4
- ☐ 3. 3
- ☐ 4. 2
- ☐ 5. 1 - Not at all familiar

[Overall Performance]

Now we would like to ask you a few questions about the effectiveness of the

ADB, its strengths and its areas for improvement.

[5 - single]

Thinking about ADB, and the way it operates, what do you consider to be its greatest strength?

- ☐ 1. Please type your answer into the box below.

[6 - single]

And still thinking about ADB and the way it operates, what do you consider to be the area where it most needs improvement?

- ☐ 1. Please type your answer into the box below.

[7 - single]

How would you rate the overall internal **effectiveness** of ADB?

Please use the scale below, where 5 means "very effective" and 1 means "not effective at all."

DEFINITION: **Effectiveness** = 'being organised to support clients/partners to produce and deliver expected results.'

- ☐ 1. 1 - Not effective at all
☐ 2. 2
☐ 3. 3
☐ 4. 4
☐ 5. 5 - Very effective
☐ 6. Don't Know

Now we would like to ask you some questions about specific aspects of the performance of ADB. In thinking about these questions, please consider all you know about ADB.

[Performance areas]

You will see a series of statements that describe the practices, systems or behaviours in any Multilateral Organisation. Please rate how you think the ADB performs in those areas. You will see a scale from 1 to 6 where 6 means that it is "very strong", 5 means it is "strong", 4 means it is "adequate", 3 means it is "inadequate", 2 means it is "weak" and 1 means that it is "very weak." The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE

Very strong = The ADB's practice, behaviour or system is "best practice" in this area.

Strong = The ADB's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

Adequate = The ADB's practice, behaviour or system is acceptable in this area.

Inadequate = The ADB's practice, behaviour or system in this area has deficiencies that make it less than acceptable.

Weak = The ADB has this practice, behaviour or system, but there are important deficiencies.

Very weak = The ADB does not have this practice, behaviour or system in place and this is a source of concern.

[Strategic Management]

First of all we would like to ask you about Strategic Management, and specifically organisational governance. According to what you know about ADB's governance, how do you think ADB performs in relation to the practices, systems or behaviours described in the following statement(s)? All words typed in bold have definitions - see definitions below the questions.

[Corporate Governance]

[8 - single]

ADB's institutional culture reinforces a focus on results

- ☐ 1. 1 - Very weak
☐ 2. 2 - Weak
☐ 3. 3 - Inadequate
☐ 4. 4 - Adequate
☐ 5. 5 - Strong
☐ 6. 6 - Very strong
☐ 7. Don't Know

[9 - single]

ADB's institutional culture is **client** focused
(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[10 - single]

ADB's senior management shows leadership on **results management**
(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[11 - single]

ADB makes **key documents** easily accessible to the public
(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **Clients** = Organisations that receive a direct transfer of finances or technical assistance from a Multilateral Organisation (MO) - such as national government departments, civil society organisations and private entities.

DEFINITION: **Results management** = management for results, or Results-Based Management (RBM). That is, managing and implementing aid in a way that focuses on the desired results and uses information to improve decision-making

DEFINITION: **Key documents** = documents that describe strategies at organisation-wide, country, and / or project/program level

[12 - single]

Do you have any additional comments on

ADB's corporate governance?

- ☐ 1. Yes, note:
- ☐ 2. No

[M2_Corporate Strategy]

Still thinking about Strategic Management, but now about organisation-wide strategies, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[13 - single]

ADB has a clear mandate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[14 - single]

ADB's organisation-wide **strategy/strategies** are aligned with the mandate
(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[15 - single]

ADB ensures the application of results management across the organisation.

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[16 - single]

ADB's strategies contain **frameworks of expected management and development results**.

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate

- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **strategy/strategies** = high level document(s) that guide and direct the operations of the MO.

DEFINITION: **frameworks of expected management and development results** = Frameworks of expected results are usually tables that contain statements about expected achievements at different levels. The results statements show causal links between activities, outputs, outcomes, and impacts. These results frameworks will have links to country outcomes as set out in country strategies.

[17 - single]

ADB's **results frameworks** in organisation-wide strategies have **causal links** from outputs through to outcomes and impact. (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[18 - single]

ADB's **results frameworks** in strategies include measurable indicators at output and outcome levels (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **Causal links** = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that to be used for results management, results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance

relationship between the results statements.

DEFINITION: **Results frameworks** =

Frameworks of expected results are usually tables that contain statements about expected achievements at different levels. The results statements show causal links between activities, outputs, outcomes, and impacts. These results frameworks will have links to country outcomes as set out in country strategies.

[M3_Corporate Strategy]

Now we would like you to think about how ADB approaches 'cross-cutting' priorities. According to what you know about ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[19 - single]

ADB sufficiently mainstreams gender equality in its operations

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[20 - single]

ADB sufficiently mainstreams environment in its operations

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[21 - single]

ADB sufficiently promotes the principles of good governance in its operations.

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[22 - single]

ADB sufficiently promotes private sector development

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[23 - single]

ADB sufficiently promotes regional cooperation

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[24 - single]

ADB has sufficient cross-cutting focus on climate change

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[25 - single]

Do you have any additional comments on ADB's corporate strategy?

- ☐ 1. Yes, note:
- ☐ 2. No

[M4_Strategies - Country]

Now we would like to ask you about strategies at the country, sector and thematic levels. Thinking now about ADB's strategies, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[26 - single]

ADB has results frameworks that link results across project, sector and **country levels**

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak

- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[27 - single]

ADB's results frameworks include indicators at all levels (country, sector and project)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[28 - single]

ADB country strategies contain statements of expected results consistent with those in the country's **national development strategies**

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[29 - single]

ADB consults with **beneficiaries** to develop its expected results

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[30 - single]

ADB's country strategies include results for the thematic areas it defines as cross-cutting priorities (e.g., gender equality, environment, governance)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **Country levels** = At the country level, this question may refer to an organisation's country strategy

DEFINITION: **National development strategies** = National development strategies are plans or strategies that set out the country's national development priorities

DEFINITION: **Beneficiaries** = individuals, groups, or organisations who are the intended end recipients of the benefits of development interventions

[31 - single]

Do you have any additional comments on ADB's strategies?

- ☐ 1. Yes, note:
- ☐ 2. No

[32 - single]

Which of the following areas do you consider to be the most important for the strategic management of the ADB? Choose the one that you find most important:

- ☐ 1. Direction for results provided by its Executive management
- ☐ 2. Focus on results in its organisational strategies
- ☐ 3. Focus on the cross-cutting thematic priorities identified in its strategic framework

[33 - single]

Which of the following areas do you consider to be the most important for the strategic management of the ADB? Choose the one that you find most important:

- ☐ 1. Direction for results provided by its Executive management
- ☐ 2. Focus on the cross-cutting thematic priorities identified in its strategic framework
- ☐ 3. A results focus in its country strategies

[34 - single]

Is there anything further you would like to say about ADB's Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please note
- ☐ 2. No

[Operational Management]

According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

Financial Resources and Risk Management

[35 - single]

ADB publishes its criteria for allocating **concessional aid funding** (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **Concessional aid funding** = Focus is on concessional funding through the Asian Development Fund

[36 - single]

ADB allocates concessional aid funding according to the published criteria

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[Financial Resources 1]

Financial Resources and Risk Management

According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[37 - single]

ADB links loans and grants to expected results

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong

- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[38 - single]

When ADB reports on results they include the amounts disbursed to achieve those results

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[Financial Resources 2]

Financial Resources and Risk Management

Still thinking about financial resources and risk management:

According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[39 - single]

ADB external audits are meeting the needs of donors

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[40 - single]

ADB performs appropriate audits on programs and projects at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[41 - single]

ADB has appropriate policies or guidelines in place to follow up on financial irregularities and corruption

- ☐ 1. 1 - Very weak

- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[42 - single]

ADB conducts internal financial audits to provide objective information to its governing body

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[43 - single]

ADB follows up on policies or guidelines on financial management and anti-corruption

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[44 - single]

ADB has procurement and contract management processes for the provision of services or goods that are usually timely, efficient and effective

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[45 - single]

ADB implements strategies and plans for **risk management**

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: risk management = Risk management involves the identification,

analysis, monitoring, mitigation, and reporting of those risks that impact on achievement of results, and actions to address them.

[46 - single]

Do you have any additional comments on ADB's financial resources and risk management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Management]

Now we'd like you to think about Performance Management - the way ADB manages the performance of its operations. According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[47 - single]

ADB uses project, sector and country information on performance to revise corporate strategies

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[48 - single]

ADB uses information on country performance to plan new interventions at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[49 - single]

ADB actively manages "unsatisfactory" projects from the previous fiscal year

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong

- ☐ 7. Don't Know

[50 - single]

ADB appropriately tracks the implementation of evaluation recommendations reported to the Board

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[51 - single]

Do you have any additional comments on ADB's performance management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Human Resources Management]

Now we'd like you to think about the way ADB handles Human Resources. According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in the following statement(s)?

[52 - single]

ADB uses results-focused performance assessment systems for senior staff

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[53 - single]

ADB uses a transparent system to manage staff performance

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[54 - single]

ADB transparently recruits and promotes staff based upon merit

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[55 - single]

ADB keeps deployed international staff in country offices for a sufficient time to maintain effective partnerships at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[56 - single]

Do you have any additional comments on ADB's human resources management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Portfolio Management]

Now we'd like you to think about Portfolio Management. According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[57 - single]

ADB subjects new loans and credits to **impact analysis** prior to approval (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[58 - single]

ADB sets targets to enable monitoring of progress in project implementation at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[59 - single]

ADB's project tasks are managed at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[60 - single]

ADB can approve new loans/credits activities locally, within a budget cap

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **impact analysis**= including environmental, social and economic impacts

[61 - single]

Do you have any additional comments on ADB's portfolio management?

- ☐ 1. Yes, note:
- ☐ 2. No

[62 - single]

Which of the following areas do you consider to be the most important in the effective operational management of the ADB? Choose the one that you find most important:

- ☐ 1. Transparent and predictable aid allocation decisions
- ☐ 2. Link between the allocation and disbursement of resources and expected results

- ☐ 3. Policies and processes for financial accountability
- ☐ 4. Use of performance information on results
- ☐ 5. Transparent human resource management system
- ☐ 6. Performance oriented programming at country and regional level

[63 - single]

Which of the following areas do you consider to be the most important in the effective operational management of the ADB? Choose the one that you find most important:

- ☐ 1. Transparent and predictable aid allocation decisions
- ☐ 2. Policies and processes for financial accountability
- ☐ 3. Use of performance information on results
- ☐ 4. Transparent human resource management system
- ☐ 5. Performance oriented programming at country and regional level
- ☐ 6. Delegation of decision making authority to country or other levels

[64 - single]

Before moving on to the next section, is there anything further you would like to say about ADB's Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Relationship Management]

Now we would like to ask you about some aspects of Relationship Management - that is, ADB's relationship with its clients and other stakeholders.

[Ownership]

To start with, some questions related to the principle of country ownership. According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[65 - single]

ADB supports funding proposals designed and developed by the national government or clients

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[66 - single]

ADB applies conditionality that corresponds with the national government's goals and benchmarks

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[67 - single]

ADB uses procedures that can be easily understood and followed by clients

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[68 - single]

The length of time it takes to complete ADB procedures does not affect implementation

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[69 - single]

ADB adjusts overall portfolio in country quickly, to respond to changing circumstances

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong

☐ 7. Don't Know

[70 - single]

ADB flexibly adjusts its implementation of individual projects/programs as learning occurs

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[71 - single]

Do you have any additional comments on ADB's performance with regard to ownership?

- ☐ 1. Yes, note:
- ☐ 2. No

[Alignment]

Now some questions about the principle of alignment. According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[72 - single]

ADB's expected disbursements are recorded in governments' national budgets where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[73 - single]

ADB uses national budget execution procedures in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[74 - single]

ADB uses national procurement systems in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[75 - single]

ADB uses national financial reporting procedures in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[76 - single]

ADB uses national auditing procedures in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[77 - single]

ADB avoids the use of parallel project implementation units

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[78 - single]

ADB encourages mutual accountability assessment of Paris Declaration and ACCRA Agenda for Action commitments

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[79 - single]

ADB uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc.)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[80 - single]

ADB provides valuable inputs to policy dialogue

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[81 - single]

ADB respects the views of clients when it undertakes policy dialogue

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[82 - single]

Do you have any additional comments on ADB's performance with regard to alignment?

- ☐ 1. Yes, note:
- ☐ 2. No

[Harmonisation]

Thinking now about issues related to harmonisation, according to what you know about ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[83 - single]

ADB participates in joint missions

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong

☐ 6. 6 - Very strong

☐ 7. Don't Know

[84 - single]

ADB's technical assistance is provided through coordinated programs in support of capacity development

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[85 - single]

ADB participates in program-based approaches (other than through budget support)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[86 - single]

Do you have any additional comments on ADB's performance with regard to harmonisation?

- ☐ 1. Yes, note:
- ☐ 2. No

[87 - single]

Which of the following areas do you consider to be the most important in the effective relationship management of the ADB? Choose the one that you find most important:

- ☐ 1. Coordination of aid programming in support of agreed national plans
- ☐ 2. Procedures that take into account local conditions and capacities
- ☐ 3. Use of country systems for disbursement and operations
- ☐ 4. Value added to policy dialogue
- ☐ 5. Harmonisation of arrangements and procedures with other programming partners

[88 - single]

Before moving on to the next section, is there anything further you would like to say about ADB's Relationship Management? This could be anything related to the

statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Knowledge Management]

In this last section we would like to ask you about knowledge management within ADB. In this area, we would first of all like to ask you about Performance Monitoring and Evaluation.

[Performance Monitoring]

According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in the following statement(s)?

[89 - single]

ADB has an independent evaluation unit that reports directly to the Board or Governing Council

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[90 - single]

ADB ensures that a sufficient proportion of completed programs and projects are subject to independent evaluation

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[91 - single]

ADB requires the involvement of key clients and beneficiaries in monitoring and evaluation functions

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[92 - single]

Do you have any additional comments on ADB's performance monitoring and evaluation?

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Reporting]

Please think now about Performance Reporting.

According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[93 - single]

ADB reports to the governing body on performance, including progress against targets set in its corporate strategies

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[94 - single]

ADB reports to its governing body on performance in relation to its Paris Declaration commitments

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[95 - single]

Do you have any additional comments on ADB's performance reporting?

- ☐ 1. Yes, note:
- ☐ 2. No

[Dissemination]

And finally, thinking about the way ADB disseminates lessons learned from its performance.

According to what you know about ADB, how do you think ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[96 - single]

ADB identifies and disseminates lessons learned from performance information

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[97 - single]

ADB provides opportunities at all levels of the organisation to share lessons from practical experience

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[98 - single]

Do you have any additional comments on how ADB's disseminates lessons learned?

- ☐ 1. Yes, note:
- ☐ 2. No

[99 - single]

Which of the following areas do you consider to be the most important in the effective knowledge management of the ADB? Choose the one that you find most important:

- ☐ 1. Consistent monitoring and evaluation of its programming/operational activities
- ☐ 2. Reporting on effectiveness
- ☐ 3. Identification, documentation and dissemination of lessons learned

[100 - single]

Is there anything further you would like to say about ADB's Knowledge Management? This could be anything related to the statement(s) you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Background Questions]

[391 - single]

What MOPAN member country do you work with?

- ☐ 1. Australia
- ☐ 2. Austria
- ☐ 3. Belgium
- ☐ 4. Canada
- ☐ 5. Denmark
- ☐ 6. Finland
- ☐ 7. France
- ☐ 8. Germany
- ☐ 9. Ireland
- ☐ 10. Republic of Korea
- ☐ 11. The Netherlands
- ☐ 12. Norway
- ☐ 13. Spain
- ☐ 14. Sweden
- ☐ 15. Switzerland
- ☐ 16. United Kingdom

[392 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in offices in the capital
- ☐ 2. MOPAN member organisation, in the permanent mission or executive board office at the MO
- ☐ 3. Other

[393 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in country office (including embassies)
- ☐ 2. Other

[394 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. National parliament or legislature
- ☐ 2. Government - line ministry
- ☐ 3. Government - ministry of finance/statistics/planning/economics
- ☐ 4. Government - other
- ☐ 5. NGO or other civil society organisation
- ☐ 6. Academic institution
- ☐ 7. Parastatal
- ☐ 8. Other

[395 - single]

How would you define your level of seniority within the organisation? Choose the one that best describes your position:

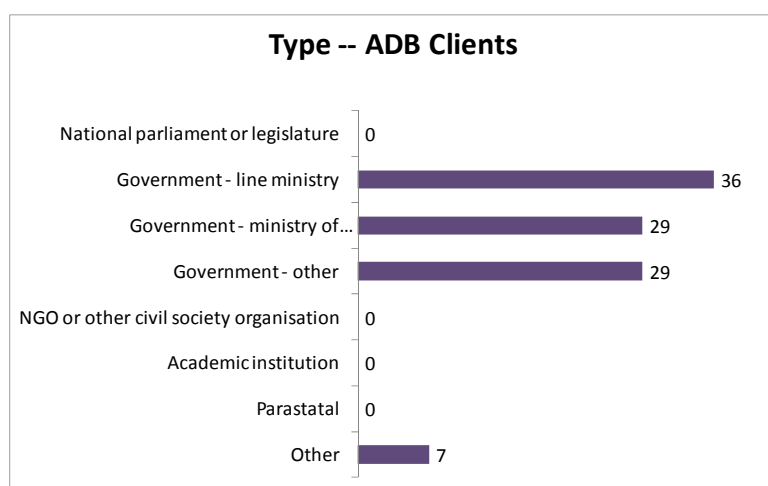
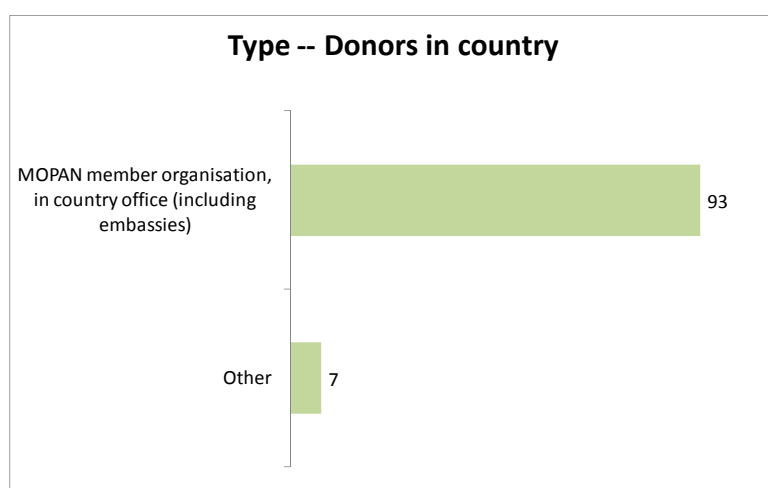
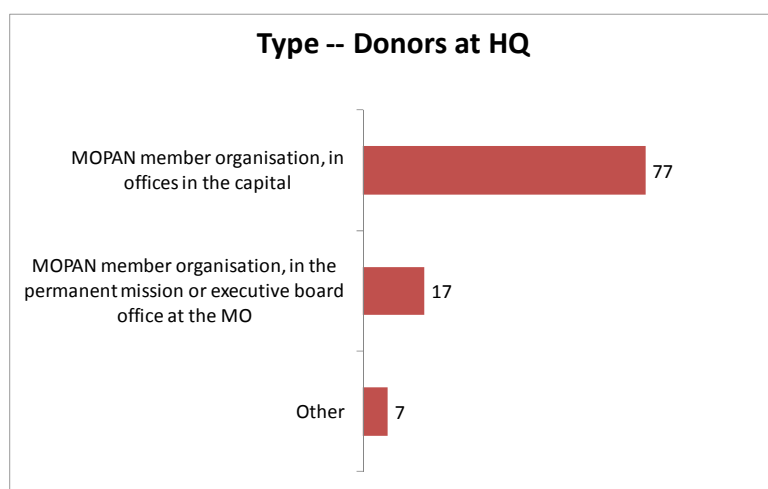
- ☐ 1. Senior-level professional
- ☐ 2. Mid-level professional
- ☐ 3. Junior staff member

[End of Interview]

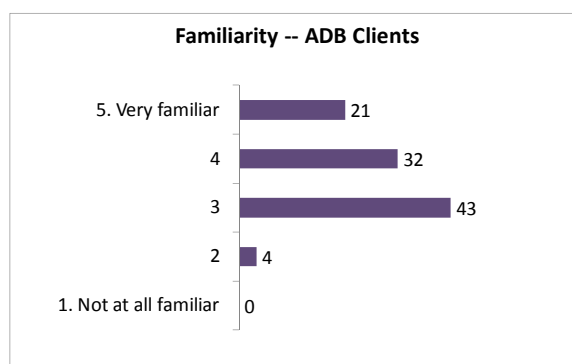
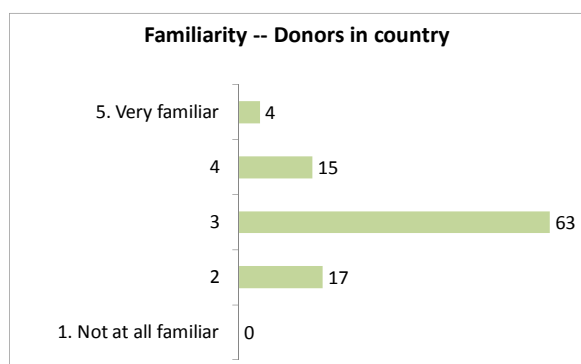
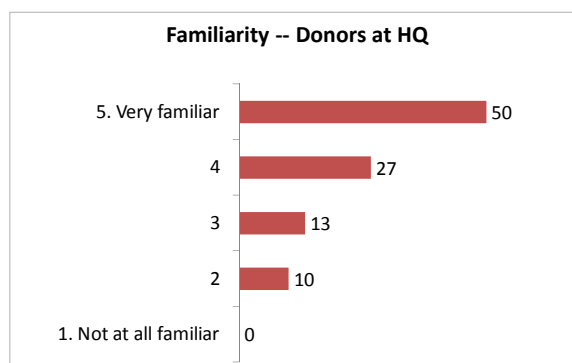
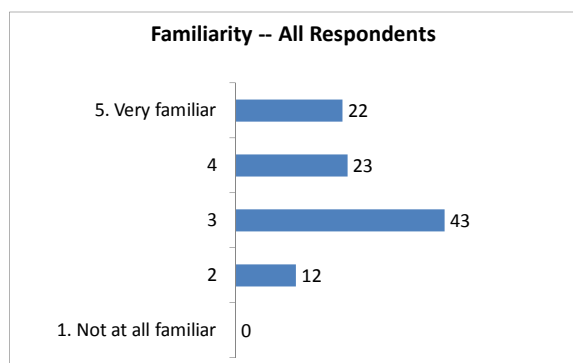
Thank you very much for sharing your insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

Appendix III Respondent Profile

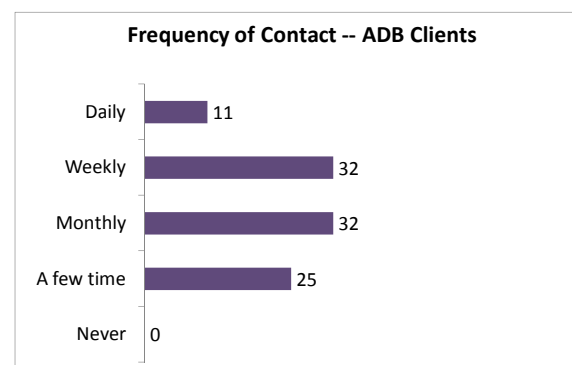
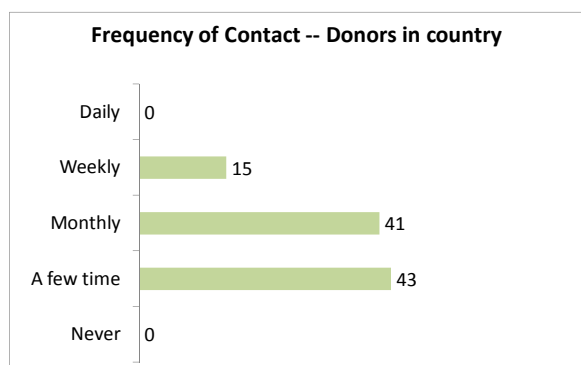
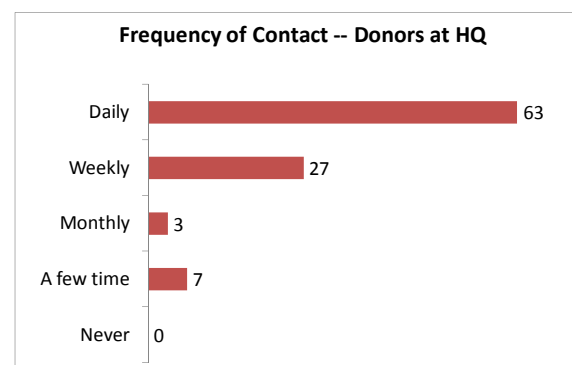
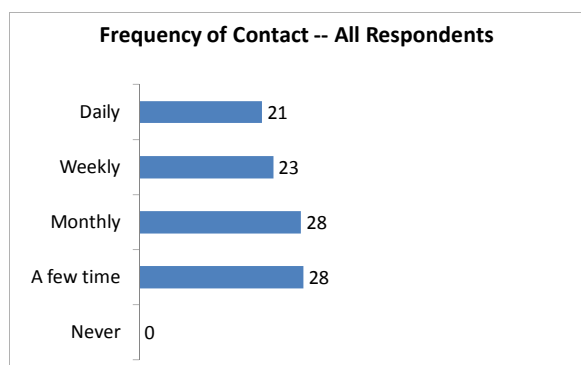
Types of Respondents (in percent)



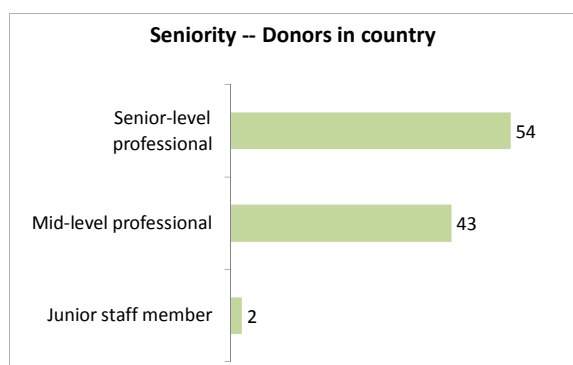
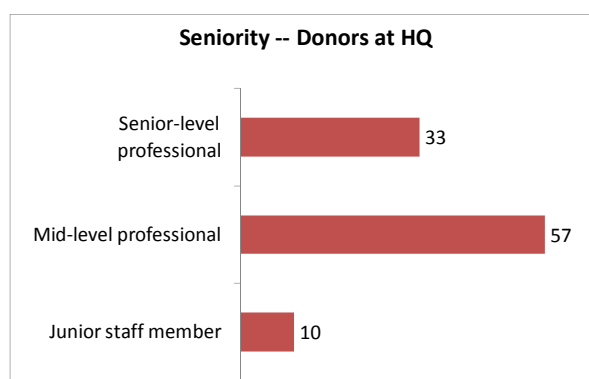
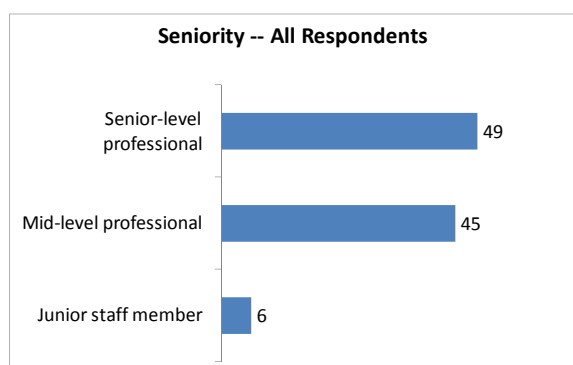
Respondent Familiarity with Multilateral Organisation (in percent)



Respondent Frequency of Contact with Multilateral Organisation (in percent)



Respondent Level of Seniority



Appendix IV Base Size and Rate of ‘Don’t Know’ Responses

N (#) = number of respondents who were asked the question (un-weighted data).

% DK = percentage of respondents who indicated “Don’t Know” to the question (weighted data).

“--” indicates that the question was not asked among a particular respondent group

I- Strategic Management

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO’s Executive Management provides direction for the achievement of external / beneficiary focused results	79	6	30	4	46	17	28	0
A. MO has a value system that supports a results-orientation and a direct partner focus	104	11	30	7	46	27	28	0
B. MO Executive Management shows leadership on results management	30	3	30	3	--	--	--	--
C. Key MO documents are available to the public.	104	5	30	3	46	12	28	0
2. The MO’s corporate strategies and plans are focused on the achievement of results	30	4	30	4	--	--	--	--
A. The MOs organisation wide strategy is based on a clear definition of mandate	30	3	30	3	--	--	--	--
B. MO has an organisation wide policy on results management	30	7	30	7	--	--	--	--
C. Organisation wide plans and strategies contain frameworks of expected management and development results	30	3	30	3	--	--	--	--
D. Results frameworks have casual links from outputs through to impacts / final outcomes	30	3	30	3	--	--	--	--
E. Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	30	7	30	7	--	--	--	--
3. The MO has adopted a strategic focus on the cross-cutting thematic priorities identified in its strategic framework, based on its mandate and international commitments	104	14	30	12	46	24	28	5
A. Gender equality	104	17	30	13	46	32	28	6
B. Environmental policy, environmental assessment practices and overall environmental management system	104	9	30	13	46	13	28	0
C. Good Governance	104	9	30	13	46	13	28	0
D. Private sector development	104	13	30	10	46	16	28	13
E. Regional cooperation	104	16	30	10	46	32	28	7
F. Climate change	104	19	30	13	46	36	28	6
4. MO’s country strategy is results-focused	74	18	--	--	46	29	28	6

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
A. Results frameworks that link results at project, programme, sector, and country levels	74	21	--	--	46	38	28	4
B. Frameworks include indicators at project, programme, sector, and country levels	74	22	--	--	46	38	28	7
C. Statements of expected results consistent with those in the PRSP, national plan, or UNDAF.	74	14	--	--	46	21	28	7
D. Statements of expected results are developed through consultation with clients and beneficiaries	74	10	--	--	46	19	28	0
E. Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate).	74	21	--	--	46	32	28	11

II- Operational Management

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO makes transparent and predictable aid allocation decisions	104	18	30	12	46	30	28	12
A. The MO publishes its criteria for allocating funding	104	28	30	20	46	45	28	18
B. The MO's allocations follow the criteria	104	7	30	3	46	13	28	6
C. Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	--	--	--	--	--	--	--	--
2. MOs aid financial management is linked to aid performance management	30	15	30	15	--	--	--	--
A. Aid budget allocations (or lending) are linked to expected development results	30	7	30	7	--	--	--	--
B. Aid or lending disbursements are linked to reported results (variances explained)	30	23	30	23	--	--	--	--
3. MOs have policies and processes for financial accountability (financial accountability, risk management, anti-corruption)	59	19	17	18	46	29	28	9
A. Are external audits (meeting recognized international standards) performed across the organisation.	30	13	30	13	--	--	--	--
B. Are external audits (meeting recognized international standards) are performed at the regional, country or project level (as appropriate)	74	18	0	--	46	29	28	7
C. Are there guidelines in place for immediate measures against irregularities identified at the country (or other) level	74	21	0	--	46	29	28	12
D. Internal financial audit processes are used to provide management / governing bodies with neutral information	30	27	30	27	--	--	--	--
E. Does the MO have a policy on anti-corruption	104	18	30	10	46	33	28	12
F. Are the MO's procurement and contract management processes for the provision of services or goods timely, efficient and effective	74	16	0	--	46	26	28	6
G. MO has strategies in place for risk identification, mitigation, monitoring and reporting	30	20	30	20	--	--	--	--
4. Performance information on results is used by the MO for:	52	25	30	20	46	43	28	19
A. Revising and adjusting policies	30	13	30	13	--	--	--	--
B. Planning new interventions	74	22	--	--	46	26	28	18
(IFI) C. "unsatisfactory" investments, programmes or projects from the previous fiscal year are subject to proactive management	74	39	--	--	46	59	28	19
D. Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	30	27	30	27	--	--	--	--

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
5. The MO manages human resources using methods to improve organisational performance	41	21	30	23	46	20	28	10
A. Results focused performance agreement systems are in place for senior staff (Including Country Directors)	30	27	30	27	--	--	--	--
B. There is a transparent incentive and reward system for staff performance	30	30	30	30	--	--	--	--
C. Staff recruitment and promotion is meritocratic and transparent	30	13	30	13	--	--	--	--
D. The speed of staff rotation in post is adequate for the development of effective country level partnerships	74	15	--	--	46	20	28	10
6. Country / regional programming processes are performance oriented.	52	16	30	17	46	29	28	4
A. Prior to approval new initiatives are subject to independent benefits analysis (economic, social, etc)	30	17	30	17	--	--	--	--
B. Milestones / targets are set to rate the progress of (project) implementation	74	16	--	--	46	29	28	4
7. The MO delegates decision-making authority (to the country or other levels)	74	32	--	--	46	48	28	16
A. Aid reallocation decisions can be made locally	74	18	--	--	46	25	28	10
B. New aid programmes / projects can be approved locally within a budget cap	74	46	--	--	46	70	28	23

III- Relationship Management

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans	74	18	--	--	46	28	28	7
A. Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself	74	9	--	--	46	18	28	0
B. MO conditionality (if any) draws on national / government 's own agreed benchmarks / indicators / results	74	26	--	--	46	38	28	15
2. The MO's procedures take into account local conditions and capacities	74	16	--	--	46	31	28	2
A. The procedures of the MO can be easily understood and completed by partners	74	17	--	--	46	34	28	0
B. The length of time for completing MO procedures does not have a negative effect on implementation	74	11	--	--	46	23	28	0
C. The MO has the operational agility to respond quickly to changing circumstances on the ground	74	18	--	--	46	32	28	4
D. The MO has operational flexibility in the way it implements programmes / project and deals with budget issues (during implementation) [The MO has the ability to adjust to changing circumstances as it implements programmes / projects]	74	20	--	--	46	36	28	4
3. The MO uses country systems for disbursement and operations	74	31	--	--	46	37	28	21
A % of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	74	26	--	--	46	31	28	22
B. % of the MOs overall ODA disbursements / support using national systems and procedures	74	24	--	--	46	26	28	22
C. % of all MOs project implementation units that operated in parallel with those of government structures	74	26	--	--	46	38	28	13
D. The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	74	41	--	--	46	35	28	47
E. The MO uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc)	74	38	--	--	46	47	28	29
4. The MO adds value to policy dialogue with its direct partners	104	12	30	10	46	20	28	5
A. MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	104	11	30	10	46	15	28	6
B. The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	104	13	30	10	46	24	28	4

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
5. The MOs harmonizes arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate	74	14	--	--	46	20	28	9
A. The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	74	10	--	--	46	14	28	6
B. The extent to which MO technical cooperation is disbursed through coordinated programmes	74	12	--	--	46	16	28	8
D. % of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	74	21	--	--	46	30	28	11

IV- Knowledge Management

	Total		Donors at HQ		Donors in-country		ADB Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO consistently monitors and evaluates its delivery and external results	45	12	30	12	46	25	28	4
A. The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	30	7	30	7	--	--	--	--
B. # of completed programmes and projects subject to independent ex-post evaluations conducted subsequent to termination, as % of average # of projects completed annually over last 5 years.	30	17	30	17	--	--	--	--
C. Have direct beneficiaries and stakeholder groups been involved with monitoring and evaluation processes	75	14	--	--	46	25	28	4
2. The MO presents performance information on its effectiveness	30	8	30	8	--	--	--	--
A. Reports on the achievement of outcomes, not just inputs, activities and outputs	30	3	30	3	--	--	--	--
B. Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--
C. Reports against its Corporate Strategy, including expected management and development results	--	--	--	--	--	--	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	30	13	30	13	--	--	--	--
E. Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	--	--	--	--	--	--	--	--
F. Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--
3. The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	30	22	30	22	--	--	--	--
A. Reports on lessons learned based on performance information	30	13	30	13	--	--	--	--
B. Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	30	30	30	30	--	--	--	--

Appendix V KPI and MI Data by Quadrant

Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the three respondent groups;
- b) equal weight is given to each of the countries where the survey took place;
- c) equal weight is given to donors in country and direct partners within each country where the survey took place

However, the base is un-weighted.²⁴

For all the tables in the appendix:

HQ = Donors at headquarters, CD = Donors in-country, CL = ADB Client

Total – includes all respondents

“--” indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)
Inadequate (2.5-3.49)

I- Strategic Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	104	30	46	28
1. Providing direction for results	4.35	4.44	4.06	4.25
A.i) Institutional culture reinforces a focus on results	4.15	4.07	3.71	4.55
A.ii) Institutional culture is client focused	4.21	4.36	4.03	4.21
B. Leadership on results management	4.59	4.59	--	--
C. Key documents available to the public	4.29	4.52	4.24	4.12
2. Corporate focus on results	4.48	4.48	--	--
A.i) Has a clear mandate	5.14	5.14	--	--
A. ii) Organisation-wide strategies aligned with mandate	4.93	4.93	--	--
B. Organisational policy on results management	4.39	4.39	--	--
C. Plans and strategies contain results frameworks	4.48	4.48	--	--
D. Results frameworks link outputs to final outcomes/impacts	4.11	4.11	--	--
E. Plans and strategies contain performance indicators	4.41	4.41	--	--
3. Focus on thematic priorities	4.16	4.01	3.95	4.45
A. Gender equality	3.39	2.62	3.14	4.29
B. Environment	4.13	3.96	3.86	4.52
C. Good Governance	4.21	3.92	3.97	4.68
D. Private sector development	4.37	4.33	4.43	4.34
E. Regional cooperation	4.57	4.81	4.48	4.39
F. Climate change	4.26	4.38	3.80	4.46
4. Country focus on results	4.13	--	3.83	4.35
A. Frameworks link results at project, program, sector, and country levels	4.16	--	3.84	4.37
B. Frameworks include indicators at project, program, sector, and country levels	4.15	--	3.90	4.32
C. Expected results consistent with national development strategies	4.26	--	4.19	4.32
D. Results developed in consultation with clients and beneficiaries	3.97	--	3.43	4.41
E. Results for thematic priorities included in country level frameworks	4.10	--	3.82	4.32

²⁴ For a description of weighting, please see the Methodology in Appendix I.

II- Operational Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	105	30	47	28
1. Aid allocation decisions	4.57	4.87	4.04	4.57
A. Publishes criteria for allocating concessional funding	4.45	4.83	4.09	4.31
B. Allocations for concessional funding follow the criteria	4.69	4.91	4.00	4.84
2. Linking aid management to performance	3.91	3.91	--	--
A. Allocations linked to expected results	4.07	4.07	--	--
B. Disbursements linked to reported results (variances explained)	3.74	3.74	--	--
3. Financial accountability	4.35	4.32	3.91	4.68
A. External audits performed across the organisation	4.23	4.23	--	--
B. External audits performed at regional, country, and project level	4.29	--	3.91	4.57
C. Guidelines for immediate measures against irregularities	4.62	--	4.08	5.05
D. Internal financial audit processes provide neutral information	4.50	4.50	--	--
E. Policy on anti-corruption	4.27	4.07	3.97	4.71
F. Procurement /contract management timely, efficient and effective	4.08	--	3.68	4.40
G. Strategies for risk management	4.46	4.46	--	--
4. Using performance information	4.11	4.14	3.81	4.25
A. Using information for revising and adjusting policies	4.23	4.23	--	--
B. Using information for planning new interventions	4.35	--	4.12	4.55
C. Subjecting "unsatisfactory" investments to proactive management	3.79	--	3.50	3.94
D. Evaluation recommendations are acted upon	4.05	4.05	--	--
5. Managing human resources	3.30	2.98	3.77	4.69
A. Performance agreement systems for senior staff	3.23	3.23	--	--
B. Transparent incentive/reward system for staff performance	2.95	2.95	--	--
C. Staff recruitment and promotion is meritocratic and transparent	2.77	2.77	--	--
D. Staff rotation is adequate for development of effective partnerships	4.26	--	3.77	4.69
6. Performance oriented programming	4.27	4.24	4.18	4.39
A. New initiatives subject to benefits analysis	4.24	4.24	--	--
B. Milestones / targets to rate progress of implementation	4.30	--	4.18	4.39
7. Delegating decision making	3.92	--	3.88	4.00
A. Aid reallocation decisions can be made locally	4.10	--	3.78	4.36
B. New programs / projects can be approved locally within a budget cap	3.73	--	3.98	3.64

III- Relationship Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	105	30	47	28
1. Supporting national plans	4.24	--	4.08	4.36
A. Proposals developed with the national government or direct partners	4.17	--	4.15	4.18
B. Conditionality draws on national government's benchmarks / indicators / results	4.31	--	4.00	4.54
2. Adjusting procedures	3.68	--	3.50	3.80
A. Procedures easily understood and completed by clients	3.97	--	3.46	4.31

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	105	30	47	28
B. Length of time for procedures does not affect implementation	3.15	--	3.20	3.11
C. Ability to respond quickly to changing circumstances	3.82	--	3.78	3.86
D. Flexibility in implementation of projects/programmes	3.78	--	3.57	3.92
3. Using country systems	4.07	--	3.91	4.22
A. ODA disbursements/support recorded in annual budget	4.48	--	4.55	4.42
B. i) ODA disbursements / support use national budget execution procedures	4.27	--	4.04	4.49
B. ii) ODA disbursements / support use national procurement systems	3.83	--	3.86	3.80
B. iii) ODA disbursements / support use national financial reporting procedures	3.97	--	3.98	3.96
B. iv) ODA disbursements / support use national auditing procedures	4.19	--	3.54	4.59
C. Avoids project implementation units that operate in parallel with government structures	3.84	--	3.58	4.02
D. Promotes mutual assessment of partnership commitments (mutual accountability)	4.04	--	3.79	4.36
E. Uses country systems (non-financial) for operations (ie monitoring, etc)	3.94	--	3.76	4.08
4. Contributing to policy dialogue	4.21	4.37	3.95	4.30
A. Reputation for high quality, valued policy dialogue inputs	4.24	4.33	3.85	4.50
B. Policy dialogue respects client views and perspectives	4.19	4.41	4.06	4.10
5- Harmonising procedures	4.10	--	3.59	4.55
A. Participates in joint missions	4.14	--	3.61	4.62
B. Technical cooperation disbursed through coordinated programs	4.13	--	3.59	4.63
D. ODA disbursements / support for government-led PBAs	4.04	--	3.56	4.41

IV- Knowledge Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	105	30	47	28
1. Monitoring external results	4.55	4.75	3.56	4.65
A. Independent evaluation unit	4.89	4.89	--	--
B. Completed programs and projects subject to independent evaluations	4.60	4.60	--	--
C. Direct beneficiaries and stakeholders involved in monitoring and evaluation	4.17	--	3.56	4.65
2. Presenting performance information	4.67	4.67	--	--
A. Reports on results, including outcomes	4.76	4.76	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	4.58	4.58	--	--
3. Disseminating lessons learned	4.10	4.10	--	--
A. Reports on lessons learned based on performance information	4.15	4.15	--	--
B. Shares lessons at all levels of the organisation	4.05	4.05	--	--

Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI – ADB

QUADRANT I – STRATEGIC MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
DIRECTION FOR RESULTS			
1.1C	Key MO documents are available to the public.	1. <i>More than half</i> of the documents in the sample are available on the website	Met - ADB Charter: http://www.adb.org/Documents/Reports/Charter/charter.pdf - Minutes of Board of Directors' Meeting since July 2005: http://www.adb.org/BOD/minutes.asp - Annual Reports of the Board of Directors & Board Committees: http://www.adb.org/BOD/annual-reports.asp - Annual reports available since 1997: http://www.adb.org/Documents/Reports/Annual_Report/ - Development Effectiveness Review available since 2007: http://www.adb.org/mfdr/defr-issues.asp - Organisational chart: http://www.adb.org/About/management-staffing.asp - Organisation-wide strategic plan available (2020 long-term strategy, operational strategy, etc.) http://www.adb.org/About/policies-strategies.asp - Thematic reports available (gender, environment, anti-corruption, climate change, ...) - Evaluations: http://www.adb.org/evaluation/resources.asp - Disclosure/privacy policy: <i>The Public Communication Policy of the ADB: Disclosure & Exchange of Information</i> http://www.adb.org/Documents/Policies/PCP/PCP-R-Paper.pdf
		2. (If first criterion met) <i>all</i> of the documents in the sample are available on the website	Met As above
		3. (If first criterion met) most of the documents in the sample are available on the website <i>in multiple languages</i>	Met Translation page showing all the (many) documents offered in different languages: http://www.adb.org/Documents/Translations/default.asp
		4. A disclosure / privacy policy exists and is available on the MO website	Met Disclosure/privacy policy: <i>The Public Communication Policy of the ADB: Disclosure & Exchange of Information</i> http://www.adb.org/Documents/Policies/PCP/PCP-R-Paper.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. Clear procedures exist to contact the MO	Met Clear procedures on how to order publications: http://www.adb.org/Publications/ordering-info.asp
OVERALL SCORE MI 1.1C: VERY STRONG		OVERALL COMMENTS:	-
CORPORATE STRATEGY			
1.2A	The MOs organisation wide strategy is based on a clear definition of mandate.	1. A top-level statement of the MO mandate (non-IFI) or articles of agreement (IFI) exists.	Met Agreement Establishing the ADB: http://www.adb.org/documents/reports/charter/charter.pdf
		2. The organisational strategic plan articulates goals & focus priorities.	Met Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		3. The organisational strategic plan mentions the MO’s mandate/articles of agreement.	Not met Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		4. (If first two criteria are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation’s mandate/articles of agreement.	Met Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		5. (If first three criteria are met) there is an explicit link between these goals and focus priorities to the organisation’s mandate/articles of agreement.	Not met Does not apply
OVERALL SCORE MI 1.2A: ADEQUATE		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.2B	MO has an organisation wide policy on results management	1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) in the organisation exists and is corporately approved. (alternatively, the approach to RBM may be described in the context of a strategic plan and further operationalised through other documents)	Met ADB Action Plan on Managing for Development Results 2009-2011: http://www.adb.org/Documents/Policies/Revised-Action-Plan/MfDR-Revised-Action-Plan.pdf
		2. (If first criterion is met) this document defines what RBM is within the MO.	Met ADB Action Plan on Managing for Development Results 2009-2011: http://www.adb.org/Documents/Policies/Revised-Action-Plan/MfDR-Revised-Action-Plan.pdf
		3. (If first criterion is met) this document identifies the purpose & benefits of RBM (accountability and learning).	Not met - ADB Action Plan on Managing for Development Results 2009-2011: http://www.adb.org/Documents/Policies/Revised-Action-Plan/MfDR-Revised-Action-Plan.pdf - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		4. (If first criterion is met) this document describes RBM processes: i.e., how results and indicators are to be identified/developed, and how performance information is to be used.	Not met ADB Action Plan on Managing for Development Results 2009-2011: http://www.adb.org/Documents/Policies/Revised-Action-Plan/MfDR-Revised-Action-Plan.pdf
		5. (If first criterion is met) this document identifies roles, responsibilities and accountabilities for results management.	Met ADB Action Plan on Managing for Development Results 2009-2011: http://www.adb.org/Documents/Policies/Revised-Action-Plan/MfDR-Revised-Action-Plan.pdf
OVERALL SCORE MI 1.2B: ADEQUATE		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.2C	Organisation wide plans and strategies contain frameworks of expected management and development results.	1. A current management results framework (MRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met - ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		2. A current development results framework (DRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met - ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		3. (If either first or second criterion met) at least one results framework (MRF or DRF) contains both statements of outputs and expected outcomes.	Not met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		4. (If third criterion met) in at least one results framework, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Not met Does not apply
		5. (If all above criteria met) all above criteria are met for both MRF and DRF.	Not met Does not apply
OVERALL SCORE MI 1.2C: ADEQUATE		OVERALL COMMENTS:	Note: although ADB meets only two of the above criteria, their score was changed to “adequate” due to the high quality of its Results Framework. It did not meet criteria 3 through 5 because its Framework lacks statements of results. However, due to the explanations provided in the Framework document and in appendices, it is reasonably clear what the expected results are that the indicators are intended to measure.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.2D	Results frameworks have causal links from outputs through to impacts / final outcomes.	1. At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF)	Met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		2. (If all above criteria are met) it is clear, either implicitly or explicitly, how the outputs in the results framework(s) are linked to the expected outcomes.	Met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		3. (If all above criteria are met) there is an explicit description, in the strategic plan or in the framework(s), of how the outputs in the results framework(s) are linked to the expected outcomes.	Met - ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf
		4. There is a plausible link between outcomes and impacts.	Not met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		5. (If all above criteria are met) all above criteria met for both MRF and DRF.	Not met Does not apply
	OVERALL SCORE MI 1.2D: ADEQUATE		OVERALL COMMENTS:
1.2E	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level.	1. At least one result framework exists at the organisation-wide level (MRF and/or DRF), and contains a reasonable number of performance indicators at both the output and outcome levels.	Met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		2. (If first criterion is met) more than half of the performance indicators are relevant to the results they are associated with in the framework(s).	Not met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) more than half of the performance indicators are specific enough that it is clear what is to be measured.	Met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		4. (If first criterion is met) at least some of the indicators are based on or make use of accepted international indices and data elements, as possible.	Met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		5. (If first criterion is met) more than half of the performance indicators have targets set for them, and the date(s) for target achievement is clear.	Met ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
OVERALL SCORE MI 1.2E: STRONG		OVERALL COMMENTS:	-
1.3A	Gender equality	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies gender equality as a cross-cutting priority or a focus area	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Gender and Development Policy (1998): http://www.adb.org/Documents/Policies/Gender/gender-policy.pdf - Gender and Development Plan of Action (2008-2010): http://www.adb.org/Documents/Papers/Gender_Action_Plan/IN291-02.pdf - Gender projects database: http://www.adb.org/Gender/summaries.asp
		2. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>operational management</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes results statements on this cross-cutting issue or focus area stated in its MRF.	Not met - Gender and Development Policy (1998): http://www.adb.org/Documents/Policies/Gender/gender-policy.pdf - Gender at ADB: (http://www.adb.org/Employment/gender.asp)

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes results statements on this cross-cutting issue or focus area stated in its DRF.	Met - Gender and Development Policy (1998): http://www.adb.org/Documents/Policies/Gender/gender-policy.pdf - ADB Results Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/r166-08.pdf
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or gender policy commits the organisation to evaluate the implementation of the gender policy/strategy. There also must be evidence of this commitment in its financial resource allocation, i.e., budgets must indicate that money is being allocated to evaluate this area.	Met - Gender and Development Policy (1998): http://www.adb.org/Documents/Policies/Gender/gender-policy.pdf - The Asian Development Bank's Support to Gender and Development Phase I Evaluation Report: Relevance, Responsiveness, and Results to Date (2009): http://www.adb.org/Documents/SES/REG/SES-REG-OTH-2010-03/default.asp - IED's 2009-2011 3-Year Rolling Work Program: http://www.adb.org/evaluation/2009-Work-Program.pdf
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to gender equality. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Met <i>Implementation Review of the GAD Policy</i>: http://www.adb.org/Documents/Policies/Gender/gender-and-development.pdf - GAD Plan of Action (2008-2010): http://www.adb.org/Documents/Papers/Gender/Action_Plan/default.asp?p=genpgad - GAD Plan of Action (2008-2010) 2009 Annual Implementation Progress Report: http://www.adb.org/Documents/Reports/Gender/GAD-Plan-of-Action-2009-AR.pdf - GAD Plan of Action (2008-2010) 2008 Annual Implementation Progress Report: http://www.adb.org/Documents/Reports/Gender/GAD-Plan-of-Action-2008-AR.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
OVERALL SCORE MI 1.3A: STRONG		OVERALL COMMENTS:	-
1.3B	Environmental policy, environmental assessment practices and overall environmental management system	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies environment/climate change as a cross-cutting priority	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Safeguard Policy Statement: (http://www.adb.org/Environment/safeguard-policy.asp)
		2. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>operational management</i> activities, either in the organisation-wide strategic plan or in a separate policy document	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Safeguard Policy Statement: http://www.adb.org/Environment/safeguard-policy.asp - ADB Sustainability Report 2009: http://www.adb.org/Documents/Books/sustainability-report/2009/SR2009.pdf
		3. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document.	Met Safeguard Policy Statement: (http://www.adb.org/Environment/safeguard-policy.asp)
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or environment policy commits the organisation to evaluate the implementation of the environmental policy/strategy.	Met Safeguard Policy Statement: (http://www.adb.org/Environment/safeguard-policy.asp)

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to environment. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Met - Safeguard Policy Statement: (http://www.adb.org/Environment/safeguard-policy.asp) - Development Effectiveness Review 2009: http://www.adb.org/Documents/reports/development-effectiveness-review/2009-Development-Effectiveness.pdf
OVERALL SCORE MI 1.3B: VERY STRONG		OVERALL COMMENTS:	
1.3C	Good Governance	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies good governance as a cross-cutting priority	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Governance: <i>Sound Development Management (1995)</i>: http://www.adb.org/Documents/Policies/Governance/govpolicy.pdf
		2. (If the first criterion is met) the organisation commits to good governance principles in its programming, either in the organisation-wide strategic plan or in a separate policy document	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Governance: <i>Sound Development Management (1995)</i>: http://www.adb.org/Documents/Policies/Governance/govpolicy.pdf
		3. (If the second criterion is met) the organisation-wide strategic plan or governance policy commits the organisation to evaluate the implementation of its work in promoting good governance	Met Governance: <i>Sound Development Management (1995)</i>: http://www.adb.org/Documents/Policies/Governance/govpolicy.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If the second criterion is met) the organisation-wide strategic plan or governance policy includes at least three of the following six dimensions of governance: Voice and Accountability; Political Stability and Absence of Violence; Government Effectiveness; Regulatory Quality; Rule of Law; and Control of Corruption	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Governance: <i>Sound Development Management</i> (1995): http://www.adb.org/Documents/Policies/Governance/govpolicy.pdf - Anticorruption Policy (1998): http://www.adb.org/Documents/Policies/Anticorruption/anticorruption.pdf - Second Governance and Anticorruption Action Plan (GACAP II) (2006): http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to promoting good governance. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Met - Second Governance and Anticorruption Action Plan (GACAP II) (2006): http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf - Review of the Implementation of ADB's Governance and Anticorruption Policies: Findings and Recommendations: http://www.adb.org/Governance/Review/review-Report-final.pdf
OVERALL SCORE MI 1.3C: VERY STRONG		OVERALL COMMENTS:	-
1.3D	Private Sector Development	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies private sector development as a cross-cutting priority or a focus area	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Private Sector Development Strategy (2000): http://www.adb.org/Documents/Policies/Private_Sector/private.pdf - Private Sector Development: A Revised Strategic Framework (2006): http://www.adb.org/documents/policies/private_sector/PSD-strategic-framework-2006.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If the first criterion is met) the organisation commits to private sector development in its programming, either in the organisation-wide strategic plan or in a separate policy document.	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Private Sector Development Strategy (2000): http://www.adb.org/Documents/Policies/Private_Sector/private.pdf - Private Sector Development: A Revised Strategic Framework (2006): http://www.adb.org/documents/policies/private_sector/PSD-strategic-framework-2006.pdf
		3. (If the second criterion is met) the organisation-wide strategic plan or private sector development policy commits the organisation to evaluate the implementation of its work in promoting private sector development.	Not met - Private Sector Development Strategy (2000): http://www.adb.org/Documents/Policies/Private_Sector/private.pdf - Private Sector Development: A Revised Strategic Framework (2006): http://www.adb.org/documents/policies/private_sector/PSD-strategic-framework-2006.pdf
		4. Evidence of a commitment to resourcing private sector development is found in the organisation's budget	Met Budget of the Asian Development Bank for 2010: http://www.adb.org/Documents/Reports/Budget/2010/2010-budget.pdf
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to promoting private sector development. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Met - Private Sector Development and Operations: Harnessing Synergies with the Public Sector (2007): http://www.adb.org/Documents/SES/REG/SST-REG-2006-06/SST-REG-2006-06.pdf#page=7 - Private Equity Fund Operations (2008): http://www.adb.org/Documents/SES/REG/SST-REG-2008-17/SST-REG-2008-17.pdf#page=5
OVERALL SCORE MI 1.3D: ADEQUATE		OVERALL COMMENTS:	Because of required improvements, this MI is rated adequate (as described in criterion 5, an organisation is not to score higher than adequate if an evaluation of the thematic area notes several areas for improvement).

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.3E	Regional Cooperation	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies regional cooperation as a cross-cutting priority or a focus area	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Regional Cooperation and Integration (2006): http://www.adb.org/documents/policies/RCI-strategy/default.asp
		2. (If the first criterion is met) the organisation commits to regional cooperation in its programming, either in the organisation-wide strategic plan or in a separate policy document	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Regional Cooperation and Integration (2006): http://www.adb.org/documents/policies/RCI-strategy/default.asp
		3. (If the second criterion is met) the organisation-wide strategic plan or regional cooperation policy commits the organisation to evaluate the implementation of its work in regional cooperation	Not met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Regional Cooperation and Integration (2006): http://www.adb.org/documents/policies/RCI-strategy/default.asp 3-Year Rolling work program of the Independent Evaluation Department, Asian Development Bank Independent Evaluation for Maximizing Development Effectiveness: http://www.adb.org/evaluation/about/workprograms.asp
		4. Evidence of a commitment to resourcing regional cooperation is found in the organisation's budget	Met Budget of the Asian Development Bank for 2010: http://www.adb.org/Documents/Reports/Budget/2010/2010-budget.pdf
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to regional cooperation. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Met 3-Year Rolling Work Program for of the Independent Evaluation Department, Asian Development Bank Independent Evaluation for Maximizing Development Effectiveness: HTTP://WWW.ADB.ORG/EVALUATION/ABOUT/WORKPROGRAMS.ASP

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
OVERALL SCORE MI 1.3E: STRONG		OVERALL COMMENTS:	
1.3F	Climate Change	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies climate change as a cross-cutting priority or a focus area	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Climate Change – ADB Programs – Strengthening Adaptation and Mitigation in Asia and the Pacific: http://www.adb.org/Documents/Brochures/Climate-Change/Brochure.pdf
		2. (If the first criterion is met) the organisation commits to climate change programming, either in the organisation-wide strategic plan or in a separate policy document	Met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Climate Change – ADB Programs – Strengthening Adaptation and Mitigation in Asia and the Pacific: http://www.adb.org/Documents/Brochures/Climate-Change/Brochure.pdf
		3. (If the second criterion is met) the organisation-wide strategic plan or climate change policy commits the organisation to evaluate the implementation of its work in climate change	Not met - Strategy 2020: http://www.adb.org/documents/Policies/Strategy2020/Strategy2020.pdf - Climate Change – ADB Programs – Strengthening Adaptation and Mitigation in Asia and the Pacific: http://www.adb.org/Documents/Brochures/Climate-Change/Brochure.pdf
		4. Evidence of a commitment to resourcing climate change initiatives is found in the organisation's budget	Met Budget of the Asian Development Bank for 2010: http://www.adb.org/Documents/Reports/Budget/2010/2010-budget.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to climate change. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met
OVERALL SCORE MI 1.3F: ADEQUATE		OVERALL COMMENTS:	-
STRATEGIES – COUNTRY, REGIONAL, THEMATIC			
1.4A	Results frameworks that link results at project, program, sector, and country levels	1. The MO has strategies at the country level, at least two of which contain statements of expected results articulated at output and outcome levels	Met - Country Partnership Strategies (CPS) (http://www.adb.org/countries/) - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPs/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion met) in more than half of the country strategies, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes)	Met - Country Partnership Strategies (CPS) (http://www.adb.org/countries/) - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccspss - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccspss - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccspss
		3. (If first criterion is met) more than half of the country strategies sampled explicitly link expected results of the MO's projects and/or programs to the MO's expected results at country level	Not met - Country Partnership Strategies (CPS) (http://www.adb.org/countries/) - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccspss - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccspss - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccspss

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) at least two of the country strategies sampled explicitly link expected results of the MO's sector strategies to the MO's expected results at country level	Met - Country Partnership Strategies (CPS) (http://www.adb.org/countries/) - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsp - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam <i>Country Strategy and Program 2007-2010</i>: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsp - Vietnam <i>Country Strategy and Program Midterm Review 2007-2010</i>: http://www.adb.org/documents/csp/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsp <i>Private Sector Development: A Revised strategic framework</i>: http://www.adb.org/documents/policies/private_sector/PSD-strategic-framework-2006.pdf <i>Regional Cooperation and Integration Strategy</i>: http://www.adb.org/documents/policies/RCI-strategy/final-RCI-strategy-paper.pdf
		5. (If all above criteria are met) all of the above criteria are met for all country strategies sampled	Not met Does not apply
OVERALL SCORE MI 1.4A: ADEQUATE		OVERALL COMMENTS:	
1.4B	Frameworks include indicators at project, program, sector, and country levels	1. Country strategies exist, at least two of which include a reasonable number of performance indicators	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsp - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsp - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csp/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsp

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) more than half of the performance indicators are relevant to the results they are associated with in the country strategies	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=docccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=docccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=docccsps
		3. (If first criterion is met) more than half of the performance indicators are specific enough that it is clear what is to be measured	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=docccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=docccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=docccsps
		4. (If first criterion is met) data sources and data collection methods are clear for more than half of the performance indicators	Not met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=docccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=docccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=docccsps

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If first criterion is met) more than half of the performance indicators have targets set for them, and the date(s) for target achievement is clear	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsp - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsp - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsp
OVERALL SCORE MI 1.4B: STRONG		OVERALL COMMENTS:	-
1.4C	Statements of expected results consistent with those in the national development strategy, PRSP or UNDAF	1. At least two of the country strategies sampled contain statements of expected results	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsp - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsp - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsp
		2. At least two country strategies contain reference to the country's national development strategy, PRSP or UNDAF as applicable	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsp - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsp - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsp

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) in at least two cases, the link between the MO's expected results and those identified in the national development strategy, PRSP or UNDAF is clear, <i>either explicitly or implicitly</i>	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
		4. (If all above criteria are met) at least two country strategies <i>explicitly</i> demonstrate how the MO's expected results are consistent with those in the national development strategy, PRSP or UNDAF	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
		5. (If all above criteria are met) all above criteria are met for all country strategies sampled	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
OVERALL SCORE MI 1.4C: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.4E	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate)	1. At least two of the country strategies sampled identify at least two of the organisationally relevant cross-cutting themes (the same ones assessed in KPI 3) in the results frameworks	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPs/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
		2. (If first criterion is met) more than half of country strategies sampled describe results which integrate at least two of the issues / themes, as relevant	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPs/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
		3. More than half of the country strategies sampled describe all of the key cross-cutting themes for the organisation being assessed	Not met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPs/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) more than half of country strategies sampled describe strategies & approaches to address or apply the issue / theme (in other words, there is evidence that the MO is trying to implement its strategic focus on the cross-cutting issue in its programming at the country level)	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
		5. (If first criterion is met) more than half of country strategies sampled contain reference to international agreements, treaties & conventions governing the theme / issue	Met - Country Partnership Strategies (CPS): http://www.adb.org/Documents/CSPs/default.asp - Afghanistan CPS 2009-2013: http://www.adb.org/Documents/CPSS/AFG/2009/CPS-AFG-2009-2013.pdf?p=doccsps - Indonesia Country Strategy and Program 2006-2009: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Sri Lanka CPS 2009-2011: http://www.adb.org/Documents/CSPs/INO/2006/csp-ino-2006-2009.pdf - Viet Nam Country Strategy and Program 2007-2010: http://www.adb.org/Documents/CSPs/VIE/2006/CPS-VIE-2006-02.pdf?p=doccsps - Vietnam Country Strategy and Program Midterm Review 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps
OVERALL SCORE MI 1.4E: STRONG		OVERALL COMMENTS:	-

QUADRANT II – OPERATIONAL MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
FINANCIAL RESOURCES AND RISK MANAGEMENT			
2.1A	The MO publishes its criteria for allocating funding.	1. A model/formula for allocating concessional funds in the case of IFIs, or core budget resources in the case of UN agencies, exists (often referred to as resource allocation systems)	Met Allocation of ADF Resources http://www.adb.org/ADF/resources.asp
		2. (If first criterion is met) this model/formula is up to date (applies to 2010)	Met Allocation of ADF Resources http://www.adb.org/ADF/resources.asp
		3. (If first criterion is met) this model/formula is published on the MO web site	Met <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> (2008): http://www.adb.org/Documents/Policies/ADF/Performance_Based_Allocation/Refining-Performance-Based-Allocation.pdf
OVERALL SCORE MI 2.1A: VERY STRONG		OVERALL COMMENTS:	-
2.1C	Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Very weak = Less than 20% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Weak = Between 20% and 30% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Inadequate = Between 31% and 50% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Adequate = Between 51% and 70% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Met ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Strong = Between 71% and 80% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Met ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Very strong = More than 80% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Not met
OVERALL SCORE MI 2.1C: STRONG		OVERALL COMMENTS:	-
2.2A	Aid budget allocations (or lending) are linked to expected development results.	1. In the most recent annual or multi-year organisation-wide budget, an attempt has been made to present budget information in a results-oriented way	Met <i>Work Program and Budget Framework 2010-2012:</i> http://www.adb.org/Documents/Others/work-program-budget-framework-2010-2012.pdf
		2. Some outputs and/or outcomes from the DRF and MRF are costed in the budget document	Not met <i>Work Program and Budget Framework 2010-2012:</i> http://www.adb.org/Documents/Others/work-program-budget-framework-2010-2012.pdf
		3. Most outputs and/or outcomes in the DRF and MRF are costed in the budget document	Not met <i>Work Program and Budget Framework 2010-2012:</i> http://www.adb.org/Documents/Others/work-program-budget-framework-2010-2012.pdf
		4. There is evidence of improvement over time in budget documents reviewed (evidence of building a better system)	Met <i>Work Program and Budget Framework 2010-2012:</i> http://www.adb.org/Documents/Others/work-program-budget-framework-2010-2012.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to impact	Not met No evidence
OVERALL SCORE MI 2.2A: INADEQUATE		OVERALL COMMENTS:	-
2.2B	Aid or lending disbursements are linked to reported results (variances explained).	1. The most recent annual financial report clearly shows financial amounts aligned with achieved results (i.e., the report shows how much was spent to achieve each result)	Not met Annual Report 2009 : http://www.adb.org/Documents/Reports/Annual_Report/2009/default.asp
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan	Not met Annual Report 2009 : http://www.adb.org/Documents/Reports/Annual_Report/2009/default.asp
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported	Not met Annual Report 2009 : http://www.adb.org/Documents/Reports/Annual_Report/2009/default.asp
		4. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported AND justified.	Not met Annual Report 2009 : http://www.adb.org/Documents/Reports/Annual_Report/2009/default.asp

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. There is evidence of improvement over time in financial reports reviewed.	Met - Annual Report 2009 : http://www.adb.org/Documents/Reports/Annual_Report/2009/default.asp - Annual Report 2008: http://www.adb.org/Documents/Reports/Annual_Report/2008/Annual-Report-2008-Vol01.pdf - Annual Report 2007: http://www.adb.org/Documents/Reports/Annual_Report/2007/Annual-Report-2007-Vol01.pdf - Country Partnership Strategies and Country Operations Business Plans: http://www.adb.org/documents/csps/default.asp
OVERALL SCORE MI 2.2B: WEAK		OVERALL COMMENTS:	-
2.3A	Are external financial audits (meeting recognised international standards) performed across the organisation.	1. Annual organisation-wide reports on financial performance exist (In the case of UN organisations, the schedule for external audit may be determined by the Board of Auditors, therefore the requirement of "annual" may not apply.)	Met <i>Annual Report 2009 volume 2: Financial Report:</i> http://www.adb.org/documents/reports/annual_report/2009/adb-ar2009-v2.pdf <i>Annual Report 2008 volume 2: Financial Report:</i> http://www.adb.org/Documents/Reports/Annual_Report/2008/Annual-Report-2008-Vol02.pdf <i>Annual Report 2007 volume 2: Financial Report:</i> http://www.adb.org/Documents/Reports/Annual_Report/2007/Annual-Report-2007-Vol02.pdf <i>Annual Report 2006 volume 2: Financial Report:</i> http://www.adb.org/Documents/Reports/Annual_Report/2006/ADB-AR2006-Vol2.pdf
		2. (If first criterion is met) the most recent annual financial report reviewed contains a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level (Or the report and/or audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met <i>Annual Report 2009 volume 2: Financial Report:</i> http://www.adb.org/documents/reports/annual_report/2009/adb-ar2009-v2.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent) (In case of UN Agencies, all BOA audits are carried out using international standards.)	Met Annual Report 2009 volume 2: Financial Report: http://www.adb.org/documents/reports/annual_report/2009/adb-ar2009-v2.pdf
		4. (If first criterion is met) all annual financial reports reviewed contain a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met - Annual Report 2009 volume 2: Financial Report: http://www.adb.org/documents/reports/annual_report/2009/adb-ar2009-v2.pdf - Annual Report 2008 volume 2: Financial Report: http://www.adb.org/Documents/Reports/Annual_Report/2008/Annual-Report-2008-Vol02.pdf - Annual Report 2007 volume 2: Financial Report: http://www.adb.org/Documents/Reports/Annual_Report/2007/Annual-Report-2007-Vol02.pdf - Annual Report 2006 volume 2: Financial Report: http://www.adb.org/Documents/Reports/Annual_Report/2006/ADB-AR2006-Vol2.pdf
		5. (If criterion 4 is met) in all financial reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent) (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met - Annual Report 2009 volume 2: Financial Report: http://www.adb.org/documents/reports/annual_report/2009/adb-ar2009-v2.pdf - Annual Report 2008 volume 2: Financial Report: http://www.adb.org/Documents/Reports/Annual_Report/2008/Annual-Report-2008-Vol02.pdf - Annual Report 2007 volume 2: Financial Report: http://www.adb.org/Documents/Reports/Annual_Report/2007/Annual-Report-2007-Vol02.pdf - Annual Report 2006 volume 2: Financial Report: http://www.adb.org/Documents/Reports/Annual_Report/2006/ADB-AR2006-Vol2.pdf
OVERALL SCORE MI 2.3A: VERY STRONG		OVERALL COMMENTS:	-
2.3B	External financial audits (meeting recognised international standards) are performed at the regional, country or project level (as	1. The suite of documents available provide sufficient evidence that the organisation requires external financial audits to be performed at the regional, country and/or project levels	Met - Financial Management and Analysis of Projects (Guidelines): http://www.adb.org/Documents/Guidelines/Financial/default.asp - Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements: http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
	appropriate).	2. The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures	Met <i>Financial Management and Analysis of Projects (Guidelines):</i> http://www.adb.org/Documents/Guidelines/Financial/default.asp
		3. (If first criterion is met) the suite of documents available provide sufficient evidence that the external financial audits are taking place at regional, country and/or project levels	Met <i>Financial Management and Analysis of Projects (Guidelines):</i> http://www.adb.org/Documents/Guidelines/Financial/default.asp - Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements: http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf - The Annual Report of the Audit Committee of the Board 2008-2009: http://www.adb.org/Documents/Board/Committee-Reports/2009/Audit/SecM72-09.pdf
		4. The suite of documents available provide extensive evidence that the external financial audits are taking place at regional, country and/or project levels	Not met <i>Financial Management and Analysis of Projects (Guidelines):</i> http://www.adb.org/Documents/Guidelines/Financial/default.asp - Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements: http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf - The Annual Report of the Audit Committee of the Board 2008-2009: http://www.adb.org/Documents/Board/Committee-Reports/2009/Audit/SecM72-09.pdf
		5. External financial audit reports at country/project/regional level are made available to the public by the MO	Not met No external financial audit reports available
		OVERALL SCORE MI 2.3B: ADEQUATE	
OVERALL COMMENTS:		-	
2.3C	Are there guidelines in place for immediate measures against irregularities identified in external financial audits at the country (or	1. Guidelines, a policy or strategy exists <i>at any organisational level</i> , that describes the procedure for a response to irregularities identified during an external financial audit	Met <i>Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements:</i> http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
	other) level.	2. Guidelines, a policy or strategy exists and is corporately approved <i>at the organisation-wide level</i> that describes the procedure for a response to irregularities identified during an external financial audit	Met <i>Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements:</i> http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf
		3. (If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time)	Met <i>Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements:</i> http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf
		4. There is sufficient evidence (in the suite of documents about audit) that there is a process for following up on audits	Not met <i>Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements:</i> http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf
		5. There is extensive evidence (in the suite of documents about audit) that there is a process for following up on audits.	Not met <i>Project Administration Instructions 5.09 on Submission of Audited Project Accounts and Financial Statements:</i> http://www.adb.org/Documents/Manuals/PAI/PAI-509.pdf
		OVERALL SCORE MI 2.3C: ADEQUATE	
2.3D	Internal financial audit processes are used to provide management / governing bodies with neutral information.	1. There is evidence (in a suite of documents) of practice of internal financial audits in the organisation	Met <i>Operations Manual, Bank Policies, Internal Audit, December 2003 :</i> http://www.adb.org/Documents/Manuals/Operations/OML02_15dec03.pdf <i>The Financial Management and Analysis of Projects, 2005</i> http://www.adb.org/Documents/Guidelines/Financial/financial-governance-management.pdf
		2. (If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved	Met <i>Operations Manual, Bank Policies, Internal Audit, December 2003 :</i> http://www.adb.org/Documents/Manuals/Operations/OML02_15dec03.pdf <i>The Financial Management and Analysis of Projects, 2005</i> http://www.adb.org/Documents/Guidelines/Financial/financial-governance-management.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) there is evidence in these documents that the internal audit function is separated enough from the programming areas to be able to provide an “independent” audit opinion (it reports to the CEO of the MO or to Finance VP.) The key is that internal auditors are not influenced by the programs they are auditing.	Met. <i>Operations Manual, Bank Policies, Internal Audit, December 2003 :</i> http://www.adb.org/Documents/Manuals/Operations/OML02_15dec03.pdf
		4. There is evidence in these documents that the internal audit function reports directly to the Board, thus providing maximum assurance of its independence from programming	Met <i>Operations Manual, Bank Policies, Internal Audit, December 2003 :</i> http://www.adb.org/Documents/Manuals/Operations/OML02_15dec03.pdf
		5. Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information	Met The Annual Report of the Audit Committee Board 2008-2009: http://www.adb.org/Documents/Board/Committee-Reports/2008/Audit/acb-ar08.pdf
OVERALL SCORE MI 2.3D: VERY STRONG		OVERALL COMMENTS:	-
2.3E	Does the MO have a policy on anti-corruption	1. Guidelines, policy or a framework on anti-corruption exists and is and are corporately approved (in other words, not in draft form)	Met <i>Anti-Corruption and Integrity, December 2007 :</i> http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf <i>Second Governance and Anticorruption Action Plan (GACAP II) (2006):</i> http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf <i>Guidelines for Implementing the Second Governance and Anticorruption Plan (GACAP II), 2008:</i> http://www.adb.org/Documents/Guidelines/GACAP-II-Guidelines.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) these documents indicates that the MO is committed to the principles and norms established in the international framework on anti corruption	Met • <i>Anti-Corruption and Integrity, December 2007:</i> http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf • <i>Second Governance and Anticorruption Action Plan (GACAP II) (2006):</i> http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf • GUIDELINES FOR IMPLEMENTING THE SECOND GOVERNANCE AND ANTICORRUPTION PLAN (GACAP II), 2008: HTTP://WWW.ADB.ORG/DOCUMENTS/GUIDELINES/GACAP-II-GUIDELINES.PDF
		3. (If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption	Met • <i>Anti-Corruption and Integrity, December 2007:</i> http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf • Terms of Office for the Office of Anticorruption and Integrity (OAI): http://www.adb.org/integrity/term-office.asp • <i>Second Governance and Anticorruption Action Plan (GACAP II) (2006):</i> http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf • GUIDELINES FOR IMPLEMENTING THE SECOND GOVERNANCE AND ANTICORRUPTION PLAN (GACAP II), 2008: HTTP://WWW.ADB.ORG/DOCUMENTS/GUIDELINES/GACAP-II-GUIDELINES.PDF
		4. (If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy	Not met • <i>Anti-Corruption and Integrity, December 2007:</i> http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf • ADB's Code of Conduct for the Staff Members: http://www.adb.org/Documents/Brochures/FAQs-Anticorruption-Integrity/FAQs-Anticorruption-Integrity.pdf • Code of Conduct for Directors, Alternate Directors and Temporary Alternate Directors and the President adopted in 2006: http://www.adb.org/bod/Code-of-Conduct.pdf • <i>Frequently Asked Questions:</i> http://www.adb.org/Documents/Brochures/FAQs-Anticorruption-Integrity/default.asp • <i>Second Governance and Anticorruption Action Plan (GACAP II) (2006):</i> http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf • <i>Guidelines for Implementing the Second Governance and Anticorruption Plan (GACAP II), 2008:</i> http://www.adb.org/Documents/Guidelines/GACAP-II-Guidelines.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	Met • <i>Anti-Corruption and Integrity, December 2007:</i> http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf • <i>Second Governance and Anticorruption Action Plan (GACAP II) (2006):</i> http://www.adb.org/Documents/Policies/Governance/GACAP-II.pdf • GUIDELINES FOR IMPLEMENTING THE SECOND GOVERNANCE AND ANTICORRUPTION PLAN (GACAP II), 2008: HTTP://WWW.ADB.ORG/DOCUMENTS/GUIDELINES/GACAP-II-GUIDELINES.PDF
OVERALL SCORE MI 2.3E: STRONG		OVERALL COMMENTS:	-
2.3G	MO has strategies in place for risk identification, mitigation, monitoring and reporting.	1. An organisation-wide policy, strategy, framework or guidelines (or a suite of documents) on risk management exists and is corporately approved (if is not in draft form; if it has been in draft form for more than 6 months that is of concern)	Met • <i>Disaster and Emergency Assistance Policy (2004):</i> http://www.adb.org/Documents/Policies/Disaster_Emergency/disaster_emergency.pdf • <i>Action Plan for Implementing ADB's Disaster and Emergency Assistance Policy (2008):</i> http://www.adb.org/Documents/Policies/Emergency-Assistance/IN103-08.pdf • OM Section H7/BP on <i>Foreign Exchange Risk</i>: http://www.adb.org/Documents/Manuals/Operations/OMH7.pdf • OM Section D10/OP on <i>Nonsovereign Operations</i>: http://www.adb.org/Documents/Manuals/Operations/OMD10-18aug09.pdf • OM Section D13/BP on <i>Exposure and Investment Limitations on Nonsovereign Operations</i>: http://www.adb.org/Documents/Manuals/Operations/OMD13.pdf • <i>Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020:</i> http://www.adb.org/Strategy2020/ • OM Section C4/BP on <i>Governance</i>: http://www.adb.org/Documents/Manuals/Operations/OMC04.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) this document contains a reference to international standards on managing risk, and describes roles and responsibilities of key actors	Met - Disaster and Emergency Assistance Policy (2004): http://www.adb.org/Documents/Policies/Disaster_Emergency/disaster_emergency.pdf - Action Plan for Implementing ADB's Disaster and Emergency Assistance Policy (2008): http://www.adb.org/Documents/Policies/Emergency-Assistance/IN103-08.pdf - OM Section H7/BP on Foreign Exchange Risk: http://www.adb.org/Documents/Manuals/Operations/OMH7.pdf - OM Section D10/OP on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD10-18aug09.pdf - OM Section D13/BP on Exposure and Investment Limitations on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD13.pdf - Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020: http://www.adb.org/Strategy2020/ - OM Section C4/BP on Governance: http://www.adb.org/Documents/Manuals/Operations/OMC04.pdf
		3. (If first criterion is met) this document commits the MO to risk management in its operational management practices	Not met - Disaster and Emergency Assistance Policy (2004): http://www.adb.org/Documents/Policies/Disaster_Emergency/disaster_emergency.pdf - Action Plan for Implementing ADB's Disaster and Emergency Assistance Policy (2008): http://www.adb.org/Documents/Policies/Emergency-Assistance/IN103-08.pdf - OM Section H7/BP on Foreign Exchange Risk: http://www.adb.org/Documents/Manuals/Operations/OMH7.pdf - OM Section D10/OP on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD10-18aug09.pdf - OM Section D13/BP on Exposure and Investment Limitations on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD13.pdf - Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020: http://www.adb.org/Strategy2020/ - OM Section C4/BP on Governance: http://www.adb.org/Documents/Manuals/Operations/OMC04.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) this document commits the MO to risk management in its project/program delivery	Met - Disaster and Emergency Assistance Policy (2004): http://www.adb.org/Documents/Policies/Disaster_Emergency/disaster_emergency.pdf - Action Plan for Implementing ADB's Disaster and Emergency Assistance Policy (2008): http://www.adb.org/Documents/Policies/Emergency-Assistance/IN103-08.pdf - OM Section H7/BP on Foreign Exchange Risk: http://www.adb.org/Documents/Manuals/Operations/OMH7.pdf - OM Section D10/OP on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD10-18aug09.pdf - OM Section D13/BP on Exposure and Investment Limitations on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD13.pdf - Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020: http://www.adb.org/Strategy2020/ - OM Section C4/BP on Governance: http://www.adb.org/Documents/Manuals/Operations/OMC04.pdf
		5. (If first criterion is met) this document describes the approaches and methods of risk management, including how to identify risk, how to assess risk, how to develop risk mitigation strategies, how to monitor and report on risk, and how to respond to adverse events	Met - Disaster and Emergency Assistance Policy (2004): http://www.adb.org/Documents/Policies/Disaster_Emergency/disaster_emergency.pdf - Action Plan for Implementing ADB's Disaster and Emergency Assistance Policy (2008): http://www.adb.org/Documents/Policies/Emergency-Assistance/IN103-08.pdf - OM Section H7/BP on Foreign Exchange Risk: http://www.adb.org/Documents/Manuals/Operations/OMH7.pdf - OM Section D10/OP on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD10-18aug09.pdf - OM Section D13/BP on Exposure and Investment Limitations on Nonsovereign Operations: http://www.adb.org/Documents/Manuals/Operations/OMD13.pdf - Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020: http://www.adb.org/Strategy2020/ - OM Section C4/BP on Governance: http://www.adb.org/Documents/Manuals/Operations/OMC04.pdf
		OR, if the first criterion is not met	
		6. At least one policy, strategy, framework or guidelines on risk management exists at the country, regional or other level	n/a

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		7. (If the sixth criterion met) at least one such policy, strategy, framework or guidelines meets criteria 2 through 5, above	n/a
OVERALL SCORE MI 2.3G: ADEQUATE		OVERALL COMMENTS:	Although ADB meets 4 out of the 5 criteria, it is given a score of adequate due to the lack of an all-encompassing risk management policy or strategy (as per Document Review Guide instructions for this MI).
PERFORMANCE MANAGEMENT			
2.4A	Revising and adjusting policies	1. Information on organisation-wide performance (i.e., outcomes achieved) is available, for instance in annual performance reports, or from an organisation-wide evaluation	Met: - Annual Report 2008: http://www.adb.org/Documents/Reports/Annual_Report/2008/Annual-Report-2008-Vol01.pdf - Annual Report 2009: http://www.adb.org/Documents/Reports/Annual_Report/2009/adb-ar2009-v1.pdf - Development Effectiveness Review 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf - Development Effectiveness Review 2009: http://www.adb.org/Documents/reports/development-effectiveness-review/2009-Development-Effectiveness.pdf
		2. (If first criterion is met) there is a description, in some available document, of the implications of this performance information or other sources of information on organisational performance on the MO's policies (i.e., what policies need to be changed, removed, or added as a result about what has been learned from collecting performance information through monitoring systems or evaluations that address results achievement and other organisational performance issues)	Met: Development Effectiveness Review 2009: http://www.adb.org/Documents/reports/development-effectiveness-review/2009-Development-Effectiveness.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) programmatic changes to <i>at least one</i> policy have been made subsequent to this performance information, that are in line with what has been learned	Met: Development Effectiveness Review 2009: http://www.adb.org/Documents/reports/development-effectiveness-review/2009-Development-Effectiveness.pdf
		4. (If all above criteria are met) changes to <i>more than one</i> policy have been made subsequent to this performance information, that are in line with what has been learned	Not met: No evidence
		5. (If the first three criteria are met) there is documentary evidence, in the policy document itself, in board meeting minutes or in some other place, that policy changes resulted at least in part from performance information	Not met: No evidence
		OR, if the first criterion is NOT met:	
		6. Changes to <i>at least one</i> policy document have been made in the last three years, and this document mentions that the changes were influenced by performance information	N/a
		7. (If the sixth criterion is met) changes to <i>more than one</i> policy document have been made in the last three years, and these documents mention that the changes were influenced by performance information	N/a
OVERALL SCORE MI 2.4A: ADEQUATE		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.4B	Planning new interventions	1. Information on country performance (i.e., outcomes achieved) is available, for instance in annual country performance reports or in country planning documents (describing results from the previous cycle)	Met: - Development Effectiveness Review: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/default.asp - ADB Result Framework: http://www.adb.org/Documents/Policies/ADB-Results-Framework/Results-Framework-Indicators.pdf - Development Effectiveness Country Briefs: http://www.adb.org/ADF/country-briefs.asp - Annual report 2009: http://www.adb.org/Documents/Reports/Annual_Report/2009/adb-ar2009-v1.pdf - Viet Nam Country Strategy and Program Midterm Review, 2007-2010: http://www.adb.org/documents/csps/vie/2009/CSP-VIE-2007-2010.pdf?p=doccsps - Viet Nam Development Effectiveness Country Brief: (http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/viet-Nam.pdf) - Sri Lanka Development Effectiveness Country Brief: http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Sri-Lanka.pdf - Western Regional Road Corridor Development Project - Phase I: http://www.adb.org/projects/project.asp?id=39265 - Inner Mongolia Road Development: http://www.adb.org/projects/project.asp?id=43029
		2. (If first criterion is met) for at least two countries, there is a description, in the annual performance reports or elsewhere, of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed in reaction to the performance information)	Met: - Development Effectiveness Country Briefs: http://www.adb.org/ADF/country-briefs.asp - Viet Nam Development Effectiveness Country Brief: (http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/viet-Nam.pdf) - Sri Lanka Development Effectiveness Country Brief: http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Sri-Lanka.pdf - Kyrgyz Republic Development Effectiveness Country Brief (2007): http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Kyrgyz-Republic.pdf - Mongolia Development Effectiveness Country Brief (2007): http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Mongolia.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) for at least two countries, there is evidence from project/program level planning documents, such as PIPs, PADs or similar documents, that the changes required to the planning of new interventions have been made	Met: - Kyrgyz Republic Development Effectiveness Country Brief (2007): http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Kyrgyz-Republic.pdf - Mongolia Development Effectiveness Country Brief (2007): http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Mongolia.pdf - Western Regional Road Corridor Development Project - Phase I: http://www.adb.org/projects/project.asp?id=39265 - Inner Mongolia Road Development: http://www.adb.org/projects/project.asp?id=43029 - Projects: http://www.adb.org/Projects/
		4. (If all above criteria are met) for at least two countries, there is evidence from country reports that new interventions have been implemented according to the required changes	Not met: - Kyrgyz Republic Development Effectiveness Country Brief (2007): http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Kyrgyz-Republic.pdf - Mongolia Development Effectiveness Country Brief (2007): http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Mongolia.pdf - Western Regional Road Corridor Development Project - Phase I: http://www.adb.org/projects/project.asp?id=39265 - Inner Mongolia Road Development: http://www.adb.org/projects/project.asp?id=43029
		5. (If all above criteria are met) all criteria met for all countries	Not met: Does not apply
OVERALL SCORE MI 2.4B: ADEQUATE		OVERALL COMMENTS:	
2.4C	“unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Very weak = Less than 40% of “unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Weak = 40 - 55 % of “unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Inadequate = 56 – 70% of “unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Adequate = 71 - 80% of “unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Strong = 81-90% of “unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Not met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Very strong = 91 - 100% of “unsatisfactory” investments, programs or projects from the previous fiscal year are subject to proactive management	Not met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
OVERALL SCORE MI 2.4C: ADEQUATE		OVERALL COMMENTS:	-
2.4D	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	1. MO Evaluation Policy or guidelines include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations)	Met: <i>Operations Manual – Bank Policies (BP):</i> http://www.adb.org/Documents/Manuals/Operations/OMK1.pdf - ADB Management’s Responses to Evaluation Studies: http://www.adb.org/Evaluation/management-response.asp <i>Annual Reports on Acting on Recommendations:</i> http://www.adb.org/Evaluation/annual-report-recommendations.asp
		2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations)	Met: <i>Operations Manual – Bank Policies (BP):</i> http://www.adb.org/Documents/Manuals/Operations/OMK1.pdf - ADB Management’s Responses to Evaluation Studies: http://www.adb.org/Evaluation/management-response.asp <i>Annual Reports on Acting on Recommendations:</i> http://www.adb.org/Evaluation/annual-report-recommendations.asp

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organisation) and/or Governing Bodies (Executive Boards).	Met: - Annual Reports on Acting on Recommendations: http://www.adb.org/Evaluation/annual-report-recommendations.asp - Evaluation Resources (http://www.adb.org/Evaluation/resources.asp)
		4. There is evidence of <u>periodic reports</u> on the status of the implementation of these evaluation recommendations accepted by management/governing body.	Met: Annual Reports on Acting on Recommendations: http://www.adb.org/Evaluation/annual-report-recommendations.asp
		5. There is evidence of a systematic process (regularly on the agenda of the Executive Board; reports or presentations to Board illustrate regular tracking of follow up) for follow-up on the evaluation of the recommendations accepted by management/governing body.	Met: Evaluation Resources (http://www.adb.org/Evaluation/resources.asp)
OVERALL SCORE MI 2.4D: VERY STRONG		OVERALL COMMENTS:	-
2.4E	MO resources allocated to countries and projects are based on performance	Very weak = Less than 40%	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Weak = 40 - 55 %	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Inadequate = 56 – 70%	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Adequate = 71 - 80%	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Strong = 81-90%	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		Very strong = 91 - 100%	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
OVERALL SCORE MI 2.4E: VERY STRONG		OVERALL COMMENTS:	-
HUMAN RESOURCES MANAGEMENT			
2.5A	Results focused performance agreement systems are in place for senior staff (Including Country Directors)	1. There is evidence in the suite of documents reviewed that a system is in place that requires performance agreements for at least some staff	Met: Results Matter. Ideas and Experiences on Managing for Development Results (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf
		2. The evidence suggests that this applies to all staff or that it explicitly includes senior staff (e.g., president/CEO, vice presidents, sector/program/division directors, country representatives, country directors)	Met: Results Matter. Ideas and Experiences on Managing for Development Results (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf
		3. The system is fairly well described in the suite of documents provided, giving an understanding of the approach to creating performance agreements and the content of those agreements	Met: Results Matter. Ideas and Experiences on Managing for Development Results (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf
		4. There is an explicit policy (HR or other wise) that summarises all the aims and content of the performance management system for staff	Not met:

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If the first two criteria are met) There is evidence of compliance with the performance management system. In other words, there are management indicators that pay attention to the application of the performance management system, or there are other sources – newsletters, reports etc—that comment on how many staff (or % of all staff) that go through this system every year	Met: Results Matter. Ideas and Experiences on Managing for Development Results (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf
OVERALL SCORE MI 2.5A: STRONG		OVERALL COMMENTS:	-
2.5B	There is a transparent incentive and reward system for staff performance	1. There is evidence (either in an HR policy or through a suite of documents) that the MO has a system for managing staff performance (see Q II KPI 5 A)	Met: - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - Results Matter. Ideas and Experiences on Managing for Development Results (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf
		2. There is evidence that the system for managing staff performance is operational	Met: Results Matter. Ideas and Experiences on Managing for Development Results (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf
		3. There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards (is it looking at this issue at all – for example, has it set up a working group, is it reviewing its policy to better address this, is it seeking data from other UN agencies, etc)	Met: Report on the Implementation of the New Human Resources Strategy (2006): http://www.adb.org/ADF/HRS-Paper-ADF-IX.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next)	Not met: - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf <i>Results Matter. Ideas and Experiences on Managing for Development Results</i> (May 2005): http://www.adb.org/Documents/Periodicals/MfDR/may-2005.pdf <i>Report on the Implementation of the New Human Resources Strategy</i> (2006): http://www.adb.org/ADF/HRS-Paper-ADF-IX.pdf
		5. If there is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards this should be noted; if the review is a recent one and comments quite negatively on its HR systems, particularly in relation to: performance management system, transparency of the system, etc then the organisation should not be rated higher than adequate on this indicator	Not met No review/evaluation available
OVERALL SCORE MI 2.5B: ADEQUATE		OVERALL COMMENTS:	-
PORTFOLIO MANAGEMENT			
2.6A	Prior to approval new initiatives are subject to benefits analysis (economic, social, etc)	1. A policy, framework or guidelines exists at country, regional or organisation-wide level that requires benefits analysis for new initiatives	Met Guidelines for the Economic Analysis of Project, 1997: http://www.adb.org/Documents/Guidelines/Eco_Analysis/eco-analysis-projects.pdf
		2. (If first criterion is met) a policy, framework or guidelines exists at organisation-wide level and is corporately approved that requires benefits analysis for new initiatives	Met Financial Management and Analysis of Projects: http://www.adb.org/Documents/Guidelines/Financial/financial-governance-management.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. At least one project/program appraisal document (e.g., PAD) sampled shows that a benefits analysis was undertaken	Met Conflict Affected Region Emergency Project in Sri Lanka (2010): http://www.adb.org/Documents/RRPs/?id=44065-01-3
		4. (If third criterion met) all project/program appraisal documents (e.g., PAD) sampled show that a benefits analysis was undertaken	Met - Report and Recommendation of the President to the Board of Directors: <i>Proposed Equity Investment Sungas LLC for the LPG Distribution Development Project (Afghanistan)</i> (2010): http://www.adb.org/Documents/RRPs/AFG/40921-AFG-RRP.pdf - Report and Recommendation of the President to the Board of Directors: <i>Proposed Loan and Administration of Loan and Grant Republic of Indonesia: Java–Bali Electricity Distribution Performance Improvement Project</i> (2010): http://www.adb.org/Documents/RRPs/INO/40061-INO-RRP.pdf - Report and Recommendation of the President to the Board of Directors: <i>Proposed Loan Socialist Republic of Viet Nam: Strengthening Water Management and Irrigation Systems Rehabilitation Project</i> (2010): http://www.adb.org/Documents/TARs/VIE/42080-VIE-TAR.pdf - Report and Recommendation of the President to the Board of Directors: <i>Proposed Multitranche Financing Facility Socialist Republic of Viet Nam: SOE Reform and Corporate Governance Facilitation Program</i> (2009): http://www.adb.org/Documents/RRPs/VIE/39538-VIE-RRP.pdf
		5. Any evidence of an initiative's design being altered in response to findings from a benefits analysis	Not met No evidence
OVERALL SCORE MI 2.6A: STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.6B	Milestones / targets are set to rate the progress of (project) implementation	1. <i>At least two of the PIPs or country workplans sampled contain a description of milestones and/or targets for project/program implementation</i>	Met: - Project Administration Manual (PAM): Democratic Socialist Republic of Sri Lanka: Conflict Affected Region Emergency Project (2010): http://www.adb.org/Documents/PAMs/SRI/44065-01-SRI-PAM.pdf#page=35 - PAM: Viet Nam: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project (2009): http://www.adb.org/Documents/PAMs/VIE/42182-VIE-PAM.pdf - PAM: LAO/VIE: Greater Mekong Subregion Sustainable Tourism Development Project (2009): http://www.adb.org/Documents/PAMs/VIE/38015-VIE-PAM.pdf - PAM: SRI LANKA: Clean Energy and Access Improvement Project (2009): http://www.adb.org/Documents/PAMs/SRI/39419-SRI-PAM.pdf - PAM: Socialist Republic of Viet Nam: Ho Chi Minh City–Long Thanh–Dau Giay Expressway Construction Project (2009): http://www.adb.org/Documents/PAMs/VIE/40198-VIE-PAM.pdf
		2. (If first criterion is met) <i>all of the PIPs or country workplans sampled contain a description of milestones and/or targets for project/program implementation</i>	Met: - Project Administration Manual (PAM): Democratic Socialist Republic of Sri Lanka: Conflict Affected Region Emergency Project (2010): http://www.adb.org/Documents/PAMs/SRI/44065-01-SRI-PAM.pdf#page=35 - PAM: Viet Nam: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project (2009): http://www.adb.org/Documents/PAMs/VIE/42182-VIE-PAM.pdf - PAM: LAO/VIE: Greater Mekong Subregion Sustainable Tourism Development Project (2009): http://www.adb.org/Documents/PAMs/VIE/38015-VIE-PAM.pdf - PAM: SRI LANKA: Clean Energy and Access Improvement Project (2009): http://www.adb.org/Documents/PAMs/SRI/39419-SRI-PAM.pdf - PAM: Socialist Republic of Viet Nam: Ho Chi Minh City–Long Thanh–Dau Giay Expressway Construction Project (2009): http://www.adb.org/Documents/PAMs/VIE/40198-VIE-PAM.pdf
		3. (If first criterion is met) <i>in most cases, the milestones/target provided align with activities described in the project/program implementation</i>	Met: - Project Administration Manual (PAM): Democratic Socialist Republic of Sri Lanka: Conflict Affected Region Emergency Project (2010): http://www.adb.org/Documents/PAMs/SRI/44065-01-SRI-PAM.pdf#page=35 - PAM: Viet Nam: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project (2009): http://www.adb.org/Documents/PAMs/VIE/42182-VIE-PAM.pdf - PAM: LAO/VIE: Greater Mekong Subregion Sustainable Tourism Development Project (2009): http://www.adb.org/Documents/PAMs/VIE/38015-VIE-PAM.pdf - PAM: SRI LANKA: Clean Energy and Access Improvement Project (2009): http://www.adb.org/Documents/PAMs/SRI/39419-SRI-PAM.pdf - PAM: Socialist Republic of Viet Nam: Ho Chi Minh City–Long Thanh–Dau Giay Expressway Construction Project (2009): http://www.adb.org/Documents/PAMs/VIE/40198-VIE-PAM.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) dates are established for the milestones/targets, <i>in more than half of the PIPs or country workplans sampled</i>	Met: - Project Administration Manual (PAM): Democratic Socialist Republic of Sri Lanka: Conflict Affected Region Emergency Project (2010): http://www.adb.org/Documents/PAMs/SRI/44065-01-SRI-PAM.pdf#page=35 - PAM: Viet Nam: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project (2009): http://www.adb.org/Documents/PAMS/VIE/42182-VIE-PAM.pdf - PAM: LAO/VIE: Greater Mekong Subregion Sustainable Tourism Development Project (2009): http://www.adb.org/Documents/PAMs/VIE/38015-VIE-PAM.pdf - PAM: SRI LANKA: Clean Energy and Access Improvement Project (2009): http://www.adb.org/Documents/PAMs/SRI/39419-SRI-PAM.pdf - PAM: Socialist Republic of Viet Nam: Ho Chi Minh City–Long Thanh–Dau Giay Expressway Construction Project (2009): http://www.adb.org/Documents/PAMs/VIE/40198-VIE-PAM.pdf
		5. (If all above criteria met) all above criteria met for all PIPs/country workplans sampled	Met: - Project Administration Manual (PAM): Democratic Socialist Republic of Sri Lanka: Conflict Affected Region Emergency Project (2010): http://www.adb.org/Documents/PAMs/SRI/44065-01-SRI-PAM.pdf#page=35 - PAM: Viet Nam: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project (2009): http://www.adb.org/Documents/PAMS/VIE/42182-VIE-PAM.pdf - PAM: LAO/VIE: Greater Mekong Subregion Sustainable Tourism Development Project (2009): http://www.adb.org/Documents/PAMs/VIE/38015-VIE-PAM.pdf - PAM: SRI LANKA: Clean Energy and Access Improvement Project (2009): http://www.adb.org/Documents/PAMs/SRI/39419-SRI-PAM.pdf - PAM: Socialist Republic of Viet Nam: Ho Chi Minh City–Long Thanh–Dau Giay Expressway Construction Project (2009): http://www.adb.org/Documents/PAMs/VIE/40198-VIE-PAM.pdf
OVERALL SCORE MI 2.6B: VERY STRONG		OVERALL COMMENTS:	-
2.7A	Aid reallocation decisions can be made locally	1. An organisation-wide policy or guidelines exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	Met: Project Administration Instructions on Reallocating Loan Proceeds : http://www.adb.org/documents/manuals/PAI/pai-5.05-sep05.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of aid reallocation decisions that can be made at the country level (or other local level as appropriate); in other words, MO staff in the country office can make decisions about reallocating funds	Met: Project Administration Instructions on Reallocating Loan Proceeds : http://www.adb.org/documents/manuals/PAI/pai-5.05-sep05.pdf
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts or parameters within which the local level does not require central level approval prior to making decisions on aid reallocation	Met: Project Administration Instructions on Reallocating Loan Proceeds : http://www.adb.org/documents/manuals/PAI/pai-5.05-sep05.pdf
		4. The organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence)	Not met: <i>DEVELOPMENT EFFECTIVENESS COMMITTEE Chair's Summary of the Committee's Discussion on 13 June 2007 of the Country Assistance Program Evaluation for Pakistan and Sector Assistance Program Evaluation for the Road Sector in Pakistan:</i> http://www.adb.org/BOD/dec/DEC-ChairSum-13June2007.pdf <i>Managing for Development Results in the Asian Development Bank: A Preliminary Assessment (2007):</i> http://www.adb.org/Documents/SES/REG/SST-REG-2007-32/SST-REG-2007-32.pdf - Management Response on The Annual Report on Loan And Technical Assistance Portfolio Performance For The Year Ending 31 December 2005: http://www.adb.org/Evaluation/Management-Response/Annual-Reports/MR-2005-12-AR-LTAPP.pdf
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of aid reallocation decisions to the country or other relevant level	Not met No evidence
OVERALL SCORE MI 2.7A: ADEQUATE		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.7B	New aid programs / projects can be approved locally within a budget cap	1. An organisation-wide policy or guidelines exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	Met: Better and Faster Loan Delivery. Report of the Loan Delivery Working Group (dated November 2009): http://www.adb.org/Documents/Reports/better-and-faster-loan-delivery.pdf
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of decisions about funding new initiatives (plans, projects, programs) that can be made at the country level (or other local level as appropriate); in other words, MO staff in the country office can approve funding	Not met: Better and Faster Loan Delivery. Report of the Loan Delivery Working Group (dated November 2009): http://www.adb.org/Documents/Reports/better-and-faster-loan-delivery.pdf
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts (budget ceilings or allocations) or parameters within which the local level does not require central level approval prior to making decisions on new initiatives	Not met: Does not apply
		4. The organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence)	Not met: - DEVELOPMENT EFFECTIVENESS COMMITTEE Chair's Summary of the Committee's Discussion on 13 June 2007 of the Country Assistance Program Evaluation for Pakistan and Sector Assistance Program Evaluation for the Road Sector in Pakistan: http://www.adb.org/BOD/dec/DEC-ChairSum-13June2007.pdf - Managing for Development Results in the Asian Development Bank: A Preliminary Assessment (2007): http://www.adb.org/Documents/SES/REG/SST-REG-2007-32/SST-REG-2007-32.pdf - Management Response On The Annual Report On Loan And Technical Assistance Portfolio Performance For The Year Ending 31 December 2005: http://www.adb.org/Evaluation/Management-Response/Annual-Reports/MR-2005-12-AR-LTAPP.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of authority to approve new aid programs/projects to the country or other relevant level (Note: it there is a review/evaluation that comments negatively on this point, the findings should be noted and the rating should probably not be higher than adequate)	Met: • <i>Review of Residents' Missions Operations</i> (2008): http://www.adb.org/documents/policies/resident_mission_policy/IN294-08.pdf
OVERALL SCORE MI 2.7B: INADEQUATE		OVERALL COMMENTS:	-

QUADRANT III – RELATIONSHIP MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
ALIGNMENT			
3.1B	MO conditionality (if any) draws on national / government's own agreed benchmarks / indicators / results	1. (If applicable) MO has a policy that aligns its conditions for lending – especially policy or program lending-- with the principles of country ownership	Met • ADB, Program Lending Policy: Clarification, April 2009: http://www.adb.org/Documents/Policies/Program_Lending/in89-09.pdf • Policy Based Lending, Emerging Practices in Supporting Reforms in Developing Member Countries, Special Evaluation Study, 2007: http://www.adb.org/documents/ses/reg/policy-based-lending/evu-oth-2007-18.pdf • Report and Recommendations of the President for: • 40347 Secondary Education Sector Development (Viet Nam): http://www.adb.org/Documents/RRPs/VIE/40347-VIE-RRP.pdf • 43009 Indonesian Public Expenditure Support Facility: http://www.adb.org/Documents/RRPs/INO/43009-INO-RRP.pdf • 32507 Financial Governance and Social Security Reform Program II Loan – 2577: http://www.adb.org/Documents/RRPs/INO/32507-INO-RRP.pdf and http://www.adb.org/Documents/RRPs/INO/32507-02-INO-RRP.pdf • 42191 Support for the Implementation of the Poverty Reduction Program Cluster: http://www.adb.org/Documents/RRPs/VIE/42191-VIE-RRP.pdf and http://www.adb.org/Documents/RRPs/VIE/42191-02-VIE-RRP.pdf • 43092 Fifth Development Policy Support Program: http://www.adb.org/Documents/RRPs/INO/43092-INO-RRP.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If criterion 1), the MO policy also provides guidance to align the organization with other good practice principles for conditionality	Met - ADB, Program Lending Policy: Clarification, April 2009: http://www.adb.org/Documents/Policies/Program_Lending/in89-09.pdf - Policy Based Lending, Emerging Practices in Supporting Reforms in Developing Member Countries, Special Evaluation Study, 2007: http://www.adb.org/documents/ses/reg/policy-based-lending/evu-oth-2007-18.pdf - Report and Recommendations of the President for: 40347 Secondary Education Sector Development (Viet Nam): http://www.adb.org/Documents/RRPs/VIE/40347-VIE-RRP.pdf 43009 Indonesian Public Expenditure Support Facility: http://www.adb.org/Documents/RRPs/INO/43009-INO-RRP.pdf 32507 Financial Governance and Social Security Reform Program II Loan – 2577: http://www.adb.org/Documents/RRPs/INO/32507-INO-RRP.pdf and http://www.adb.org/Documents/RRPs/INO/32507-02-INO-RRP.pdf 42191 Support for the Implementation of the Poverty Reduction Program Cluster: http://www.adb.org/Documents/RRPs/VIE/42191-VIE-RRP.pdf and http://www.adb.org/Documents/RRPs/VIE/42191-02-VIE-RRP.pdf 43092 Fifth Development Policy Support Program: http://www.adb.org/Documents/RRPs/INO/43092-INO-RRP.pdf
		3. There is evidence of MO intent/ or practice (depending on the timing of the policy) of reviewing its progress in implementing changes in its approach to conditionality (including conditionality)	Not met - ADB, Program Lending Policy: Clarification, April 2009: http://www.adb.org/Documents/Policies/Program_Lending/in89-09.pdf - Policy Based Lending, Emerging Practices in Supporting Reforms in Developing Member Countries, Special Evaluation Study, 2007: http://www.adb.org/documents/ses/reg/policy-based-lending/evu-oth-2007-18.pdf - Report and Recommendations of the President for: 40347 Secondary Education Sector Development (Viet Nam): http://www.adb.org/Documents/RRPs/VIE/40347-VIE-RRP.pdf 43009 Indonesian Public Expenditure Support Facility: http://www.adb.org/Documents/RRPs/INO/43009-INO-RRP.pdf 32507 Financial Governance and Social Security Reform Program II Loan – 2577: http://www.adb.org/Documents/RRPs/INO/32507-INO-RRP.pdf and http://www.adb.org/Documents/RRPs/INO/32507-02-INO-RRP.pdf 42191 Support for the Implementation of the Poverty Reduction Program Cluster: http://www.adb.org/Documents/RRPs/VIE/42191-VIE-RRP.pdf and http://www.adb.org/Documents/RRPs/VIE/42191-02-VIE-RRP.pdf 43092 Fifth Development Policy Support Program: http://www.adb.org/Documents/RRPs/INO/43092-INO-RRP.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is evidence of the MO reporting to the Board on progress/issues on implementation of the policy	Not met • ADB, Program Lending Policy: Clarification, April 2009: http://www.adb.org/Documents/Policies/Program_Lending/in89-09.pdf • Policy Based Lending, Emerging Practices in Supporting Reforms in Developing Member Countries, Special Evaluation Study, 2007: http://www.adb.org/documents/ses/reg/policy-based-lending/evu-oth-2007-18.pdf • Report and Recommendations pf the President for: • 40347 Secondary Education Sector Development (Viet Nam): http://www.adb.org/Documents/RRPs/VIE/40347-VIE-RRP.pdf • 43009 Indonesian Public Expenditure Support Facility: http://www.adb.org/Documents/RRPs/INO/43009-INO-RRP.pdf • 32507 Financial Governance and Social Security Reform Program II Loan – 2577: http://www.adb.org/Documents/RRPs/INO/32507-INO-RRP.pdf and http://www.adb.org/Documents/RRPs/INO/32507-02-INO-RRP.pdf • 42191 Support for the Implementation of the Poverty Reduction Program Cluster: http://www.adb.org/Documents/RRPs/VIE/42191-VIE-RRP.pdf and http://www.adb.org/Documents/RRPs/VIE/42191-02-VIE-RRP.pdf • 43092 Fifth Development Policy Support Program: http://www.adb.org/Documents/RRPs/INO/43092-INO-RRP.pdf
		5. There is evidence of implementation of the policy either in special evaluation studies, or in the review of a sample of actual project documents/loan agreements	Met • ADB, Program Lending Policy: Clarification, April 2009: http://www.adb.org/Documents/Policies/Program_Lending/in89-09.pdf • Policy Based Lending, Emerging Practices in Supporting Reforms in Developing Member Countries, Special Evaluation Study, 2007: http://www.adb.org/documents/ses/reg/policy-based-lending/evu-oth-2007-18.pdf • Report and Recommendations pf the President for: • 40347 Secondary Education Sector Development (Viet Nam): http://www.adb.org/Documents/RRPs/VIE/40347-VIE-RRP.pdf • 43009 Indonesian Public Expenditure Support Facility: http://www.adb.org/Documents/RRPs/INO/43009-INO-RRP.pdf • 32507 Financial Governance and Social Security Reform Program II Loan – 2577: http://www.adb.org/Documents/RRPs/INO/32507-INO-RRP.pdf and http://www.adb.org/Documents/RRPs/INO/32507-02-INO-RRP.pdf • 42191 Support for the Implementation of the Poverty Reduction Program Cluster: http://www.adb.org/Documents/RRPs/VIE/42191-VIE-RRP.pdf and http://www.adb.org/Documents/RRPs/VIE/42191-02-VIE-RRP.pdf • 43092 Fifth Development Policy Support Program: http://www.adb.org/Documents/RRPs/INO/43092-INO-RRP.pdf
OVERALL SCORE MI 3.1B: ADEQUATE		OVERALL COMMENTS:	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
3.3A	% of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	Very weak = Less than 30% of MO's aid flows are aligned on national procedures	
		Weak = Between 30% and 49% (inclusively) of MO's aid flows are aligned on national procedures.	
		Inadequate = Between 50% and 69% (inclusively) of MO's aid flows are aligned on national procedures	
		Adequate = Between 70% and 84% (inclusively) of MO's aid flows are aligned on national procedures	
		Strong = Between 85% and 90% (inclusively) of MO's aid flows are aligned on national procedures	Met ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Very strong = More than 90% of MO's aid flows are aligned on national procedures	
OVERALL SCORE MI 3.3A: STRONG		OVERALL COMMENTS:	-
3.3B	% of the MOs overall ODA disbursements / support using national systems and procedures	Very weak = Less than 20% of MO's aid flows use national financial management / procurement systems.	
		Weak = Between 20% and 39% (inclusively) of MO's aid flows use national financial management/ procurement systems	
		Inadequate = Between 40% and 59% (inclusively) of MO's aid flows use national financial management/ procurement systems.	Met – for ADB's use of Procurement Systems ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Adequate = Between 60% and 79% (inclusively) of MO's aid flows use national financial management/ procurement systems	
		Strong = Between 80% and 90% (inclusively) of MO's aid flows use national financial management/ procurement systems	
		Very strong = More than 90% of MO's aid flows use national financial management/ procurement systems	Met – for ADB’s use of PFM systems ADB, Asian Development Bank’s Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
OVERALL SCORE MI 3.3B: STRONG		OVERALL COMMENTS:	NOTE: Since the MI is based on two PD indicators, these have been rated separately and then consolidated into the overall rating on this MI. ADB has a rating of <i>Very Strong</i> for its use of country PFM systems and a rating of <i>Inadequate</i> for its use of country procurement systems. The consolidated rating is therefore a rating of Strong
3.3C	Reduction in total stock of PIUs	Very weak = The number of parallel Project Implementation Units (PIUs) of the MO has not been reduced or has been increased	
		Weak = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 1 and 24% (inclusively)	
		Inadequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 25 and 49% (inclusively)	
		Adequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 50 and 65% (inclusively)	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 66% (two-thirds) and 75% (inclusively)	
		Very strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced in more than 75%	Met ADB, Asian Development Bank’s Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
OVERALL SCORE MI 3.3C: VERY STRONG		OVERALL COMMENTS:	Note: For this indicator, we are looking at the reduction in the stock of PIUs in relation to the baseline. In 2009, ADB reported only 5 PIUs that meet the OECD definition for PIU, compared to 95 PIUs in 2005.
HARMONISATION			
3.5A	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	Very weak = Less than 10% of MO's missions to the field are joint	
		Weak = Between 10% and 19% (inclusively) of MO's missions to the field are joint	
		Inadequate = Between 20% and 29% (inclusively) of MO's missions to the field are joint	
		Adequate = Between 30% and 39%(inclusively) of MO's missions to the field are joint	
		Strong = Between 40% and 50% (inclusively) of MO's missions to the field are joint	
		Very strong = More than 50% of MO's missions to the field are joint	Met ADB, Asian Development Bank’s Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
OVERALL SCORE MI 3.5A: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
3.5B	The extent to which MO technical cooperation is disbursed through coordinated programs	Very weak = Less than 10% of MO's capacity-development support is provided through coordinated programs	
		Weak = Between 10% and 20% (inclusively) of MO's capacity-development support is provided through coordinated programs	
		Inadequate = Between 21% and 35% (inclusively) of MO's capacity-development support is provided through coordinated programs	
		Adequate = Between 36% and 50% (inclusively) of MO's capacity-development support is provided through coordinated programs	
		Strong = Between 50% and 60% (inclusively) of MO's capacity-development support is provided through coordinated programs	Met ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Very strong = More than 60% of MO's capacity-development support is provided through coordinated programs	
OVERALL SCORE MI 3.5B: STRONG		OVERALL COMMENTS:	-
3.5C	% of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	Very weak = Less than 20% of MO's aid is provided as program-based approaches	
		Weak = Between 20% and 35% (inclusively) of MO's aid is provided as program-based approaches	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Inadequate = Between 36% and 50% (inclusively) of MO's aid is provided as program-based approaches	
		Adequate = Between 51% and 65% (inclusively) of MO's aid is provided as program-based approaches	Met ADB, Asian Development Bank's Progress on Aid Effectiveness: 2010 Update, April 2010, http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2010.pdf
		Strong = Between 66% and 80% (inclusively) of MO's aid is provided as program-based approaches	
		Very strong = More than 80% of MO's aid is provided as program-based approaches	
OVERALL SCORE MI 3.5C: ADEQUATE		OVERALL COMMENTS:	-

QUADRANT IV – KNOWLEDGE MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
4.1A		1. An organisation-wide (central) evaluation unit or function exists	Met Independent Evaluation Department (http://www.adb.org/evaluation/)
		2. An organisation-wide evaluation policy exists and is corporately approved, which establishes that the evaluation unit has the independence to carry out evaluations without undue influence from other units of the MO	Met <i>Review of the Independence and Effectiveness of the Operations Evaluation Department:</i> http://www.adb.org/Documents/Policies/OED-Review/R297-08.pdf - Board Minutes 58-08: http://www.adb.org/Documents/Board/Minutes/2008/M58-08.pdf
		3. (If first three criterion is met) there is evidence of regular reports being provided by the evaluation unit or function to Executive Management (Head of Organisation) or Board on evaluations and follow-up to evaluations	Met Evaluation Reports (http://www.adb.org/Evaluation/resources.asp)
		4. If a central evaluation unit exists, it is structurally independent (i.e., there is a structural separation between the evaluation unit and the line management responsible for planning and managing development assistance)	Met - Independent Evaluation Department (http://www.adb.org/evaluation/) <i>Review of the Independence and Effectiveness of the Operations Evaluation Department:</i> http://www.adb.org/Documents/Policies/OED-Review/R297-08.pdf
		5. The central evaluation unit reports directly to the MO's Executive Board	Met <i>Review of the Independence and Effectiveness of the Operations Evaluation Department:</i> http://www.adb.org/Documents/Policies/OED-Review/R297-08.pdf
OVERALL SCORE MI 4.1A: VERY STRONG		OVERALL COMMENTS:	-
4.1B	# of completed programs and projects subject to independent	1. 3% or more of projects/programs are subject to independent ex-post evaluations	Met COMPAS Report 2008 : http://www.mfdr.org/Compas/documents/2008COMPAS.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
	ex-post evaluations conducted subsequent to termination, as % of average # of projects completed annually over last 5 years	2. 7% or more of projects/programs are subject to independent ex-post evaluations	Met COMPAS Report 2008 : http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		3. 15% or more of projects/programs are subject to independent ex-post evaluations	Met COMPAS Report 2008 : http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		4. 30% or more of projects/programs are subject to independent ex-post evaluations	Not met COMPAS Report 2008 : http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		5. More than 60% of projects/programs are subject to independent ex-post evaluations	Not met COMPAS Report 2008 : http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
OVERALL SCORE MI 4.1B: ADEQUATE		OVERALL COMMENTS:	It should be noted that the figure of 16.3 percent for the ADB, which is drawn from COMPAS and is the basis for the rating, does not reflect the full extent of evaluation coverage of the IED, as it only considers evaluations conducted at the project level. It does not reflect coverage of project/program evaluations embedded in the evaluations of completed and ongoing projects/programs under sector assistance program evaluations (SAPEs) and country assistance program evaluations (CAPEs).
4.2A	Reports on the achievement of outcomes, not just inputs, activities and outputs	1. Annual performance reports exist at the organisation-wide level	Met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		2. (If first criterion is met) the most recent performance report sampled describes outcomes achieved in addition to outputs	Met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		3. (If first two criteria are met) the most recent performance report sampled discusses both expected and unexpected outcomes achieved	Not met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first two criteria are met) the most recent performance report sampled provides evidence for the MO's contribution to outcome achievement (i.e., establishes a link between outputs and outcomes)	Met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		5. (If all above criteria are met) all above criteria are met <i>for all performance reports sampled</i>	Not met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
OVERALL SCORE MI 4.2A: ADEQUATE		OVERALL COMMENTS:	-
4.2B	Reports performance using data obtained from measuring indicators	1. Annual performance reports exist at the organisation-wide level	Met - Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Development Effectiveness Review (DEfR) Report 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf - Development Effectiveness Review (DEfR) Report 2007: http://www.adb.org/Documents/strategy2020/2007-Development-Effectiveness-Review.pdf
		2. (If first criterion is met) the most recent performance report sampled provides a clear identification of the indicators and associated measurement for the reporting period	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		3. (If first two criteria are met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years)	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first two criteria are met) the most recent performance report sampled compares indicator measurement to baseline and/or target amounts (either in graph or narrative form)	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Met - Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Development Effectiveness Review (DEfR) Report 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf - Development Effectiveness Review (DEfR) Report 2007: http://www.adb.org/Documents/strategy2020/2007-Development-Effectiveness-Review.pdf
OVERALL SCORE MI 4.2B: VERY STRONG		OVERALL COMMENTS:	-
4.2C	Reports against its Corporate Strategy, including expected management and development results	1. Annual performance reports exist at the organisation-wide level	Met - Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Development Effectiveness Review (DEfR) Report 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf
		2. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF	Met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		3. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide MRF	Met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If criterion two and/or three are met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and/or MRF, along with an explanation of any variances	Met Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Met - Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Development Effectiveness Review (DEfR) Report 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf
OVERALL SCORE MI 4.2C: VERY STRONG		OVERALL COMMENTS:	-
4.2D	Reports against its Paris Declaration commitments using indicators and country targets	1. An annual, organisation-wide report on the MO's performance against Paris Declaration (PD) commitments exists (this may not be a separate report, but part of a larger report, such as the annual performance report)	Met - Development Effectiveness Review (DEfR) Report 2009: http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf <i>Evaluation of the Implementation of the Paris Declaration at the Asian Development Bank: A Development Partner's Study for an OECD-DAC Joint Evaluation:</i> http://www.adb.org/Documents/SES/REG/SST-REG-2008-03/SST-REG-2008-03.pdf <i>Asian Development Bank's Aid Effectiveness Report 2009 and the Way Forward:</i> http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2009.pdf
		2. (If the first criterion is met) the most recent report describes the extent of achievement to date of PD commitments, using indicators	Met Asian Development Bank's Aid Effectiveness Report 2009 and the Way Forward: http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2009.pdf
		3. (If the first two criteria are met) the most recent report shows country targets for PD commitments	Met Asian Development Bank's Aid Effectiveness Report 2009 and the Way Forward: http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2009.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If all above criteria are met) the most recent report shows the extent of achievement to date of PD commitments by country	Met Asian Development Bank's Aid Effectiveness Report 2009 and the Way Forward: http://www.adb.org/Documents/Policies/aid-effectiveness/aid-effectiveness-report-2009.pdf
		5. (If all above criteria are met) all above criteria are met for all reports sampled	Not met - Development Effectiveness Review (DEfR) Report 2007: http://www.adb.org/Documents/strategy2020/2007-Development-Effectiveness-Review.pdf - Evaluation of the Implementation of the Paris Declaration at the Asian Development Bank: A Development Partner's Study for an OECD-DAC Joint Evaluation: http://www.adb.org/Documents/SES/REG/SST-REG-2008-03/SST-REG-2008-03.pdf
OVERALL SCORE MI 4.2D: STRONG		OVERALL COMMENTS:	-
4.2E	Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	1. Information on organisation-wide performance (i.e., outcomes achieved) is available in annual (or multi-year) performance reports that are submitted to the Executive Board	Met - Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Development Effectiveness Review (DEfR) Report 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf
		2. (If first criterion is met) one performance report reviewed describes the implications of this performance information or other sources of information on organisational performance on the MO's policies (i.e., what policies need to be changed, removed, or added as a result of what has been learned from collecting performance information in the form of monitoring information and/or evaluations that address results achievement and other organisational performance issues)	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) one performance report reviewed describes changes made to <i>at least one</i> policy (addressing either internal organisational functions or programming), resulting at least in part from what has been learned from performance information	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		4. (If third criterion is met) one performance report reviewed describes programmatic changes made to <i>more than one</i> policy, resulting at least in part from what has been learned from performance information	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf
		5. (If all above criteria are met) all performance reports reviewed meet all above criteria	Not met - Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Development Effectiveness Review (DEfR) Report 2008: http://www.adb.org/Documents/reports/development-effectiveness-review/2008-Development-Effectiveness.pdf
OVERALL SCORE MI 4.2E: STRONG		OVERALL COMMENTS:	-
4.2F	Reports on country (or other) level programming adjustments made or recommended based on performance information	1. MO reports submitted to the Executive Board, at the country and/or organisation-wide levels, contain information on country performance (i.e., outcomes achieved)	Met Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) for at least two countries, there is a description, in one of the above-mentioned reports, of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed, in reaction to the performance information)	Met • Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf • Country brief Afghanistan : http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Afghanistan.pdf • Country brief Sri Lanka: http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Sri-Lanka.pdf • Country brief Viet Nam: http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/viet-Nam.pdf • Country Assistance Program Evaluations for Viet Nam (2009): http://www.adb.org/Documents/CAPES/vie/cap-vie-2009-29/CAP-VIE-2009-29.pdf • Country Assistance Program Evaluations for Sri Lanka (2007): http://www.adb.org/Documents/CAPES/SRI/2007/CAPE-SRI-2007.pdf • Country Assistance Program Evaluations for Indonesia (2005): http://www.adb.org/Documents/CAPES/INO/cap-ino-2005-16/cape-ino.pdf
		3. (If first criterion is met) for at least two countries, one of the reports described above describe changes made to the planning of new interventions as a result of what was learned from performance information	Met • Country Assistance Program Evaluations for Viet Nam (2009): http://www.adb.org/Documents/CAPES/vie/cap-vie-2009-29/CAP-VIE-2009-29.pdf • Country Assistance Program Evaluations for Sri Lanka (2007): http://www.adb.org/Documents/CAPES/SRI/2007/CAPE-SRI-2007.pdf • Country Assistance Program Evaluations for Indonesia (2005): http://www.adb.org/Documents/CAPES/INO/cap-ino-2005-16/cape-ino.pdf
		4. (If all above criteria are met) for at least two countries, the reports described above confirm that new interventions have been implemented according to the required changes	Met • Country Assistance Program Evaluations for Viet Nam (2009): http://www.adb.org/Documents/CAPES/vie/cap-vie-2009-29/CAP-VIE-2009-29.pdf • Country Assistance Program Evaluations for Sri Lanka (2007): http://www.adb.org/Documents/CAPES/SRI/2007/CAPE-SRI-2007.pdf • Country Assistance Program Evaluations for Indonesia (2005): http://www.adb.org/Documents/CAPES/INO/cap-ino-2005-16/cape-ino.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If all above criteria are met) all criteria met for all countries	Not met - Development Effectiveness Review (DEfR) Report 2009 : http://www.adb.org/Documents/Reports/Development-Effectiveness-Review/brochure-defr2009.pdf - Country brief Afghanistan : http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Afghanistan.pdf - Country brief Sri Lanka: http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/Sri-Lanka.pdf - Country brief Viet Nam: http://www.adb.org/Documents/Brochures/Devt-Effectiveness-Country-Briefs/viet-Nam.pdf - Country Assistance Program Evaluations for Viet Nam (2009): http://www.adb.org/Documents/CAPEs/vie/cap-vie-2009-29/CAP-VIE-2009-29.pdf - Country Assistance Program Evaluations for Sri Lanka (2007): http://www.adb.org/Documents/CAPEs/SRI/2007/CAPE-SRI-2007.pdf - Country Assistance Program Evaluations for Indonesia (2005): http://www.adb.org/Documents/CAPEs/INO/cap-ino-2005-16/cape-ino.pdf
OVERALL SCORE MI 4.2F: STRONG		OVERALL COMMENTS:	-
4.3A	Reports on lessons learned based on performance information	1. There is some evidence that the organisation is committed to the identification, documentation, and dissemination of lessons learned and/or best practices at multiple levels within the organisation	Met Review of the Independence and Effectiveness of the Operations Evaluation Department: http://www.adb.org/Documents/Policies/OED-Review/R297-08.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. <i>At least two reports</i> are available at the organisation-wide level that contain lessons learned, based on performance information (including research papers, evaluations, etc)	Met - Country Assistance Programs Evaluations: http://www.adb.org/evaluation/reports.asp?s=1&type=5 - Annual Report on 2008 Portfolio Performance : http://www.adb.org/Documents/Reports/Portfolio_Performance/2009/RPE-OTH-2009-25.pdf 2008 Annual Evaluation Review: Lessons from a Decade of ADB Country Assistance Program Evaluations: http://www.adb.org/Documents/pers/RPE-OTH-2008-45.pdf - Long-Term Strategic Framework: Lessons from Implementation (2001–2006) (December 2007): http://www.adb.org/Documents/SES/REG/SST-REG-2007-38/SST-REG-2007-38.pdf - Lessons from the Asian Development Bank's Responses to Financial Crises (2009): http://www.adb.org/Documents/Evaluation/Information-Briefs/EIB-2009-02.pdf - Lessons from Processing and Ongoing Implementation of Loan 2273-VIE(SF): Emergency Rehabilitation of Calamity Damage Project (March 2009): http://www.adb.org/Documents/Evaluation/Information-Briefs/EIB-2009-01.pdf - Find Lessons database: http://lnadbg4.adb.org/oed001p.nsf/SearchLessons?OpenForm
		3. (If the third criterion is met) more than half of the lessons learned that are documented in these reports appear to be <i>significant</i> to the organisation and its programming	Met - Annual Report on 2008 Portfolio Performance : http://www.adb.org/Documents/Reports/Portfolio_Performance/2009/RPE-OTH-2009-25.pdf 2009 Annual Evaluation Review: Role and Direction of Self-Evaluation Practices: http://www.adb.org/Documents/PERs/RPE-OTH-2009-23.pdf - Country Assistance Program Evaluations for Bangladesh (2009): http://www.adb.org/Documents/CAPEs/BAN/CAP-BAN-2009-37/CAP-BAN-2009-37.pdf - Country Assistance Program Evaluations for Cambodia (2009): http://www.adb.org/Documents/CAPEs/CAM/CAP-CAM-2009-33/CAP-CAM-2009-33.pdf
		4. (If the third criterion is met) more than half of the lessons learned that are documented in these reports appear to be <i>applicable</i> to the organisation and its programming	Met - Annual Report on 2008 Portfolio Performance : http://www.adb.org/Documents/Reports/Portfolio_Performance/2009/RPE-OTH-2009-25.pdf 2009 Annual Evaluation Review: Role and Direction of Self-Evaluation Practices: http://www.adb.org/Documents/PERs/RPE-OTH-2009-23.pdf - Country Assistance Program Evaluations for Bangladesh (2009): http://www.adb.org/Documents/CAPEs/BAN/CAP-BAN-2009-37/CAP-BAN-2009-37.pdf - Country Assistance Program Evaluations for Cambodia (2009): http://www.adb.org/Documents/CAPEs/CAM/CAP-CAM-2009-33/CAP-CAM-2009-33.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. The organisation has a knowledge management or other such strategy that clearly identifies how it approaches the sharing of knowledge, learning, etc in the organisation	Met Review of the Independence and Effectiveness of the Operations Evaluation Department: http://www.adb.org/Documents/Policies/OED-Review/R297-08.pdf
OVERALL SCORE MI 4.3A: VERY STRONG		OVERALL COMMENTS:	-