

Multilateral Organisation Performance Assessment Network

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MOPAN

Appendices

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Appendix I Methodology

1. Introduction

This document describes the MOPAN Common Approach methodology for the 2013 assessment, those who will participate in the study, and the data collection and analysis process to be applied this year.

Background

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 17 donor countries¹ with a common interest in assessing the organisational effectiveness of and evidence of contribution to development and humanitarian results achieved by the multilateral organisations that they fund.

The MOPAN Common Approach methodology was developed to address the recognised need for a common comprehensive system to assess multilateral organisations. Its aim is to respond to the information needs of donors by producing information that would not be available otherwise about how an organisation is doing in areas that donors consider important.

The Common Approach aims to reduce the need for other assessment approaches by bilateral donors. It was derived from existing bilateral assessment tools and complements and draws on other assessment processes for multilateral organisations – such as the previous Survey on Monitoring the Paris Declaration on Aid Effectiveness and annual reports of the Common Performance Assessment System (COMPAS) published by the multilateral development banks.

Purpose

MOPAN assessments are intended to:

- Generate relevant, credible and robust information MOPAN members can use to meet their domestic accountability requirements and fulfil their responsibilities and obligations as bilateral donors.
- Provide an evidence base for MOPAN members, multilateral organisations and direct partners to discuss organisational effectiveness and a multilateral organisation's contributions to development and/or humanitarian results, in doing so, build better understanding and improve organisational effectiveness, results achieved and learning over time.
- Support dialogue between Individual MOPAN members and multilateral organisations and their partners, with a specific focus on improving organisational effectiveness over time, both at country and headquarters level.

The MOPAN Common Approach does not compare multilateral organisations to one another as their mandates and structures vary too much in nature and scope. MOPAN assessments are repeated at intervals and, therefore, can help determine whether a multilateral organisation's performance is perceived to have changed over time in the areas examined by the MOPAN Common Approach. It is important to note, however, that as MOPAN continues to improve the methodology for the Common Approach from year to year, comparisons of this year's results with those of previous years should be handled with caution.

¹ MOPAN members in 2013: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, the Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland, the United Kingdom and the United States.

2. MOPAN Common Approach

2.1 Evolution

The MOPAN methodology was initially designed to assess the organisational effectiveness of multilateral organisations, which MOPAN defines as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates. Given this focus, MOPAN assessments emphasised the organisational practices, systems, and behaviours that MOPAN believes are important for multilateral organisations in managing for development results.

The methodology has evolved in response to what is learned from year to year, and to accommodate multilateral organisations with different mandates (e.g. development, humanitarian, normative). In 2009, the MOPAN Common Approach replaced the Annual MOPAN Survey, which had been conducted since 2003. The MOPAN Common Approach is broader and deeper than the previous surveys and includes the following components:

- Survey – The MOPAN survey brings in the views of MOPAN members (at both headquarters and country level), as well as direct partners or clients of multilateral organisations, peer organisations, and other relevant stakeholder groups on the performance of the particular multilateral organisation.
- Document review – Since 2010, survey data are complemented by a review of documents prepared by the multilateral organisations being assessed and other sources. Evidence is analysed in detail to assess the extent to which a multilateral organisation has systems in place that MOPAN considers to be important factors that contribute to an organisation's internal effectiveness, as well as evidence of the extent of progress towards defined results at various levels.
- Interviews – Since 2012, MOPAN has complemented survey data and the document review with interviews with staff of the multilateral organisations assessed. These are intended to contextualise the analysis of organisational systems and results and to aid in the dialogue between MOPAN and the multilateral organisation. The interviews are not coded or used as a formal data source.
- Development and/or humanitarian results component – In 2013, the Common Approach includes a component to assess a multilateral organisation's contributions to development and/or humanitarian results, which was piloted in 2012.²

As MOPAN's methodology has changed significantly in the last three years, comparisons of this year's assessments and previous assessments should take this into consideration.

2.2 Performance areas and indicators

2.2.1 Overview

The MOPAN Common Approach assesses multilateral organisations in two areas: 1) organisational effectiveness and 2) development and/or humanitarian results. The assessment of organisational effectiveness examines the 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 development and/or humanitarian results component assesses the evidence of the achievement of results by the multilateral organisation.

² This component was tested in 2012 with the AfDB, UNICEF, UNDP, and the World Bank and focused solely on development results. In 2013, this component is part of all assessments and, in the case of WFP, includes an assessment of the evidence of contribution to humanitarian results.

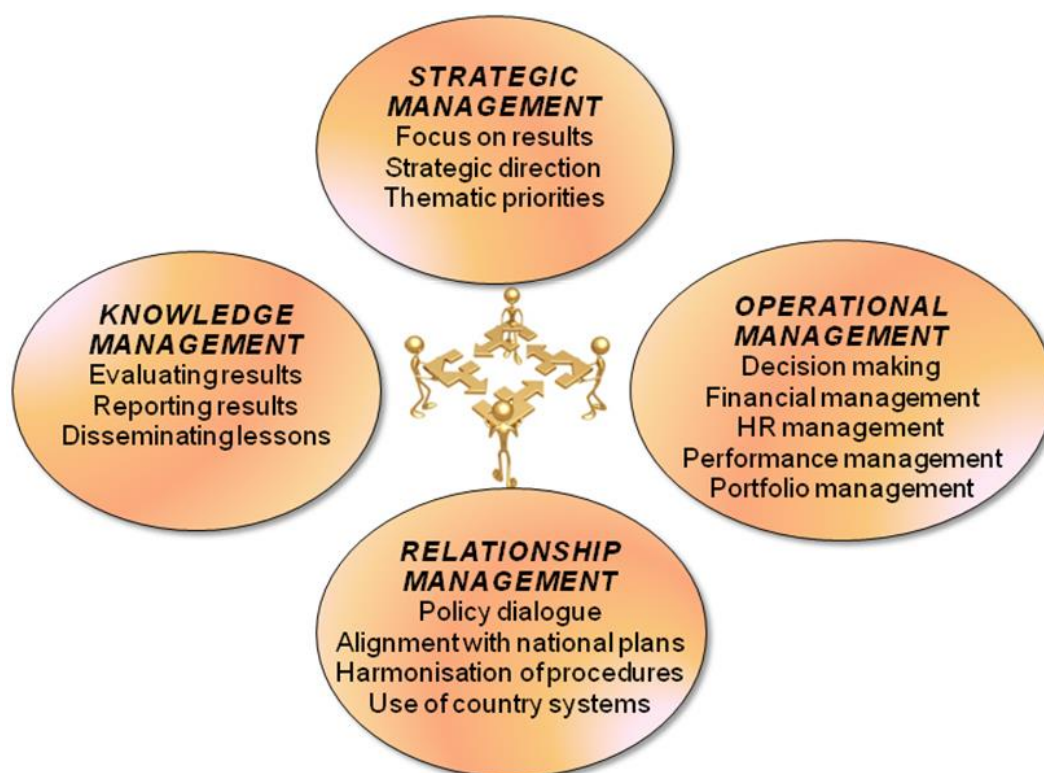
2.2.2 Key performance indicators and micro-indicators used to assess organisational effectiveness

The Common Approach framework groups organisational capacities in four areas of performance:

- *Strategic management*: developing and following strategies that reflect good practices in managing for development and/or humanitarian 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 subsequent Aid Effectiveness commitments, such as the Accra Agenda for Action and Busan Partnership for Effective Development Co-operation; and
- *Knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

While these definitions and performance areas are broadly applicable to a range of types of multilateral organisations (including those involved in humanitarian and normative work), the dimensions explored in the MOPAN Common Approach are adjusted, as required, to reflect the mandates of each organisation assessed.

Dimensions of organisational effectiveness in the MOPAN Common Approach



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

The 2013 assessment draws on indicators that MOPAN has developed since 2007 (see sidebar) and tailors them, as required, for each of the organisations being assessed.

Evolution of MOPAN Indicators

2007: In an initial mapping exercise of existing bilateral donor assessment tools, MOPAN identified 250 indicators, many of which were overlapping.

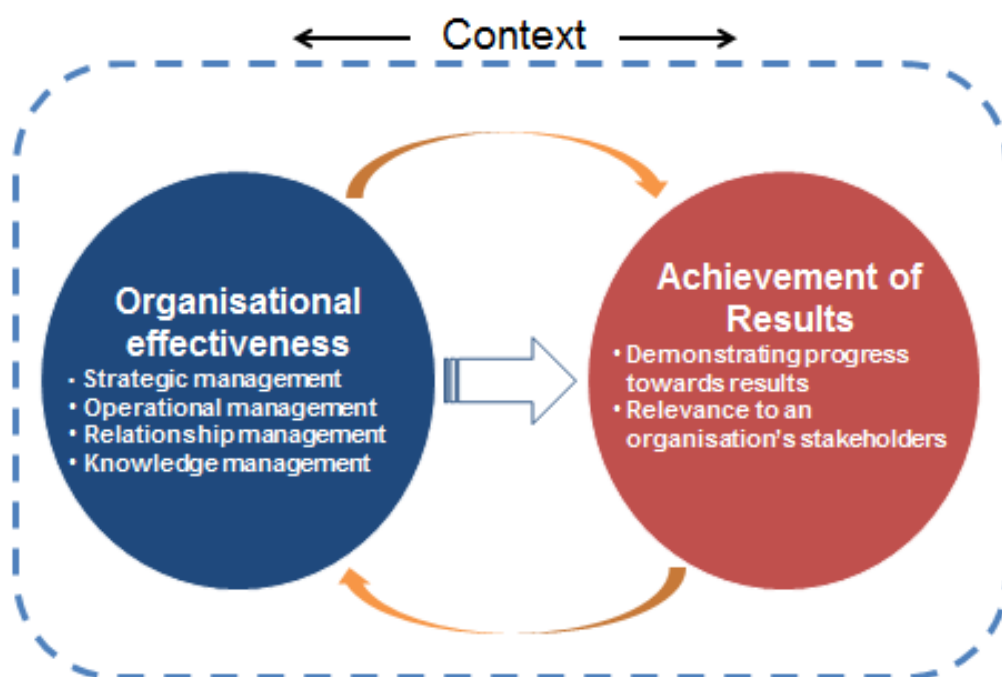
2008: MOPAN reduced these to 35 key performance indicators (KPI) and 120 micro-indicators (MI)

2009 – 2012: MOPAN assessments included between 18 and 21 key performance indicators and between 60 and 75 micro-indicators, depending on the nature of the organisation and its mandate.

2.2.3 Linking organisational effectiveness and progress towards development and/or humanitarian results

A key assumption in the Common Approach framework is that organisational effectiveness has an influence on an organisation's ability to achieve its strategic objectives as illustrated in the figure below. Feedback on the achievement of objectives/results can, in turn, provide insights for further improvements in organisational practices. With a component that examines how an organisation measures and reports on concrete development and/or humanitarian results, MOPAN members can better understand the way that organisational practices are facilitating or hindering the organisation's results on the ground.³ This information can then be used to enhance dialogue with the multilateral organisation.

A second assumption in the design of the methodology is that organisations provide or are moving towards evidence-based reporting on results. Thus, the assessment should also provide input for discussions between donors and multilateral organisations on how best to document and report on results.



³ However, it is important to recognise that organisational practices may not be the only facilitating/hindering factor with respect to the achievement of results. The country context or environment, for example, also plays an important role.

2.2.4 Key performance indicators used to assess contributions to development and/or humanitarian results

In 2012, MOPAN defined additional KPIs to examine the achievement of development results at both the institutional/organisation-wide level and the country level, as well as stakeholder perceptions of the relevance of the organisation's work in country. This component was tested with four of the six organisations assessed in 2012: the AfDB, UNDP, UNICEF, and the World Bank.⁴ In 2013, this component will be included in all four assessments and will examine the following three key performance indicators:

- **KPI A** – Evidence of the extent of the multilateral organisation's progress towards its institutional/organisation-wide results⁵
- **KPI B** – Evidence of the extent of the multilateral organisation's contributions to country-level goals and priorities, including relevant millennium development goals (MDGs)
- **KPI C** – Relevance of objectives and programme of work to stakeholders

The assessments at the institutional/organisational level (KPI A) and at the country level (KPI B and C) are separated due to differences in focus, scope and reporting on results at these two levels. Organisation-wide results are, by definition, very broad and provide the general strategic directions that in most cases are then operationalised by activities at the country level. The planned results found in country strategies normally follow the overall strategic framework but are more specific and typically linked to national strategies.

KPI A focuses on the extent to which an organisation is demonstrating progress towards planned organisation-wide results. It identifies the main areas of achievement and analyses the type of evidence produced by multilateral organisations to support conclusions in performance reports. In addition, the main factors affecting performance and evidence of improvement over time are discussed.

KPI B analyses similar issues, but from a country perspective. By focusing on the country level, MOPAN recognises the demand-driven nature of many of the activities of multilateral organisations and the key role that is played by their country assistance strategies or country programming documents. Country strategies and/or country programme documents usually articulate the planned results (goals/objectives/outcomes) and identify where there is shared responsibility between the multilateral organisation and its partner countries. Since most organisations have a large number of planned results, a limited number of key results to be assessed may be selected for the assessment.

Multilateral organisations have also made commitments to the MDGs and are concerned about making contributions in these areas. The MDGs are collective, global targets that, in many cases, have been used by partner countries in defining their priorities. While partner countries are responsible for making progress toward the MDGs, bilateral donors and multilateral organisations ensure that trade, finance, aid, and knowledge facilitate achievement of these goals.

Not all multilateral organisations will contribute to all of the MDGs. Thus, the analysis of this aspect of KPI B focuses on those specific areas that are relevant to the particular multilateral organisation. In this context, organisations may explicitly articulate or make links to the MDGs to which they are contributing at the country level, in which case evidence of these linkages will be sought. In cases where reference is not made to the MDGs in the accountability frameworks of the organisations, this may be noted in the final report.

⁴ These organisations were selected because they were assessed by MOPAN in 2009. The 2009 assessment focused on organisational effectiveness and was based only on survey data.

⁵ Different organisations use different terms to refer to their planned results – they may be called goals, objectives, outcomes, etc.

KPI C assesses relevance as the extent to which surveyed stakeholders perceive the multilateral organisation to be supporting country priorities and meeting the changing needs of direct partners and target populations.

2.3 Multilateral organisation selection

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

- Perceived importance and interest to all MOPAN members
- Medium-term strategic planning (or equivalent) and replenishment cycles – with a view to assessing organisations prior to the planning process or the start of the replenishment negotiation process
- A mix of international financial institutions (IFI), UN funds, programmes, specialised agencies, and humanitarian organisations.

On the basis of these criteria MOPAN aims to assess multilateral organisations on a 3-5 year cycle.

In 2013, MOPAN will assess the following organisations: the Asian Development Bank (ADB), the International Fund for Agricultural and Development (IFAD), the World Health Organization (WHO) and the World Food Programme (WFP). All of these organisations, except WFP, were assessed in 2010.

2.4 Country selection

Each year countries are selected for the MOPAN assessment based on the following criteria:

- multilateral organisation presence in-country
- presence and availability of MOPAN members
- no inclusion in the survey in the past 2-3 years
- geographical spread
- a mix of low-income and middle-income countries (middle income countries being subdivided into lower middle and upper middle).

The assessment in 2013 will be conducted in Ethiopia, Guatemala, Indonesia, Mozambique, Pakistan and Viet Nam. Organisations are assessed only in those countries where they have operations (e.g. ADB will be assessed only in Indonesia, Pakistan and Viet Nam).

3. Survey

3.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and in-country) and other key stakeholders of the multilateral organisations under review, including direct partners or clients, peer organisations, and host or recipient government representatives. The questions asked relate both to organisational effectiveness and to the achievement of development and/or humanitarian results.

The main instrument used is an online survey. In 2013, respondents are able to complete the web-based survey in English, Spanish or Portuguese.⁶ When it is not possible for respondents to complete the online survey, off-line methods are used. Respondents may fill out a paper-

⁶ A paper version of the questionnaire is translated into local languages, as required.

based survey, complete an electronic version of the survey in Microsoft Word that is sent by email, or participate in a structured interview either in person or by telephone.

In order to ensure confidentiality, consultants (independent of MOPAN) manage the survey process and carry out the interviews.

Respondent types

To gather diverse perspectives on the multilateral organisations being assessed, MOPAN generally seeks the perceptions of the following primary respondent groups⁷:

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, 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):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):** Typically, individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The definition of “direct partner” varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.

For some organisations, other respondent categories are also used, such as peer organisations, co-sponsoring agencies, technical partners and/or recipient/host governments.⁸

3.2 Sampling and response rates

Sampling

The Common Approach uses a purposive sampling method called ‘expert sampling’ in which potential respondents are identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed.

The identification process, which involves MOPAN members in collaboration with the multilateral organisations assessed, results in a list of the population (all potential respondents identified by the MOs in country) for each of the multilateral organisations.

Individuals are invited to complete the survey for each organisation for which they have functional responsibility and sufficient knowledge.⁹ This is confirmed through a screening question that asks respondents to indicate their level of familiarity with the multilateral

⁷ The number and type of respondent groups may vary for each organisation and additional respondent types may be included.

⁸ **Peer organisations:** UN organisations or international NGOs that have significant investments in humanitarian assistance programming at the field level in the countries included in the assessment. These organisations coordinate with but do not receive any direct funding from the organisation assessed. **Recipient governments:** Governments in the countries selected for the assessment that receive assistance from or host the activities of the organisation assessed.

⁹ Each individual respondent is provided with a unique link that reflects the respondent type and the multilateral organisation(s) they have been assigned to. Some individuals, particularly MOPAN members, may complete surveys on more than one organisation.

organisation being assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents can continue the survey only if they indicate they are familiar with the multilateral organisation (i.e. a rating of 2, 3, 4, or 5).

Following the finalisation of the institutional report, the sample size is taken into account when deciding how to present survey data at the country level. If a threshold of respondents is not met,¹⁰ data summaries exclude the respondent group.

Response rate

MOPAN aims to achieve a 70% response rate from donors at headquarters and a 50% response rate from all other target groups, which is considered acceptable for a survey of respondents who are required to have detailed knowledge about the organisation in order to participate.

During the survey period, response rates are monitored regularly. Respondents who do not access the survey or who do not complete it receive reminders from a range of sources:

- MOPAN country office and headquarter respondents will receive reminders from their MOPAN Focal Point
- Direct partners and any other respondent groups will receive reminders online and from the local survey consultant.

All responses provided through off-line methods (including paper-based surveys, surveys in MS Word provided by email, and surveys completed through structured interviews) are entered into the online instrument using a separate link to the survey. Data for online and off-line responses are merged only after quality control measures, such as confirming correct type of stakeholder, country, etc. are performed.

3.3 Survey instrument

Survey customisation

The survey instrument draws on the existing set of indicators and is customised for each multilateral organisation assessed to reflect both the type of organisation and the types of respondents. This is done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who are familiar with these organisations.

A core set of questions is developed for all respondents and additional questions are 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, are asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems or the extent of contribution to country-level goals, are asked only of donors in-country and clients/direct partners (or other country-based respondent groups) of multilateral organisations. Some questions are adjusted to reflect the nature of the multilateral organisation (e.g. cross-cutting thematic priorities).

Survey instrument

At the beginning of the survey, respondents are invited to assess the organisational effectiveness of the multilateral organisation. They are then asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. Subsequently, respondents are invited to provide comments on each of the four dimensions of organisational

¹⁰ The threshold has been set at 4 respondents/organisation/country in past years, but this will be reviewed once the data set from this year's survey has been compiled.

effectiveness and then to respond to the relevant questions related to development and/or humanitarian results.

The main part of the survey consists of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). Respondents are presented with a statement describing an organisational practice, system, behaviour or specific result and asked to rate the organisation's performance on a scale of 'very weak' to 'very strong' as shown below. There is also a 'don't know' option.

Band	Rating	Definitions	
		Organisational Effectiveness	Development and/or Humanitarian Results
1	Very Weak	The multilateral organisation does not have this practice, behaviour or system in place and this is a source of concern.	The multilateral organisation has not made any contribution in this area and this is a source of concern.
2	Weak	The multilateral organisation has this practice, behaviour or system but there are important deficiencies.	The multilateral organisation has made some contributions in this area, but there are still some deficiencies.
3	Inadequate	The multilateral organisation's practice, behaviour or system in this area has deficiencies that make it less than acceptable.	The multilateral organisation has made some contributions in this area but they are less than acceptable.
4	Adequate	The multilateral organisation's practice, behaviour or system is acceptable in this area.	The multilateral organisation's contributions in this area are acceptable.
5	Strong	The multilateral organisation's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.	The multilateral organisation's contributions in this area are more than acceptable.
6	Very Strong	The multilateral organisation's practice, behaviour or system is "best practice" in this area.	The multilateral organisation's contributions in this area could be considered as "best practice".

3.4 Survey data analysis

SPSS and Stata statistical software are used to analyse survey responses.

First level data analysis

First level survey data analysis includes calculations of mean scores, medians, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions. This is carried out for all MIs and KPIs in both components.

Frequency Calculation: Frequencies are calculated on both a weighted and un-weighted basis (see below for further explanation of our approach to weighting) and are based on answers to survey questions corresponding to micro-indicators. In both sets of calculations, 'don't know' responses and missing responses are calculated as a part of the overall total frequencies. In addition to raw frequencies, all frequencies are translated into percentages for ease of interpretation.

Mean Score Calculation: Scores are calculated based on answers to survey questions corresponding to micro-indicators. Mean scores are calculated on a weighted basis only, based on the number of valid responses to each question. Valid responses exclude 'don't know' responses and missing data (i.e. where respondents decide not to answer, or do not conform to required criteria such as location of work).

In the organisational effectiveness component, mean scores are calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight is applied to each MI. For example, a KPI consisting of three micro-indicators that individually score 2, 3, and 4 will have a KPI mean of 3. In cases where multiple survey questions are needed to develop a concept, micro-indicators are composed of multiple sub-indicators. In such cases, the mean score of the sub-indicators is used to calculate the score for that particular MI.

A weighting scheme is applied to all data ensure that no single respondent group or country is under-represented in the analysis. The weighting is intended to correct for discrepancies/variation in:

- The number of individuals in each respondent group;¹¹
- The number of countries where the survey took place; and,
- The numbers of donors in-country, direct partners, and other respondent groups within each country where the survey took place.¹²

A weight is calculated for each multilateral organisation using the following equation:

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

Where:

W = weight factor for a given respondent group set for the multilateral organisation

P = total number of respondents for the multilateral organisation

R = number of respondent groups in the survey sample for the multilateral organisation

C = number of countries in the survey sample (per respondent group)

G = number of respondents in a particular country/respondent group set for the multilateral organisation

Weighted figures are carefully reviewed and analysed before inclusion in the multilateral organisation reports.

Converting individual scores to group ratings

A mean score is calculated for each respondent group (e.g. donors at HQ). Since mean scores are not necessarily whole numbers (from 1 to 6) MOPAN assigns numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

Range of the mean scores	Rating
1.00 to 1.49	Very Weak
1.50 to 2.49	Weak
2.50 to 3.49	Inadequate

¹¹ To account for the different numbers of respondents in each respondent group, individual weights are applied to each group.

¹² Weights for these groups are determined by the total number of respondents from each group who answer 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.

Range of the mean scores	Rating
3.50 to 4.49	Adequate
4.50 to 5.49	Strong
5.50 to 6.00	Very Strong

The ranges are presented to two decimal places, which is simply the result of a mathematical transformation and should not be interpreted as representing a high degree of precision. The ratings applied to the various KPIs should be viewed as indicative judgments rather than precise measurements.

Second level analysis

Second level analysis examines differences in the responses among categories of respondents and other variables, as relevant for each organisation. Appropriate methods of statistical analysis are applied, including analysis of variance (ANOVA) for differences among multiple groups, t-tests for comparisons of differences between pairs of groups, and non-parametric methods where numbers of respondents required such an approach (e.g. to address assumptions of non-normality where they exist). The normal convention for statistical significance is adopted ($p \leq 0.05$) and these are reported where statistically significant differences are found.

Given the small size of the samples, particularly for some respondent groups, the comparisons across respondent groups are provided as indicative information that can be used as a basis for discussion.

In the development/humanitarian results component, the same two levels of analysis are applied but without an aggregation of scores at the KPI level. Survey data at the MI level is presented along with ratings from the document review. These data sources, as well as information gathered during interviews with HQ and country-based MO staff, are assessed together to determine a rating for two of the three KPIs in the development results component (KPI A and B). KPI C is assessed by survey only.

4. Document Review

4.1 Overview

Through an examination of publicly available documents,¹³ the MOPAN document review explores evidence that multilateral organisations have the practices, behaviours or systems in place that MOPAN considers to be important factors in an organisation's effectiveness and evidence of its contributions to development and/or humanitarian results.

The document review considers various types of documents:

- Multilateral organisation documents relevant to the assessment of the MOPAN micro-indicators, such as strategic plans, results frameworks, policies and procedures in various areas of organisational effectiveness. Documents that present the results achieved at various levels of the organisation are also consulted. The organisations help 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).

¹³ Documents are considered to be "publicly available" if they are on the organisation's web site or if the organisation is able to provide them upon request for the purpose of assessing the micro-indicators.

These studies are either found on the organisation's web site or are provided by the organisation.

- External assessments such as the Survey on Monitoring the Paris Declaration (2011), the Common Performance Assessment (COMPAS) report (2011), and previous MOPAN surveys.¹⁴
- Evaluations, either internal or external, of the achievement of results at various levels.

4.2 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 follows a number of overall principles to ensure consistency and focus the sampling process.

All documents, regardless of type or level within the organisation, should be approved by the relevant authority (e.g. organisation-wide documents are usually approved by the multilateral organisation's Executive Management or Board).¹⁵

All documents (including policies, guidelines, strategies, thematic documents and web site information) are selected, at least in part, based on the requirements noted below.

- Policies or guidelines, at any level within the multilateral organisation, are selected only if they are in force as of the year of assessment.
- Strategies, regardless of level within the multilateral organisation, are selected only if they are being implemented within the year of assessment.
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, are selected based on a principle of reviewing a mix of thematic areas.
- 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) is retrieved within the year of assessment, and is assumed to be current unless the web page itself states otherwise.
- All documents (except for policies, guidelines and strategies) should be published within the following timelines, unless there is a strong rationale for reviewing older documents:
 - Project/programme level documents: the current or previous year
 - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- When specific MIs require a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach is developed and tailored for each multilateral organisation.

4.3 Document collection

The collection of documents follows the general steps outlined below, although it is not a linear process:

- Initial document research on the web site of the multilateral organisation
- Collection of COMPAS and Paris Declaration Survey Data

¹⁴ If data from these sources are not available for the multilateral organisations participating in this year's survey, either an alternate approach is developed or the micro-indicators are not assessed.

¹⁵ This is intended to ensure that documents reviewed are final documents (rather than drafts) and that they are providing guidance for organisational behaviour.

- Consultation with the multilateral organisation, who review and refine the initial data set (through the MOPAN Institutional Lead)
- Finalisation of document list.

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

Other external assessments

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

Common performance assessment system (COMPAS) report, 2010 and 2011

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 four categories (Country Strategies, Managing for Development Results through the Project Cycle, Corporate Results Reporting, Private Sector Development and Operations) 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 IFIs, MOPAN focuses primarily on the following indicators from the COMPAS report: B. Managing for Development Results through the Project Cycle.

- Implementation performance
 - B. 8. Number and percentage of projects that were unsatisfactory in FY10 and that became satisfactory in FY11.
- Project completion reporting and evaluation
 - B. 11. Number of projects independently reviewed ex post during FY11, as a percentage of the average number of projects completed annually during the last 5 years.

Survey on monitoring the Paris Declaration, 2008 and 2011

The two most recent monitoring surveys (2008 and 2011), managed by the OECD, highlight areas in which countries and organisations may be falling short in reaching the targets established by the Paris Declaration. Since a number of the MOPAN indicators are based on the Paris Declaration indicators, the assessment looks at the data provided in Appendix C of the monitoring survey report, entitled "Donor Data"¹⁶, for the following indicators, when applicable:

- 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

¹⁶ In general, the assessment draws on the data from the "Average Country Ratio – All Countries", unless it is not available.

The OECD survey reports data for the United Nations as a whole, thus MOPAN relies on UN organisations to provide their data as input for these indicators. Other data sources will also be consulted to complement the OECD survey reports.

The indicators, targets and processes through which implementation of the Busan Partnership for Effective Development Co-operation will be monitored at the global level have not yet been agreed to. As long as the final set of indicators to be established by the Busan process (as a review of Paris and Accra agendas) has not been decided upon, MOPAN will continue to use the Paris Declaration indicators and will revise as soon as there is international agreement on a set of indicators that will replace them.

4.4 Document analysis

4.4.1 Content analysis

Documents are reviewed by content analysis based on the themes of the micro-indicators. Specific criteria for assessing the content of documents have been 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 of indicators in the organisational effectiveness component may include an examination of four broad areas:

- **Quality:** Documents are 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 are examined, such as evidence from budget documents that a certain policy or priority area is being financed, or evidence from evaluations that show implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type are examined (such as country strategies in different countries) to assess the extent to which criteria are met consistently across the organisation.
- **Improvement over time:** In some cases, documents are examined over several years to assess the extent to which progress can be seen over time.

Documents are also used to aid in the understanding of the context in which the multilateral organisations work.

In the development and/or humanitarian results component, documents will be reviewed at both the institutional and country levels to determine the extent to which planned results from the strategic period were achieved. The document review will be largely based on an examination of performance reports and thematic or programme evaluations in relevant areas to examine issues of quality and improvement over time, in particular.

4.4.2 Rating Scales

The multilateral organisations are assessed on relevant micro-indicators in the Common Approach document review framework.¹⁷ The document review ratings are defined according to three sets of scales: a) a six-point scale for the majority of the organisational effectiveness questions (very weak, weak, inadequate, adequate, strong, very strong); b) a three-point scale for organisational effectiveness micro-indicators informed, in part, by the Paris Declaration Indicators (inadequate, adequate, strong); and, c) a four-point scale for the assessment of evidence for the development and/or humanitarian results component (weak, inadequate,

¹⁷ Not all MOPAN micro-indicators are identified for document review.

adequate, strong). This last assessment is a data source that, together with survey data, is used to determine the overall “best fit” rating for KPIs A and B.¹⁸

a. Organisational Effectiveness Component

The document review ratings determined for the majority of the MIs in the Common Approach build on the definitions and scale used in the survey, as described in section 3.3 above.¹⁹ The document review ratings range from 1 (Very Weak) to 6 (Very Strong).

For most micro-indicators, five criteria are established which, taken together, are considered to represent the best practice in that topic area. Each criterion is designed as a ‘met/not met’ alternative and each ‘met’ counts as one point in the rating. Ratings are arrived at by totalling the number of criteria met, taking into account all the evidence in the assessment, and the assessment team’s judgment.

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 practice, behaviour or 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 practice, behaviour or system but there are important deficiencies.
Two criteria met	Inadequate	The multilateral organisation’s practice, behaviour or system in this area has deficiencies that make it less than acceptable.
Three criteria met	Adequate	The multilateral organisation’s practice, behaviour or system is acceptable in this area.
Four criteria met	Strong	The multilateral organisation’s practice, behaviour or system is more than acceptable yet without being “best practice” in this area.
All five criteria met	Very Strong	The multilateral organisation’s practice, behaviour or system is “best practice” in this area.

Some micro-indicators, such as those using Paris Declaration Survey or other related data as the primary data source,²⁰ follow a different rating method. In these cases, ratings are established on a case-by-case basis according to three descriptive criteria – ‘inadequate’, ‘adequate’ and ‘strong’. These ratings are then translated into a 3, 4 or 5 score to maintain consistency with the 6-point scale.

Ratings for key performance indicators (KPIs) are based solely on the ratings for the component micro-indicators in each KPI. Each KPI rating is calculated by taking the arithmetic mean of all micro-indicator ratings in that KPI rounded to the nearest whole number. This number is given the appropriate descriptor. In cases where the micro-indicator ratings for one key performance indicator are highly divergent (i.e. if there are two micro-indicators, and one is

¹⁸ The “best fit” approach takes into account all data – survey, document review and contextual – rather than solely the document review data. See section 6 for a more detailed description of the “best fit” approach.

¹⁹ 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.”

²⁰ Paris Declaration Survey data will be the primary, but not the only, source for those MIs that are based on Paris Declaration indicators.

rated as “very weak” while the other is rated as “very strong”), this is noted in the narrative of the report.

b. Development/Humanitarian Results Component

A set of criteria has been established as a basis upon which to assess the evidence of progress towards results. The criteria, which are assessed using ‘met/not met’ ratings, are:

- a) Evidence of explicit theory or theories of change²¹
- b) Baselines included for indicators
- c) Targets included for indicators
- d) Reports on outputs²²
- e) Reports on outcomes²³
- f) Reports according to a theory or theories of change²⁴
- g) Data reliability and quality²⁵

The assessment of evidence in the document review of development and/or humanitarian results is a data source that, together with survey data, is used to determine the overall “best fit” rating for KPIs A and B.

5. Interviews

As of 2012, interviews are conducted at the headquarters and country offices of multilateral organisations with individuals who are knowledgeable in areas that relate to the MOPAN assessment.

Interviewees are asked to provide knowledge, insight, and contextual information that will assist the MOPAN assessment team in analysing document review data, and to identify other relevant documents for the assessment team to consider. This helps ensure that the assessment team has all the appropriate and necessary documents, enhances the team’s ability to triangulate data from various sources, and assists the assessment team in the analysis of the key performance indicators by providing contextual information.

Interviews are conducted with a small number of staff who work in the primary units that relate to areas of the MOPAN assessment (e.g. strategy and planning, human resources, RBM, and evaluation). Interviewees are identified by the multilateral organisation in conjunction with the assessment team and MOPAN.

The overall purpose of interviews is to ensure more reliable and valid assessments. In particular, the interviews aim to ensure better quality data and to help contextualise the analysis

²¹ ‘Theory of change’ is understood in the sense defined by Rist and Morra Imas (2009) as, “a representation of how an intervention is expected to lead to desired results”, which typically includes inputs, activities, outputs, outcomes and impacts as well as other features, “including target groups, and internal and external factors”.

²² This refers to the OECD definition of outputs (i.e. lower level results). Some MOs use different terminology for the various levels of results.

²³ This refers to the OECD definition of outcomes (i.e. higher level results). Some MOs use different terminology for the various levels of results.

²⁴ Evidence required to substantiate the reported changes defined in e) or higher-level results

²⁵ According to Rist and Morra Imas, *The Road to Results* – “Reliability is the term used to describe the stability of the measurement – the degree to which it measures the same thing, in the same way, in repeated tests.” Attention is also given to the quality of the evidence – specifically, whether or not it has been derived from or validated by an external and/or independent source.

of results. Initial interviews are conducted with staff of the multilateral organisation and are intended to facilitate:

- Identification and clarification of the organisation's strategic objectives and planned results at the institutional and country level
- Identification of data and documents to use for the assessment, including a discussion of the time period to be considered and selection of country level documentation
- Discussion and clarification of reporting practices and data that are available in order to understand the strengths and limitations of current reporting on results
- Identification of key staff to consult in each selected country office, if necessary, in order to better understand the logic of the organisation's interventions, the organisational contributions at the country level, and contextual factors affecting the organisation's performance.

Interviews are semi-structured but flexible, allowing new questions to be brought up during the interview as a result of what the interviewee says. This type of interview does not follow a tightly prescribed questionnaire, but does require prior preparation of the key interview themes. The interview themes and questions are shaped by the MOPAN assessment framework and are tailored for each of the respondents according to his/her functional responsibility. An interview guide is prepared and interviewees are advised of the content areas beforehand.

Interviews are intended to provide several benefits to the MOPAN assessment. First, they provide the multilateral organisation with a better understanding of the types of documented data that are required for the MOPAN assessment so that they can fill in any gaps in the documentation required for the document review. Second, they provide the MOPAN assessment team an opportunity to better understand the multilateral organisation's practices and systems.

Data gathered during interviews is used as background information on the various areas being assessed – specifically, to understand the context in which the agency is working, as well as how decisions are made. In the event that survey data presents a picture that is very different from the assessment made in the document review, information from the interviews can help to clarify how the multilateral organisation approached a certain issue.

The interviews are conducted after the assessment team has conducted a preliminary review of documents and are scheduled primarily during the months of February and March. If the multilateral organisation and MOPAN agree, the interviews are conducted in person during visits to the headquarters of the multilateral organisations. Alternatively, interviews are carried out by telephone or via video-conference.

6. Ratings

6.1 Overview

From 2003 to 2009, the basis for the determination of ratings in MOPAN assessments was the perceptions of survey respondents. With the introduction of the document review in 2010 and interviews in 2012, ratings now draw on a variety of sources that can be compared and triangulated.

- **Survey:** Survey respondent perceptions are still an important component of the ratings on multilateral organisation performance and now include a broader range of stakeholders.
- **Document Review:** The document review process is 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.

- **Interviews:** The interviews are used to triangulate data with the other two data sources. The MOPAN assessment team explores the convergence (or non-convergence) of the data, and when there is no convergence the team relies on expert judgment.

To the extent possible, the assessment standards and criteria are tailored to reflect the nature and operating environment of the multilateral organisations under review.

6.2 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.²⁶ In the Common Approach, triangulation is done in a number of ways:

- Document review ratings are presented separately from survey results in order to illustrate convergence with or divergence from them.
- Additional assessments of the organisations are reviewed to help to validate or question the findings.
- Interviews are conducted to provide contextual information and highlight additional sources of data.
- The analysis and proposed ratings for the development and/or humanitarian results component is presented to a panel of experts for discussion and finalisation.
- The findings are 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.

6.3 “Best fit” approach

The development and/or humanitarian results component’s key performance indicators draw on a set of questions or criteria (see Annex I). The assessment team uses a “best fit approach,” which is a type of criteria-referenced basis for judgment that is more suitable when: criteria are multi-dimensional, there is a mix of both qualitative and quantitative data, and it is not possible to calculate a simple sum of the data points.²⁷ This approach is highly consultative (with institutional advisors, a panel of experts and the MOPAN network) and relies on consensus in the determination of ratings.

Ratings

The approach to the rating by key performance indicator in the results component is different from that in the organisational effectiveness component of the MOPAN assessment. This reflects the particular methodological approach used and the nature of the data. More specifically, four qualitative ratings (strong, adequate, inadequate, weak) have been defined, one of which is selected by the assessment team following an analysis of data from all sources and confirmed following a consensus-based consultation. As in the six-point scale used in the survey and for assessing the micro-indicators on organisational practices, a rating of “strong” signals that the organisation is approaching good practice based on the documentation

²⁶ Wholey, J.S., Hatry, H.P., Newcomer, K.E. Eds (2010) *Handbook of Practical Program Evaluation* (Third Edition), San Francisco, California: Jossey-Bass, p. 446-447.

²⁷ The “best fit” approach is used in public sector institutions (see Ofsted, 2011: *Criteria for making judgements*).

reviewed, while a rating of “weak” signals that the organisation still has important limitations in demonstrating progress towards its stated results, and particularly its contributions to development and/or humanitarian outcomes.

The descriptors and criteria for each of the ratings are specific to the different KPIs, as summarised in the tables in Annex 1 below. Descriptors illustrate the achievement level and the assessment team selects the achievement level that best describes the performance on all of the criteria.

In some cases, there might be divergence between survey respondent perceptions about the organisation’s progress towards its objectives and the nature and extent of data on results that is presented in the organisation’s reports. In these cases the assessment team takes into account the number and character of the areas for improvement identified in organisation’s reports and other relevant documents. If a majority of the assessment criteria are not fulfilled by the organisation’s reports, then the criteria-based assessment will weigh more heavily in the final rating. In order to justify the rating and provide input for dialogue on results and reporting on results, the MOPAN report presents details of the document analysis that have been emphasised in the determination of ratings.

Data analysis

- Data analysis at the institutional level focuses on the extent to which planned results from the strategic period were achieved. It is based largely on performance reports at the institutional level and organisation-wide thematic evaluations in relevant areas. Particular attention is given to reports and/or evaluations that include evidence that has been derived from or verified by external sources. Data analysis takes into account survey results and the interviews with the multilateral organisations.
- Analysis of data at the country level focuses on the organisation’s contribution to results in the sample of countries selected for the MOPAN assessment. Due to differences in planned results between countries, a separate analysis is conducted for each country. Based on the individual country analyses, an overall judgment of the multilateral organisation’s achievement of results at the country level is provided.
- The assessment is based on the same analytical approach at both levels. Content analysis is used for the review of documents and in the analysis of any open-ended survey questions. The review of documents analyses the evidence of results achievement. Answers to open-ended survey questions are coded by categories that emerge in the preliminary examination of data.

7. Reporting

7.1 Institutional reports

Individual institutional reports are produced for the multilateral organisations assessed. Survey results are reported using means and frequencies. At the organisation-wide level, mean scores are predominantly used to report results from micro-indicators.

The results of the document review are presented alongside the survey results and discussed in light of the perception-based scores and interviews, in order to further substantiate and contextualise the overall findings.

In individual institutional reports, the assessment of development and/or humanitarian results follows the assessment of organisational effectiveness.

7.2 Country data summaries

A short summary of survey results is produced for each of the MOs in each of the countries surveyed where sufficient survey data exists. Country data summaries (CDS) include a short

analysis of micro-indicators rated by MOPAN members, direct partners and other survey respondents at the country level.

Country Data Summaries are prepared in order to provide feedback to those who participated in the MOPAN assessment and to provide input for a dialogue process. These summaries highlight the main strengths and areas for improvement as perceived by survey respondents in each country. The data summaries are based on the perceptions of a range of stakeholders, which vary depending on the multilateral organisation assessed (MOPAN donors, clients/direct partners, peer organisations, etc.). They also describe differences in ratings between the different countries in which an organisation was assessed.

There are, however, some limitations to the MOPAN assessment at the country level. One relates to achieving an adequate response rate from each of the respondent groups and another is the sometimes high level of “don’t know” responses on the survey questions, particularly from MOPAN donors. The assessment team, together with MOPAN, takes these limitations into account when deciding what Country Data Summaries to prepare and which respondent groups to include in the analysis.

Country Data Summaries are not published and are shared only with individuals who attend the country workshop on the MOPAN assessment findings, which usually takes place in the first quarter of the year following the assessment.

8. Strengths and limitations of the Common Approach

MOPAN continues to improve methodology based on the experience of each year of implementation. The following strengths and limitations should be considered when reading MOPAN reports.

Strengths

- It has gone beyond an assessment of organisational systems, practices and behaviours to include an assessment of an organisation’s measurement of and reporting on development and/or humanitarian results at both the organisation-wide and country levels.
- The MOPAN Common Approach has its origin in bilateral assessment tools and is based on common international standards (as set out in bilateral assessments and internationally agreed indicators such as those developed as part of the Paris Declaration). In the long term, the intent is to replace or reduce the need for other assessment approaches by bilateral donors.
- It seeks perceptual information from different perspectives: MOPAN donors (at headquarters and in-country), direct partners/clients of multilateral organisations, peer organisations, and other relevant stakeholders. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action, and the Busan High Level Forum regarding harmonisation, partner voice, and mutual accountability.
- It complements perceptual data with document review and interviews, thus using multiple sources of data. This should enhance the analysis, provide a basis for discussion of agency effectiveness, and increase the validity of the assessment through triangulation of data.
- The reports undergo a validation process, including multiple reviews by MOPAN members, and review by the multilateral organisation being assessed.
- MOPAN strives for consistency across its survey questions and document review for each of the multilateral organisations, while allowing for customisation to account for differences between types of multilateral organisations.

Limitations

MOPAN framework

- The countries are selected based on established MOPAN criteria and comprise only a small proportion of each institution's operations, thus limiting broader generalisations.
- The Common Approach indicators were 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 have been some modifications made in the data collection method and there will be a need for greater nuance in the analysis of the data.
- The Common Approach framework was initially designed for multilateral organisations that have a development mandate. MOPAN has also tested and applied the framework for organisations with a humanitarian mandate but considerable adaptation of the framework is required in such cases.

Data sources

- The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. While MOPAN sometimes discusses the selection with the organisation being assessed, it has no means of determining whether the most knowledgeable and qualified individuals are those that complete the survey.
- The document review component works within the confines of an organisation's disclosure policy. In some cases, low document review ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the charts.

Data collection instruments

- Three issues potentially affect survey responses. First, the survey instrument is long and a fatigue factor may affect responses and rates of response. Second, respondents may not have the knowledge to respond to all the questions (e.g. survey questions referring to internal operations of the organisation, such as financial accountability and delegation of decision-making, seem difficult for many respondents, who frequently answer 'don't know.'). Third, a large number of 'don't know' responses may imply that respondents did not understand certain questions.
- The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment. One potential limitation is 'central tendency bias' (i.e. a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.
- Because one of MOPAN's intentions is to merge previously existing assessment tools into one, and to forestall the development of others, the survey instrument remains quite long.

Data analysis

- While the document review can serve to evaluate 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).
- Mean scores are used in the MOPAN reports to provide central tendency values of the survey results. The mean has the advantage of being the most commonly understood measure of central tendency, however, there is a disadvantage in using the mean because of its sensitivity to extreme scores (outliers), particularly when samples are

small. The assessment team also reviews the median and standard deviations for each survey question and they are appended to the institutional report.

Ratings

- Although MOPAN uses recognised standards and criteria for what constitutes good practice for a multilateral organisation, such criteria do not exist for all MOPAN indicators. As a result, many of the criteria used in reviewing document content were developed by MOPAN in the course of the assessment process. The criteria are a work in progress and should not be considered definitive standards.
- The Common Approach assessment produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide general indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and other stakeholders, including direct partners.
- MOPAN assessments used different rating scales. Whereas these differences can be justified according to the methodology used, it can lead to confusion to the readers of the report.
- The methodology for the development/humanitarian results component was designed to draw on the evidence of results achieved, as presented in the reports of a multilateral organisation. However, there is a critical difference between assessing the actual results achieved on the ground and assessing the evidence of results in the organisation's reports to its key stakeholders. This is a limitation that is inherent in the current approach.

Despite these limitations, MOPAN believes that the reports generally provide a reasonable picture of both the systems associated with the organisational effectiveness of multilateral organisations and the evidence of development and/or humanitarian results achieved.

Annex I – Criteria to determine the rating for the development results component KPIs

KPI A

Strong	Given the context, the organisation provides solid evidence of its contributions towards higher level results. The organisation is demonstrating progress towards its key corporate objectives or outcomes and clearly explains where progress has been significant or where progress has been slower, as well as the factors that have affected that progress. The description of progress is well supported by data from measuring indicators, evaluations, or other sources. The organisation has articulated theories of change that link the kinds of products and services that it provides to the kinds of development and/or humanitarian outcomes that it hopes to support. There is consistency across the different data sources, including the perceptions of the organisation's key stakeholders.
Adequate	Given the context, the organisation is demonstrating progress in some of its planned outcome areas. Although the organisation does not yet have a strong evidence base that describes progress or contributions towards outcomes, it does have consistent evidence of the completion and quality of its outputs. The theories of change in different areas are understandable at the organisational level. There may be some inconsistency across data sources.
Inadequate	The organisation does not provide evidence that it is meeting or moving toward most of its stated results. In addition, the theories of change are not well articulated. The exploration of different sources of data (including perceptions of key stakeholders) does not provide consistent evidence with regard to achieving results. While the organisation presents some data on progress towards its expected results, the evidence base is weak.
Weak	The organisation is not demonstrating progress towards its key corporate results. The organisation does not clearly articulate theories of change and the various sources of data collected do not provide a picture of an effective MO.

KPI B

Strong	The MO shows progress towards meeting its expected results in all countries assessed (taking into account their context). The organisation provides evidence that it is, in general, making progress towards higher level results at the country level. The country level data indicates that the MO is meeting its key goals or outcomes identified in its country strategy and clearly explains where progress has been significant or where progress has been slower, as well as the factors that have affected that progress. The description of progress is well supported by data from measuring indicators, evaluations, or other sources. The organisation has articulated theories of change that link the kinds of products and services that it provides to the kinds of development and/or humanitarian outcomes that it hopes to support. There is consistency across the different data sources, including the perceptions of the organisation's key stakeholders.
Adequate	The MO shows progress towards meeting its expected results in some of the countries assessed (taking into account their context). However, the organisation does not yet have a strong evidence base that describes progress or contributions towards outcomes. It does, however, have evidence on the completion of and quality of its outputs. The theories of change are understandable, but there may be some inconsistency across data sources.
Inadequate	The organisation does not provide useful evidence that indicates that it is meeting or moving toward most of its expected results in the countries assessed. In addition, its theories of change are not well articulated. The exploration of different sources of data (including perceptions of key stakeholders) does not provide a consistent picture of positive evidence with regard to achieving results. While the organisation presents some data on progress towards its expected results in the countries assessed, the evidence base is weak.
Weak	The organisation does not provide evidence that it is making progress towards key results articulated in its country strategy. The organisation does not clearly articulate theories of change and the various sources of data collected do not provide a picture of an effective MO.

KPI C

Strong	The organisation is consistently seen by surveyed stakeholders to respond to partner country priorities, provide innovative solutions to development and/or humanitarian challenges, and be flexible in its approach.
Adequate	The organisation demonstrates relevance through positive assessment on most, but not all, of the areas noted above. The assessment is somewhat inconsistent across the countries surveyed.
Inadequate	The organisation demonstrates relevance in only a few areas and the assessment is inconsistent across the countries surveyed.
Weak	There is a clear, more negative perception of the organisation's relevance in each area.

Appendix II MOPAN Common Approach survey for the ADB 2013

Note: This is the survey used to assess the ADB in 2013. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Welcome to the Survey for the 2013 MOPAN Common Approach and thank you for agreeing to participate. In responding to the survey, please base your answers on your perceptions and knowledge of the Asian Development Bank (ADB). Your perceptions may be shaped by your experience with and exposure to the ADB. Please rest 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 approximately 45 minutes to complete. Please note however, that it may take longer depending on the answers you provide. Please also note that it would be ideal if you could 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 are ready to continue, you can return to the point where 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 mopan@epinion.dk. You can move back and forth in the questionnaire at any point if you want to change a response or a comment. Your time spent contributing to the MOPAN Common Approach is very much appreciated. Please click the 'Start' button below to begin.

[1 - Samplegroup - single]

Samplegroup - Auto answered

- ☐ 1. HQ
- ☐ 2. CO

☐ 3. Clients

[2 - single]

You have been identified as a key respondent to assess the organisational practices, systems and behaviours of the Asian Development Bank (ADB). You will also be asked to assess the extent to which the ADB has achieved the development results it has set for itself at either the institutional or country level. 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 - Not at all familiar
- ☐ 2
- ☐ 3
- ☐ 4
- ☐ 5 - Very familiar

[Condition 2= 1]

[ScreenOut Confirm]

You have indicated that you are not at all familiar with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer or hit 'Next' to exit the survey.

[3 - single]

Fake

- ☐ 1. Fake [Filtered]

[4 - single]

Which of the following best describes how often you have contact with the ADB?

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

[Condition 4= 5]

[ScreenOut Confirm]

You indicated that you never have contact with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer or hit 'Next' to exit the survey.

[5 - single]

Fake

- ☐ 1. Fake [Filtered]

[Overall Performance]

We would like to ask you a few questions about the effectiveness of the ADB, its strengths and areas for improvement.

[6 - single]

Thinking about the ADB and the way it operates, what do you consider to be its greatest strength? Please type your answer into the box below:

- ☐ 1. Note:

[7 - single]

Still thinking about the ADB and the way it operates, what do you consider to be the area where it most needs improvement? Please type your answer into the box below:

- ☐ 1. Note:

[Q7]

[8 - single]

How would you rate the overall organisational effectiveness of the ADB? (SEE DEFINITION BELOW) Please use the scale below, where 6 means "very effective" and 1 means "not effective at all".

- ☐ 1 - Not effective at all

☐ 2

☐ 3

☐ 4

☐ 5

- ☐ 6 - Very effective

☐ Don't Know

DEFINITION: Organisational effectiveness = Being organised to support clients to produce and deliver expected development results.

[RESULTS COMPONENT]

We would like to ask you some questions related to ADB's achievement of development results. In thinking about these questions, please consider all that you know about this multilateral organisation.

[Condition 1= 2 OR 1= 3]

[9 - single]

ADB's achievement of results is being assessed in each of the three countries listed below. Please indicate the country where you are currently based:

☐ 1. Indonesia

☐ 2. Pakistan

☐ 3. Viet Nam

☐ 4. None of the above - Please note:

[Condition 9= 4]

[Confirmation]

You have indicated that you are not based in any of the countries for which the ADB is being assessed on its achievement of country-level results. We will therefore not ask you questions on this matter. However,

if you made an error and you are based in Indonesia, Pakistan or Viet Nam, please hit 'Back' to modify your answer. Otherwise, please hit 'Next' to proceed with the following sections of survey.

[Condition 1= 1 OR 9= 1 OR 9= 2 OR 9= 3]

[Results Achievement]

Results Achievement

[Condition 1= 1]

[Info1]

You will see a series of statements related to the extent to which the ADB has contributed to meeting its institutional results.

[Condition 9= 1 OR 9= 2 OR 9= 3]

[Info2]

You will see a series of statements on the extent to which the ADB has contributed to meeting its country-level goals and priorities. You will also be asked questions that pertain to the relevance of ADB's work vis-à-vis its major stakeholders.

[Condition 1= 1 OR 9= 1 OR 9= 2 OR 9= 3]

[Info 3]

Please rate how you think the ADB performs in these areas using the six-point scale described below, which ranges from "very weak" to "very strong". The scale will remain the same for all statements pertaining to ADB's achievement of development results. **DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:**
 1 - Very weak = The ADB has not made any contribution in this area and this is a source of concern. 2 - Weak = The ADB has made some contributions in this area, but there are still some deficiencies. 3 - Inadequate = The ADB has made some contributions in this area but they are less than acceptable. 4 - Adequate = ADB's contributions in this area are acceptable. 5 - Strong = ADB's contributions in this area are more than acceptable. 6 - Very strong = ADB's contributions in this area could be considered as "best practice". At the end of each section, you will have the opportunity

to make comments on any of the statements.

[Condition 1= 1]

[Institutional Results]

Results Achievement at the Institutional Level

We would like to ask you some questions on the extent to which the ADB is demonstrating progress towards its planned organisation-wide results. In thinking about these questions, please consider all that you know about the ADB and its programming strategies highlighted in the 2008-2020 Long-Term Strategic Framework (LTSF) also known as Strategy 2020.

[10 - single]

The ADB is making contributions to improving access to cleaner, renewable sources of energy in developing member countries.

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

[11 - single]

The ADB is making contributions to creating safe, affordable and environment friendly transport systems in developing member countries.

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

[12 - single]

The ADB is making contributions to improving access to potable water in developing member countries.

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

[13 - single]

The ADB is making contributions to improving sanitation and waste management services in developing member countries.

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

[14 - single]

The ADB is making contributions to promoting sound environmental and natural resource management in developing member countries.

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

[15 - single]

The ADB is making contributions to strengthening environmental safeguard systems of developing member countries.

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

[16 - single]

The ADB is making contributions to promoting intraregional trade in Asia and the Pacific.

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

[17 - single]

The ADB is making contributions to fostering intraregional cooperation.

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

[18 - single]

The ADB is making contributions to developing basic financial infrastructure in developing member countries.

- ☐ 1. Very weak
- ☐ 2. Weak

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

[19 - single]

The ADB is making contributions to strengthening the capacities of financial institutions in developing member countries.

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

[20 - single]

The ADB is making contributions to promoting enhanced financial access for the traditionally underserved (e.g., poor households and SMEs).

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

[21 - single]

The ADB is making contributions to improving the macro- and micro-prudential regulation of financial institutions in developing member countries.

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

- ☐ 6. Very strong
- ☐ 7. Don't Know

[22 - single]

The ADB is making contributions to promoting the principles of transparency and accountability of financial institutions in developing member countries.

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

[23 - single]

The ADB is making contributions to improving access to quality basic and secondary education in developing member countries.

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

[24 - single]

The ADB is making contributions to improving the quality of technical and vocational education and training in developing member countries.

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

[25 - single]

The ADB is making contributions to improving the quality of tertiary education in developing member countries.

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

[Condition 1= 1]

[26 - single]

Do you have any additional comments on how the ADB demonstrates progress towards its planned organisation-wide results?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Condition 9= 1]

[Indonesia]

[Country Results1]

Achievement of Results in Indonesia

We would like to ask you some questions on the extent to which the ADB is demonstrating progress towards its planned results in Indonesia. In thinking about these questions, please consider all that you know about ADB's operations in the country - more specifically about those highlighted in ADB's Country Partnership Strategy (CPS) and Country Operations Business Plans (COBPs) developed for Indonesia.

[27 - single]

The ADB has effectively contributed to improving transport infrastructure and infrastructure services in Indonesia.

- ☐ 1. Very weak

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

[28 - single]

The ADB has effectively contributed to improving rural infrastructure in Indonesia.

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

[29 - single]

The ADB has effectively contributed to increasing public sector investments in Indonesia.

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

[30 - single]

The ADB has effectively contributed to increasing private sector investments in Indonesia.

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

☐ 7. Don't Know

[31 - single]

The ADB has effectively contributed to developing capital markets in Indonesia.

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

[32 - single]

The ADB has effectively contributed to improving decentralisation in Indonesia.

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

[33 - single]

The ADB has effectively contributed to improving access to water supply and sanitation in Indonesia.

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

[34 - single]

The ADB has effectively contributed to improving the quality of education in Indonesia.

☐ 1. Very weak

☐ 2. Weak

☐ 3. Inadequate

☐ 4. Adequate

☐ 5. Strong

☐ 6. Very strong

☐ 7. Don't Know

[35 - single]

The ADB has effectively contributed to ensuring a sustainable management of natural resources in Indonesia.

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

[36 - single]

The ADB has effectively contributed to improving the management of water resources in Indonesia.

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

[37 - single]

The ADB has effectively contributed to improving coastal and marine resource management in Indonesia.

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

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

[38 - single]

Do you have any additional comments on how the ADB demonstrates progress towards its planned results in Indonesia?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Relevance]

Relevance of ADB's Work in Indonesia

We would like to ask you some questions on the extent to which ADB's objectives and program of work are relevant to its major stakeholders in Indonesia. In thinking about these questions, please consider all that you know about ADB's work in the country, as well as the Bank's ability to meet the needs of its priority stakeholders and maintain their support.

[39 - single]

ADB's activities respond to key development priorities of Indonesia.

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

[40 - single]

The ADB provides innovative solutions for development challenges in Indonesia.

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

- ☐ 6. Very strong
- ☐ 7. Don't Know

[41 - single]

The ADB adapts its work to the changing conditions faced by Indonesia.

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

[42 - single]

Do you have any additional comments on ADB's ability to meet the needs of its priority stakeholders and also gain and maintain their support in Indonesia?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Condition 9= 2]

[Pakistan]

[Country Results]

Achievement of Results in Pakistan

We would like to ask you some questions on the extent to which the ADB is demonstrating progress towards its planned results in Pakistan. In thinking about these questions, please consider all that you know about ADB's operations in the country - more specifically about those highlighted in ADB's Country Partnership Strategy (CPS) and Country Operations Business Plans (COBPs) developed for Pakistan.

[43 - single]

The ADB has effectively contributed to improving access to power and electricity in Pakistan.

- ☐ 1. Very weak

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

[44 - single]

The ADB has effectively contributed to improving transport infrastructure (e.g. rural and urban road transport) in Pakistan.

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

[45 - single]

The ADB has effectively contributed to improving efficient and transparent management of financial public resources in Pakistan.

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

[46 - single]

The ADB has effectively contributed to developing capital markets in Pakistan.

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

- ☐ 6. Very strong
- ☐ 7. Don't Know

[47 - single]

The ADB has effectively contributed to strengthening micro-finance institutions in Pakistan.

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

[48 - single]

The ADB has effectively contributed to improving access to water supply and sanitation in Pakistan.

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

[49 - single]

The ADB has effectively contributed to improving waste and wastewater management mechanisms in Pakistan.

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

[50 - single]

The ADB has effectively contributed to improving the efficiency and productivity of irrigation infrastructure in Pakistan.

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

[51 - single]

The ADB has effectively contributed to improving water resources management in Pakistan.

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

[52 - single]

Do you have any additional comments on how the ADB demonstrates progress towards its planned results in Pakistan?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Relevance]

Relevance of ADB's Work in Pakistan

We would like to ask you some questions on the extent to which ADB's objectives and program of work are relevant to its major stakeholders in Pakistan. In thinking about these questions, please consider all that you know about ADB's work in the country as well as the Bank's ability to meet the needs of its priority stakeholders and maintain their support.

[53 - single]

ADB's activities respond to key development priorities of Pakistan.

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

[54 - single]

The ADB provides innovative solutions for development challenges in Pakistan.

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

[55 - single]

The ADB adapts its work to the changing conditions faced by Pakistan.

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

[56 - single]

Do you have any additional comments on ADB's ability to meet the needs of its priority stakeholders and also gain and maintain their support in Pakistan?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Condition 9= 3]

[Viet Nam]

[Country Results]

Achievement of Results in Viet Nam

We would like to ask you some questions on the extent to which the ADB is demonstrating progress towards its planned results in Viet Nam. In thinking about these questions, please consider all that you know about ADB's operations in the country - more specifically about those highlighted in ADB's Country Partnership Strategy (CPS) and Country Operations Business Plans (COBPs) developed for Viet Nam.

[57 - single]

The ADB has effectively contributed to developing transport infrastructure (e.g., road, railways etc.) in Viet Nam.

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

[58 - single]

The ADB has effectively contributed to improving access to electricity (industrial, commercial and residential) in Viet Nam.

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

[59 - single]

The ADB has effectively contributed to improving energy efficiency and conservation in Viet Nam.

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

[60 - single]

The ADB has effectively contributed to supporting money and capital market development in Viet Nam.

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

[61 - single]

The ADB has effectively contributed to increasing access to microfinance to poor and low income households in Viet Nam.

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

[62 - single]

The ADB has effectively contributed to developing micro-finance institutions in Viet Nam.

- ☐ 1. Very weak
- ☐ 2. Weak

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

[63 - single]

The ADB has effectively contributed to improving the quality of secondary education in Viet Nam.

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

[64 - single]

The ADB has effectively contributed to improving the quality of technical and vocational education and training in Viet Nam.

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

[65 - single]

The ADB has effectively contributed to improving access to clean water supply in poor urban areas of Viet Nam.

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

- ☐ 6. Very strong
- ☐ 7. Don't Know

[66 - single]

The ADB has effectively contributed to improving wastewater management mechanisms in Viet Nam.

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

[67 - single]

Do you have any additional comments on how the ADB demonstrates progress towards its planned results in Viet Nam?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Relevance]

Relevance of ADB's Work in Viet Nam

We would like to ask you some questions on the extent to which ADB's objectives and program of work are relevant to its major stakeholders in Viet Nam. In thinking about these questions, please consider all that you know about ADB's work in the country as well as the Bank's ability to meet the needs of its priority stakeholders and maintain their support.

[68 - single]

ADB's activities respond to key development priorities of Viet Nam.

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

- ☐ 6. Very strong
- ☐ 7. Don't Know

[69 - single]

The ADB provides innovative solutions for development challenges in Viet Nam.

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

[70 - single]

The ADB adapts its work to the changing conditions faced by Viet Nam.

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

[71 - single]

Do you have any additional comments on ADB's ability to meet the needs of its priority stakeholders and also gain and maintain their support in Viet Nam?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Organisational Effectiveness]

[Performance Areas]

We would now like to ask you some questions regarding specific aspects of ADB's organisational effectiveness. In thinking about these questions, please consider all that you know about the ADB.

You will see a series of statements that describe the practices, systems or behaviours in any multilateral organisation. Please rate how you perceive the ADB performs in these areas using the six-point scale described below, which ranges from "very weak" to "very strong". The scale will remain the same for all statements pertaining to ADB's organisational effectiveness.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

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

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

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

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

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

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

At the end of each section, you will have the opportunity to make comments on any of the statements.

The statements are divided into four areas: Strategic Management, Operational Management, Relationship Management, and Knowledge Management.

[Strategic Management]

We would like to obtain your views on specific aspects of ADB's Strategic Management.

[Governance and Leadership]

Providing Direction for the Achievement of Results

We would like to ask you some questions on ADB's ability to provide direction for the achievement of results. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in the following statements?

[72 - single]

ADB's institutional culture reinforces a focus on results.

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

[73 - single]

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

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

[Condition 1= 1]

[74 - single]

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

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

☐ 7. Don't Know

[Condition 1= 1]

[75 - single]

The ADB ensures the application of results management across the organisation.

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

[DEFINITION 1]

Client-focused = Emphasis on the organisations that receive a direct transfer of finances or technical assistance from a multilateral organisation - such as national government departments, civil society organisations and private entities.

[Condition 1= 1]

[DEFINITION 2]

Results management = Also known as management for results or results-based management (RBM), it consist of managing and implementing aid in a way that focuses on the desired results and uses information on performance to improve decision-making.

[76 - single]

Do you have any additional comments on ADB's institutional culture and values in providing direction for results?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Condition 1= 1]

[Organisation-wide Strategies]

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

[77 - single]

The ADB has a clear mandate.

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

[78 - single]

ADB's organisation-wide strategy (LTSP / Strategy 2020) is aligned with the mandate. (SEE DEFINITION BELOW)

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

[Condition 1= 1]

DEFINITION: Strategy = High level document that guides and directs the operations of the multilateral organisation.

[Condition 1= 1]

[79 - single]

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

- ☐ 1. Yes, please note:
- ☐ 2. No

[Cross-cutting Priorities]

Cross-cutting Thematic Areas

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

[80 - single]

The ADB sufficiently mainstreams gender equality in its operations.

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

[81 - single]

The ADB sufficiently mainstreams environment in its operations.

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

[82 - single]

The ADB has sufficient cross-cutting focus on climate change.

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

☐ 7. Don't Know

[83 - single]

The ADB sufficiently focuses on private sector development.

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

[84 - single]

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

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

[85 - single]

The ADB sufficiently promotes regional cooperation and integration.

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

[86 - single]

The ADB is supportive of the human rights of project and program beneficiaries.

- ☐ 1. Very weak

☐ 2. Weak

☐ 3. Inadequate

☐ 4. Adequate

☐ 5. Strong

☐ 6. Very strong

☐ 7. Don't Know

DEFINITION: Mainstreaming = The horizontal and vertical integration of a topic so as to produce process-related and programmatic results.

[87 - single]

Do you have any additional comments on how the ADB approaches some of these cross-cutting thematic areas?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Condition 1= 2 OR 1= 3]

[Strategies]

Country Level Strategies

We would like to ask you about ADB's country strategies known as Country Partnership Strategies (CPS). How do you think the ADB performs in relation to the practices, systems or behaviours described in each of the following statements?

[88 - single]

ADB's country and sector results frameworks and project design and monitoring frameworks link country, sector and project results.

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

[89 - single]

ADB's results in country and sector results frameworks and project design and monitoring frameworks contain indicators at country, sector and project levels.

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

[90 - single]

The ADB Country Partnership Strategies (CPS) contain statements of expected results consistent with those in national development strategies. (SEE DEFINITION BELOW)

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

[91 - single]

The ADB consults with clients to develop its expected results. (SEE DEFINITION BELOW)

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

[92 - single]

ADB's Country Partnership Strategies (CPS) include results for cross-cutting priorities (e.g., gender equality, environment, climate change, private sector development, good governance, and regional cooperation) as appropriate.

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

DEFINITIONS: National development strategies = National development strategies are plans or strategies that set out the country's national development priorities. Clients = Organisations that receive a direct transfer from the multilateral organisation or has direct interaction with them at the country level. The transfer includes financial assistance, capacity building, policy advice, etc. Clients can be governmental (ministries, departments, agencies, etc.), non-governmental (associations, non-profits, co-operatives, institutes, etc.) or private sector corporations.

[Condition 1= 2 OR 1= 3]

[93 - single]

Do you have any additional comments on ADB's strategies at the country level?

- ☐ 1. Yes, please note:
- ☐ 2. No

[94 - single]

Is there anything further you would like to add regarding 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 type your answer into the box below:
- ☐ 2. No

[Operational Management]

We would now like to know what you think about Operational Management within the ADB.

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

[Financial Resources]

We would like to ask you some questions about ADB's financial resources management. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[98 - single]

The ADB links its administrative budget to expected results.

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

[95 - single]

The ADB makes readily available its criteria for allocating resources.

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

[Condition 1= 1]

[99 - single]

ADB's reports on results include the amounts spent to achieve those results.

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

[96 - single]

The ADB allocates resources according to the criteria mentioned above.

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

[Condition 1= 1]

[100 - single]

The ADB conducts internal financial audits to provide credible information to its governing bodies.

- ☐ 1. Very weak
- ☐ 2. Weak

[Condition 1= 1]

[97 - single]

The ADB links its operational budget to expected results.

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

[Condition 1= 2 OR 1= 3]

[101 - single]

The ADB procurement and contract management processes for the provision of services or goods are effective. (SEE DEFINITION BELOW)

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

[Condition 1= 2 OR 1= 3]

DEFINITION: Effective procurement/contract management processes = Procurement or contract management processes that are carried out in an efficient manner and the objectives are met.

[102 - single]

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

- ☐ 1. Yes, please note:
- ☐ 2. No

[Performance Management]

We would like you to think about ADB's performance management, i.e. the way the ADB manages the performance of its operations. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[103 - single]

The ADB uses project, sector and country information on performance to revise corporate policies.

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

[Condition 1= 2 OR 1= 3]

[104 - single]

The ADB uses information on country or sector performance to plan new interventions at country level.

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

[Condition 1= 2 OR 1= 3]

[105 - single]

The ADB actively manages 'unsatisfactory' projects from the previous fiscal year.

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

[Condition 1= 1]

[106 - single]

The ADB regularly tracks implementation of evaluation recommendations reported to the Board.

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

[107 - single]

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

- ☐ 1. Yes, please note:
- ☐ 2. No

[Human Resources Management]

We would like you to think about the way that the ADB manages its human resources. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in the following statements?

[Condition 1= 2 OR 1= 3]

[108 - single]

The number of ADB staff at the country level allows for effective country level partnerships.

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

[Condition 1= 2 OR 1= 3]

[109 - single]

The quality of ADB staff at the country level allows for effective country level partnerships.

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

[Condition 1= 1]

[110 - single]

The ADB transparently recruits staff based on the skills requirements for the job.

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

[Condition 1= 1]

[111 - single]

The ADB is transparent in promoting staff based upon merit.

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

[112 - single]

Do you have any additional comments on how the ADB manages its human resources?

- ☐ 1. Yes, please note:
☐ 2. No

[Portfolio Management]

We would like you to think about ADB's portfolio management. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statement(s)?

[Condition 1= 1]

[113 - single]

The ADB subjects new loans and grants to due diligence procedures and analyses (e.g. technical, economic, financial, social and environmental) including benefits and impact analyses. (SEE DEFINITION BELOW)

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

[Condition 1= 2 OR 1= 3]

[114 - single]

ADB's programming and project tasks are managed at the country level.

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

[Condition 1= 2 OR 1= 3]

[115 - single]

The ADB has delegated appropriate decision making authority at the country level.

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

[Condition 1= 1]

DEFINITION: Impact analysis = Includes the analysis of environmental, social and economic impacts.

[116 - single]

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

- ☐ 1. Yes, please note:
☐ 2. No

[117 - single]

Before moving on to the next section, is there anything further you would like to add regarding 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]

We would like to obtain your views on specific aspects of ADB's Relationship Management particularly ADB's relationship with its clients and other stakeholders.

[Condition 1= 2 OR 1= 3]

[Ownership]

We would like you to consider the extent to which the ADB promotes national ownership through its work. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[118 - single]

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

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

[119 - single]

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

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

[120 - single]

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

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

[121 - single]

The length of time it takes to complete ADB procedures does not significantly delay implementation.

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

[122 - single]

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

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

[123 - single]

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

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

[Condition 1= 2 OR 1= 3]

[124 - single]

Do you have any additional comments on ADB's efforts to support country ownership?

- ☐ 1. Yes, please note:
- ☐ 2. No

[Alignment]

We would like you to think about the extent to which the ADB aligns its work with that of its clients. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 2 OR 1= 3]

[125 - single]

The ADB uses country financial systems (e.g., procurement, public financial management, etc.) as a first option for its operations where appropriate.

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

[Condition 1= 2 OR 1= 3]

[126 - single]

The ADB uses country non-financial systems (e.g. monitoring and evaluation) as a first option for its operations.

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

[Condition 1= 2 OR 1= 3]

[127 - single]

The ADB avoids the use of parallel project implementation units.

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

[Condition 1= 2 OR 1= 3]

[128 - single]

The ADB encourages mutual accountability assessment of Paris Declaration and subsequent Aid Effectiveness commitments (Accra Agenda for Action, Busan High Level Forum).

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

[129 - single]

The ADB provides valuable inputs to policy dialogue.

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

[130 - single]

The ADB respects the views of clients when it undertakes policy dialogue.

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

[131 - single]

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

- ☐ 1. Yes, please note:
- ☐ 2. No

[Condition 1= 2 OR 1= 3]

[Harmonisation]

We would like to ask you questions on the extent to which ADB harmonises its work with that of partners. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[132 - single]

The ADB often participates in joint missions.

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

[133 - single]

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

- ☐ 1. Very weak

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

[Condition 1= 2 OR 1= 3]

[134 - single]

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

- ☐ 1. Yes, please note:
- ☐ 2. No

[135 - single]

Before moving on to the next section, is there anything further you would like to add regarding 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 the ADB.

[Performance Evaluation]

We would like to ask you about performance evaluation within the organisation. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in the following statement(s)?

[Condition 1= 1]

[136 - single]

The ADB ensures the independence of its evaluation unit.

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

[Condition 1= 1]

[Performance Reporting]

Now please consider performance reporting within the ADB. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[137 - single]

The ADB uses evaluation findings in its decisions on programming, policy and strategy.

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

[140 - single]

ADB's reports to the Board provide clear measures of achievement of outcomes.

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

[Condition 1= 2 OR 1= 3]

[138 - single]

The ADB involves clients and beneficiaries in evaluations of its projects or programs.

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

[141 - single]

The ADB reports adequately against its corporate strategy.

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

[139 - single]

Do you have any additional comments on performance evaluation within the ADB?

- ☐ 1. Yes, please note:
- ☐ 2. No

[142 - single]

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

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

☐ 6. Very strong☐ 7. Don't Know

[Condition 1= 1]

[143 - single]

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

☐ 1. Yes, please note:☐ 2. No

[Condition 1= 1]

[Dissemination]

We would like you to think about how the ADB disseminates lessons learned. According to what you know about the ADB, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[144 - single]

The ADB identifies and disseminates lessons learned from performance information.

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

[145 - single]

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

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

[Condition 1= 1]

[146 - single]

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

☐ 1. Yes, please note:☐ 2. No

[147 - single]

Is there anything further you would like to add regarding 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]

[Condition 1= 1 OR 1= 2]

[148 - single]

Background Questions

What MOPAN member country do you work for?

☐ 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
- ☐ 17. United States

[Condition 1= 1]

[149 - single]

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

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

[Condition 1= 2]

[150 - single]

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

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

[Condition 1= 3]

[151 - single]

Background Questions

What type of organisation do you work for?
Please 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:

[152 - 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 professional

[ALMOST DONE]

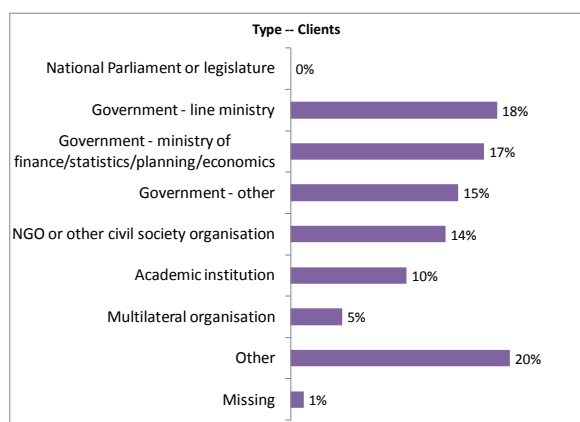
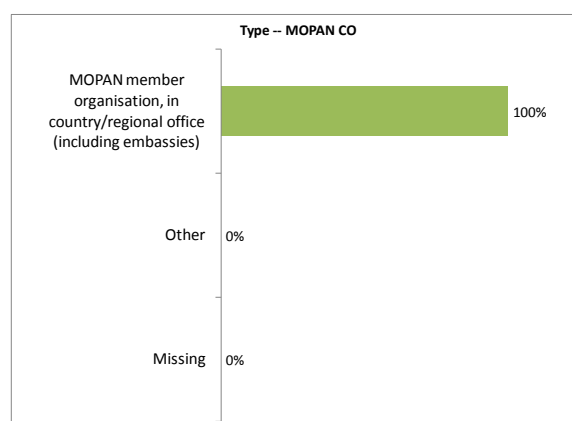
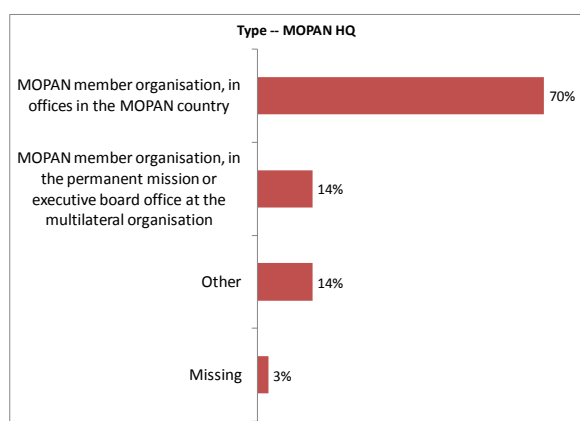
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Once you click 'Next' you cannot go back
and edit your answers.

[End of Interview]

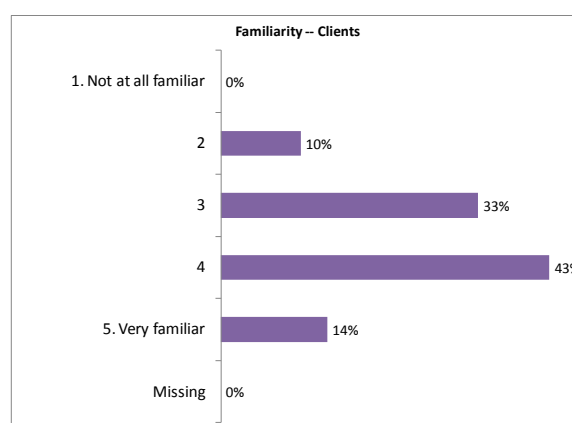
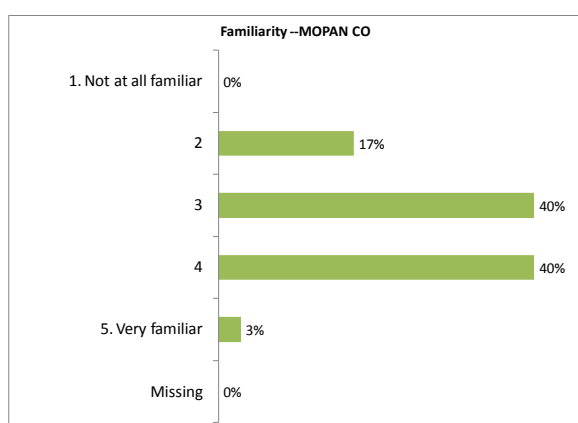
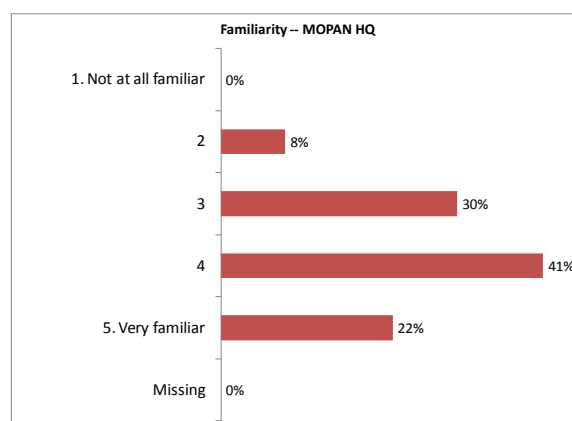
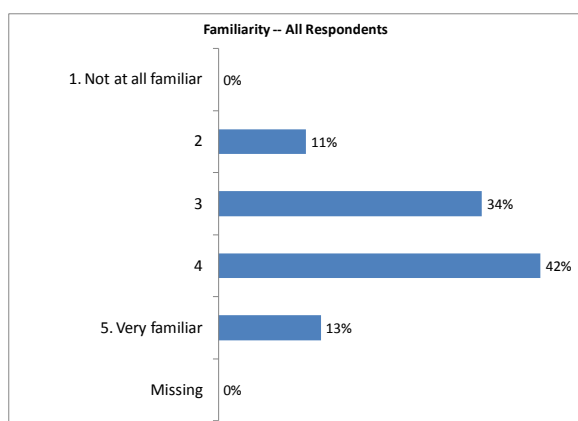
Thank you very much for sharing your
insights and taking the time to answer this
survey, which aims to improve the dialogue
on organisational learning and effectiveness
of multilateral organisations.

Appendix III Respondent profile

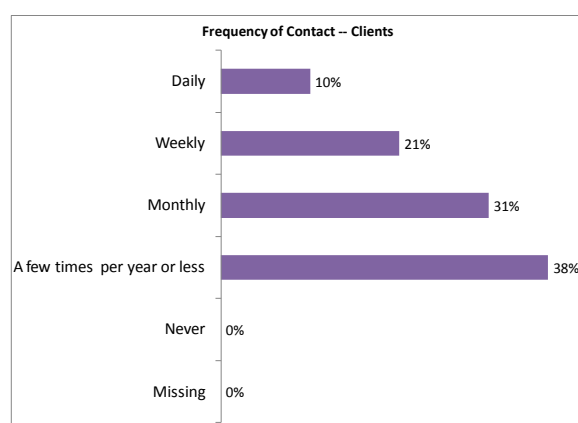
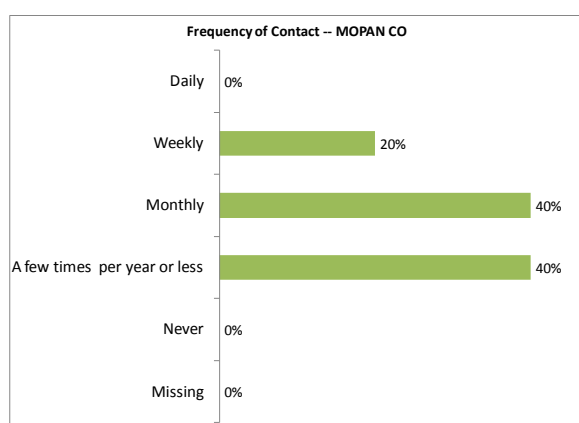
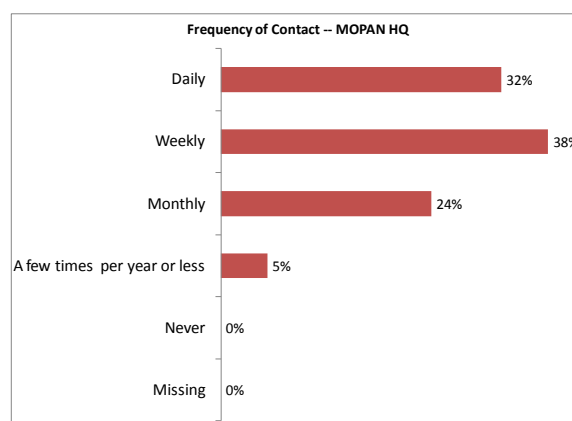
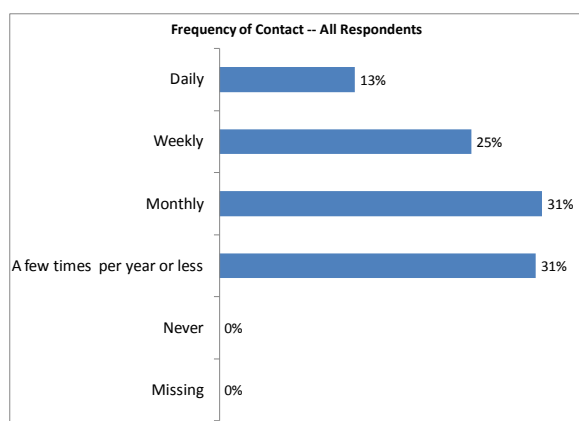
Type of Respondents



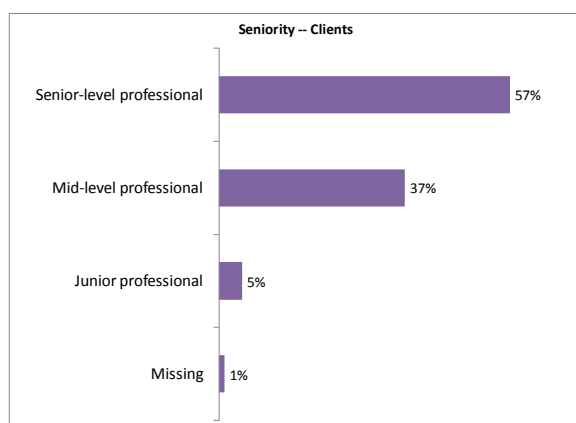
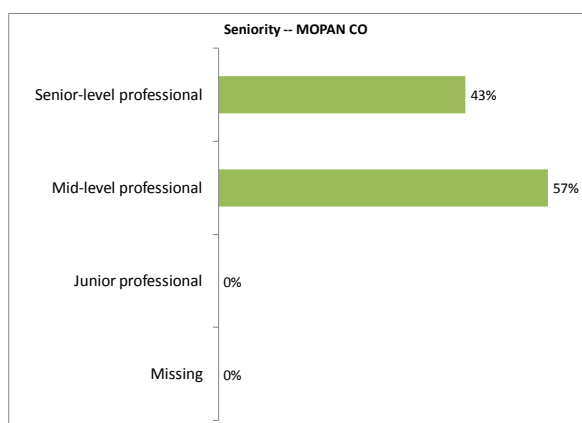
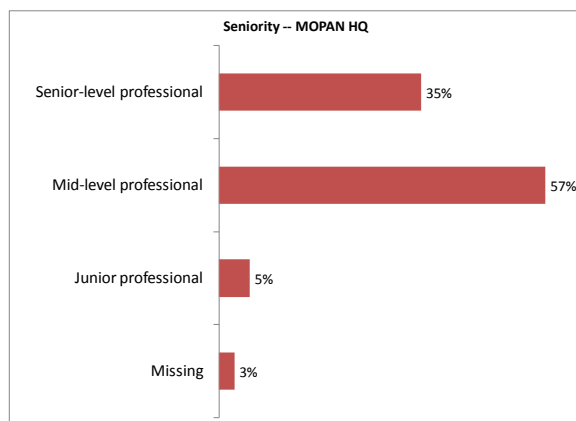
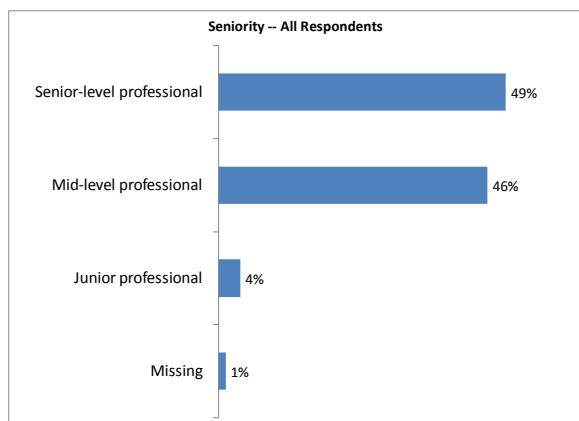
Respondent Familiarity with Multilateral Organisation



Respondent Frequency of Contact with Multilateral Organisation



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) and replied ‘don’t know’.

% 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		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of external/beneficiary-focused results								
MI	1.1 The MO has a value system that supports a results-orientation and a direct partner focus.	10	7%	1	1%	6	16%	4	4%
Sub-MI	ADB's institutional culture reinforces a focus on results.	9	6%	0	0%	5	14%	4	5%
Sub-MI	ADB's institutional culture is client-focused.	10	8%	1	3%	6	17%	3	4%
MI	1.2 The MO Executive Management shows leadership on results management.	1	3%	1	3%	--	--	--	--
MI	1.3 The MO promotes an organisation-wide policy on results management	1	3%	1	3%	--	--	--	--
KPI 2	The MO's corporate/organisation-wide strategies are clearly focused on the mandate								
MI	2.1 The MO's corporate/organisation-wide strategy is based on a clear definition of mandate	2	5%	2	5%	--	--	--	--
Sub-MI	The ADB has a clear mandate	1	3%	1	3%	--	--	--	--
Sub-MI	ADB's organisation-wide strategy (LTSF or Strategy 2020) is aligned with the mandate	3	8%	3	8%	--	--	--	--

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 4	The MO mainstreams or maintains focus on the cross-cutting priorities identified in its strategic framework, and/or based on its mandate and international commitments								
MI	4.1 Gender equality	18	12%	2	5%	7	20%	9	10%
MI	4.2 Environment	9	6%	2	5%	3	9%	4	5%
MI	4.3 Climate change	13	9%	3	8%	4	11%	6	8%
MI	4.4 Private sector development	14	10%	2	5%	5	14%	7	9%
MI	4.5 Good governance	11	8%	3	8%	3	9%	5	6%
MI	4.6 Regional cooperation and integration	19	13%	1	3%	8	24%	10	12%
MI	4.7 Human rights	28	20%	7	19%	9	26%	12	14%
KPI 5	The MO's country strategy is results-focused								
MI	5.1 Results frameworks that link results at project, program, sector, and country levels	19	17%	--	--	7	19%	12	15%
MI	5.2 Frameworks include indicators at project, program, sector, and country levels	20	18%	--	--	8	22%	12	14%
MI	5.3 Statements of expected results are consistent with those in the PRSP or national development strategies	16	14%	--	--	6	17%	10	12%
MI	5.4 Statements of expected results are developed through consultation with direct partners and beneficiaries	10	8%	--	--	2	6%	8	10%
MI	5.5 Results for cross-cutting thematic priorities are included in country level results frameworks (e.g., gender equality, environment, good governance etc.)	19	19%	--	--	10	28%	9	11%

II- Operational Management

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 6	The MO makes transparent and predictable aid allocation decisions								
MI	6.1 The MO's criteria for allocating funding are publicly available.	18	13%	6	16%	6	17%	6	7%
MI	6.2 The MO's allocations follow established criteria	23	17%	7	19%	9	25%	7	8%
MI	6.3 Aid flows or planned resources (financial / technical co-operation, etc.) are released according to agreed schedules (in-year)	--	--	--	--	--	--	--	--
KPI 7	The MO engages in result-based budgeting								
MI	7.1 Budget allocations are linked to results	9	24%	9	24%	--	--	--	--
Sub-MI	The ADB links its <u>operational</u> budget to expected results.	8	22%	8	22%	--	--	--	--
Sub-MI	The ADB links its <u>administrative</u> budget to expected results	10	27%	10	27%	--	--	--	--
MI	7.2 Expenditures are linked to results	10	27%	10	27%	--	--	--	--
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)								
MI	8.1 External financial audits (meeting recognized international standards) are performed across the organisation.	--	--	--	--	--	--	--	--
MI	8.2 External financial audits (meeting recognized international standards) are performed at the regional, country or project level (as appropriate)	--	--	--	--	--	--	--	--
MI	8.3 The MO has a policy on anti-corruption	--	--	--	--	--	--	--	--
MI	8.4 Systems are in place for immediate measures against irregularities identified at the country (or other) level	--	--	--	--	--	--	--	--

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI	8.5 Internal financial audit processes are used to provide management / governing bodies with credible information	6	16%	6	16%	--	--	--	--
MI	8.6 The MO's procurement and contract management processes for the provision of services or goods are effective	10	13%	--	--	8	22%	2	3%
MI	8.7 The MO has strategies in place for risk identification, mitigation, monitoring and reporting	--	--	--	--	--	--	--	--
KPI 9	Performance information on results is used by the MO for:								
MI	9.1 Revising and adjusting policies	5	14%	5	14%	--	--	--	--
MI	9.2 Planning new interventions	9	9%	--	--	4	11%	5	6%
MI	9.3 "unsatisfactory" investments, programs or projects from the previous fiscal year are subject to proactive management	42	43%	--	--	21	60%	21	25%
MI	9.4 Evaluation recommendations reported to the Executive Committee/Board are acted upon by the responsible units	6	16%	6	16%	--	--	--	--
MI	9.5 The MO allocates resources (non-concessional) to individual countries and projects based on performance	--	--	--	--	--	--	--	--
KPI 10	The MO manages human resources using methods to improve organisational performance								
MI	10.1 Results-focused performance assessment systems are in place for all senior staff (Including Vice Presidents and Managing Directors)	--	--	--	--	--	--	--	--
MI	10.2 There is a transparent-system to manage staff performance	--	--	--	--	--	--	--	--
MI	10.3 Staff deployment in country is adequate for the development of effective country level partnerships	13	13%	--	--	6	17%	7	8%

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	The number of ADB staff at the country level allows for effective country level partnerships	19	18%	--	--	8	23%	11	13%
Sub-MI	The quality of ADB staff at the country level allows for effective country level partnerships.	7	8%	--	--	4	11%	3	4%
MI	10.4 Staff recruitment and promotion is meritocratic and transparent	8	22%	8	22%	--	--	--	--
Sub-MI	The ADB transparently recruits staff based on the skill requirements for the job.	6	16%	6	16%	--	--	--	--
Sub-MI	The ADB is transparent in promoting staff based upon merit.	10	27%	10	27%	--	--	--	--
KPI 11	Country / regional programming processes are performance oriented.								
MI	11.1 Prior to approval new initiatives are subject to benefits/impact analysis (economic, social, etc.)	0	0%	0	0%	--	--	--	--
MI	11.2 Milestones / targets are set to rate the progress of (project) implementation	--	--	--	--	--	--	--	--
KPI 12	The MO delegates decision-making authority (to the country or other levels)								
MI	12.1 Aid allocation decisions can be made at the country level	16	14%	--	--	6	17%	10	12%
MI	12.2 New aid programs / projects can be approved locally within a budget cap (corporate approval thresholds)	20	20%	--	--	10	29%	10	12%

III- Relationship Management

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 13	The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans								
MI	13.1 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	10	11%	--	--	6	17%	4	5%
MI	13.2 The MO conditionality (if any) draws on national / government's own agreed benchmarks / indicators / results	19	20%	--	--	11	32%	8	9%
KPI 14	The MO's procedures take into account local conditions and capacities								
MI	14.1 The procedures of the MO can be easily understood and completed by partners	15	18%	--	--	11	31%	4	5%
MI	14.2 The length of time for completing MO procedures does not have a negative effect on implementation	16	18%	--	--	11	31%	5	6%
MI	14.3 The MO has the operational agility to respond quickly to changing circumstances on the ground	26	25%	--	--	12	34%	14	16%
MI	14.4 The MO has operational flexibility in the way it implements programs / projects and deals with budget issues (during implementation).	16	18%	--	--	10	29%	6	7%
KPI 15	The MO uses country systems for disbursement and operations								
MI	15.1% of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	--	--	--	--	--	--	--	--
MI	15.2 The MO uses country's financial systems as a first option for its operations (i.e. procurement and financial management, etc.)	32	31%	--	--	15	42%	17	19%

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI	15.3 The MO uses the country's non-financial systems (e.g. monitoring and evaluation) as a first option for its operations	40	39%	--	--	19	54%	21	24%
MI	15.4 The MO avoids parallel implementation structures	37	34%	--	--	15	42%	22	25%
MI	15.5 The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	38	33%	--	--	12	35%	26	31%
KPI 16	The MO adds value to policy dialogue with its direct partners								
MI	16.1 The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	15	9%	2	5%	3	9%	10	12%
MI	16.2 The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	17	12%	4	11%	5	14%	8	10%
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, development banks, UN agencies, etc.) as appropriate								
MI	17.1 The extent to which the MO engages in joint planning, programming, monitoring and reporting	18	16%	--	--	7	20%	11	12%
MI	17.2 The extent to which MO technical cooperation is disbursed through coordinated programs.	13	14%	--	--	8	23%	5	6%
MI	17.3% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc.)	--	--	--	--	--	--	--	--

IV- Knowledge Management

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 18	The MO consistently evaluates its delivery and external results								
MI	18.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	5	14%	5	14%	--	--	--	--
MI	18.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc)	--	--	--	--	--	--	--	--
MI	18.3 The MO ensures the quality of its evaluations	--	--	--	--	--	--	--	--
MI	18.4 Evaluation findings are used to inform decisions on programming, policy, and strategy	6	16%	6	16%	--	--	--	--
MI	18.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes	15	19%	--	--	12	34%	3	4%
KPI 19	The MO presents performance information on its effectiveness								
MI	19.1 Reports on the achievement of outcomes, not just inputs, activities and outputs	3	8%	3	8%	--	--	--	--
MI	19.2 Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--
MI	19.3 Reports against its organisation-wide strategy, including expected management and development results	3	8%	3	8%	--	--	--	--
MI	19.4 Reports against its aid effectiveness commitments (e.g., Paris Declaration / Busan) using indicators and country targets	6	16%	6	16%	--	--	--	--
MI	19.5 Reports on adjustments made or recommended to organisation wide policies and strategies based on performance information	--	--	--	--	--	--	--	--

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI	19.6 Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--
KPI 20	The MO encourages the identification and documentation of lessons learned and/or best practices								
MI	20.1 Reports on lessons learned based on performance information	4	11%	4	11%	--	--	--	--
MI	20.2 Learning opportunities are organised to share lessons at all levels of the organisation	10	27%	10	27%	--	--	--	--

Development Results Component

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI A	Evidence of the extent of ADB's progress towards its organisation-wide/institutional results								
MI	A1 Infrastructure	3	7%	3	7%	--	--	--	--
Sub-MI	The ADB is making contributions to improving access to cleaner, renewable sources of energy in developing member countries (DMCs)	1	3%	1	3%	--	--	--	--
Sub-MI	The ADB is making contributions to creating safe, affordable and environment friendly transport systems in developing member countries (DMCs)	3	8%	3	8%	--	--	--	--
Sub-MI	The ADB is making contributions to improving access to potable water in developing member countries (DMCs)	3	8%	3	8%	--	--	--	--
Sub-MI	The ADB is making contributions to improving sanitation and waste management services in developing member countries (DMCs)	3	8%	3	8%	--	--	--	--

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI	A2 Environment	5	12%	5	12%	--	--	--	--
Sub-MI	The ADB is making contributions to promoting sound environmental and natural resource management in developing member countries (DMCs)	2	5%	2	5%	--	--	--	--
Sub-MI	The ADB is making contributions to strengthening environmental safeguard systems of developing member countries (DMCs)	7	19%	7	19%	--	--	--	--
MI	A3 Regional cooperation and integration	5	12%	5	12%	--	--	--	--
Sub-MI	The ADB is making contributions to promoting intraregional trade in Asia and the Pacific	7	19%	7	19%	--	--	--	--
Sub-MI	The ADB is making contributions to fostering intraregional cooperation	2	5%	2	5%	--	--	--	--
MI	A4 Finance Sector Development	6	17%	6	17%	--	--	--	--
Sub-MI	The ADB is making contributions to developing basic financial infrastructure in developing member countries (DMCs)	4	11%	4	11%	--	--	--	--
Sub-MI	The ADB is making contributions to strengthening the capacities of financial institutions in developing member countries (DMCs)	5	14%	5	14%	--	--	--	--
Sub-MI	The ADB is making contributions to promoting enhanced financial access for the traditionally underserved (e.g., poor households and SMEs)	4	11%	4	11%	--	--	--	--
Sub-MI	The ADB is making contributions to improving the macro- and micro-prudential regulation of financial institutions in developing member countries (DMCs)	10	27%	10	27%	--	--	--	--
Sub-MI	The ADB is making contributions to promoting the principles of transparency and accountability of financial institutions in developing member countries (DMCs)	8	22%	8	22%	--	--	--	--
MI	A5 Education	5	14%	5	14%	--	--	--	--

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	The ADB is making contributions to improving access to quality basic and secondary education in developing member countries (DMCs)	4	11%	4	11%	--	--	--	--
Sub-MI	The ADB is making contributions to improving the quality of technical and vocational education and training in developing member countries (DMCs)	6	16%	6	16%	--	--	--	--
Sub-MI	The ADB is making contributions to improving the quality of tertiary education in developing member countries (DMCs)	6	16%	6	16%	--	--	--	--
KPI B	Indonesia: Evidence of the extent of ADB contributions to country-level goals and priorities, including MDGs								
MI	B1 Infrastructure and Infrastructure Services	5	18%	--	--	3	27%	2	9%
Sub-MI	The ADB has effectively contributed to improving transport infrastructure and infrastructure services in Indonesia	5	18%	--	--	3	27%	2	9%
Sub-MI	The ADB has effectively contributed to improving rural infrastructure in Indonesia	5	18%	--	--	3	27%	2	9%
MI	B2 Finance Sector Development	8	26%	--	--	3	30%	5	21%
Sub-MI	The ADB has effectively contributed to increasing public sector investments in Indonesia	6	18%	--	--	2	18%	4	18%
Sub-MI	The ADB has effectively contributed to increasing private sector investments in Indonesia	7	23%	--	--	3	27%	4	18%
Sub-MI	The ADB has effectively contributed to developing capital markets in Indonesia	11	36%	--	--	5	45%	6	27%
MI	B3 Decentralisation	6	18%	--	--	2	18%	4	18%
MI	B4 MDG Acceleration	6	18%	--	--	3	23%	3	14%
Sub-MI	The ADB has effectively contributed to improving access to water supply and sanitation in Indonesia	4	14%	--	--	2	18%	2	9%

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	The ADB has effectively contributed to improving the quality of education in Indonesia	7	23%	--	--	3	27%	4	18%
MI	B5 Environment and Natural Resource Management	7	25%	--	--	4	33%	4	17%
Sub-MI	The ADB has effectively contributed to ensuring a sustainable management of natural resources in Indonesia	5	18%	--	--	3	27%	2	9%
Sub-MI	The ADB has effectively contributed to improving the management of water resources in Indonesia	4	14%	--	--	2	18%	2	9%
Sub-MI	The ADB has effectively contributed to improving coastal and marine resource management in Indonesia	13	43%	--	--	6	55%	7	32%
KPI C	Relevance of objectives and program of work to stakeholders								
MI	C1 The activities of the MO respond to key development priorities of the country	1	2%	--	--	0	0%	1	5%
MI	C2 The MO provides innovative solutions for development challenges in the country	1	2%	--	--	0	0%	1	5%
MI	C3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	2	5%	--	--	0	0%	2	9%
KPI B	Pakistan: Evidence of the extent of ADB contributions to country-level goals and priorities, including MDGs								
MI	B1 Energy and Infrastructure	4	5%	--	--	0	0%	4	11%
Sub-MI	The ADB has effectively contributed to improving access to power and electricity in Pakistan	0	0%	--	--	0	0%	0	0%

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	The ADB has effectively contributed to improving transport infrastructure (e.g. rural and urban road transport) in Pakistan	7	11%	--	--	0	0%	7	21%
MI	B2 Governance and Financial Services	10	25%	--	--	4	31%	7	20%
Sub-MI	The ADB has effectively contributed to improving efficient and transparent management of financial public resources in Pakistan	7	13%	--	--	1	8%	6	18%
Sub-MI	The ADB has effectively contributed to developing capital markets in Pakistan	12	29%	--	--	4	33%	8	24%
Sub-MI	The ADB has effectively contributed to strengthening micro-finance institutions in Pakistan	12	34%	--	--	6	50%	6	18%
MI	B3 Development of Urban Services	13	34%	--	--	6	46%	7	21%
Sub-MI	The ADB has effectively contributed to improving access to water supply and sanitation in Pakistan	11	27%	--	--	4	33%	7	21%
Sub-MI	The ADB has effectively contributed to improving waste and wastewater management mechanisms in Pakistan	14	40%	--	--	7	58%	7	21%
MI	B4 Agriculture and Natural Resources Management	12	32%	--	--	6	46%	6	18%
Sub-MI	The ADB has effectively contributed to improving the efficiency and productivity of irrigation infrastructure in Pakistan	13	36%	--	--	6	50%	7	21%
Sub-MI	The ADB has effectively contributed to improving water resources management in Pakistan	10	28%	--	--	5	42%	5	15%
KPI C	Relevance of objectives and program of work to stakeholders								
MI	C1 The activities of the MO respond to key development priorities of the country	1	2%	--	--	0	0%	1	3%
MI	C2 The MO provides innovative solutions for development challenges in the country	1	4%	--	--	1	8%	0	0%

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI	C3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	2	3%	--	--	0	0%	2	6%
KPI B	Vietnam: Evidence of the extent of ADB contributions to country-level goals and priorities, including MDGs								
MI	B1 Transport	8	13%	--	--	0	0%	8	25%
MI	B2 Energy and Infrastructure	11	26%	--	--	4	29%	7	22%
Sub-MI	The ADB has effectively contributed to improving access to electricity (industrial, commercial and residential) in Viet Nam	9	22%	--	--	3	25%	6	19%
Sub-MI	The ADB has effectively contributed to improving energy efficiency and conservation in Viet Nam	12	29%	--	--	4	33%	8	25%
MI	B3 Finance	10	31%	--	--	6	47%	5	15%
Sub-MI	The ADB has effectively contributed to supporting money and capital market development in Viet Nam	8	23%	--	--	4	33%	4	13%
Sub-MI	The ADB has effectively contributed to increasing access to microfinance to poor and low income households in Viet Nam	11	35%	--	--	7	58%	4	13%
Sub-MI	The ADB has effectively contributed to developing micro-finance institutions in Viet Nam	12	34%	--	--	6	50%	6	19%
MI	B4 Education	12	27%	--	--	4	29%	8	25%
Sub-MI	The ADB has effectively contributed to improving the quality of secondary education in Viet Nam	10	23%	--	--	3	25%	7	22%
Sub-MI	The ADB has effectively contributed to improving the quality of technical and vocational education and training in Viet Nam	13	31%	--	--	4	33%	9	28%
MI	B5 Water Supply and Other Municipal Infrastructure and Services	9	21%	--	--	3	21%	7	20%

		Total		HQ		CO		Clients	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	The ADB has effectively contributed to improving access to clean water supply in Viet Nam	8	18%	--	--	2	17%	6	19%
Sub-MI	The ADB has effectively contributed to improving wastewater management mechanisms in Viet Nam	10	23%	--	--	3	25%	7	22%
KPI C	Relevance of objectives and program of work to stakeholders								
MI	C1 The activities of the MO respond to key development priorities of the country	0	0%	--	--	0	0%	0	0%
MI	C2 The MO provides innovative solutions for development challenges in the country	1	4%	--	--	1	8%	0	0%
MI	C3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	0	0%	--	--	0	0%	0	0%

Appendix V KPI and MI data by performance area

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 five respondent groups;
- b) equal weight is given to each of the countries where the survey took place;
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted.²⁸ 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)

I- Strategic Management

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
<i>Base (un-weighted)</i>		159	37	35	87	159	37	35	87
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of external/beneficiary-focused results	4.58	4.62	4.62	4.33	1.06	1.05	0.84	1.05
MI	1.1 The MO has a value system that supports a results-orientation and a direct partner focus.	4.53	4.66	4.62	4.33	0.97	0.95	0.84	1.05
Sub-MI	ADB's institutional culture reinforces a focus on results	4.44	4.38	4.57	4.38	0.96	0.95	0.92	1.02
Sub-MI	ADB's institutional culture is client-focused	4.63	4.94	4.67	4.28	0.98	0.95	0.76	1.08
MI	1.2 The MO Executive Management shows leadership on results management.	4.69	4.69	--	--	1.16	1.16	--	--
MI	1.3 The MO promotes an organisation-wide policy on results management	4.50	4.50	--	--	1.05	1.05	--	--
KPI 2	The MO's corporate/organisation-wide strategies are clearly focused on the mandate	5.06	5.06	--	--	0.85	0.85	--	--

²⁸ For a description of weighting, please see the Methodology in Appendix I.

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
MI	2.1 The MO's corporate/organisation-wide strategy is based on a clear definition of mandate	5.06	5.06	--	--	0.85	0.85	--	--
Sub-MI	The ADB has a clear mandate	5.06	5.06	--	--	0.92	0.92	--	--
Sub-MI	ADB's organisation-wide strategy (LTSF or Strategy 2020) is aligned with the mandate	5.06	5.06	--	--	0.77	0.77	--	--
KPI 4	The MO mainstreams or maintains focus on the cross-cutting priorities identified in its strategic framework, and/or based on its mandate and international commitments	4.35	4.05	4.39	4.60	1.04	1.05	0.91	1.04
MI	4.1 Gender equality	4.25	3.83	4.14	4.78	0.98	0.98	0.70	0.96
MI	4.2 Environment	4.45	4.11	4.47	4.77	0.97	0.96	0.83	1.00
MI	4.3 Climate change	4.38	4.21	4.53	4.41	0.94	0.97	0.88	0.95
MI	4.4 Private sector development	4.40	4.40	4.46	4.35	0.94	0.97	0.81	1.03
MI	4.5 Good governance	4.34	3.79	4.49	4.72	1.09	1.09	0.95	1.04
MI	4.6 Regional cooperation and integration	4.74	4.69	4.76	4.77	1.12	1.14	1.05	1.17
MI	4.7 Human rights	3.88	3.33	3.86	4.43	1.25	1.26	1.15	1.12
KPI 5	The MO's country strategy is results-focused	4.57	--	4.58	4.56	0.86	--	0.75	0.95
MI	5.1 Results frameworks that link results at project, program, sector, and country levels	4.55	--	4.50	4.58	0.86	--	0.73	0.97
MI	5.2 Frameworks include indicators at project, program, sector, and country levels	4.49	--	4.44	4.53	0.74	--	0.57	0.87
MI	5.3 Statements of expected results are consistent with those in the PRSP or national development strategies	4.67	--	4.80	4.55	0.86	--	0.77	0.93
MI	5.4 Statements of expected results are developed through consultation with direct partners and beneficiaries	4.53	--	4.58	4.47	1.02	--	0.96	1.08

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
MI	5.5 Results for cross-cutting thematic priorities are included in country level results frameworks (e.g., gender equality, environment, good governance etc.)	4.61	--	4.56	4.65	0.81	--	0.71	0.89

II- Operational Management

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
KPI 6	The MO makes transparent and predictable aid allocation decisions	4.38	4.43	4.23	4.47	0.91	0.93	0.84	0.92
MI	6.1 The MO's criteria for allocating funding are publicly available.	4.32	4.32	4.15	4.46	0.97	0.97	1.01	0.94
MI	6.2 The MO's allocations follow established criteria	4.45	4.53	4.31	4.48	0.84	0.89	0.67	0.91
MI	6.3 Aid flows or planned resources (financial / technical co-operation, etc.) are released according to agreed schedules (in-year)	--	--	--	--	--	--	--	--
KPI 7	The MO engages in result-based budgeting	3.98	3.98	--	--	0.93	0.93	--	--
MI	7.1 Budget allocations are linked to results	4.03	4.03	--	--	0.88	0.88	--	--
Sub-MI	The ADB links its <u>operational</u> budget to expected results	4.21	4.21	--	--	0.90	0.90	--	--
Sub-MI	The ADB links its <u>administrative</u> budget to expected results	3.85	3.85	--	--	0.86	0.86	--	--
MI	7.2 Expenditures are linked to results	3.93	3.93	--	--	0.99	0.99	--	--
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)	4.59	4.81	4.46	4.30	0.88	0.79	0.69	1.14

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
MI	8.1 External financial audits (meeting recognized international standards) are performed across the organisation.	--	--	--	--	--	--	--	--
MI	8.2 External financial audits (meeting recognized international standards) are performed at the regional, country or project level (as appropriate)	--	--	--	--	--	--	--	--
MI	8.3 The MO has a policy on anti-corruption	--	--	--	--	--	--	--	--
MI	8.4 Systems are in place for immediate measures against irregularities identified at the country (or other) level	--	--	--	--	--	--	--	--
MI	8.5 Internal financial audit processes are used to provide management / governing bodies with credible information	4.81	4.81	--	--	0.79	0.79	--	--
MI	8.6 The MO's procurement and contract management processes for the provision of services or goods are effective	4.37	--	4.46	4.30	0.96	--	0.69	1.14
MI	8.7 The MO has strategies in place for risk identification, mitigation, monitoring and reporting	--	--	--	--	--	--	--	--
KPI 9	Performance information on results is used by the MO for:	4.41	4.35	4.52	4.42	0.81	0.76	0.76	0.92
MI	9.1 Revising and adjusting policies	4.34	4.34	--	--	0.82	0.82	--	--
MI	9.2 Planning new interventions	4.58	--	4.68	4.48	0.82	--	0.78	0.84
MI	9.3 "unsatisfactory" investments, programs or projects from the previous fiscal year are subject to proactive management	4.36	--	4.36	4.36	0.91	--	0.73	0.99
MI	9.4 Evaluation recommendations reported to the Executive Committee/Board are acted upon by the responsible units	4.35	4.35	--	--	0.71	0.71	--	--
MI	9.5 The MO allocates resources (non-concessional) to individual countries and projects based on performance	--	--	--	--	--	--	--	--

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
KPI 10	The MO manages human resources using methods to improve organisational performance	3.79	3.39	4.28	4.12	0.88	0.86	0.73	1.02
MI	10.1 Results-focused performance assessment systems are in place for all senior staff (Including Vice Presidents and Managing Directors)	--	--	--	--	--	--	--	--
MI	10.2 There is a transparent-system to manage staff performance	--	--	--	--	--	--	--	--
MI	10.3 Staff deployment in country is adequate for the development of effective country level partnerships	4.19	--	4.28	4.12	0.91	--	0.73	1.02
Sub-MI	The number of ADB staff at the country level allows for effective country level partnerships	3.89	--	3.81	3.96	0.92	--	0.84	0.99
Sub-MI	The quality of ADB staff at the country level allows for effective country level partnerships	4.50	--	4.74	4.27	0.90	--	0.62	1.05
MI	10.4 Staff recruitment and promotion is meritocratic and transparent	3.39	3.39	--	--	0.86	0.86	--	--
Sub-MI	The ADB transparently recruits staff based on the skill requirements for the job	3.68	3.68	--	--	0.79	0.79	--	--
Sub-MI	The ADB is transparent in promoting staff based upon merit	3.11	3.11	--	--	0.93	0.93	--	--
KPI 11	Country / regional programming processes are performance oriented.	4.43	4.43	--	--	0.90	0.90	--	--
MI	11.1 Prior to approval new initiatives are subject to benefits/impact analysis (economic, social, etc.)	4.43	4.43	--	--	0.90	0.90	--	--
MI	11.2 Milestones / targets are set to rate the progress of (project) implementation	--	--	--	--	--	--	--	--
KPI 12	The MO delegates decision-making authority (to the country or other levels)	4.08	--	4.03	4.13	1.07	--	1.14	1.01
MI	12.1 Aid allocation decisions can be made at the country level	4.20	--	4.16	4.25	1.01	--	1.05	0.98

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
MI	12.2 New aid programs / projects can be approved locally within a budget cap (corporate approval thresholds)	3.97	--	3.90	4.02	1.12	--	1.23	1.03

III- Relationship Management

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
KPI 13	The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans	4.43	--	4.44	4.42	0.90	--	0.84	0.95
MI	13.1 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	4.52	--	4.54	4.51	0.88	--	0.82	0.94
MI	13.2 The MO conditionality (if any) draws on national / government's own agreed benchmarks / indicators / results	4.34	--	4.35	4.33	0.91	--	0.86	0.95
KPI 14	The MO's procedures take into account local conditions and capacities	3.96	--	3.99	3.93	0.96	--	0.86	1.03
MI	14.1 The procedures of the MO can be easily understood and completed by partners	4.19	--	4.35	4.07	1.00	--	0.91	1.06
MI	14.2 The length of time for completing MO procedures does not have a negative effect on implementation	3.75	--	3.77	3.74	0.98	--	0.84	1.08
MI	14.3 The MO has the operational agility to respond quickly to changing circumstances on the ground	3.97	--	4.05	3.90	0.93	--	0.86	0.98

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
<i>Base (un-weighted)</i>		159	37	35	87	159	37	35	87
MI	14.4 The MO has operational flexibility in the way it implements programs / projects and deals with budget issues (during implementation).	3.93	--	3.81	4.02	0.94	--	0.82	1.01
KPI 15	The MO uses country systems for disbursement and operations	4.06	--	3.95	4.14	0.95	--	0.94	0.95
MI	15.1% of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	--	--	--	--	--	--	--	--
MI	15.2 The MO uses country's financial systems as a first option for its operations (i.e. procurement and financial management, etc.)	3.81	--	3.67	3.92	0.91	--	0.87	0.94
MI	15.3 The MO uses the country's non-financial systems (e.g. monitoring and evaluation) as a first option for its operations	3.95	--	3.93	3.97	1.00	--	1.05	0.98
MI	15.4 The MO avoids parallel implementation structures	4.05	--	3.75	4.28	0.98	--	1.00	0.91
MI	15.5 The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	4.41	--	4.43	4.40	0.90	--	0.83	0.98
KPI 16	The MO adds value to policy dialogue with its direct partners	4.72	4.74	4.90	4.52	0.90	0.93	0.79	0.90
MI	16.1 The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.70	4.51	5.02	4.57	0.92	0.98	0.81	0.88
MI	16.2 The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.74	4.97	4.77	4.47	0.87	0.88	0.76	0.91
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, development banks, UN agencies, etc.) as appropriate	4.46	--	4.33	4.57	1.04	--	1.10	0.97
MI	17.1 The extent to which the MO engages in joint planning, programming, monitoring and reporting	4.49	--	4.40	4.58	1.08	--	1.15	1.01

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
Base (un-weighted)		159	37	35	87	159	37	35	87
MI	17.2 The extent to which MO technical cooperation is disbursed through coordinated programs.	4.42	--	4.26	4.56	0.99	--	1.05	0.93
MI	17.3% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAs, basket funding, etc.)	--	--	--	--	--	--	--	--

IV- Knowledge Management

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
Base (un-weighted)		159	37	35	87	159	37	35	87
KPI 18	The MO consistently evaluates its delivery and external results	4.50	4.54	4.38	4.44	0.97	0.94	0.94	1.07
MI	18.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	4.81	4.81	--	--	1.11	1.11	--	--
MI	18.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc)	--	--	--	--	--	--	--	--
MI	18.3 The MO ensures the quality of its evaluations	--	--	--	--	--	--	--	--
MI	18.4 Evaluation findings are used to inform decisions on programming, policy, and strategy	4.26	4.26	--	--	0.77	0.77	--	--
MI	18.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.42	--	4.38	4.44	1.01	--	0.94	1.07
KPI 19	The MO presents performance information on its effectiveness	4.35	4.35	--	--	0.81	0.81	--	--
MI	19.1 Reports on the achievement of outcomes, not just inputs, activities and outputs	4.24	4.24	--	--	0.86	0.86	--	--

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
MI	19.2 Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--
MI	19.3 Reports against its organisation-wide strategy, including expected management and development results	4.55	4.55	--	--	0.79	0.79	--	--
MI	19.4 Reports against its aid effectiveness commitments (e.g., Paris Declaration / Busan) using indicators and country targets	4.27	4.27	--	--	0.78	0.78	--	--
MI	19.5 Reports on adjustments made or recommended to organisation wide policies and strategies based on performance information	--	--	--	--	--	--	--	--
MI	19.6 Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--
KPI 20	The MO encourages the identification and documentation of lessons learned and/or best practices	4.14	4.14	--	--	0.90	0.90	--	--
MI	20.1 Reports on lessons learned based on performance information	4.16	4.16	--	--	0.80	0.80	--	--
MI	20.2 Learning opportunities are organised to share lessons at all levels of the organisation	4.12	4.12	--	--	0.99	0.99	--	--

Development Results Component

Base (un-weighted)		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
KPI A	Evidence of the extent of ADB's progress towards its organisation-wide/institutional results	4.34	4.34	--	--	0.96	0.96	--	--
MI	A1 Infrastructure	4.66	4.66	--	--	0.94	0.94	--	--
Sub-MI	The ADB is making contributions to improving access to cleaner, renewable sources of energy in developing member countries (DMCs)	4.75	4.75	--	--	0.93	0.93	--	--
Sub-MI	The ADB is making contributions to creating safe, affordable and environment friendly transport systems in developing member countries (DMCs)	4.79	4.79	--	--	0.94	0.94	--	--
Sub-MI	The ADB is making contributions to improving access to potable water in developing member countries (DMCs)	4.59	4.59	--	--	0.95	0.95	--	--
Sub-MI	The ADB is making contributions to improving sanitation and waste management services in developing member countries (DMCs)	4.50	4.50	--	--	0.93	0.93	--	--
MI	A2 Environment	4.19	4.19	--	--	0.93	0.93	--	--
Sub-MI	The ADB is making contributions to promoting sound environmental and natural ressource management in developing member countries (DMCs)	4.09	4.09	--	--	0.92	0.92	--	--
Sub-MI	The ADB is making contributions to strengthening environmental safeguard systems of developing member countries (DMCs)	4.30	4.30	--	--	0.95	0.95	--	--
MI	A3 Regional cooperation and integration	4.61	4.61	--	--	1.09	1.09	--	--
Sub-MI	The ADB is making contributions to promoting intraregional trade in Asia and the Pacific	4.57	4.57	--	--	1.10	1.10	--	--
Sub-MI	The ADB is making contributions to fostering intraregional cooperation	4.66	4.66	--	--	1.08	1.08	--	--
MI	A4 Finance Sector Development	4.18	4.18	--	--	0.87	0.87	--	--

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
Sub-MI	The ADB is making contributions to developing basic financial infrastructure in developing member countries (DMCs)	4.52	4.52	--	--	0.83	0.83	--	--
Sub-MI	The ADB is making contributions to strengthening the capacities of financial institutions in developing member countries (DMCs)	4.28	4.28	--	--	0.77	0.77	--	--
Sub-MI	The ADB is making contributions to promoting enhanced financial access for the traditionally underserved (e.g., poor households and SMEs)	3.94	3.94	--	--	0.90	0.90	--	--
Sub-MI	The ADB is making contributions to improving the macro- and micro-prudential regulation of financial institutions in developing member countries (DMCs)	4.11	4.11	--	--	0.89	0.89	--	--
Sub-MI	The ADB is making contributions to promoting the principles of transparency and accountability of financial institutions in developing member countries (DMCs)	4.03	4.03	--	--	0.98	0.98	--	--
MI	A5 Education	4.07	4.07	--	--	0.96	0.96	--	--
Sub-MI	The ADB is making contributions to improving access to quality basic and secondary education in developing member countries (DMCs)	4.15	4.15	--	--	1.03	1.03	--	--
Sub-MI	The ADB is making contributions to improving the quality of technical and vocational education and training in developing member countries (DMCs)	4.10	4.10	--	--	0.90	0.90	--	--
Sub-MI	The ADB is making contributions to improving the quality of tertiary education in developing member countries (DMCs)	3.97	3.97	--	--	0.94	0.94	--	--
KPI B	Indonesia: Evidence of the extent of ADB contributions to country-level goals and priorities, including MDGs	4.19	--	4.33	4.06	1.00	--	0.88	1.09
MI	B1 Infrastructure and Infrastructure Services	4.18	--	4.25	4.13	0.96	--	0.68	1.16

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
Sub-MI	The ADB has effectively contributed to improving transport infrastructure and infrastructure services in Indonesia	4.14	--	4.13	4.15	0.90	--	0.63	1.10
Sub-MI	The ADB has effectively contributed to improving rural infrastructure in Indonesia	4.22	--	4.38	4.10	1.02	--	0.73	1.22
MI	B2 Finance Sector Development	4.03	--	4.11	3.96	1.06	--	1.00	1.14
Sub-MI	The ADB has effectively contributed to increasing public sector investments in Indonesia	4.25	--	4.33	4.17	1.06	--	0.85	1.26
Sub-MI	The ADB has effectively contributed to increasing private sector investments in Indonesia	3.88	--	4.00	3.78	1.13	--	1.28	1.01
Sub-MI	The ADB has effectively contributed to developing capital markets in Indonesia	3.96	--	4.00	3.94	1.01	--	0.87	1.14
MI	B3 Decentralisation	4.17	--	4.33	4.00	0.98	--	0.98	0.98
MI	B4 MDG Acceleration	4.40	--	4.58	4.23	0.94	--	0.70	1.10
Sub-MI	The ADB has effectively contributed to improving access to water supply and sanitation in Indonesia	4.47	--	4.67	4.30	0.90	--	0.49	1.14
Sub-MI	The ADB has effectively contributed to improving the quality of education in Indonesia	4.32	--	4.50	4.17	0.98	--	0.90	1.05
MI	B5 Environment and Natural Resource Management	4.15	--	4.36	3.99	1.07	--	1.06	1.08
Sub-MI	The ADB has effectively contributed to ensuring a sustainable management of natural resources in Indonesia	3.97	--	4.00	3.95	1.03	--	1.04	1.06
Sub-MI	The ADB has effectively contributed to improving the management of water resources in Indonesia. [q36]	4.39	--	4.67	4.15	0.95	--	0.69	1.10
Sub-MI	The ADB has effectively contributed to improving coastal and marine resource management in Indonesia	4.08	--	4.40	3.87	1.23	--	1.46	1.07
KPI C	Relevance of objectives and program of work to stakeholders	4.52	--	4.85	4.17	0.96	--	0.66	1.10

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
		159	37	35	87	159	37	35	87
Base (un-weighted)									
MI	C1 The activities of the MO respond to key development priorities of the country	4.95	--	5.27	4.62	0.90	--	0.64	1.03
MI	C2 The MO provides innovative solutions for development challenges in the country	4.19	--	4.36	4.00	0.88	--	0.66	1.06
MI	C3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	4.43	--	4.91	3.90	1.09	--	0.69	1.22
KPI B	Pakistan: Evidence of the extent of ADB contributions to country-level goals and priorities, including MDGs	3.94	--	4.07	3.80	1.03	--	0.86	1.12
MI	B1 Energy and Infrastructure	4.15	--	4.54	3.72	1.15	--	0.93	1.19
Sub-MI	The ADB has effectively contributed to improving access to power and electricity in Pakistan	4.24	--	4.83	3.64	1.26	--	0.82	1.35
Sub-MI	The ADB has effectively contributed to improving transport infrastructure (e.g. rural and urban road transport) in Pakistan	4.06	--	4.25	3.81	1.04	--	1.03	1.03
MI	B2 Governance and Financial Services	3.67	--	3.82	3.53	0.99	--	0.85	1.19
Sub-MI	The ADB has effectively contributed to improving efficient and transparent management of financial public resources in Pakistan	3.78	--	3.91	3.63	0.99	--	0.81	1.16
Sub-MI	The ADB has effectively contributed to developing capital markets in Pakistan	3.60	--	3.88	3.36	1.07	--	0.96	1.12
Sub-MI	The ADB has effectively contributed to strengthening micro-finance institutions in Pakistan	3.62	--	3.67	3.59	0.92	--	0.78	1.02
MI	B3 Development of Urban Services	3.88	--	3.86	3.87	1.01	--	0.94	1.09
Sub-MI	The ADB has effectively contributed to improving access to water supply and sanitation in Pakistan	4.02	--	4.13	3.92	0.97	--	0.81	1.10
Sub-MI	The ADB has effectively contributed to improving waste and wastewater management mechanisms in Pakistan	3.74	--	3.60	3.81	1.06	--	1.08	1.07

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
Base (un-weighted)		159	37	35	87	159	37	35	87
MI	B4 Agriculture and Natural Resources Management	4.07	--	4.06	4.08	0.96	--	0.72	1.10
Sub-MI	The ADB has effectively contributed to improving the efficiency and productivity of irrigation infrastructure in Pakistan	4.03	--	3.83	4.15	0.99	--	0.72	1.13
Sub-MI	The ADB has effectively contributed to improving water resources management in Pakistan	4.12	--	4.29	4.00	0.94	--	0.73	1.06
KPI C	Relevance of objectives and program of work to stakeholders	4.39	--	4.68	4.10	1.07	--	0.74	1.23
MI	C1 The activities of the MO respond to key development priorities of the country	4.75	--	5.17	4.31	1.10	--	0.70	1.27
MI	C2 The MO provides innovative solutions for development challenges in the country	4.31	--	4.64	4.00	1.01	--	0.49	1.26
MI	C3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	4.13	--	4.25	4.00	1.09	--	1.03	1.16
KPI B	Vietnam: Evidence of the extent of ADB contributions to country-level goals and priorities, including MDGs	4.37	--	4.23	4.48	0.89	--	0.87	0.87
MI	B1 Transport	4.70	--	4.67	4.75	0.89	--	0.97	0.80
MI	B2 Energy and Infrastructure	4.38	--	4.28	4.48	0.88	--	0.87	0.89
Sub-MI	The ADB has effectively contributed to improving access to electricity (industrial, commercial and residential) in Viet Nam	4.57	--	4.56	4.58	0.73	--	0.71	0.76
Sub-MI	The ADB has effectively contributed to improving energy efficiency and conservation in Viet Nam	4.20	--	4.00	4.38	1.03	--	1.04	1.02
MI	B3 Finance	4.07	--	3.67	4.32	0.85	--	0.67	0.84
Sub-MI	The ADB has effectively contributed to supporting money and capital market development in Viet Nam	4.23	--	3.88	4.50	0.85	--	0.81	0.80

		Mean Scores				Standard Deviation			
		Total	HQ	CO	Clients	Total	HQ	CO	Clients
<i>Base (un-weighted)</i>		159	37	35	87	159	37	35	87
Sub-MI	The ADB has effectively contributed to increasing access to microfinance to poor and low income households in Viet Nam	4.06	--	3.80	4.18	0.77	--	0.42	0.87
Sub-MI	The ADB has effectively contributed to developing micro-finance institutions in Viet Nam	3.91	--	3.33	4.27	0.92	--	0.78	0.83
MI	B4 Education	4.19	--	4.10	4.27	0.94	--	1.05	0.82
Sub-MI	The ADB has effectively contributed to improving the quality of secondary education in Viet Nam	4.37	--	4.33	4.40	0.75	--	0.69	0.82
Sub-MI	The ADB has effectively contributed to improving the quality of technical and vocational education and training in Viet Nam	4.01	--	3.88	4.13	1.13	--	1.41	0.82
MI	B5 Water Supply and Other Municipal Infrastructure and Services	4.51	--	4.41	4.61	0.89	--	0.80	0.97
Sub-MI	The ADB has effectively contributed to improving access to clean water supply in Viet Nam	4.66	--	4.60	4.73	0.92	--	0.94	0.93
Sub-MI	The ADB has effectively contributed to improving wastewater management mechanisms in Viet Nam	4.35	--	4.22	4.48	0.85	--	0.65	1.01
KPI C	Relevance of objectives and program of work to stakeholders	4.49	--	4.34	4.65	0.78	--	0.72	0.80
MI	C1 The activities of the MO respond to key development priorities of the country	4.89	--	4.83	4.94	0.76	--	0.82	0.72
MI	C2 The MO provides innovative solutions for development challenges in the country	4.27	--	4.09	4.44	0.74	--	0.69	0.76
MI	C3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	4.32	--	4.08	4.56	0.83	--	0.66	0.92

Appendix VI Document review ratings, criteria and evidence by KPI and MI

PERFORMANCE AREA I – STRATEGIC MANAGEMENT

KPI1. The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
1.3 The MO promotes an organisation-wide policy on results management	An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) and/or management for development results (MfDR) in the organisation is corporately approved (alternatively, the approach to RBM/MfDR may be described in the context of a strategic plan and further operationalised through other documents).	Met	<p>ADB (2008), <i>ADB Action Plan on Managing for Development Results 2009–2011</i>, http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf.</p> <p>ADB (2011), <i>Driving Results at ADB</i>, http://www.adb.org/sites/default/files/driving-results-at-adb.pdf.</p> <p>ADB (2009), <i>Results Framework Quick Guide</i>, http://www.adb.org/sites/default/files/pub/2011/mfdr-results-framework.pdf.</p> <p>ADB (2008), <i>ADB Results Framework</i>, http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf.</p> <p>ADB (2012), <i>Results Framework Indicators Definition (Updated after Refinement conducted in 2010)</i>, http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf.</p> <p>ADB, <i>Development Effectiveness Reviews reports</i> (2006 to 2012), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	The MO has guidelines on RBM/MfDR, either in hard copies or online.	Met	<p>ADB (2008), <i>ADB Action Plan on Managing for Development Results 2009–2011</i>, http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf.</p> <p>ADB (2011), <i>Driving Results at ADB</i> (brochure), http://www.adb.org/sites/default/files/driving-results-at-adb.pdf.</p> <p>ADB (2009), <i>Results Framework Quick Guide</i>, http://www.adb.org/sites/default/files/pub/2011/mfdr-results-framework.pdf.</p> <p>ADB (2010), <i>Preparing a Design and Monitoring Framework – Country and Sector Level</i>, http://www.adb.org/sites/default/files/pub/2010/preparing-results-frameworks.pdf.</p> <p>ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i>, http://www.adb.org/sites/default/files/Strategy2020-print.pdf.</p>
	The MO provides opportunities for capacity building of staff on RBM/MfDR.	Met	<p>ADB (2012), <i>Independent Evaluation of MfDR - "Managing for Development Results: Relevance, Responsiveness and Results Orientation"</i>, http://www.adb.org/sites/default/files/pub/2012/managing-for-development-results.pdf.</p> <p>ADB (2011), <i>Special Evaluation Study on MfDR</i>, http://www.adb.org/sites/default/files/ses-mfdr.pdf.</p> <p>ADB (2011), <i>Management Response to the Special Evaluation Study on MfDR</i>, http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf.</p>
	There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO reviews its policy on RBM/MfDR to ensure its adequate implementation.	Met	<p>ADB (2012), <i>Independent Evaluation of MfDR - "Managing for Development Results: Relevance, Responsiveness and Results Orientation"</i>, http://www.adb.org/sites/default/files/pub/2012/managing-for-development-results.pdf.</p> <p>ADB (2011), <i>Special Evaluation Study on MfDR</i>, http://www.adb.org/sites/default/files/ses-mfdr.pdf.</p> <p>ADB (2011), <i>Management Response to the Special Evaluation Study on MfDR</i>, http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf.</p> <p>ADB (2011), <i>Learning Lessons: Managing for Development Results in ADB</i>, http://www.adb.org/sites/default/files/lessons-mfdr.pdf.</p> <p>ADB (2007), <i>Special Evaluation Study - Managing for Development Results in ADB: a Preliminary Assessment</i>, http://www.adb.org/sites/default/files/SST-REG-2007-32.pdf.</p> <p>ADB (2008), <i>Management Response to the Special Evaluation Study on Managing for Development Results in ADB: A preliminary Assessment</i>, http://www.adb.org/sites/default/files/MR-SES-MFDR.pdf.</p> <p>ADB (2007), <i>Independent Evaluation of MfDR - Managing for Development Results in ADB: A Preliminary Assessment</i>, http://www.adb.org/sites/default/files/SST-REG-2007-32.pdf.</p> <p>ADB (2012), <i>Review of the ADB Results Framework: Concept Paper</i>, http://www.adb.org/sites/default/files/rf-review-concept-paper.pdf.</p> <p>ADB (2010), <i>Refinements to ADB's Results Framework</i>, http://www.adb.org/sites/default/files/pub/2010/Refinements-Results-Framework.pdf.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	There is evidence that the MO holds its partners/clients accountable for results-based management (e.g. proposal and report formats require results-based formulations).	Not met	Ibid.
Overall Score MI 1.3		Strong (5)	

KPI 2. The MO's corporate strategies and plans are focused on the achievement of results

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
2.1 The MO's organisation wide strategy is based on a clear definition of the mandate.	The necessary periodic revisions of the MO mandate are made so it has continuing relevance.	Met	ADB (2012), <i>Agreement Establishing the Asian Development Bank (ADB charter)</i> , http://www.adb.org/sites/default/files/pub/1965/charter.pdf . ADB (2012), <i>By Laws of the ADB</i> : http://www.adb.org/sites/default/files/pub/1966/adb_by_laws.pdf .
	The organisational strategic plan articulates goals & focus priorities.	Met	ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i> , http://www.adb.org/sites/default/files/Strategy2020-print.pdf .
	The organisational strategic plan gives a clear indication of how the MO will implement the mandate in a certain period.	Met	ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i> , http://www.adb.org/sites/default/files/Strategy2020-print.pdf . ADB (1996), <i>Agreement Establishing the Asian Development Bank (ADB charter)</i> , http://www.adb.org/sites/default/files/pub/1965/charter.pdf . ADB (n.d.), <i>By Laws of the ADB</i> , http://www.adb.org/sites/default/files/pub/1966/adb_by_laws.pdf .
	(If criteria two and three are met) there is an implicit link, between these goals and focus priorities to the organisation's	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	mandate/articles of agreement.		
	If criteria two and three are met) there is an explicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	Met	Ibid.
Overall Score MI 2.1		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
3.1 Organisation wide plans and strategies contain frameworks of expected management and development results	A corporate 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	<p>ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i>, http://www.adb.org/sites/default/files/Strategy2020-print.pdf.</p> <p>ADB (2008), <i>ADB Results Framework</i>, http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf.</p> <p>ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf.</p> <p>ADB (2013), <i>ADB Results Framework 2013-2016: Quick Guide</i>, http://www.adb.org/sites/default/files/results-framework.pdf.</p> <p>ADB (2012), <i>Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf.</p> <p>ADB (2008), <i>ADB Action Plan on Managing for Development Results 2009–2011</i>, http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf.</p> <p>ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i>, http://www.adb.org/sites/default/files/defr-2012-paper.pdf.</p> <p>ADB (2013), <i>Chair's Summary: Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/secm7-13.pdf.</p> <p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>, http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i> , http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf . Other Development Effectiveness Reviews Reports, http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications .
	A 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 (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf . ADB (2013), <i>ADB Results Framework 2013-2016: Quick Guide</i> , http://www.adb.org/sites/default/files/results-framework.pdf . ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> , http://www.adb.org/sites/default/files/defr-2012-paper.pdf .
	(If either first or second criterion met) at least one results framework (MRF or DRF) contains both statements of outputs and expected outcomes.	Met	ADB (2013), <i>ADB Results Framework 2013-2016: Quick Guide</i> , http://www.adb.org/sites/default/files/results-framework.pdf . ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> , http://www.adb.org/sites/default/files/defr-2012-paper.pdf .
	If third criterion met) in the same results framework as #3, 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	Ibid.
	(If most above criteria met) all above criteria are met for both MRF	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	and DRF. Note: Management results and development results may be presented together in one framework. This combined framework will be assessed according to the above criteria.		
Overall Score MI 3.1		Strong (5)	Overall comments: The assessment of this MI was based on the analysis of the results framework (RF) approved by the Bank's Board of Directors in January 2013. Strictly adhering to the criteria, the Bank would receive a rating of "very strong". However although acknowledging the tremendous efforts made to improve and refine its RF, ADB was rated "strong" given that it would be premature to consider the recently approved RF as "best practice". At the time of the assessment, the 2013 RF had not been tested and the Bank had not started reporting on it yet.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
3.2 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	<p>ADB (2008), <i>ADB Results Framework</i>, http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf.</p> <p>ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf.</p> <p>ADB (2013), <i>ADB Results Framework 2013-2016: Quick Guide</i>, http://www.adb.org/sites/default/files/results-framework.pdf.</p> <p>ADB (2012), <i>Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf.</p> <p>ADB (2008), <i>ADB Action Plan on Managing for Development Results 2009–2011</i>, http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf.</p> <p>ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i>, http://www.adb.org/sites/default/files/defr-2012-paper.pdf.</p> <p>ADB (2013), <i>Chair's Summary: Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/secm7-13.pdf.</p> <p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>,</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf . ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i> , http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf .
	(If first criterion is met) there is either an implicit or explicit description in the MRF/DRF (or in the strategic plan) of the results chain – that is, how the outputs in the results framework(s) are linked to the expected outcomes.	Met	Ibid.
	In the MRF/DRF, there is a clear and logical progression from outcomes to impact.	Not met	Ibid.
	(If first three criteria are met) there is either an implicit or explicit description in the MRF/DRF of the results chain at the level of outputs and outcomes.	met	Ibid.
	(If first four criteria are met) there is a clear and logical progression from outcomes to impact in the DRF/MRF.	Not met	Ibid.
Overall Score MI 3.2		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
3.3 Standard performance indicators are included in organisation-wide plans and strategies at a delivery (output) and development results level	A development results framework exists at the organisation-wide level and contains adequate performance indicators at the outcome level and output level.	Met	<p>ADB (2008), <i>ADB Results Framework</i>, http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf.</p> <p>ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf.</p> <p>ADB (2013), <i>ADB Results Framework 2013-2016: Quick Guide</i>, http://www.adb.org/sites/default/files/results-framework.pdf.</p> <p>ADB (2012), <i>Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf.</p> <p>ADB (2008), <i>ADB Action Plan on Managing for Development Results 2009–2011</i>, http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf.</p> <p>ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i>, http://www.adb.org/sites/default/files/defr-2012-paper.pdf.</p> <p>ADB (2013), <i>Chair's Summary: Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/secm7-13.pdf.</p> <p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>, http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf.</p> <p>ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i>, http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf.</p>
	In the DRF, more than half of the performance indicators are relevant to the results they are associated with in the framework(s).	Met	Ibid.
	In the DRF, more than half of the performance indicators are clear (i.e. it is clear what is to be measured).	Met	Ibid.
	In the DRF, more than half of all	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	indicators (most likely at the outcome level) include targets with clear dates for achievement.		
	(All above criteria met) in both an MRF and DRF. Note: If the MO's results framework does not include indicators at output and outcome levels, an assessment of the quality of the outputs and outcomes will be made to determine if the MO should be rated higher than 'inadequate'.	Not met	Ibid.
Overall Score MI 3.3		Strong (5)	

KPI 4. The MO maintains focus on the cross-cutting priorities identified in its strategic framework, and/or based on its mandate and international commitments

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.1. Gender equality	The organisation has developed a policy or strategic framework on the mainstreaming of gender.	Met	<p>ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i>, http://www.adb.org/sites/default/files/Strategy2020-print.pdf.</p> <p>ADB (2003), <i>Policy on Gender and Development</i>, http://www.adb.org/sites/default/files/pub/2003/gender-policy.pdf</p> <p>ADB (2007), <i>2008-2010 Gender and Development (GAD) Plan of Action</i>, (http://www.adb.org/sites/default/files/pub/2007/IN291-02.pdf).</p> <p>ADB (2007), <i>2011-2012 GAD Plan of Action Implementation Matrix</i>, http://www.adb.org/sites/default/files/pub/2007/IN291-02.pdf#page=25.</p> <p>ADB (2010), <i>Operations Manual - C2: Gender and Development in ADB Operations</i>,</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/sites/default/files/OM-C2.pdf . ADB (2013), <i>Gender Equality and Women's Empowerment Operational Plan, 2013-2020</i> , http://www.adb.org/sites/default/files/gender-operational-plan.pdf .
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of gender.	Met	ADB (2006), <i>Gender, Law and Policy in ADB Operation: a Tool Kit</i> , http://www.adb.org/sites/default/files/pub/2006/glp-toolkit.pdf . ADB (2010), <i>Operations Manual - C2: Gender and Development in ADB Operations</i> , http://www.adb.org/sites/default/files/OM-C2.pdf . ADB (2012), <i>Guidelines for Gender Mainstreaming Categories of ADB Projects</i> , http://www.adb.org/sites/default/files/guidelines-gender-mainstreaming-categories-adb-projects.pdf . ADB (2008), <i>Gender Checklist Series/toolkits</i> (energy, health, education, agriculture, resettlement, water supply and sanitation, urban development and housing, public sector management, http://www.adb.org/publications/series/gender-checklists?ref=themes/gender/publications . ADB, <i>Development Effectiveness Reviews</i> (2006 to 2011), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications .
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	Met	ADB (2008), <i>Sharing the Purse Strings: Budgeting for Gender Equality</i> , http://www.adb.org/themes/gender/activities/sharing-purse-string . ADB, <i>Development Effectiveness Reviews</i> (2006 to 2012), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications . ADB (2012), <i>Work Program and Budget Framework 2013-2015</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2013-2015_0.pdf . ADB (2011), <i>Work Program and Budget Framework 2012-2014</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf . ADB (2010), <i>Work Program and Budget Framework 2011-2013</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf .
	The organisation has functioning systems (organisational and programmatic) and relevant capacities (e.g. planning, human resources, budgeting, etc.) to	Met	ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> : http://www.adb.org/sites/default/files/defr-2012-paper.pdf ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2009), <i>ADB Action Plan on Managing for Development Results 2009-2011</i> , http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf . ADB (2012), <i>2008-2012 GAD Plan of Action: 2011 Performance Summary</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	ensure effective mainstreaming.		http://www.adb.org/sites/default/files/gad-plan-of-action-2011-ar.pdf . ADB (2011), <i>2008-2010 GAD Plan of Action: 2010 Annual Implementation Progress Report</i> , http://www.adb.org/sites/default/files/gad-plan-of-action-2010-ar.pdf . ADB (2010), <i>2008-2010 GAD Plan of Action: 2009 Annual Implementation Progress Report</i> , http://www.adb.org/sites/default/files/pub/2010/GAD-Plan-of-Action-2009-AR.pdf . ADB (2009), <i>Project Gender Action Plans: Lessons for Achieving Gender Equality and Poverty Reduction Results</i> , http://www.adb.org/sites/default/files/pub/2009/gender-briefing-note.pdf . ADB (2009), <i>2008-2010 GAD Plan of Action: 2008 Annual Implementation Progress Report</i> , http://www.adb.org/sites/default/files/pub/2010/GAD-Plan-of-Action-2009-AR.pdf . ADB (2006), <i>Implementation Review of the Policy on Gender and Development</i> , http://www.adb.org/sites/default/files/pub/2006/gender-and-development.pdf . ADB (2002), <i>Interim Progress Report on the Policy on Gender and Development</i> , http://www.adb.org/sites/default/files/pub/2002/in317_02.pdf .
	The organisation has defined accountability mechanisms, both programmatic and operational, to ensure monitoring and continuous improvement of mainstreaming efforts.	Met	ADB (2010), <i>Gender Equality Results in ADB projects</i> , http://www.adb.org/sites/default/files/pub/2010/ger-regional-synthesis.pdf . ADB (2012), <i>2008-2012 GAD Plan of Action: 2011 Performance Summary</i> , http://www.adb.org/sites/default/files/gad-plan-of-action-2011-ar.pdf . ADB (2011), <i>2008-2010 GAD Plan of Action: 2010 Annual Implementation Progress Report</i> , http://www.adb.org/sites/default/files/gad-plan-of-action-2010-ar.pdf . ADB (2010), <i>2008-2010 GAD Plan of Action: 2009 Annual Implementation Progress Report</i> , http://www.adb.org/sites/default/files/pub/2010/GAD-Plan-of-Action-2009-AR.pdf . ADB (2010), <i>Asian Development Bank's Support to Gender and Development – Phase II: Results from Country Case Studies</i> , http://www.oecd.org/derec/adb/47187902.pdf .
Overall Score MI 4.1		Strong (5)	Overall comments: strictly adhering to the criteria, the Bank would receive a rating of “very strong” for mainstreaming gender equality. However, the Bank was rated “strong” in light of the comments noted in the 2013-2020 Gender Operational Plan which highlighted room for improvement in: <ul style="list-style-type: none"> – ensuring better monitoring of gender results; – ensuring better integration of gender issues in country planning documents (i.e. country partnership strategies and project specific gender action plans); and – ensuring better disaggregation of gender data.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.2 Environment	The organisation has undertaken a situation analysis and planning related to the mainstreaming of environmental issues	Met	<p>ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i>, http://www.adb.org/sites/default/files/Strategy2020-print.pdf.</p> <p>ADB (2009), <i>Safeguard Policy Statement</i>, http://www.adb.org/sites/default/files/pub/2009/Safeguard-Policy-Statement-June2009.pdf.</p> <p>ADB (2002), <i>Environment Policy of the ADB</i>, http://www.adb.org/sites/default/files/environment_policy.pdf.</p> <p>ADB (2013), <i>Environment Operational Directions 2013-2020: Promoting Transitions to green Growth in Asia and the Pacific</i>, http://www.adb.org/sites/default/files/eod-2013-2020_0.pdf.</p> <p>ADB (2010), <i>Operations Manual for the Safeguard Policy Statement</i>, http://www.adb.org/sites/default/files/OMF01-4Mar2010.pdf.</p>
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of environmental issues.	Met	<p>ADB (2009), <i>Environment Program: Progress and Prospects</i>, http://www.adb.org/sites/default/files/pub/2009/environment-program-progress-prospects.pdf</p>
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	Met	<p>ADB (2012), <i>Budget of the ADB for 2013</i>, http://www.adb.org/sites/default/files/adb-budget-2013.pdf.</p> <p>ADB (2011), <i>Budget of the ADB for 2012</i>, http://www.adb.org/sites/default/files/2012-budget.pdf.</p> <p>ADB (2010), <i>Budget of the ADB for 2011</i>, http://www.adb.org/sites/default/files/pub/2010/2011-budget.pdf.</p> <p>ADB (2012), <i>Work Program and Budget Framework 2013-2015</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2013-2015_0.pdf.</p> <p>ADB (2011), <i>Work Program and Budget Framework 2012-2014</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf.</p> <p>ADB (2010), <i>Work Program and Budget Framework 2011-2013</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf.</p>
	The organisation has integrated institutional systems and associated capacities (e.g. policy, planning, human resources, budgeting, etc.) to ensure effective	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	mainstreaming.		
	The organisation has defined accountability mechanisms to ensure monitoring and continuous improvement of mainstreaming efforts (feedback loops).	Met	Development Effectiveness Reviews (2006 to 2011), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications . ADB (2013), <i>2012 Annual Report</i> , http://www.adb.org/documents/adb-annual-report-2012 . ADB (2012), <i>2011 Annual Report</i> , http://www.adb.org/sites/default/files/adb-ar2011-v1.pdf . ADB (2011), <i>2010 Annual Report</i> , http://www.adb.org/sites/default/files/adb-ar2010-v1.pdf .
Overall Score MI 4.2		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.3 Climate change	The organisation-wide strategic plan identifies climate change as a cross-cutting priority or a focus area.	Met	ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i> , http://www.adb.org/sites/default/files/Strategy2020-print.pdf . ADB (2010), <i>Addressing Climate Change in Asia and the Pacific: Priorities for Action</i> , http://www.adb.org/sites/default/files/pub/2010/in112-10.pdf . ADB (2010), <i>Focused Action: Priorities for Addressing Climate Change in Asia and the Pacific</i> , http://www.adb.org/sites/default/files/pub/2010/focused-action.pdf . ADB (2013), <i>Environment Operational Directions 2013-2020: Promoting Transitions to green Growth in Asia and the Pacific</i> , http://www.adb.org/sites/default/files/eod-2013-2020_0.pdf . ADB, Australian Aid (2013), <i>Economics of Reducing Greenhouse Gas Emissions in South Asia: Options and Costs</i> , http://www.adb.org/sites/default/files/pub/2013/economics-reducing-ghg-emissions-south-asia.pdf ADB (2013), South Asia Operational Knowledge Working Paper Series - <i>The Clean Development Mechanism: A Field Guide for Transport Projects</i> , http://www.adb.org/sites/default/files/pub/2013/saok-wp-16-clean-development-mechanism.pdf
	The organisation-wide strategic framework contains results statements	Met	ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> , http://www.adb.org/sites/default/files/defr-2012-paper.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	on climate change.		ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2010), <i>Results Framework Indicators Definition (2012 Updated after Refinement conducted in 2010)</i> , http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf . ADB (2010), <i>Addressing Climate Change in Asia and the Pacific: Priorities for Action</i> , http://www.adb.org/sites/default/files/pub/2010/in112-10.pdf .
	The organisation has policy, strategy, and guidance in place to support climate change activity, either as a sector or as a cross-cutting theme.	Met	ADB (2011), <i>Guidelines for Climate Proofing Investment in the Transport Sector: Road Infrastructure Projects</i> , http://www.adb.org/sites/default/files/guidelines-climate-proofing-roads.pdf . ADB (2012), <i>Guidelines for Climate Proofing Investment in Agriculture, Rural Development and Food Security</i> , http://www.adb.org/sites/default/files/guidelines-climate-proofing-investment.pdf . ADB (2013), <i>Building Resilience to Climate Change: Adaptation Technical Resources</i> , http://www.adb.org/sites/default/files/pub/2012/building-resilience-to-climate-change.pdf . ADB (2012), <i>Climate Risk and Adaptation in the Electric Power Sector</i> , http://www.adb.org/sites/default/files/pub/2012/climate-risks-adaptation-power-sector.pdf . ADB (2012), <i>Sector Briefing on Climate Change Impacts and Adaptation</i> (urban Development, water supply and sanitation, transport, health, energy and agriculture), http://www.adb.org/publications/series/climate-change-sector-briefs . ADB (2013), <i>Investing in Resilience: Ensuring a Disaster-Resistant Future</i> , http://www.adb.org/sites/default/files/pub/2013/investing-in-resilience.pdf . ADB (2013), <i>The Clean Development Mechanism: a Field guide for Transport Projects</i> , http://www.adb.org/sites/default/files/pub/2013/saok-wp-16-clean-development-mechanism.pdf .
	There is evidence (in the portfolio) that the MO supports climate change.	Met	ADB (2012), <i>Budget of the ADB for 2013</i> , http://www.adb.org/sites/default/files/adb-budget-2013.pdf . ADB (2011), <i>Budget of the ADB for 2012</i> , http://www.adb.org/sites/default/files/2012-budget.pdf . ADB (2010), <i>Budget of the ADB for 2011</i> , http://www.adb.org/sites/default/files/pub/2010/2011-budget.pdf . ADB (2012), <i>Work Program and Budget Framework 2013-2015</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2013-2015_0.pdf . ADB (2011), <i>Work Program and Budget Framework 2012-2014</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf . ADB (2010), <i>Work Program and Budget Framework 2011-2013</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf . ADB (2013), <i>2012 Annual Report</i> , http://www.adb.org/documents/adb-annual-report-2012 . ADB (2012), <i>2011 Annual Report</i> , http://www.adb.org/sites/default/files/adb-ar2011-v1.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			ADB (2011), <i>2010 Annual Report</i> , http://www.adb.org/sites/default/files/adb-ar2010-v1.pdf .
	<p>(If criterion 3 is met) An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to climate change.</p> <p>Note: 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 deficient in this area then the rating should be inadequate.</p> <p>Note: Reviewers must indicate when there is evidence of the MO commitment to address climate change in its financial resource allocation (i.e. when budgets indicate that money is being allocated to climate change). They</p>	Not met	<p>Development Effectiveness Reviews (2006 to 2012) http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications.</p> <p>ADB (2010), <i>Addressing Climate Change in Asia and the Pacific: Priorities for Action</i>, http://www.adb.org/sites/default/files/pub/2010/in112-10.pdf.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	should also note the percentage of the MO's portfolio going to climate change. This information will be used in the report.		
Overall Score MI 4.3		Adequate (4)	Overall comments: Strictly adhering to the criteria, the Bank would receive a rating of “strong” for placing focus on climate change. However the Bank was rated adequate based on the lack of a recent review of the climate change strategy (criterion 5) and the need for “better measurement of climate change” highlighted in the 2012 Review of the Bank Results Framework. That being said, the review also takes note of the initiatives recently undertaken by the Bank (in collaboration with other IFIs) to address this issue (e.g. monitoring of climate change financing). It moreover notes additional steps taken by the Bank to increase monitoring of results in this area such as, the recent inclusion of performance indicators on climate change in the 2013 results framework, as well as the review of the climate change strategy which was underway at the time of this assessment.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.4 Private sector development	The organisation-wide strategic plan identifies private sector development as a cross-cutting priority or a focus area.	Met	ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i> , http://www.adb.org/sites/default/files/Strategy2020-print.pdf .
	The organisation-wide strategic framework or another policy/strategy document contains results statements on private sector development.	Met	ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> , http://www.adb.org/sites/default/files/defr-2012-paper.pdf . ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2010), <i>Refinements to ADB's Results Framework</i> , http://www.adb.org/sites/default/files/pub/2010/Refinements-Results-Framework.pdf . ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			ADB (2006), <i>Private Sector Development: a Revised Framework</i> , http://www.adb.org/sites/default/files/pub/2006/PSD-strategic-framework-2006.pdf .
	The organisation has policy, strategy, and guidance in place to support private sector development activity, either as a sector or as a cross-cutting theme.	Met	ADB (2000), <i>Private Sector Development Strategy</i> , http://www.adb.org/sites/default/files/pub/2000/private.pdf . ADB (2006), <i>Private Sector Development: a Revised Framework</i> , http://www.adb.org/documents/private-sector-development-revised-strategic-framework . ADB (2001), <i>Private Sector Operations: Strategic Directions and Review</i> , http://www.adb.org/sites/default/files/pub/2001/Strategic_Directions.pdf . ADB (n.d.), <i>Private Sector Operations: Innovation, Impact, Integrity</i> , http://www.adb.org/sites/default/files/pub/2012/psod-brochure.pdf . ADB (2012), <i>Public–Private Partnership Operational Plan 2012-2020 - Realizing the Vision for Strategy 2020: The Transformational Role of Public–Private Partnerships in Asian Development Bank Operations</i> , http://www.adb.org/sites/default/files/ppp-operational-plan-2012-2020.pdf . ADB (2008), <i>Public–Private Partnership Handbook (PPP)</i> , http://www.adb.org/documents/public-private-partnership-ppp-handbook .
	There is evidence (in the portfolio) that the MO supports private sector development.	Met	ADB (2013), <i>2012 Annual Report</i> , http://www.adb.org/documents/adb-annual-report-2012 ADB (2012), <i>2011 Annual Report</i> , http://www.adb.org/sites/default/files/adb-ar2011-v1.pdf . ADB (2011), <i>2010 Annual Report</i> , http://www.adb.org/sites/default/files/adb-ar2010-v1.pdf . ADB (2012), <i>Budget of the ADB for 2013</i> , http://www.adb.org/sites/default/files/adb-budget-2013.pdf . ADB (2011), <i>Budget of the ADB for 2012</i> , http://www.adb.org/sites/default/files/2012-budget.pdf . ADB (2010), <i>Budget of the ADB for 2011</i> , http://www.adb.org/sites/default/files/pub/2010/2011-budget.pdf . ADB (2008), <i>Work Program and Budget Framework 2013-2015</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2013-2015_0.pdf . ADB (2008), <i>Work Program and Budget Framework 2012-2014</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf . ADB (2008), <i>Work Program and Budget Framework 2011-2013</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf .
	An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to promoting private	Met	ADB (2012), <i>2011 DEfR Private Sector Operations</i> , http://www.adb.org/sites/default/files/defr-2011-psod.pdf . ADB (2011), <i>2010 DEfR Private Sector Operations</i> , http://www.adb.org/sites/default/files/defr-2010-psod.pdf . ADB (2010), <i>2009 DEfR Private Sector Operations</i> , http://www.adb.org/sites/default/files/pub/2010/DEfR-PSO.pdf . ADB (2011), <i>Private Sector Development Initiatives (PSDI), 2011 progress Report</i> , http://www.adb.org/sites/default/files/psdi-progress-report-2011.pdf . ADB (2011), <i>Private Sector Development Initiatives: 2010 progress Report</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	<p>sector development.</p> <p>Note: 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 deficient in this area then the rating should be inadequate.</p> <p>Note: Reviewers must indicate when there is evidence of the MO commitment to private sector development in its financial resource allocation (i.e. when budgets indicate that money is being allocated to private sector development). They should also note the percentage of the MO's portfolio going to private sector development. This information will be used in the report.</p>		<p>http://www.adb.org/sites/default/files/psdi-progress-report-2010.pdf.</p> <p>ADB (2010), <i>Private Sector Development Initiatives: 2009 progress Report</i>, http://www.adb.org/sites/default/files/pub/2010/PSDI-Progress-Report-2009.pdf.</p> <p>ADB (2009), <i>Private Sector Development Initiatives: 2008 progress Report</i>, http://www.adb.org/sites/default/files/pub/2009/progress-report.pdf.</p> <p>ADB (2012), <i>Special Evaluation Study on ADB Private Sector Operation: Contributions to Inclusive and Environmentally Sustainable Growth</i>, http://www.adb.org/documents/special-evaluation-study-adb-private-sector-operations-contributions-inclusive-and-environ.</p>
Overall Score MI 4.4		Strong (5)	Overall comments: ADB was rated “strong” in lieu of “very strong” due to the findings of the 2011 development

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			effectiveness report on PSO. The 2011 DEfR on private sector operations indicates that there remains room for improvement in terms of assessing the Bank's performance in this area. The report indicates that there are currently two mechanisms in place through which the Bank's support to PSOD can be assessed (i.e. via project ratings in XARRS and ratings from project validation reports). Findings emanating from both performance assessment systems do not always concur. The 2011 DEfR on PSOD highlights the need for the Bank to ensure harmony/alignment between both performance assessment approaches.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.5 Good Governance	The organisation-wide strategic plan identifies good governance as a cross-cutting priority or focus area.	Met	ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i> , http://www.adb.org/sites/default/files/Strategy2020-print.pdf .
	(If the first criterion is met) the organisation has defined results related to good governance principles either in the organisation-wide strategic plan or in a separate policy document.	Met	ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> , http://www.adb.org/sites/default/files/defr-2012-paper.pdf . ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf . ADB (2012), <i>2011 Development Effectiveness Review Private Sector Operations</i> , http://www.adb.org/sites/default/files/defr-2011-psod.pdf . ADB (2008), <i>Second Governance and Anti-corruption Action Plan</i> (GACAP), http://www.adb.org/sites/default/files/pub/2006/GACAP-II.pdf .
	The organisation has a separate policy or strategy that describes how it promotes good governance in its programming.	Met	ADB (1995), <i>ADB Policy on Governance: Governance- Sound Development and Management</i> (1995), http://www.adb.org/sites/default/files/pub/1995/govpolicy.pdf . ADB (1998), <i>ADB Anticorruption Policy</i> : http://www.adb.org/sites/default/files/pub/1998/anticorruption.pdf . ADB (2006), <i>2006 Second Governance and Anti-corruption Action Plan</i> (GACAP), http://www.adb.org/sites/default/files/pub/2006/GACAP-II.pdf . ADB (2009), <i>Risk-Based Governance Assessment: An Approach to Assist in Mainstreaming Governance</i> (2009): <i>An Approach to Assist in Mainstreaming Governance</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/sites/default/files/pub/2009/GovernanceBrief18.pdf . ADB (2008), <i>Diagnostics to Assist Preparation of Governance Risk Assessments</i> , http://www2.adb.org/documents/books/Diagnostics-to-Assist-Preparation-of-GRAs/Diagnostics-to-Assist-Preparation-GRAs.pdf .
	There is evidence that the organisation supports good governance activities through the allocation of resources (financial, human, etc.) as part of its programming (in reports to the Board, evaluations, etc.)	Met	ADB (2008), <i>Guidelines for Implementing GACAP II</i> , http://www.adb.org/sites/default/files/pub/2008/GACAP-II-Guidelines.pdf . ADB (2011), <i>Revised Guidelines for implementing GACAP II</i> , http://www.adb.org/sites/default/files/revised-gacap-ii-guidelines.pdf . ADB (2010), <i>Operations Manual -C4: Governance</i> , http://www.adb.org/sites/default/files/OMC04.pdf . ADB (2012), <i>Operations Manual - Accountability Mechanism</i> , http://www.adb.org/sites/default/files/OML1.pdf . ADB (2013), 2012 Annual Report, http://www.adb.org/documents/adb-annual-report-2012 . ADB (2012), 2011 Annual Report, http://www.adb.org/sites/default/files/adb-ar2011-v1.pdf . ADB (2011), 2010 Annual Report, http://www.adb.org/sites/default/files/adb-ar2010-v1.pdf . ADB (2012), <i>Budget of the ADB for 2011</i> , http://www.adb.org/sites/default/files/adb-budget-2013.pdf . ADB (2011), <i>Budget of the ADB for 2012</i> , http://www.adb.org/sites/default/files/2012-budget.pdf . ADB (2010), <i>Budget of the ADB for 2011</i> , http://www.adb.org/sites/default/files/pub/2010/2011-budget.pdf . ADB (2012), <i>Work Program and Budget Framework 2013-2015</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2013-2015_0.pdf . ADB (2011), <i>Work Program and Budget Framework 2012-2014</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf . ADB (2010), <i>Work Program and Budget Framework 2011-2013</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf .
	An organisation-wide evaluation or review has been undertaken that documents progress in implementing the commitment to promoting good governance. Note: If the review or evaluation notes that there are still several	Met	ADB (2011), <i>Progress on GACAP II</i> , http://www.adb.org/sites/default/files/kra-gacap2.pdf . <i>Development Effectiveness Reviews</i> (2006 to 2012), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications . ADB (2010), <i>Independent Review of the ADB Accountability Mechanism</i> , http://www.adb.org/sites/default/files/Independent-Review-Accountability-Mechanism_0.pdf . ADB (2011). <i>Special Evaluation Study: ADB Support for Promoting Good Governance in Pacific Developing Member Countries</i> , http://www.adb.org/sites/default/files/in52-12.pdf . ADB (2012), <i>Learning Lessons: Supporting Good Governance in the Pacific</i> , http://www.adb.org/sites/default/files/pub/2012/LL-governance-pdmcs.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	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 deficient in this area then the rating should be inadequate.		
Overall Score MI 4.5		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.6 Regional cooperation and integration	The organisation-wide strategic plan identifies regional cooperation and integration as a cross-cutting priority or a focus area.	Met	ADB (2008), <i>Strategy 2020 – the Long-Term Strategic Framework of the Asian Development Bank</i> , http://www.adb.org/sites/default/files/Strategy2020-print.pdf .
	The organisation-wide strategic framework contains results statements on regional cooperation and integration.	Met	ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf . ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i> , http://www.adb.org/sites/default/files/defr-2012-paper.pdf . ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2010), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf .
	The organisation has policy, strategy,	Met	ADB (2006), <i>Regional Cooperation and Integration Strategy</i> , http://www.adb.org/sites/default/files/pub/2006/Final-RCI-Strategy-Paper.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	and guidance in place to support regional cooperation and integration activity, either as a sector or as a cross-cutting theme.		<p>ADB (2010), <i>Operations Manual - Regional Cooperation and Integration</i>, http://www.adb.org/sites/default/files/OMB01.pdf.</p> <p>ADB (2011), <i>South Asia: Regional Cooperation Strategy (2011-2015)</i>, http://www.adb.org/documents/south-asia-regional-cooperation-strategy-2011-2015.</p> <p>ADB (2008), <i>South Asia: Regional Cooperation Operations Business Plan (2013-2015)</i>, http://www.adb.org/sites/default/files/rcobp-south-asia-2013.pdf.</p> <p>ADB (2008), <i>The Greater Mekong Subregion Economic Cooperation Program Strategic Framework (2012-2022)</i>, http://www.adb.org/sites/default/files/gms-ec-framework-2012-2022.pdf.</p> <p>ADB (2008), <i>Greater Mekong Subregion: Regional Cooperation Operations Business Plan (2013-2014)</i>, http://www.adb.org/sites/default/files/rcobp-gms-2013-2014.pdf.</p> <p>ADB (2011), <i>Pacific: Regional Cooperation Strategy (2011-2015)</i>, http://www.adb.org/documents/south-asia-regional-cooperation-strategy-2011-2015</p> <p>ADB (2008), <i>South Asia: Regional Cooperation Operations Business Plan (2013-2015)</i>, http://www.adb.org/sites/default/files/robp-pacific-2013-2015.pdf.</p>
	There is evidence (in the portfolio) that the MO supports regional cooperation and integration.	Met	<p>ADB (2013), <i>2012 Annual Report</i>, http://www.adb.org/documents/adb-annual-report-2012.</p> <p>ADB (2012), <i>2011 Annual Report</i>, http://www.adb.org/sites/default/files/adb-ar2011-v1.pdf.</p> <p>ADB (2011), <i>2010 Annual Report</i>, http://www.adb.org/sites/default/files/adb-ar2010-v1.pdf.</p> <p>ADB (2012), <i>Budget of the ADB for 2013</i>, http://www.adb.org/sites/default/files/adb-budget-2013.pdf.</p> <p>ADB (2011), <i>Budget of the ADB for 2012</i>, http://www.adb.org/sites/default/files/2012-budget.pdf.</p> <p>ADB (2010), <i>Budget of the ADB for 2011</i>, http://www.adb.org/sites/default/files/pub/2010/2011-budget.pdf.</p> <p>ADB (2012), <i>Work Program and Budget Framework 2013-2015</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2013-2015_0.pdf.</p> <p>ADB (2011), <i>Work Program and Budget Framework 2012-2014</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf.</p> <p>ADB (2010), <i>Work Program and Budget Framework 2011-2013</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf.</p>
	(If criterion 3 is met) An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to	Not met	<p><i>Development Effectiveness Reviews (2006 to 2012)</i>, http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	<p>regional cooperation and integration.</p> <p>Note: 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 deficient in this area then the rating should be inadequate.</p> <p>Note: Reviewers must indicate when there is evidence of the MO commitment to regional cooperation and integration in its financial resource allocation (i.e. when budgets indicate that money is being allocated to regional cooperation and integration). They should also note the percentage of the MO's portfolio going to regional economic integration. This</p>		

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	information will be used in the report.		
Overall Score MI 4.6		Strong(5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
4.7 Human Rights	There are policies in place that enable the respect of human rights of project/program beneficiaries (including safeguard requirements).	Met	<p>ADB (2003), <i>Policy on Gender and Development</i>, http://www.adb.org/sites/default/files/pub/2003/gender-policy.pdf.</p> <p>ADB (2002), <i>Education Policy</i>, http://www.adb.org/sites/default/files/education-policy.pdf.</p> <p>ADB (2001), <i>Water for All: the Water Policy of the Asian Development Bank</i>, http://www.adb.org/sites/default/files/pub/2003/water-policy.pdf.</p> <p>ADB (2013), <i>ADB Accountability Mechanism: Annual Report 2012</i>, http://www.adb.org/sites/default/files/adb-accountability-mechanism-annual-report-2012.pdf.</p> <p>ADB (n.d.), <i>Problem Solving Function – An OPSF Case Study: A Primer on the Office of the Special project Facilitator</i>, http://www.adb.org/sites/default/files/pub/2012/primer-ospf-case-study.pdf.</p> <p>ADB (2012), <i>2012 Accountability Mechanism Policy</i> (effective starting 24 May 2012), http://www.adb.org/sites/default/files/accountability-mechanism-policy-2012.pdf.</p> <p>ADB (2003), <i>2003 Accountability Mechanism Policy</i> (effective until 23 May 2012), http://www.adb.org/sites/default/files/pub/2003/ADB_accountability_mechanism.pdf.</p> <p>ADB (2011), <i>2011 Public Communications Policy of the ADB: Disclosure and Exchange of Information</i> (effective starting 1 April 2012), http://www.adb.org/sites/default/files/pcp-2011.pdf.</p> <p>ADB (2005), <i>2005 Public Communications Policy of the ADB: Disclosure and Exchange of Information</i> (effective until 1 April 2012), http://www.adb.org/sites/default/files/PCP-R-Paper.pdf.</p> <p>ADB (2012), <i>ADB Operations Manual on the Accountability Mechanism Policy</i>: http://compliance.adb.org/dir0035p.nsf/attachments/operations-manual-bank-policy-2012.pdf/\$FILE/operations-manual-bank-policy-2012.pdf.</p> <p>ADB (2012), <i>Environment Safeguards: a Good Practice Sourcebook</i> (2012 Draft Working Document), http://www.adb.org/documents/environment-safeguards-good-practice-sourcebook.</p> <p>ADB (2012), <i>Involuntary Resettlement Safeguards: a Planning and Implementation Good Practice Sourcebook</i> (2012 Draft), http://www.adb.org/sites/default/files/ir-good-practices-sourcebook-draft.pdf.</p> <p>ADB (2012), <i>Indigenous Peoples Safeguards: a Planning and Implementation Good Practice Sourcebook</i> (2012 Draft), http://www.adb.org/sites/default/files/ip-good-practices-sourcebook-draft.pdf.</p> <p>ADB (2010), <i>Operational Manual Bank Policies – Safeguard Policy Statements</i>,</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/sites/default/files/OMF01-4Mar2010.pdf . ADB (2009), <i>Safeguard Policy Statement</i> , http://www.adb.org/documents/safeguard-policy-statement . ADB, <i>Country Safeguards Systems</i> , http://www.adb.org/site/safeguards/country-safeguard-systems .
	There is evidence that the MO staff are provided with guidelines and training to enhance knowledge on existing policies.	Met	ADB (1998), <i>Handbook on Resettlement: A Guide to Good Practice</i> , http://www.adb.org/sites/default/files/pub/1998/Handbook_on_Resettlement.pdf . ADB (2012), <i>Country Safeguard Systems Regional Workshop Proceedings: Towards Common Approaches and Better Results</i> , http://www.adb.org/sites/default/files/pub/2012/country-safeguard-systems-workshop.pdf . ADB (2011), <i>Capacity Building for Grievance Redress Mechanisms</i> , http://www.adb.org/sites/default/files/pub/2011/building-capacity-grievance-redress-mechanisms.pdf . ADB (2010), <i>Designing and Implementing Grievance Redress Mechanisms: A Guide for Implementors of Transport Projects in Sri Lanka</i> (2010), http://www.adb.org/sites/default/files/grievance-redress-mechanisms.pdf . ADB (2008), <i>Grievance Redressal Processes in Urban Service Delivery: How Effective Are They?</i> , http://www.adb.org/sites/default/files/pub/2008/GovernanceBrief17.pdf . ADB (2011), <i>Grievance Mechanisms: A Critical Component of Project Management</i> , http://www.adb.org/sites/default/files/pub/2011/grievance-mechanisms-critical-component.pdf . ADB (2012), <i>Country Safeguard Systems Regional Workshop Proceedings: Towards Common Approaches and Better Results</i> , http://www.adb.org/sites/default/files/pub/2012/country-safeguard-systems-workshop.pdf . ADB (2013), <i>Problem Solving Function</i> , http://www.adb.org/site/accountability-mechanism/problem-solving-function . ADB (2013), <i>Compliance Review Function (CRF)</i> , http://www.adb.org/site/accountability-mechanism/problem-solving-function . ADB (2013), <i>Compliance Review Panel</i> , http://compliance.adb.org/dir0035p.nsf/alldocs/BDAO-7XG526?OpenDocument ADB (2013), <i>Initial Poverty and social assessments</i> , http://www.adb.org/projects/documents/search/25452 . ADB (2013), <i>TA reports</i> : http://www.adb.org/projects/documents/search/25458 . ADB (2013), <i>Environmental assessments and measures</i> , http://www.adb.org/projects/documents/search/25445 . ADB (2013), <i>Resettlement planning documents (plans & frameworks)</i> , http://www.adb.org/projects/documents/search/25446 . ADB (2013), <i>Indigenous Peoples planning documents (plans & frameworks)</i> , http://www.adb.org/projects/documents/search/36331 .
	There is evidence that the MO conducts and uses stakeholder	Met	ADB (2012), <i>Consultation Phase of the ADB Accountability Mechanism: Office of the Special Project Facilitator: Annual Report 2011</i> , http://www.adb.org/sites/default/files/ospf-ar-2011.pdf . ADB (2011), <i>Consultation Phase of the ADB Accountability Mechanism: Listening to Communities Affected by ADB-Assisted Projects: Annual Report 2010</i> , http://www.adb.org/sites/default/files/pub/2011/ospf-annual-report-

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	feedback/consultation mechanisms to periodically update its policies.		2010.pdf. ADB (2010), <i>Consultation Phase of the ADB Accountability Mechanism: Listening to Communities Affected by ADB-Assisted Projects: Annual Report 2009</i> , http://www.adb.org/sites/default/files/pub/2010/OSPF-annual-report-2009.pdf . ADB (2009), <i>Consultation Phase of the ADB Accountability Mechanism: Listening to Communities Affected by ADB-Assisted Projects: Annual Report 2008</i> , http://www.adb.org/sites/default/files/pub/2009/report.pdf .
	There is evidence of application of the policies in different stages of a project cycle (identification, monitoring, and completion)	Met	ADB (2010), <i>Annual Reports of the Office of the Special Project Facilitator (OSPF)</i> , http://www.adb.org/site/accountability-mechanism/problem-solving-function/publications . ADB (2012), <i>2011 Annual Reports of the Compliance Review Panel</i> , http://www.adb.org/sites/default/files/crp-annual-report-2011.pdf . All other Annual Reports of the Compliance Review Panel (2004-2011), http://www.adb.org/publications/series/compliance-review-panel-annual-reports .
	There is evidence that mechanism to ensure accountability for such policies exist.	Met	<i>Accountability Mechanism Review</i> , http://www.adb.org/site/accountability-mechanism/policy-review . ADB (2010), <i>Independent Review of the ADB Accountability Mechanism</i> , http://www2.adb.org/Documents/Policies/Accountability-Mechanism-Review/Independent-Review-Accountability-Mechanism.pdf . ADB (2006), <i>Asian Development Bank's Involuntary Resettlement Safeguards Project Case Studies in India</i> , http://www.oecd.org/derec/adb/47108353.pdf . ADB (2012), <i>ADB Improves Complaints Procedures</i> , http://www.adb.org/news/adb-improves-complaints-procedures?ref=site/accountability-mechanism/news .
Overall Score MI 4.7		Adequate (4)	Overall comment: The Bank has as a limited role with regard to supporting human rights, which is primarily around adopting human rights principles in some of its policy statements, ensuring that there is no harm done to project beneficiaries (by enforcing safeguards), and providing clear accountability mechanisms. We consider that as adequate given that the strategy approved by the Board of Directors does not call for a more proactive approach to human rights. The Bank's policy and approach to safeguards is in line with what has been expected of the MDBs.

KPI 5. MO's country strategy is results-focused

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
5.1 Results frameworks that link results at project,	At least half of the countries surveyed have strategies that include statements	Met	a. Indonesia ADB (2012), <i>Country Partnership Strategy: Indonesia 2012-2014</i> , http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014 .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
programme, sector, and country levels	of expected results articulated at output and outcome levels.		<p>Linked documents:</p> <p>ADB (2012), <i>Sector Assessment (Summary): Agriculture and Natural Resources</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-01.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Education</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-02.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Energy</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-03.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Transport</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-04.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Water Supply and Other Municipal Infrastructure and Services</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-05.pdf.</p> <p>All other Linked documents for the 2012-2014 CPS, http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014.</p> <p>b. Pakistan</p> <p>ADB (2009), <i>Country Partnership Strategy: Pakistan 2009-2013</i>, http://www.adb.org/sites/default/files/cps-pak-2009-2013.pdf.</p> <p>c. Viet Nam</p> <p>ADB (2012), <i>Country Partnership Strategy: Viet Nam 2012-2015 CPS</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-r.pdf.</p> <p>Linked documents:</p> <p>ADB (2012), <i>Sector Assessment (Summary): Education</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-01.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Energy</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-01.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Finance</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-03.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Transport</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-04.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Water Supply and Other Municipal Infrastructure and Services</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-05.pdf.</p> <p>All other Linked documents: http://www.adb.org/documents/viet-nam-country-partnership-strategy-2012-2015.</p> <p>Other:</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			<p>ADB (2013), <i>Operations Manual - A2: Country Partnership Strategy</i>, http://www.adb.org/sites/default/files/OM-A2.pdf.</p> <p>ADB (2010), <i>Preparing Results Frameworks and Monitoring Results: Country and Sector Levels</i>, http://www.adb.org/sites/default/files/pub/2010/preparing-results-frameworks.pdf.</p> <p>ADB (2007), <i>Guidelines for preparing a Design and Monitoring Framework</i>, http://www.adb.org/sites/default/files/pub/2007/guidelines-preparing-dmf.pdf.</p> <p>ADB (2009), <i>Country Partnership Strategy: Responding to the New Aid Architecture, Report of the Country Partnership Strategy Working Group</i>, http://www2.adb.org/Documents/Reports/cps-responding-to-the-new-aid-architecture.pdf.</p>
	(If first criterion met) in more than half of the country strategies, almost 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	<p>a. Indonesia</p> <p>ADB (2012), <i>Country Partnership Strategy: Indonesia 2012-2014</i>, http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014.</p> <p>b. Pakistan</p> <p>ADB (2009), <i>Country Partnership Strategy: Pakistan 2009-2013</i>, http://www.adb.org/sites/default/files/cps-pak-2009-2013.pdf.</p> <p>c. Viet Nam</p> <p>ADB (2012), <i>Country Partnership Strategy: Viet Nam 2012-2015 CPS</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-r.pdf.</p>
	(If first criterion is met) more than half of the country strategies sampled explicitly link expected results of the MO's projects/programmes and/or initiatives to the MO's expected results at country level.	Met	Ibid.
	(If first criterion is met) at least two of the country strategies sampled	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	explicitly link expected results of the MO's sector strategies to the MO's expected results at country level.		
	(If all above criteria are met) all of the above criteria are met for all country strategies sampled.	Not met	Ibid.
Overall Score MI 5.1		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
5.2 Frameworks include indicators at project, programme, sector, and country levels	All of the country strategies sampled have the following characteristics: A set of performance indicators with data sources and data collection methods.	Not met	<p>a. Indonesia</p> <p>ADB (2012), <i>Country Partnership Strategy: Indonesia 2012-2014</i>, http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014.</p> <p>Linked documents:</p> <p>ADB (2012), <i>Sector Assessment (Summary): Agriculture and Natural Resources</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-01.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Education</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-02.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Energy</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-03.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Transport</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-04.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Water Supply and Other Municipal Infrastructure and Services</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ssa-05.pdf.</p> <p>All other Linked documents for the 2012-2014 CPS: http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014.</p> <p>b. Pakistan</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			<p>ADB (2009), <i>Country Partnership Strategy: Pakistan 2009-2013</i>, http://www.adb.org/sites/default/files/cps-pak-2009-2013.pdf.</p> <p>c. Viet Nam</p> <p>ADB (2012), <i>Country Partnership Strategy: Viet Nam 2012-2015 CPS</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-r.pdf.</p> <p>Linked documents:</p> <p>ADB (2012), <i>Sector Assessment (Summary): Education</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-01.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Energy</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-01.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Finance</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-03.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Transport</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-04.pdf.</p> <p>ADB (2012), <i>Sector Assessment (Summary): Water Supply and Other Municipal Infrastructure and Services</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ssa-05.pdf.</p> <p>All other Linked documents:</p> <p>http://www.adb.org/documents/viet-nam-country-partnership-strategy-2012-2015.</p>
	More than half of the performance indicators are adequate (i.e. provide a sufficient basis to assess performance).	Met	Ibid.
	More than half of the performance indicators are relevant to the results they are associated with in the country strategies.	Met	Ibid.
	More than half of the	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	performance indicators are clear (i.e. it is clear what is to be measured).		
	More than half of the performance indicators are monitorable (i.e. they have targets set for them and these targets are timebound).	Met	Ibid.
Overall Score MI 5.2		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
5.3 Statements of expected results are consistent with those in the PRSP or national plan.	At least half of the country strategies sampled contain statements of expected results.	Met	a. Indonesia ADB (2012), <i>Country Partnership Strategy: Indonesia 2012-2014</i> , http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014 . b. Pakistan ADB (2009), <i>Country Partnership Strategy: Pakistan 2009-2013</i> , http://www.adb.org/sites/default/files/cps-pak-2009-2013.pdf . c. Viet Nam ADB (2012), <i>Country Partnership Strategy: Viet Nam 2012-2015 CPS</i> , http://www.adb.org/sites/default/files/cps-vie-2012-2015-r.pdf .
	At least half of the country strategies contain reference to the country's national development strategies (e.g., PRSP) as applicable.	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	(If first two criteria are met) in at least half of the cases, the link between the MO's expected results and those identified in the national development strategies (e.g., PRSP) is <i>implicit</i>	Met	Ibid.
	(If all above criteria are met) at least half of the country strategies <i>explicitly</i> demonstrate how the MO's expected results are consistent with those in the national development strategies (e.g., PRSP)	Met	Ibid.
	(If all above criteria are met) all above criteria are met for all country strategies sampled.	Met	Ibid.
Overall Score MI 5.3		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
5.5 Results for cross-cutting thematic priorities are included in	More than half of the country strategies sampled identify (at least briefly mention)	Met	a. Indonesia ADB (2012), <i>Country Partnership Strategy: Indonesia 2012-2014</i> , http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014 .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
country level results frameworks - gender equality, environment, climate change (as appropriate).	at least two of the organisationally relevant cross-cutting themes (the same ones assessed in KPI 4).		<p>Linked documents: ADB (2012), <i>Gender Analysis (Summary)</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ga.pdf. ADB (2012), <i>Environment Assessment (Summary)</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-ena.pdf. ADB (2012), <i>Private Sector Assessment (Summary)</i>, http://www.adb.org/sites/default/files/cps-ino-2012-2014-psa.pdf. All other linked documents for the 2012-2014 CPS: http://www.adb.org/documents/indonesia-country-partnership-strategy-2012-2014.</p> <p>b. Pakistan ADB (2009), <i>Country Partnership Strategy: Pakistan 2009-2013</i>, http://www.adb.org/sites/default/files/cps-pak-2009-2013.pdf.</p> <p>c. Viet Nam ADB (2012), <i>Country Partnership Strategy: Viet Nam 2012-2015 CPS</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-r.pdf. Linked documents: ADB (2012), <i>Gender Analysis (Summary)</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ga.pdf. ADB (2012), <i>Environment Assessment (Summary)</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-ena.pdf. ADB (2012), <i>Private Sector Assessment (Summary)</i>, http://www.adb.org/sites/default/files/cps-vie-2012-2015-psa.pdf. All other linked documents for the 2012-2015 CPS: http://www.adb.org/documents/viet-nam-country-partnership-strategy-2012-2015.</p> <p>Other: ADB (2010), <i>Gender Equality Results in ADB projects: Indonesia Country Report</i>, http://www.adb.org/sites/default/files/pub/2010/gender-equality-results-ino.pdf. ADB (2010), <i>Gender Equality Results in ADB projects: Viet Nam Country Report</i>, http://www.adb.org/sites/default/files/pub/2010/gender-equality-results-vie.pdf. ADB (2005), <i>Gender Equality Results in ADB projects: Pakistan Country Report</i>, http://www.adb.org/sites/default/files/pub/2005/ger-pakistan.pdf.</p>
	More than half of the	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	country strategies sampled identify (at least briefly mention) all of the key cross-cutting themes for the organisation being assessed.		
	(If first criterion is met) more than half of country strategies sampled identify results that integrate at least two of the issues / themes, as relevant.	Met	Ibid.
	(If first criterion is met) more than half of country strategies sampled provide evidence of strategies and approaches to address or apply the cross cutting issue / theme	Met	Ibid.
	(If first criterion is met) all country strategies sampled meet criteria 2-4.	Not Met	Ibid.
Overall Score MI 5.5		Strong (5)	

Performance area II – Operational Management

KPI 6. The MO makes transparent and predictable aid allocation decisions

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
6.1 The MO's criteria for allocating funding are publicly available.	A policy for the allocation of resources to country programmes exists.	Met	ADB (October 2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources . ADB (September 2007), <i>Revising the Framework for Asian Development Fund Grants</i> , http://www.adb.org/documents/revising-framework-asian-development-fund-grants . ADB other operational policies and strategies, http://www.adb.org/about/other-operational-policies-and-strategies .
	The policy is reviewed on at least a 5-year cycle.	Met	ADB (February 2001), <i>Policy on Performance-Based Allocation for Asian Development Fund Resources</i> , http://www.adb.org/documents/policy-performance-based-allocation-asian-development-fund-resources . ADB (November 2004), <i>Review of the ADB's Policy on the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/review-asian-development-banks-policy-performance-based-allocation-asian-development-fund- ADB (October 2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources . ADB (September 2007), <i>Revising the Framework for Asian Development Fund Grants</i> , http://www.adb.org/documents/revising-framework-asian-development-fund-grants .
	There is evidence of the application of this policy.	Met	ADB (April 2012), <i>Annual Report on the 2011 Country Performance Assessment Exercise</i> , http://www.adb.org/documents/annual-report-2011-country-performance-assessment-exercise?ref=site/funds/publications .
	The policy is available on the agency's public website.	Met	ADB (February 2001), <i>Policy on Performance-Based Allocation for Asian Development Fund Resources</i> , http://www.adb.org/documents/policy-performance-based-allocation-asian-development-fund-resources?ref=site/funds/publications . ADB (November 2004), <i>Review of the ADB's Policy on the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/review-asian-development-banks-policy-performance-based-allocation-asian-development-fund-?ref=site/funds/publications . ADB (2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources?ref=site/funds/publications .
	The policy is available in more than one of the Bank's official languages.	Not met	ADB (October 2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources?ref=site/adf/publications . ADB (November 2004), <i>Review of the ADB's Policy on the Performance-Based Allocation of Asian Development Fund Resources</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/documents/review-asian-development-banks-policy-performance-based-allocation-asian-development-fund-?ref=site/adf/publications . ADB (February 2001), <i>Policy on Performance-Based Allocation for Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources?ref=site/adf/publications .
Overall Score MI 6.1		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
6.3 Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to improve predictability and delivery of funding.	-	OECD (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i> , www.oecd.org/dac/effectiveness/48742718.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments . ADB (April 2010), <i>Asian Development Bank's Progress on Aid Effectiveness: 2010 Update</i> , http://www.adb.org/documents/asian-development-banks-progress-aid-effectiveness-2010-update . ADB (May 2011), <i>Evaluation of the Paris Declaration: Final Report</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2011.pdf .
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to the predictability and delivery of funding.	Met	
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts	-	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	to improve predictability and delivery of funding.		
Overall Score MI 6.3		Adequate	

KPI 7. The MO engages in results-based budgeting

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
7.1 Aid budget allocations (or lending) are linked to results	In the most recent annual or multi-year organisation-wide budget, budget is presented in a results-oriented way.	Met	ADB (November 2010), <i>Budget of the Asian Development Bank for 2011</i> , http://www.adb.org/documents/budget-asian-development-bank-2011 . ADB (November 2011), <i>Budget of the Asian Development Bank for 2012</i> , http://www.adb.org/documents/budget-asian-development-bank-2012 . ADB (November 2012), <i>Budget of the Asian Development Bank for 2013</i> , http://www.adb.org/documents/budget-asian-development-bank-2013 . ADB (2010), <i>Work Program and Budget Framework, 2011-2013</i> , http://www.adb.org/documents/work-program-and-budget-framework-2011-2013 . ADB (2012), <i>Work Program and Budget Framework, 2013-2015</i> , http://www.adb.org/documents/work-program-and-budget-framework-2013-2015 .
	In the administrative budget, the organisation provides information on the costs (personnel, non-personnel) associated with the products and services it delivers to clients.	N/A	ADB (November 2010), <i>Budget of the Asian Development Bank for 2011</i> , http://www.adb.org/documents/budget-asian-development-bank-2011 . ADB (November 2011), <i>Budget of the Asian Development Bank for 2012</i> , http://www.adb.org/documents/budget-asian-development-bank-2012 . ADB (November 2012), <i>Budget of the Asian Development Bank for 2013</i> , http://www.adb.org/documents/budget-asian-development-bank-2013 .
	In its operational budget, the organisation provides cost of the results at the lowest level of results in its development results framework.	Met ²⁹	
	Both administrative	Met ³⁰	

²⁹ Based on the review of country level documents (e.g. project documents CPS and sector strategies –i.e.the sequence of documents that links development results to costs)

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	and operational budgets provide costing for results (products and services; outputs and outcomes)		
	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 its desired administrative development results.	Not met	
Overall Score MI 7.1		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
7.2 Expenditures are linked to results	The most recent annual reports shows financial disbursements aligned with achieved results (i.e., the report shows how much was spent to achieve each result).	Not met	ADB (2013), <i>Annual Report 2012: Volume 1 and 2</i> , http://www.adb.org/documents/adb-annual-report-2012 . ADB (2012), <i>Annual Report 2011: Volume 1 and 2</i> , http://www.adb.org/documents/budget-asian-development-bank-2013 .
	In the most recent	Met	Ibid.

³⁰ This takes into account that outputs associated with lending are costed through a different set processes that begin at project level, and are the most important with regard to the link to development results. Thus greater weight given to the operational budget processes.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	annual reports, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan.		
	In the most recent annual reports, variances in operational expenditure and results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are reported.	Not met	Ibid.
	(If the third criterion is met) In the most recent annual reports, variances in operational expenditure and in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are explained.	Not met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	In the documents consulted, there is evidence of consistent improvement over time in the degree of alignment between operational expenditures and results achievement.	Met	Ibid.
Overall Score MI 7.2		Inadequate (3)	

KPI 8. The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.1 External financial audits (meeting recognized international standards) are performed across the organisation.	Annual organisation-wide reports on financial performance exist.	Met	ADB (2013), <i>Annual Report 2012: Volume 1 and 2</i> , http://www.adb.org/documents/adb-annual-report-2012 . ADB (2012), <i>Annual Report 2011: Volume 2 Financial Report</i> , http://www.adb.org/documents/budget-asian-development-bank-2013 . ADB (2011), <i>Annual Report 2010: Volume 2 Financial Report</i> , http://www.adb.org/documents/adb-annual-report-2010 .
	(If first criterion is met) the most recent annual financial report reviewed is accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level.	Met	Ibid.
	(If first two criteria are met) the letter	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent).		
	(If first criterion is met) <i>all</i> annual financial reports reviewed are accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level.	Met	Ibid.
	(If criterion 4 is met) in <i>all</i> 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). Note: if no letter from an external auditor is available, other evidence of	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	external financial audits undertaken at organisation-wide level is admissible.		
Overall Score MI 8.1		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.2 External financial audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	The documents available provide evidence that audits are performed at regional, country, or project levels (as appropriate)	Met	ADB (2003), <i>Operations Manual</i> , http://www.adb.org/documents/operations-manual . ADB (January 2009), <i>Project Administration Instructions 5.09: Administering Grant-Financed Technical Assistance Projects</i> http://www.adb.org/documents/project-administration-instructions .
	There are established rules/procedures for the conduct of audits in the organisation.	Met	ADB (2003), <i>Operations Manual</i> . http://www.adb.org/documents/operations-manual . ADB (2005), <i>Financial Management and Analysis of Projects</i> . http://www.adb.org/documents/financial-management-and-analysis-projects . ADB (2006), <i>Handbook for Borrowers on the Financial Management and Analysis of Projects</i> . http://www.adb.org/documents/handbook-borrowers-financial-management-and-analysis-projects .
	The rules/procedures ensure ample audit coverage of the organisation's programmes and operations.	Met	ADB (2003), <i>Operations Manual</i> . http://www.adb.org/documents/operations-manual .
	The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the	Met	ADB (2003), <i>Operations Manual</i> . http://www.adb.org/documents/operations-manual .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	MO will be using national audit systems and procedures.		
	External financial audit reports at country/project/regional level are made available to the public by the MO.	Not met	ADB (2011). <i>Review of the Public Communication Policy of the Asian Development Bank: Disclosure and Exchange of Information</i> , http://www.adb.org/site/disclosure/public-communications-policy/faq .
Overall Score MI 8.2		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.3 The MO has a policy on anti-corruption	Guidelines, policy or a framework on anti-corruption are corporately approved (in other words, not in drafts form).	Met	<p>ADB (November 2012), <i>Budget of the Asian Development Bank for 2013</i>, http://www.adb.org/documents/budget-asian-development-bank-2013.</p> <p>ADB (2012), <i>Integrity Principles and Guidelines</i>, http://www.adb.org/site/integrity/main.</p> <p>ADB, <i>Anticorruption Policy, approved 2 July 1998, as clarified by Board Paper R185-04</i>, http://www.adb.org/documents/anticorruption-and-integrity-policies-and-strategies.</p> <p>ADB, <i>Anticorruption Policy: Proposed Clarifications and Related Changes to Consulting and Procurement Guidelines, approved 11 November 2004, and Board Paper R179-06</i></p> <p>ADB (September 2006), <i>Anticorruption Policy: Harmonized Definitions of Corrupt and Fraudulent Practices</i>, http://www.adb.org/Documents/Policies/Anticorruption/definitions-update.pdf.</p> <p>ADB (2008), <i>Guidelines for Implementing ADB's Second Governance and Anticorruption Action Plan</i>, http://www.adb.org/documents/guidelines-implementing-adbs-second-governance-and-anticorruption-action-plan-gacap-ii.</p> <p>ADB (2003), <i>Enhancing the Asian Development Bank's Role in Combating Money Laundering and the Financing of Terrorism</i>, http://www.adb.org/documents/enhancing-asian-development-banks-role-combating-money-laundering-and-financing-terrorism.</p> <p>ADB (2011), <i>Frequently asked questions on anticorruption and integrity: A guide for ADB staff</i>, http://www.adb.org/documents/frequently-asked-questions-anticorruption-and-integrity.</p> <p>ADB (2010), <i>Governance and Anticorruption in Project Design: Office of the General Counsel Guide</i>, http://www.adb.org/documents/governance-and-anticorruption-project-design-office-general-counsel-guide.</p> <p>ADB (2013), <i>Office of Anticorruption and Integrity, 2012 Annual Report</i>, http://www.adb.org/documents/report-president-office-anticorruption-and-integrity-annual-report-2012</p> <p>ADB (2012), <i>Office of Anticorruption and Integrity, 2011 Annual Report</i>, http://www.adb.org/documents/report-president-office-anticorruption-and-integrity-annual-report-2011</p> <p>AfDB, ADB, EBRD et. al. (2010), <i>Agreement for Mutual Enforcement of Debarment Decisions</i>, http://www.adb.org/sites/default/files/cross-debarment-agreement.pdf</p>
	(If first criterion is met) the document includes operational policy measures which pro-actively support solutions to counter corruption at the local level (e.g.	Met	<p>ADB (2008), <i>Guidelines for Implementing ADB's Second Governance and Anticorruption Action Plan</i>, http://www.adb.org/documents/guidelines-implementing-adbs-second-governance-and-anticorruption-action-plan-gacap-ii.</p> <p>ADB (2010), <i>Governance and Anticorruption in Project Design</i>, http://www.adb.org/documents/governance-and-anticorruption-project-design-office-general-counsel-guide.</p> <p>ADB (2008), <i>Office of the Auditor General Integrity Division, 2007 Annual Report</i>, http://www.adb.org/documents/office-auditor-general-integrity-division-2007-annual-report.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	training, incentive and reward structures for staff, complaint and advocacy mechanisms, whistle blowing mechanisms, etc.).		
	(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	ADB, <i>Anticorruption Policy</i> , approved 2 July 1998, as clarified by Board Paper R185-04, http://www.adb.org/documents/anticorruption-and-integrity-policies-and-strategies
	(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.	Met	ADB (2012), <i>Integrity Principles and Guidelines</i> , http://www.adb.org/site/integrity/main . ADB, <i>Anticorruption Policy</i> , approved 2 July 1998, as clarified by Board Paper R185-04, http://www.adb.org/documents/anticorruption-and-integrity-policies-and-strategies .
	(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	Met	ADB (2012), <i>Integrity Principles and Guidelines</i> , http://www.adb.org/site/integrity/main . ADB, <i>Anticorruption Policy</i> , approved 2 July 1998, as clarified by Board Paper R185-04, http://www.adb.org/documents/anticorruption-and-integrity-policies-and-strategies . ADB (n.d.), <i>Anticorruption Policy: Proposed Clarifications and Related Changes to Consulting and Procurement Guidelines</i> , approved 11 November 2004, and Board Paper R179-06. ADB (September 2006), <i>Anticorruption Policy: Harmonized Definitions of Corrupt and Fraudulent Practices</i> http://www.adb.org/Documents/Policies/Anticorruption/definitions-update.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	organisation has reviewed its policy and/or practice in this area.		ADB (2011), <i>Code of Conduct</i> . http://www.adb.org/documents/code-conduct .
	OR, if the first criterion is NOT met: At least one policy on anti-corruption exists at the country, regional or other level (it could also be a policy on fraud, which is one type of corruption).		
	(If the sixth criterion met) at least one policy meets criteria 2 through 5, above.		
Overall Score MI 8.3		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.4 Systems are in place for immediate measures against irregularities identified at the country (or other) level	There is a policy on financial audit that refers to measures to be taken against irregularities.	Met	ADB (June 2012), <i>Project Administration Instructions 5.07: Financial Reporting and Auditing of Loan and/or Grant Financed Projects</i> , http://www.adb.org/documents/project-administration-instructions . ADB (August 2005), <i>Project Administration Instructions 4.04: Loan Closing Dates</i> , http://www.adb.org/documents/project-administration-instructions . ADB (2006), <i>Handbook for Borrowers on the Financial Management and Analysis of Projects</i> , http://www.fecc.moa.gov.cn/zcfg/201110/W020111008554165246692.pdf . ADB (June 2013), <i>Review of Audited Financial Statements and Audited Project Financial Statement Checklists</i> . ADB (June 2013), <i>Financial Management Technical Guidance Note: Project Financial Reporting and Auditing</i> .
	Management	Not met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	guidelines or rules support the policy and describe the procedure for a response to irregularities identified during an external financial audit.		
	(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).	Not met	Ibid.
	There is evidence (in audit reports to the Board or other documents) that audit recommendations are in fact followed up by management.	Met	ADB (2012), <i>Annual Report of the Audit Committee of the Board 2011-2012</i> , http://www.adb.org/sites/default/files/secm53-12.pdf . ADB (2011), <i>Annual Report of the Audit Committee of the Board 2010-2011</i> , http://www.adb.org/sites/default/files/SecM68-11.pdf . ADB (2010), <i>Annual Report of the Audit Committee of the Board 2009-2010</i> , http://www.adb.org/sites/default/files/pub/2010/SecM59-10.pdf .
	Major or systemic irregularities are reported to the board/governing body, as appropriate.	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
Overall Score MI 8.4		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.5 Internal financial audit processes are used to provide management / governing bodies with credible information	<i>There is evidence of practice of internal financial audits in the organisation.</i>	Met	ADB (2003), <i>ADB Operations Manual</i> , http://www2.adb.org/Documents/Manuals/Operations/om51.asp . ADB (2008), <i>Office of the Auditor General, Integrity Division 2007 Annual Report</i> , http://www.adb.org/documents/office-auditor-general-integrity-division-2007-annual-report . ADB (2012), <i>Annual Report of the Audit Committee of the Board 2011-2012</i> , http://www.adb.org/documents/annual-report-audit-committee-board-2011-2012 .
	(If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved.	Met	ADB (2012), <i>Annual Report of the Audit Committee of the Board 2011-2012</i> . http://www.adb.org/documents/annual-report-audit-committee-board-2011-2012 .
	(If first criterion is met) there is evidence in these documents that the internal audit function is separate from the programming areas, enabling it to provide an “independent” audit opinion. The key is that internal auditors are not influenced by the programs they are auditing.	Met	ADB (2012), <i>The Office of the Auditor General: A Trusted Advisor, enabling good corporate governance</i> . ADB (20 March 2013), <i>Organizational Chart</i> , http://www.adb.org/contacts/management-senior-staff#oag .
	There is evidence in these documents	Met	ADB (2003), <i>Operations Manual</i> , http://www2.adb.org/Documents/Manuals/Operations/om51.asp .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	that the internal audit function reports directly to the Executive Board, thus providing maximum assurance of its independence from programming.		ADB (20 March 2013), <i>Organizational Chart</i> , http://www.adb.org/contacts/management-senior-staff#oag . ADB (2010), <i>Terms of reference of the Audit Committee</i> , http://www.adb.org/documents/terms-reference-audit-committee .
	Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information.	Met	ADB (2012), <i>Annual Report of the Audit Committee of the Board 2011-2012</i> , http://www.adb.org/documents/annual-report-audit-committee-board-2011-2012 .
Overall Score MI 8.5		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.6 The MO's procurement and contract management processes for the provision of services or goods are effective.	There is one or more organisation-wide policy, guideline or instructions on procurement and contract management processes.	Met	ADB (2006), <i>Operation Manual: Project Administration J.3 Procurement</i> , http://www.adb.org/documents/operations-manual . ADB (2002), <i>Project Administration Instructions 3.01 Preparatory Work and Procurement Supervision</i> , http://www.adb.org/documents/project-administration-instructions . ADB (2012), <i>Project Administration Instructions 3.11 Functions and Rules of the Procurement Committee</i> , http://www.adb.org/documents/project-administration-instructions . ADB (2010), <i>Procurement Guidelines</i> , http://www.adb.org/documents/procurement-guidelines .
	(If the first criterion has been met) This/these document(s) explicitly sets targets or requirements for timeliness of delivery of products and	Not met	ADB (2010), <i>Procurement Guidelines</i> , http://www.adb.org/documents/procurement-guidelines . ADB (2012), <i>Annual Report 2011: Volume 1</i> , http://www.adb.org/documents/adb-annual-report-2011 . ADB (2013), <i>ADB Procurement Governance Review</i> , http://www.adb.org/documents/adb-procurement-governance-review .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	services.		
	(If the first criterion is met) This/these document(s) establish requirements to ensure quality, efficiency and effectiveness of these products and services.	Not met	ADB (2006), <i>Operation Manual: Project Administration J.3 Procurement</i> , http://www.adb.org/documents/operations-manual . ADB (2013), <i>ADB Procurement Governance Review</i> , http://www.adb.org/documents/adb-procurement-governance-review .
	An audit, evaluation or other review has been undertaken, at the country, regional or organisation-wide level, which examined the timeliness, efficiency and/or effectiveness of the MO's procurement and contract management processes, and found that these are in general satisfactory or better.	Met	ADB (2013), <i>ADB Procurement Governance Review</i> , http://www.adb.org/documents/adb-procurement-governance-review . ADB (2012), <i>Accountability Mechanism Policy</i> , http://www.adb.org/documents/chairs-summary-24-february-2012 . ADB (2002), <i>Project Administration Instructions 3.01 Preparatory Work and Procurement Supervision</i> , http://www.adb.org/documents/project-administration-instructions . ADB (2010), <i>Procurement Guidelines</i> , http://www.adb.org/documents/procurement-guidelines .
	There is other documentary evidence that the MO has functioning procurement and contract management systems in place.	Met	ADB (2013), <i>ADB Procurement Governance Review</i> , http://www.adb.org/documents/adb-procurement-governance-review . ADB, (2013), <i>Fighting Fraud and Corruption in ADB Projects</i> , http://www.adb.org/site/integrity/overview .
Overall Score MI 8.6		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
8.7 The MO has strategies in place for risk identification, mitigation, monitoring and reporting	An organisation-wide policy, strategy, framework or guidelines on risk management is corporately approved.	Met	ADB (2010), <i>Governance and Anticorruption in Project Design: Office of the General Counsel Guide</i> , http://www.adb.org/documents/governance-and-anticorruption-project-design-office-general-counsel-guide . Financial and Risk Management Policies, (http://www.adb.org/site/investors/credit-fundamentals/financial-and-risk-management-policies). ADB (2008), <i>Public Sector Governance and Risks: A Proposed Methodology to do Risk Assessments at the Program Level</i> , http://www.adb.org/publications/public-sector-governance-and-risks-proposed-methodology . ADB (2012), <i>Annual Report 2011: Volume 2</i> , http://www.adb.org/documents/adb-annual-report-2011 .
	(If first criterion is met) this document follows international standards on managing risk, including a description of roles and responsibilities of key actors.	Not met	ADB (2012), <i>Annual Report 2011: Volume 2</i> , http://www.adb.org/documents/adb-annual-report-2011 .
	(If first criterion is met) this document applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels.	Met	ADB (2012), <i>Annual Report 2011: Volume 2</i> , http://www.adb.org/documents/adb-annual-report-2011 . ADB (2004), <i>Disaster and Emergency Assistance Policy In Focus: Disaster Risk Management</i> , http://www.adb.org/publications/focus-disaster-risk-management?ref=themes/governance/publications ADB (2009), <i>Guidance Note: Electricity Sector Risk Assessment</i> , http://www.adb.org/documents/guidance-note-electricity-sector-risk-assessment . ADB (2009), <i>Guidance Note: Urban Water Supply Sector Risk Assessment</i> , http://www.adb.org/documents/guidance-note-urban-water-supply-sector-risk-assessment . ADB (2012), <i>Cambodia: Country Governance Risk Assessment and Risk Management Plan</i> , http://www.adb.org/documents/cambodia-country-governance-risk-assessment-and-risk-management-plan . ADB (2008), <i>Guidelines for Implementing ADB's Second Governance and Anticorruption Action Plan</i> , http://www.adb.org/documents/guidelines-implementing-adbs-second-governance-and-anticorruption-action-plan-gacap-ii . ADB (2013), <i>ADB Procurement Governance Review</i> , http://www.adb.org/documents/adb-procurement-governance-review .
	(If first criterion is met) major risk analysis (significant programs, projects,	Met	ADB (2013), <i>Financial and Risk Management Policies</i> , http://www.adb.org/site/investors/credit-fundamentals/financial-and-risk-management-policies . ADB (2012), <i>Annual Report of the Audit Committee of the Board 2011-2012</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	etc.) is presented to the Board.		http://www.adb.org/documents/annual-report-audit-committee-board-2011-2012 . ADB (2013), <i>ADB Procurement Governance Review</i> , http://www.adb.org/documents/adb-procurement-governance-review .
	(If first criterion is met) management and/or Board documents demonstrate utilization of risk management policy and procedures.	Met	ADB (2012), <i>Annual Report 2011: Volume 2</i> , http://www.adb.org/documents/adb-annual-report-2011 .
Overall Score MI 8.7		Strong (5)	

KPI 9. Performance information on results is used by the MO for:

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
9.1 Revising and adjusting policies	Information on organisation-wide performance (i.e., progress towards outcomes) is available, for instance in annual performance reports, or from an organisation-wide evaluation or audit.	Met	ADB (2012), <i>Development Effectiveness Review: 2011 Report</i> , http://www.adb.org/documents/development-effectiveness-review-2011-report . ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/documents/review-adb-results-framework .
	(If first criterion is met) there is evidence that the MO analyses/assesses its performance in a systematic manner and takes into	Met	ADB (2012), <i>Development Effectiveness Review: 2011 Report</i> , http://www.adb.org/documents/development-effectiveness-review-2011-report . ADB (2011), <i>Special Evaluation Study on Managing for Development Results</i> , http://www.adb.org/documents/special-evaluation-study-managing-development-results . ADB (2012), <i>2012 Annual Evaluation Review</i> , http://www.adb.org/documents/2012-annual-evaluation-review .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	account recommendations from organisation-wide audits, performance reports and/or evaluations.		
	(If the first two criteria are met) there is evidence that the MO takes steps to respond to the <i>specific</i> performance-related problems highlighted in audits, performance reports and/or evaluations.	Met	ADB (2011), <i>Development Effectiveness Review: 2010 Report</i> , http://www.adb.org/documents/development-effectiveness-review-2010-report . ADB (2013), <i>ADB Management Responses</i> , http://www.adb.org/documents/series/management-responses .
	(If the first two criteria are met) there is evidence that the MO revises and adjusts its <i>broad</i> programming and policies in response to performance issues raised in audits, performance reports and /or evaluations (problems and successes).	Met	ADB (2012), <i>Review of the ADB Results Framework</i> , http://www.adb.org/documents/review-adb-results-framework . ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i> , http://www.adb.org/sites/default/files/OMK1.pdf . ADB (2010), <i>2009 Annual Report on Acting on Recommendations</i> , http://www.adb.org/documents/2009-annual-report-acting-recommendations .
	(If criterion 4 is met) there is evidence that the MO <u>systematically evaluates</u> and audits its policies, procedures and	Met	ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i> , http://www.adb.org/sites/default/files/OMK1.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	practices so as to ensure continuous learning and improvement of processes and performance		
Overall Score MI 9.1		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
9.2 Planning new interventions	Information on the MO's performance in the country (i.e., progress towards outcomes) is available.	Met	ADB (2012), <i>Annual Report on the 2011 Country Performance Assessment Exercise</i> , http://www.adb.org/documents/annual-report-2011-country-performance-assessment-exercise . ADB (2010), <i>Country Operations Business Plan: Indonesia 2011-2013</i> , http://www.adb.org/documents/indonesia-country-operations-business-plan-2011-2013 . ADB (2013), <i>Country Operations Business Plan: Pakistan 2013-2014</i> , http://www.adb.org/documents/pakistan-country-operations-business-plan-2013-2014 . ADB (2011), <i>Country Operations Business Plan: Viet Nam 2012-2014</i> , http://www.adb.org/documents/viet-nam-country-operations-business-plan-2012-2014 .
	(If first criterion is met) for at least half of the countries, there is evidence of an analysis/assessment of performance (problems as well as successes).	Met	ADB (2012), <i>Development Effectiveness Brief Indonesia: Reforms for Resilient Growth</i> , http://www.adb.org/publications/indonesia-reforms-resilient-growth . ADB (2009), <i>Development Effectiveness Brief Pakistan: Making a Difference in the Fight Against Poverty</i> , http://www.adb.org/publications/pakistan-making-difference-fight-against-poverty . ADB (2011), <i>Development Effectiveness Brief Viet Nam: Southeast Asia's Rising Star Takes the Next Step in its National Development</i> , http://www.adb.org/publications/viet-nam-southeast-asias-rising-star-takes-next-step-its-national-development . ADB (2009), <i>Country Assistance Program Evaluation for the Socialist Republic of Viet Nam</i> , http://www.adb.org/documents/country-assistance-program-evaluation-socialist-republic-viet-nam-2009 . ADB (2010), <i>Revised Guidelines for the Preparation of Country Assistance Program Evaluations</i> , http://www.adb.org/documents/guidelines-preparation-country-assistance-program-evaluation-reports .
	(If second criterion is met) there is evidence of an	Met	ADB (2012), <i>Development Effectiveness Brief Indonesia: Reforms for Resilient Growth</i> , http://www.adb.org/publications/indonesia-reforms-resilient-growth .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	analysis 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 response to the performance information).		ADB (2009), <i>Development Effectiveness Brief Pakistan: Making a Difference in the Fight Against Poverty</i> , http://www.adb.org/publications/pakistan-making-difference-fight-against-poverty . ADB (2011), <i>Development Effectiveness Brief Viet Nam: Southeast Asia's Rising Star Takes the Next Step in its National Development</i> , http://www.adb.org/publications/viet-nam-southeast-asias-rising-star-takes-next-step-its-national-development . ADB (2010), <i>Revised Guidelines for the Preparation of Country Assistance Program Evaluations</i> , http://www.adb.org/documents/guidelines-preparation-country-assistance-program-evaluation-reports . ADB (2012), <i>Country Partnership Strategy: Viet Nam 2012-2015</i> , http://www.adb.org/documents/viet-nam-country-partnership-strategy-2012-2015 .
	(If all above criteria are met) for at least half of the countries, there is evidence from country strategies or reports that new interventions have been introduced in response to the performance information.	Met	ADB (2009), <i>Country Assistance Program Evaluation for the Socialist Republic of Viet Nam</i> , http://www.adb.org/documents/country-assistance-program-evaluation-socialist-republic-viet-nam-2009 . ADB (2007), <i>Country Assistance Program Evaluation for Pakistan</i> , http://www.adb.org/documents/country-assistance-program-evaluation-pakistan .
	(If all above criteria are met) all criteria met for all countries.	Met	
Overall Score MI 9.2		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
9.3 “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	If COMPAS data is available (for IFIs): Inadequate: COMPAS data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to improve performance management.	-	ADB (2010), <i>2009 COMPAS Report: Multilateral Development Bank's Common Performance Assessment System</i> , http://www.mfdr.org/Compas/index.html . ADB (2011), <i>2010 COMPAS Report: Multilateral Development Bank's Common Performance Assessment System</i> , http://www.mfdr.org/Compas/index.html . ADB (2012), <i>2011 COMPAS Report: Multilateral Development Bank's Common Performance Assessment System</i> , http://www.mfdr.org/Compas/index.html .
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to performance management.	Met	
	Strong: COMPAS data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to improve performance management.	-	
Overall Score MI 9.3		Adequate	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
9.4 Evaluation recommendations reported to the Executive Committee/ Board are acted upon by the responsible units	MO evaluation policy or guidelines exist and include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up of evaluations (accepting recommendations).	Met	ADB (2011), <i>Operations Manual Bank Policies: Independent Evaluation</i> , http://www.adb.org/documents/operations-manual . OECD (2010), <i>Evaluation in Development Agencies</i> , www.oecd.org/derec/adb/38043572.pdf . ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i> , http://www.adb.org/documents/review-independence-and-effectiveness-operations-evaluation-department . ADB (2003), <i>Enhancing the Independence and Effectiveness of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/enhancing-oed.pdf ADB (2008), Review of the Independence and Effectiveness of the Operations Evaluation Department , http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf
	MO evaluation policy outlines a process for tracking the implementation of accepted recommendations.	Met	ADB (2011), <i>Operations Manual Bank Policies: Independent Evaluation</i> , http://www.adb.org/documents/operations-manual . ADB (2010), <i>2009 Annual Report on Acting on Recommendations</i> , http://www.adb.org/documents/2009-annual-report-acting-recommendations .
	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	ADB (2010), <i>2009 Annual Report on Acting on Recommendations</i> , http://www.adb.org/documents/2009-annual-report-acting-recommendations . ADB (2011), <i>Operations Manual Bank Policies: Independent Evaluation</i> , http://www.adb.org/documents/operations-manual . ADB (2013), <i>ADB's Management's Responses to Evaluation Studies</i> , http://www.adb.org/documents/series/management-responses . OECD (2010), <i>Evaluation in Development Agencies</i> , www.oecd.org/derec/adb/38043572.pdf .
	There is evidence of periodic reports on the status of the	Met	ADB (2011), <i>Operations Manual Bank Policies: Independent Evaluation</i> , http://www.adb.org/documents/operations-manual .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	implementation of these evaluation recommendations accepted by management/ governing body.		ADB (2012), <i>Annual Evaluation Review 2012</i> , http://www.adb.org/documents/2012-annual-evaluation-review .
	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).	Met	ADB (2012), <i>Annual Evaluation Review 2012</i> , http://www.adb.org/documents/2012-annual-evaluation-review .
Overall Score MI 9.4		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
9.5 The MO allocates resources (concessional) to individual countries and projects based on performance.	The MO has a resource allocation system/policy that is publicly available that explains the way resources are allocated to countries.	Met	ADB (2012), <i>Annual Report on the 2011 Country Performance Assessment Exercise</i> , http://www.adb.org/documents/annual-report-2011-country-performance-assessment-exercise . ADB (2011), <i>Review of ADB's Policy-Based Lending</i> , http://www.adb.org/documents/review-adbs-policy-based-lending .
	The system/policy includes performance as one of the criteria, in addition to other considerations, including improvements over	Met	ADB (2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	time in different areas (governance, executing capacity, results, etc).		
	There is evidence that the system is applied.	Met	ADB (2012), <i>Annual Report on the 2011 Country Performance Assessment Exercise</i> , http://www.adb.org/documents/annual-report-2011-country-performance-assessment-exercise .
	There is a review procedure that helps to improve the policy.	Met	ADB (2004), <i>Review of the Asian Development Bank's Policy on the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/review-asian-development-banks-policy-performance-based-allocation-asian-development-fund- . ADB (2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources . ADB (2011), <i>Review of ADB's Policy-Based Lending</i> , http://www.adb.org/documents/review-adbs-policy-based-lending .
	(If previous criteria are met) over time, there is evidence that performance becomes an increasingly important criterion.	Met	ADB (2008), <i>Refining the Performance-Based Allocation of Asian Development Fund Resources</i> , http://www.adb.org/documents/refining-performance-based-allocation-asian-development-fund-resources .
Overall Score MI 9.5		Very Strong (6)	

KPI 10. The MO manages human resources using methods to improve organisational performance

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
10.1 Results-focused performance assessment systems are in place for all senior staff (Including	There is evidence in the documents reviewed that a system is in place that requires performance assessments for	Met	ADB (2010), <i>Our People Strategy. Skills and Passion to Improve Lives in Asia and the Pacific</i> , http://www.adb.org/publications/our-people-strategy-skills-and-passion-improve-lives-asia-and-pacific ADB (2009), <i>Human Resources Action Plan</i> . ADB (2012), <i>Memorandum: Performance Management: 2012 Performance Review</i> . (Internal document). ADB (December 2012), <i>Update on Our People Strategy Implementation</i> . (Internal document)

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
Vice presidents and Managing directors)	certain staff.		
	The evidence suggests that this applies to senior staff (e.g., president/CEO, vice presidents, sector/programme/division directors, country representatives, country directors) and/or that the MO has a specific performance assessment system for senior staff.	Not Met	ADB (2010), <i>Human Resources Function Strategic Paper and Action Plan</i> . ADB (2012), <i>Memorandum: Performance Management: 2012 Performance Review</i> . (Internal document).
	The system includes a description of the approach to creating performance assessments and the content of those assessments.	Met	ADB, <i>Performance review Reminders (Attachment 2)</i> (Internal document). ADB, <i>Annual Performance Review Form</i> . (Internal document).
	There is an explicit policy (HR or otherwise) that summarises all the aims and content of the performance assessment system for senior staff.	Not met	
	(If the first two criteria are met) There is evidence of compliance with the performance assessment system.	Met	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	In other words, there are management indicators that monitor the application of the performance assessment system, or there are other sources – newsletters, reports etc - that comment on how many senior staff go through this system every year.		
Overall Score MI 10.1		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
10.2 There is a transparent system to manage staff performance	There is evidence (either in a HR policy or through various documents) that the MO has a system for managing staff performance (see 9.1) that is operational.	Met	ADB (2010), <i>Human Resources Function Strategic Paper and Action Plan</i> . ADB (2012), <i>ADB Rewards and Recognition Program</i> .
	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	Met	ADB (2010), <i>Human Resources Function Strategic Paper and Action Plan</i> . ADB (2012), <i>ADB Rewards and Recognition Program</i> .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	set up a working group, is it reviewing its policy to better address this, is it seeking data from partner agencies or other organisations, etc).		
	There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next).	Met	ADB (2012), Memorandum: Performance Management: 2012 Performance Review. (Internal document). ADB, <i>Performance review Reminders</i> . (Internal document).
	There is an explicit mention of the relationship between staff performance and rewards.	Not met	ADB (2012), <i>ADB Rewards and Recognition Program</i> .
	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. Note: If the review is a recent one and comments quite negatively on the MO's HR systems - particularly in relation to the performance	Met	ADB (2012), <i>Asian Development Bank Staff Engagement Survey Results Summary</i> . (Internal document)

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	management system, transparency of the system, etc. - then the organisation should not be rated higher than adequate on this indicator.		
Overall Score MI 10.2		Strong (5)	

KPI 11. Country / regional programming processes are performance oriented.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
11.1 Prior to approval new initiatives are subject to benefits/impact analysis (economic, social, etc.)	There is a policy that requires impact/benefits analysis to be conducted prior to initiating new programmes/projects/initiatives.	Met	ADB (2005), <i>Financial Management and Analysis of Project</i> , http://www.adb.org/documents/financial-management-and-analysis-projects ADB (1997), <i>Guidelines for the Economic Analysis of Projects</i> , http://www.adb.org/documents/guidelines-economic-analysis-projects
	There are guidelines for staff on the types of analysis to be carried out.	Met	ADB (2005), <i>Financial Management and Analysis of Project</i> , http://www.adb.org/documents/financial-management-and-analysis-projects
	There is evidence that the MO's staff are informed about and trained on the guidelines.	Not met	
	There is evidence that the guidelines are implemented.	Met	ADB (2013), <i>Project Data Sheet: 37734-022: GMS Theun 2 Hydropower Development Project –Phase II</i> , http://www.adb.org/projects/37734-022/main ADB (2013), <i>Project Data Sheet: 43447-022: Preparation of the Agricultural Development Strategy</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/projects/43447-022/main ADB (2010), <i>Second Greater Mekong Subregion Regional Communicable Diseases Control Project: Project Administration Manual</i> , http://www.adb.org/projects/documents/second-greater-mekong-subregion-regional-communicable-diseases-control-project-rp
	There is evidence that benefits/impact analysis is used for decision-making in the sample of projects/initiatives reviewed.	Met	Select Reports and Recommendations of the President: ADB (2010), <i>Second Greater Mekong Subregion Regional Communicable Diseases Control Project</i> , http://www.adb.org/projects/documents/second-greater-mekong-subregion-regional-communicable-diseases-control-project-rp ADB (2010), <i>Metropolitan Sanitation Management and Health Project</i> , http://www.adb.org/projects/documents/metropolitan-sanitation-management-and-health-project-1 ADB (2011), <i>Flood Emergency Reconstruction Project</i> , http://www.adb.org/projects/documents/flood-emergency-reconstruction-project-rp
Overall Score MI 11.1		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
11.2 Milestones / targets are set to rate the progress of (project) implementation	At least three of the project implementation plans, country or other work plans sampled by country contain a description of milestones and/or targets for project/programme implementation.	Met	ADB (2010), <i>Second Greater Mekong Subregion Regional Communicable Diseases Control Project: Project Administration Manual</i> , http://www.adb.org/projects/documents/second-greater-mekong-subregion-regional-communicable-diseases-control-project-pr . ADB (2011), <i>Water Sector Investment Program (Project 1): Project Administration Manual</i> , http://www.adb.org/projects/documents/water-sector-investment-program-project-1-project-administration-manual . ADB (2012), <i>Skills Enhancement Project: Updated Project Administration Manual</i> , http://www.adb.org/projects/documents/skills-enhancement-project-updated-pam . ADB (2010), <i>Metropolitan Sanitation Management and Health Project: Project Administration Manual</i> , http://www.adb.org/projects/documents/metropolitan-sanitation-management-and-health-project-project-administration-manu . ADB (2011), <i>Regional Roads Development Project: Project Administration Manual</i> , http://www.adb.org/projects/documents/regional-roads-development-project-project-administration-manual . ADB (2012), <i>Polytechnic Education Development Project</i> http://www.adb.org/projects/documents/polytechnic-education-development-project-pam . ADB (2010), <i>Power Distribution Enhancement Investment Program</i> , http://www.adb.org/projects/documents/power-distribution-enhancement-investment-program-tranche-2 . ADB (2011), <i>Flood Emergency Reconstruction Project: Project Administration Manual</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/projects/documents/flood-emergency-reconstruction-project-project-administration-manual . ADB (2012), <i>Punjab Irrigated Agriculture Investment Program – Tranche 3</i> , http://www.adb.org/projects/documents/punjab-irrigated-agriculture-investment-program-tranche-3-pam .
	(If first criterion is met) <i>in most cases</i> , baseline values have been established for each indicator used to measure the progress of project/programme implementation.	Met	Ibid.
	(If first criterion is met) in most cases, the milestones/targets provided are appropriate to the activities described in the project/programme implementation document.	Met	Ibid.
	(If first criterion is met) dates are established for the milestones/targets, <i>in more than half</i> of the project implementation plans, country or work plans sampled.	Met	Ibid.
	(If all above criteria are met) all above criteria are met for all project implementation	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	plans, country or other work plans sampled.		
Overall Score MI 11.2		Very strong (6)	

KPI 12. The MO delegates decision-making authority (to the country or other levels)

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
12.1 Aid allocation decisions can be made at the country level	An organisation-wide policy or guidelines exist and is corporately approved that describes decision-making authorities at different levels within the organisation.	Met	ADB (2000), <i>Resident Mission Policy</i> , http://www.adb.org/documents/resident-mission-policy . ADB (2007), <i>Resident Mission Policy and Related Operations: Delivering Services to Clients</i> , http://www.adb.org/documents/resident-mission-policy-and-related-operations-delivering-services-clients . ADB (n.d.), <i>Matrix of Delegated Functions to ADB Resident Mission</i> . (internal document).
	(If first criterion is met) This policy or other documents provide sufficient evidence of the level of autonomy available at the country level regarding decision making processes related to project changes (or other local level as appropriate).	Met	ADB (2000), <i>Resident Mission Policy</i> , http://www.adb.org/documents/resident-mission-policy . ADB (2008), <i>Review of Resident Missions' Operations</i> , http://www.adb.org/documents/review-resident-missions-operations . ADB (2011), <i>Development Effectiveness Review: 2010 Report</i> , http://www.adb.org/documents/development-effectiveness-review-2010-report . ADB (2008), <i>Matrix of Delegated Functions to ADB Resident Mission</i> , http://www.adb.org/documents/review-resident-missions-operations . ADB (2011), <i>Project Administration Instructions: Change of Loan and/or Grant Funded Projects</i> , http://www.adb.org/documents/project-administration-instructions .
	(If first two criteria are met) in the documents available, it is possible to identify	Met	ADB, <i>Matrix of Delegated Functions to ADB Resident Mission</i> . (Internal document). ADB (2011), <i>Development Effectiveness Review: 2010 Report</i> , http://www.adb.org/documents/development-effectiveness-review-2010-report .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	the parameters within which the local level decisions regarding changes in projects or programming do not require central level approval.		
	There is evidence that the organisation has made efforts to improve delegation of decision making to the country or other relevant levels.	Met	<p>ADB (2000), <i>Resident Mission Policy</i>, http://www.adb.org/documents/resident-mission-policy.</p> <p>ADB (2012), <i>Development Effectiveness Review: 2011 Report</i>, http://www.adb.org/documents/development-effectiveness-review-2011-report.</p> <p>ADB (2011), <i>Development Effectiveness Review: 2010 Report</i>, http://www.adb.org/documents/development-effectiveness-review-2010-report.</p> <p>ADB (2013), <i>Development Effectiveness Review: 2012 Report</i>, http://www.adb.org/documents/development-effectiveness-review-2012-report.</p> <p>ADB (2012), <i>Budget of the Asian Development Bank for 2013</i>, http://www.adb.org/documents/budget-asian-development-bank-2013.</p>
	<p>An operational review/evaluation of the MO comments positively on progress in the delegation of decision making authority to the country or other relevant level.</p> <p>Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.</p>	Not met	<p>ADB (2007), <i>Resident Mission Policy and Related Operations: Delivering Services to Clients</i>, http://www.adb.org/documents/resident-mission-policy-and-related-operations-delivering-services-clients</p> <p>ADB (2008), <i>Review of Resident Missions' Operations</i>, http://www.adb.org/documents/review-resident-missions-operations.</p> <p>ADB (2013), <i>Special Evaluation Study on ADB's Decentralization</i>, http://www.adb.org/documents/special-evaluation-study-adbs-decentralization.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
Overall Score MI 12.1		Adequate	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
12.2 New aid programmes / projects can be approved locally within a budget cap (corporate approval thresholds)	An organisation-wide policy or guidelines exist and is corporately approved that describes the extent to which new aid programmes/projects can be proposed at different levels within the organisation.	Met	ADB (2000), <i>Resident Mission Policy</i> , http://www.adb.org/documents/resident-mission-policy . ADB (2007), <i>Resident Mission Policy and Related Operations: Delivering Services to Clients</i> , http://www.adb.org/documents/resident-mission-policy-and-related-operations-delivering-services-clients . ADB (2008), <i>Matrix of Delegated Functions to ADB Resident Mission</i> , http://www.adb.org/documents/review-resident-missions-operations .
	(If first criterion is met) this policy or other documents provide sufficient evidence of the types of decisions about new initiatives (plans, projects, programs) that can be made at the country level or other local level as appropriate).	Met	ADB (2008), <i>Matrix of Delegated Functions to ADB Resident Mission</i> , http://www.adb.org/documents/review-resident-missions-operations . ADB (2008), <i>Review of Resident Missions' Operation</i> , http://www.adb.org/documents/review-resident-missions-operations . ADB (2008), <i>Project Administration Instructions: Local Procurement</i> , http://www.adb.org/sites/default/files/pai-3-04.pdf . ADB (2011), <i>Summary of ADB Financial Instruments and Approval Procedures</i> , http://www.adb.org/documents/summary-adb-financial-instruments-and-approval-procedures .
	(If first two criteria are met) in the documents available, it is possible to identify the parameters (e.g. budget ceilings or	Met	ADB (2008), <i>Matrix of Delegated Functions to ADB Resident Mission</i> , http://www.adb.org/documents/review-resident-missions-operations .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	allocations) within which the local level does not require central level approval prior to making decisions on new initiatives.		
	The organisation has made efforts to improve delegation of decision making to the country or other relevant levels.	Met	ADB (2008), <i>Review of Resident Missions' Operations</i> , http://www.adb.org/documents/review-resident-missions-operations .
	An operational review/evaluation of the MO comments positively on progress in the delegation of authority to the country or other relevant level. Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.	Not met	ADB (2008), <i>Review of Resident Missions' Operations</i> , http://www.adb.org/documents/review-resident-missions-operations .
Overall Score MI 12.2		Adequate	

Performance Area III – Relationship Management

KPI 13. The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
13.2 The MO conditionality (if any) draws on national / government's own agreed benchmarks / indicators / results.	(If applicable) the MO has a policy that aligns its conditions for lending – especially policy or program lending-- with the principles of country ownership.	Met	ADB (2011), <i>Operations Manual Bank Policies (BP) – Policy-Based Lending</i> , http://www.adb.org/sites/default/files/OMD04-14Oct11_0.pdf . ADB (2013), <i>Operations Manual Bank Policies (BP) – Policy-Based Lending</i> , http://www.adb.org/sites/default/files/OM-D4.pdf . ADB (2009), <i>Program Lending Policy: Clarification</i> , http://www.adb.org/documents/program-lending-policy-clarification .
	(If first criterion is met), the MO's policy also provides guidance to align the organisation with other good practice principles for conditionality.	Met	ADB (2007), <i>Evaluation Study – Policy-Based Lending: Emerging Practices in Supporting Reforms in Developing Member Countries</i> , http://www.adb.org/sites/default/files/EVU-OTH-2007-18.pdf . ADB (2011), <i>Review of ADB's Policy-Based Lending</i> , http://www.adb.org/documents/review-adbs-policy-based-lending .
	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.	Met	ADB (2011), <i>Review of ADB's Policy-Based Lending</i> , http://www.adb.org/documents/review-adbs-policy-based-lending . ADB (2007), <i>Evaluation Study – Policy-Based Lending: Emerging Practices in Supporting Reforms in Developing Member Countries</i> , http://www.adb.org/sites/default/files/EVU-OTH-2007-18.pdf . ADB (2007), <i>Learning Curves: Emerging practices in Policy-Based Lending</i> , http://www.adb.org/sites/default/files/pub/2007/LC-Emerging-Practices.pdf .
	There is evidence of the MO reporting to the Board on progress/issues of implementation of the policy.	Not met	ADB (2013), <i>Chair's Summary of Meeting of the Board of Directors: Piloting Results-Based Lending for Programs</i> , http://www.adb.org/sites/default/files/secm18-13.pdf . ADB (2011), <i>Chair's Summary of Meeting of the Board of Directors - Review of ADB's Policy-Based Lending</i> , http://www.adb.org/documents/chairs-summary-14-july-2011 . ADB (2012), <i>Annual Report of the Development Effectiveness Committee</i> , http://www.adb.org/sites/default/files/SecM32-12-Corr1.pdf . ADB (2011), <i>Annual Report of the Development Effectiveness Committee</i> ,

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			http://www.adb.org/sites/default/files/SecM61-11.pdf .
	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 (2011), <i>Review of ADB's Policy-Based Lending</i> , http://www.adb.org/documents/review-adbs-policy-based-lending .
Overall Score MI 13.2		Strong (5)	

KPI 15. The MO uses country systems for disbursement and operations

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
15.1 % of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans.	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to use country systems for disbursements and operations.	-	ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i> , http://www.oecd.org/development/aideffectiveness/48742718.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments . ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i> , http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf . ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf . ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf . ADB (2010), <i>Publish what you Fund – the Global Campaign for Aid Transparency: Aid Transparency Assessment</i> (2010), http://www.publishwhatyoufund.org/files/Aid-Transparency-Assessment.pdf . ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 survey</i> , http://www.adb.org/sites/default/files/in82-09.pdf . ADB (2008), <i>Evaluation of the Implementation of the Paris Declaration at the ADB: a Development Partner's Study for an OECD-DAC Joint Evaluation</i> , http://www.adb.org/sites/default/files/SST-REG-2008-03.pdf . ADB (2008), <i>Management Response to the Special Evaluation Study on Implementing the Paris Declaration at ADB</i> , http://www.adb.org/sites/default/files/MR-SES-Paris-Declaration.pdf .
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to the use of country systems for disbursement and	-	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	operations.		DB (2005), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2006-2008.pdf .
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to use country systems for disbursements and operations.	Met	ADB (2008), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2009-2011.pdf . ADB (2010), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf . ADB (2011), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf . ADB (2010), <i>Quality of Official Development Assistance Assessment</i> , http://www.ifad.org/governance/replenishment/external/QuODA.pdf . ADB (2010), <i>Publish what you Fund – the Global Campaign for Aid Transparency: Aid Transparency Assessment</i> , http://www.publishwhatyoufund.org/files/Aid-Transparency-Assessment.pdf . ADB (2010), <i>Aid Quality and Donor Rankings – S. Knack, F.H. Rogers, N. Eubank</i> , http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2012/04/16/000158349_20120416105004/Rend ered/PDF/WPS5290.pdf .
Overall Score MI 15.1		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
15.2 The MO uses country systems as a first option for its operations (e.g., public financial management and procurement).	<i>NOTE: based on two PD indicator, 5a</i>		
	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to use country systems for disbursements and operations.	-	ADB (2012), <i>Development Effectiveness Review: 2011 Report</i> , http://www.adb.org/sites/default/files/defr-2011.pdf . ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i> , http://www.oecd.org/development/aideffectiveness/48742718.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments . ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i> , http://pd-website.inforce.dk/content/pdf/PD-EN-ADB.pdf . ADB (2011), <i>The Evaluation of the Implementation of the Paris Declaration – Phase 2 – Final Report</i> , http://www.bmz.de/en/publications/type_of_publication/evaluation/international_joint_evaluations/EvalBericht_Paris_Erklaerung.pdf .
	Adequate: Evidence exists of both progress made and	-	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	areas requiring improvement with regard to the use of country systems for disbursement and operations.		ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf . ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf . ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 survey</i> , http://www.adb.org/sites/default/files/in82-09.pdf .
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to use country systems for disbursements and operations.	Met	ADB (2008), <i>Evaluation of the Implementation of the Paris Declaration at the ADB: a Development Partner's Study for an OECD-DAC Joint Evaluation</i> , http://www.adb.org/sites/default/files/SST-REG-2008-03.pdf . ADB (2008), <i>Management Response to the Special Evaluation Study on Implementing the Paris Declaration at ADB</i> , http://www.adb.org/sites/default/files/MR-SES-Paris-Declaration.pdf . ADB (2007), <i>Evaluation Study: ADB's Approaches to Partnering and Harmonization: In the Context of the Paris Declaration on Aid Effectiveness</i> , http://www.adb.org/sites/default/files/SST-REG-2007-30.pdf . ADB (2005), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2006-2008.pdf . ADB (2008), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2009-2011.pdf . ADB (2010), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf . ADB (2011), <i>Work Program & Budget Framework</i> , http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf .
Overall Score MI 15.2		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
15.3 THE MO USES THE COUNTRY'S NON-FINANCIAL SYSTEMS AS A FIRST OPTION FOR ITS OPERATIONS (E.G. MONITORING AND EVALUATION).	<i>NOTE: Since based on PD indicator 5b</i>		
	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to use	-	ADB (2012), <i>Development Effectiveness Review: 2011 Report</i> . http://www.adb.org/sites/default/files/defr-2011.pdf . ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i> , http://www.oecd.org/development/aideffectiveness/48742718.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments . ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian</i>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	country systems for disbursements and operations		<p><i>Development Bank - Executive Summary</i>, http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf.</p> <p>ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf.</p> <p>ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf.</p> <p>ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 Survey</i>, http://www.adb.org/sites/default/files/in82-09.pdf.</p>
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to the use of country systems for disbursement and operations.	Met	<p>ADB (2008), <i>Evaluation of the Implementation of the Paris Declaration at the ADB: a Development Partner's Study for an OECD-DAC Joint Evaluation</i>, http://www.adb.org/sites/default/files/SST-REG-2008-03.pdf.</p> <p>ADB (2008), <i>Management Response to the Special Evaluation Study on Implementing the Paris Declaration at ADB</i>, http://www.adb.org/sites/default/files/MR-SES-Paris-Declaration.pdf</p> <p>ADB (2005), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2006-2008.pdf.</p> <p>ADB (2008), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2009-2011.pdf.</p> <p>ADB (2010), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf.</p>
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to use country systems for disbursements and operations.	-	<p>ADB (2011), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf.</p> <p>Other External Sources:</p> <p>ADB (2011), <i>The Evaluation of the Paris Declaration – Phase 2 – Final Report</i>, http://www.bmz.de/en/publications/type_of_publication/evaluation/international_joint_evaluations/EvalBericht_Paris_Erklaerung.pdf.</p>
Overall Score MI 15.3		Adequate(4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
15.4 The MO avoids parallel implementation	<p><i>Note: For this indicator, we are comparing the number of PIUs reported in the 2011 report against the number of PIUs reported in the 2008 report in order to obtain the percentage of reduction in PIUs between these years. However, some MOs may not have 2008 information available and we are not able to follow a trend and assess them on this specific indicator. However, the narrative of the report should comment on their current number of PIUs.</i></p>		

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
structures.	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to avoid parallel implementation structures.	-	<p>ADB (2012), <i>Development Effectiveness Review: 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris declaration</i>, http://www.oecd.org/development/aideffectiveness/48742718.pdf.</p> <p>ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i>, http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments.</p> <p>ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i>, http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf.</p> <p>ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf.</p> <p>ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf.</p> <p>ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 Survey</i>, http://www.adb.org/sites/default/files/in82-09.pdf.</p> <p>ADB (2008), <i>Evaluation of the Implementation of the Paris Declaration at the ADB: a Development Partner's Study for an OECD-DAC Joint Evaluation</i>, http://www.adb.org/sites/default/files/SST-REG-2008-03.pdf.</p>
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to the use of parallel implementation structures.	-	<p>ADB (2007), <i>Learning Curves: Project Implementation Units</i>, http://www.adb.org/documents/learning-curves-project-implementation-units.</p> <p>ADB (2005), <i>Special Evaluation Study on Project Implementation Units</i>, http://www.adb.org/documents/special-evaluation-study-project-implementation-units.</p> <p>ADB (2005), <i>Chair's Summary of the Committee Discussion on 9 June 2005</i>, http://www.adb.org/sites/default/files/pub/2005/DEC-ChairSum-9June2005.pdf.</p> <p>ADB (2005), <i>Management Response to the Special Evaluation Study on Project Implementation Units</i>, http://www.adb.org/sites/default/files/MR-SES-Project-Implementation-Units.pdf.</p> <p>ADB (2005), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2006-2008.pdf.</p> <p>ADB (2008), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2009-2011.pdf.</p>
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the	Met	<p>ADB (2010), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2011-2013.pdf.</p> <p>ADB (2011), <i>Work Program & Budget Framework</i>, http://www.adb.org/sites/default/files/work-program-budget-framework-2012-2014.pdf.</p> <p>ADB (2011), <i>The Evaluation of the Paris Declaration – Phase 2 – Final Report</i>, http://www.bmz.de/en/publications/type_of_publication/evaluation/international_joint_evaluations/EvalBericht_Paris_Erklaerung.pdf.</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	organisation's efforts to avoid parallel implementation structures.		
Overall Score MI 15.4		Strong (5)	

KPI 17. The MO harmonises arrangements and procedures with other programming partners (donors, development banks, UN agencies, etc.) as appropriate

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
17.1 The extent to which the MO engages in joint planning, monitoring and reporting.	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to participate in joint planning, monitoring and reporting.	-	ADB (2012), <i>Development Effectiveness Review: 2011 Report</i> , http://www.adb.org/sites/default/files/defr-2011.pdf . ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i> , http://www.oecd.org/development/aideffectiveness/48742718.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments . ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i> , http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf . ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf .
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to participate in joint planning, monitoring and reporting.	-	ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf . ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 Survey</i> , http://www.adb.org/sites/default/files/in82-09.pdf . ADB (2008), <i>Review of ADB's Partnering and Harmonization Strategies and Activities in Selected Countries</i> , http://www.adb.org/sites/default/files/CS-Harmonization-Partnering.pdf . ADB (2007), <i>Evaluation Study: ADB's Approaches to Partnering and Harmonization: In the Context of the Paris Declaration on Aid Effectiveness</i> , http://www.adb.org/sites/default/files/SST-REG-2007-30.pdf .
	Strong: Paris Declaration data	Met	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to participate in joint planning, monitoring and reporting.		
Overall Score MI 17.1		Strong (5)	

Micro-Indicator	Criteria	Status of Criteria (met/not met)	Key documents consulted (Title and hyperlink if available)
17.2 The extent to which the MO's technical cooperation is disbursed through coordinated programmes.	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to disburse through coordinated programmes.	-	<p>ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i>, http://www.oecd.org/development/aideffectiveness/48742718.pdf.</p> <p>ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments</p> <p>ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i>, http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf.</p> <p>ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf.</p> <p>ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf.</p> <p>ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 Survey</i>, http://www.adb.org/sites/default/files/in82-09.pdf.</p> <p>ADB (2007), <i>Evaluation Study: ADB's Approaches to Partnering and Harmonization: In the Context of the Paris Declaration on Aid Effectiveness</i>, http://www.adb.org/sites/default/files/SST-REG-2007-30.pdf.</p>
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to disbursement through coordinated programmes.	Met	
	Strong: Paris	-	

Micro-Indicator	Criteria	Status of Criteria (met/not met)	Key documents consulted (Title and hyperlink if available)
	Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to disburse through coordinated programmes.		
Overall Score MI 17.2		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
17.3 % of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAPs, basket funding, etc.).	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to disburse through programme-based approaches.	-	ADB (2012), <i>Development Effectiveness Review: 2011 Report</i> , http://www.adb.org/sites/default/files/defr-2011.pdf . ADB (2011), <i>Development Effectiveness Review: 2010 Report</i> , http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf . ADB (2011), <i>Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration</i> , http://www.oecd.org/development/aideffectiveness/48742718.pdf . ADB (2011), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i> , http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/documents/aid-effectiveness-report-2011-overall-achievements-paris-declaration-commitments .
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to disbursement through programme-based approaches.	Met	ADB (2010), <i>ADB's Aid Effectiveness report 2009 and the Way Forward</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf . ADB (2010), <i>ADB's Progress on Aid Effectiveness: 2010 Update</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2010.pdf . ADB (2009), <i>ADB's Progress on the Paris Declaration: Results of the 2008 Survey</i> , http://www.adb.org/sites/default/files/in82-09.pdf . ADB (2008), <i>Review of ADB's Partnering and Harmonization Strategies and Activities in Selected Countries</i> , http://www.adb.org/sites/default/files/CS-Harmonization-Partnering.pdf . ADB (2007), <i>Evaluation Study: ADB's Approaches to Partnering and Harmonization: In the Context of the Paris Declaration on Aid Effectiveness</i> , http://www.adb.org/sites/default/files/SST-REG-2007-30.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to disburse through programme-based approaches.	-	
Overall Score MI 17.3		Adequate (4)	

Performance area IV – Knowledge Management

KPI 18. The MO consistently evaluates its delivery and external results.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
18.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board.	An organisation-wide (central) evaluation unit or function exists.	Met	<p>ADB (2012), <i>Guidelines to avoid Conflict of Interest in Independent Evaluations</i>, http://www.adb.org/sites/default/files/Guidelines-Conflict-of-Interest-18December2012.pdf.</p> <p>ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i>, http://www.adb.org/sites/default/files/OMK1.pdf.</p> <p>ADB (2010), <i>Evaluation in Development Agencies</i>, http://www.oecd.org/dac/evaluation/dcdndep/48888747.pdf.</p> <p>ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i>, http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf.</p> <p>ADB (2003), <i>Enhancing the Independence of the Operations Evaluation Department</i>, (2003)http://www.adb.org/sites/default/files/enhancing-oed.pdf.</p>
	An organisation-wide evaluation policy exists, which includes guidance on how the MO is to conduct	Met	<p>ADB (2012), <i>Guidelines to avoid Conflict of Interest in Independent Evaluations</i>, http://www.adb.org/sites/default/files/Guidelines-Conflict-of-Interest-18December2012.pdf.</p> <p>ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i>, http://www.adb.org/sites/default/files/OMK1.pdf.</p> <p>ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i>,</p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	independent evaluations.		http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf .
	(If first criterion is met) there is evidence in reports being submitted by the organisation-wide evaluation unit or function to Executive Management (Head of Organisation) or Board/Committee responsible for independent evaluations.	Met	ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i> , http://www.adb.org/sites/default/files/OMK1.pdf ADB (2011), <i>2012 Annual Evaluation Review</i> , http://www.adb.org/documents/2012-annual-evaluation-review . ADB (2010), <i>Evaluation in Development Agencies</i> , http://www.oecd.org/dac/evaluation/dcdndep/48888747.pdf . ADB (2010), <i>2011 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2011.pdf . ADB (2009), <i>2010 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2010.pdf .
	(If first criterion is met), the organisation-wide evaluation unit has a direct reporting function to the senior management or the Executive Board.	Met	ADB (2012), <i>Self Evaluation Brief of the Independent Evaluation Department</i> , http://www.adb.org/sites/default/files/self%20evaluation%204%20pp.pdf . ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i> , http://www.adb.org/sites/default/files/OMK1.pdf . ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf .
	The central evaluation unit has a direct reporting function to the MO's Executive Board.	Met	ADB (2012), <i>Self Evaluation Brief of the Independent Evaluation Department</i> , http://www.adb.org/sites/default/files/self%20evaluation%204%20pp.pdf . ADB (2011), <i>ADB Organisation Chart</i> , http://www2.adb.org/About/ADB_Organisation_Chart.pdf . ADB (2010), <i>Evaluation in Development Agencies</i> , http://www.oecd.org/dac/evaluation/dcdndep/48888747.pdf .
Overall Score MI 18.1		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
18.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc.).	An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programmes.	Met	ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i> , http://www.adb.org/sites/default/files/OMK1.pdf . ADB (2010), <i>Evaluation in Development Agencies</i> , http://www.oecd.org/dac/evaluation/dcdndep/48888747.pdf . ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf . ADB (2003), <i>Enhancing the Independence of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/enhancing-oed.pdf .
	(If first criterion is met) this policy or plan defines the evaluation coverage of projects and programmes (i.e., the number or percentage of projects/programmes requiring evaluations of <i>any type</i>) or it clearly explains how evaluations are planned and prioritised.	Met	ADB (2011), <i>2011 COMPAS Report – Multilateral Development Bank's Common Performance Assessment System</i> , http://www.mfdr.org/COMPAS/documents/2011_COMPAS-Report.pdf . ADB (2010), <i>Evaluation in Development Agencies</i> , http://www.oecd.org/dac/evaluation/dcdndep/48888747.pdf . ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf .
	(If first criterion is met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an <i>independent</i> evaluation.	Met	Ibid.
	Recent independent evaluation reports	Met	ADB (2013), <i>ADB Evaluation Resources</i> , http://www.adb.org/site/evaluation/resources .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	are available for <i>at least half of the</i> countries sampled.		
	(If fourth criterion is met) reports of independent evaluations exist for <i>all</i> countries sampled. Note: If COMPAS data are available, we will refer to it in the report.	Met	Ibid.
Overall Score MI 18.2		Strong (5)	Overall comment: the Bank was rated “strong” instead of “very strong” based on findings from the 2011 COMPAS report

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
18.3 The MO ensures quality of its evaluations.	The MO has a policy/procedures for the quality control of its evaluations.	Met	ADB (2012), <i>Consultant Report of the IED Self-Evaluation</i> , http://www.adb.org/sites/default/files/IED%20Self-Evaluation%20Report_Nils%20Fostvedt_7Aug2012.pdf . ADB (2010), <i>Evaluation in Development Agencies</i> , http://www.oecd.org/dac/evaluation/dcdndep/48888747.pdf . ADB (2011), <i>Operations Manual Bank Policies – Independent Evaluations</i> , http://www.adb.org/sites/default/files/OMK1.pdf . ADB (2008), <i>Review of the Independence and Effectiveness of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/pub/2008/R297-08.pdf . ADB (2003), <i>Enhancing the Independence of the Operations Evaluation Department</i> , http://www.adb.org/sites/default/files/enhancing-oed.pdf .
	The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years.	Met	ADB (2012), <i>Consultant Report of the IED Self-Evaluation</i> , http://www.adb.org/sites/default/files/IED%20Self-Evaluation%20Report_Nils%20Fostvedt_7Aug2012.pdf . ADB (2011), <i>2012 Annual Evaluation Review</i> , http://www.adb.org/documents/2012-annual-evaluation-review . ADB (2010), <i>2011 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2011.pdf . ADB (2009), <i>2010 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2010.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	There is evidence (in the reports on the quality of evaluations/review of evaluations) that the MO is respecting relevant evaluation standards (e.g. UNEG standards, DAC standards, ECG standards) in its centralised and decentralised evaluations.	Met	ADB (2012), <i>Self-Evaluation Brief of the Independent Evaluation Department</i> , http://www.adb.org/sites/default/files/self%20evaluation%204%20pp.pdf . ADB (2012), <i>Consultant Report of the IED Self-Evaluation</i> , http://www.adb.org/sites/default/files/IED%20Self-Evaluation%20Report_Nils%20Fostvedt_7Aug2012.pdf .
	The reviews of the MO's evaluations (i.e. the reports on the quality of evaluations) cover organisation-wide, country and project level evaluations.	Not met	ADB (2012), <i>Consultant Report of the IED Self-Evaluation</i> , http://www.adb.org/sites/default/files/IED%20Self-Evaluation%20Report_Nils%20Fostvedt_7Aug2012.pdf . ADB (2011), <i>2011 COMPAS Report – Multilateral Development Bank's Common Performance Assessment System</i> , http://www.mfdr.org/COMPAS/documents/2011_COMPAS-Report.pdf . ADB (2011), <i>2012 Annual Evaluation Review</i> , http://www.adb.org/documents/2012-annual-evaluation-review . ADB (2010), <i>2011 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2011.pdf . ADB (2009), <i>2010 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2010.pdf .
	There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations.	Met	ADB (2012), <i>Self-Evaluation Brief of the Independent Evaluation Department</i> , http://www.adb.org/sites/default/files/self%20evaluation%204%20pp.pdf . ADB (2011), <i>2012 Annual Evaluation Review</i> , http://www.adb.org/documents/2012-annual-evaluation-review . ADB (2010), <i>2011 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2011.pdf . ADB (2009), <i>2010 Annual Evaluation Review</i> , http://www.adb.org/sites/default/files/aer-2010.pdf .
Overall Score MI 18.3		Strong (5)	

KPI 19. The MO presents performance information on its effectiveness.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
19.1 Reports on the achievement of outcomes, not just inputs, activities and outputs.	Annual performance reports exist at the organisation-wide level.	Met	<p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>, http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf.</p> <p>ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i>, http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf.</p> <p>Other Development Effectiveness Reviews Reports (2007-2011), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications.</p> <p>ADB (2007), <i>Managing for Development Results in the Asian Development Bank: a preliminary Assessment</i>, http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf.</p> <p>ADB (2011), <i>Special Evaluation Study on Managing for Development Results</i>, http://www.adb.org/sites/default/files/ses-mfdr.pdf.</p> <p>ADB (2011), <i>Management Response to IED Report: Special Evaluation Study on Managing for Development Results</i>, http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf.</p> <p>ADB (2012), <i>Managing for Development Results: Relevance, Responsiveness, and Results Orientation</i>, http://www.adb.org/sites/default/files/pub/2012/managing-for-development-results.pdf.</p>
	(If first criterion is met) the most recent performance report sampled describes outputs achieved.	Met	Ibid.
	(If first two criteria are met) the most recent performance report sampled discusses expected outcomes achieved.	Met	Ibid.
	(If first two criteria are met) the most recent performance report sampled provides evidence for the MO's	Not met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	contribution to outcome achievement (i.e., establishes a link between organisation-wide outputs and outcomes).		
	(If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met	Ibid.
Overall Score MI 19.1		Adequate (4)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
19.2 Reports on performance using data obtained from measuring indicators.	Annual performance reports exist at the organisation-wide level.	Met	<p>ADB (2012), <i>Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf.</p> <p>ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i>, http://www.adb.org/sites/default/files/defr-2012-paper.pdf.</p> <p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>, http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf.</p> <p>ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i>, http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf.</p> <p>Other Development Effectiveness Reviews Reports (2007-2011): http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications.</p> <p>ADB (2007), <i>Managing for Development Results in the Asian Development Bank: a preliminary Assessment</i>, http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf.</p> <p>ADB (2011), <i>Special Evaluation Study on Managing for Development Results</i>, http://www.adb.org/sites/default/files/ses-mfdr.pdf.</p> <p>ADB (2011), <i>Management Response to IED Report: Special Evaluation Study on Managing for Development</i></p>

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
			Results, http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf . ADB (2012), <i>Managing for Development Results: Relevance, Responsiveness, and Results Orientation</i> , http://www.adb.org/sites/default/files/pub/2012/managing-for-development-results.pdf .
	(If first criterion is met) the most recent performance report sampled specifies indicators for the reporting period that respect SMART or CREAM criteria for indicators.	Met	Ibid.
	(If first criterion is 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	Ibid.
	(If first criterion is met) the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) (either in graph or narrative form).	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	(If all above criteria are met) all above criteria are met for all performance reports sampled.	Met	Ibid.
Overall Score MI 19.2		Very strong (6)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
19.3 Reports against its organisation-wide strategy, including expected management and development results.	Annual performance reports exist at the organisation-wide level.	Met	<p>ADB (2012), <i>Review of the ADB Results Framework</i>, http://www.adb.org/sites/default/files/review-of-adb-results-framework-2012.pdf.</p> <p>ADB (2013), <i>Development Effectiveness Reviews 2012 Report</i>, http://www.adb.org/sites/default/files/defr-2012-paper.pdf.</p> <p>ADB (2008), <i>ADB Results Framework</i>, http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf.</p> <p>ADB (2012), <i>Results Framework Indicators Definition</i>, (2012 Updated after Refinement conducted in 2010, http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf.</p> <p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>, http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf.</p> <p>ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i>, http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf.</p> <p>Other Development Effectiveness Reviews Reports (2007-2011), http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications.</p>
	(If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF and MRF.	Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	(If criterion two is met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and MRF, along with an explanation of any variances.	Met	Ibid.
	(If all above criteria are met) all above criteria are met for all performance reports sampled..	Met	Ibid.
	There is an independent evaluation/review confirming the quality of organisation-wide reporting on results.	Not met	ADB (2007), <i>Managing for Development Results in the Asian Development Bank: a Preliminary Assessment</i> , http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf . ADB (2011), <i>Special Evaluation Study on Managing for Development Results</i> , http://www.adb.org/sites/default/files/ses-mfdr.pdf . ADB (2011), <i>Management Response to IED Report: Special Evaluation Study on Managing for Development Results</i> , http://www.adb.org/sites/default/files/MR-ses-mfdr_0.pdf . ADB (2012), <i>Managing for Development Results: Relevance, Responsiveness, and Results Orientation</i> , http://www.adb.org/sites/default/files/pub/2012/managing-for-development-results.pdf .
Overall Score MI 19.3		Strong (5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
19.4 Reports against its aid effectiveness commitments (e.g., Paris Declaration /	An annual, organisation-wide report on the MO's performance against Paris	Met	ADB (2010), <i>Evaluation of the Implementation of the Paris Declaration - Update of Phase 1 Donor Studies - Asian Development Bank - Executive Summary</i> , http://pd-website.inforce.dk/content/pdf/PD-EN-adb.pdf . ADB (2011), <i>Aid Effectiveness Report 2011: Overall Achievements on Paris Declaration Commitments</i> , http://www.adb.org/sites/default/files/aid-effectiveness-report-2011.pdf . ADB (2010), <i>Progress on Aid Effectiveness: 2010 update</i> , http://www.adb.org/sites/default/files/aid-effectiveness-

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
Busan) using indicators and country targets.	Declaration (PD) or related commitments exists (this may not be a separate report, or part of another report, such as the annual performance report).		<p>report-2010.pdf.</p> <p>ADB (2009), <i>Aid Effectiveness Report 2009 and the Way Forward</i>, http://www.adb.org/sites/default/files/aid-effectiveness-report-2009.pdf.</p> <p>ADB (2009), <i>Progress on the Paris Declaration: Results of the 2008 Survey</i>, http://www.adb.org/sites/default/files/in82-09.pdf.</p> <p>ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i>, http://www.adb.org/sites/default/files/defr-2011.pdf.</p> <p>ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i>, http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf.</p> <p>ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i>, http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf.</p> <p>ADB (n.d.), <i>At a Glance: the Paris Declaration and Accra Agenda for Action - What Do They Mean for ADB?</i> http://www.adb.org/sites/default/files/aid-effectiveness-brief-parisdec.pdf.</p> <p>ADB (2007), <i>Implementing the Paris Declaration at the ADB: a Development Partner's Study for an OECD-DAC Joint Evaluation</i>, http://www.adb.org/sites/default/files/SST-REG-2008-03.pdf.</p> <p>ADB (2008), <i>Management Response to the Special Evaluation Study on Implementing the Paris Declaration at ADB</i>, http://www.adb.org/sites/default/files/MR-SES-Paris-Declaration.pdf.</p> <p>ADB (2008), <i>Learning Curves: Implementing the Paris Declaration at ADB</i>, http://www.adb.org/sites/default/files/pub/2008/LC-Implementing-Paris-Declaration.pdf.</p> <p>ADB (2007), <i>Implementation of the Paris Declaration in ADF Countries</i>, http://www.adb.org/sites/default/files/Implementation-Paris-Declaration.pdf.</p> <p>ADB (2007), <i>Learning Curves: ADB and the Paris Declaration on Aid Effectiveness</i>, http://www.adb.org/sites/default/files/pub/2007/LC-ADB-Paris-Declaration-Aid-Effectiveness.pdf.</p>
	(If the first criterion is met) the most recent report describes the extent of overall achievement to date on PD or related commitments.	Met	Ibid.
	(If the first two criteria are met) the most recent report shows country targets for PD or	No met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	related commitments.		
	(If all above criteria are met) the most recent report shows the extent of achievement to date of PD or related commitments by country.	Not met	Ibid. Sources for country Data: ADB (n.d.), <i>OECD, Survey on Monitoring the Paris Declaration</i> , http://stats.oecd.org/Index.aspx?lang=en&DataSetCode=SURVEYDATA . ADB (n.d.), <i>OECD, 2011 Survey on Monitoring the Paris Declaration – Country Chapters</i> , http://www.oecd.org/dac/effectiveness/2011surveyonmonitoringtheparisdeclaration-countrychapters.htm .
	(If all above criteria are met) all above criteria are met for all reports sampled.	Not met	Ibid.
Overall Score MI 19.4		Strong (5)	Overall comment: Strictly adhering to the criteria, the Bank would be rated inadequate. The document review however rated the Bank strong. While ADB does not report on its achievements by country, ADB country level data is available on the OECD/DAC website as well as in country reports produced by the OECD.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
19.5 Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information.	The MO has a policy that defines how annual performance reporting will be carried out.	Met	ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf . ADB (2012), <i>Results Framework Indicators Definition</i> (2012 Updated after Refinement conducted in 2010), http://www.adb.org/sites/default/files/ADB%20Results%20Framework%20Indicators%20Definition_updated%202012.pdf . ADB (2012), <i>Development Effectiveness Reviews 2011 Report</i> , http://www.adb.org/sites/default/files/defr-2011.pdf . ADB (2011), <i>Development Effectiveness Reviews 2010 Report</i> , http://www.adb.org/sites/default/files/pub/2011/2010-Development-Effectiveness.pdf . ADB (2010), <i>Development Effectiveness Reviews 2009 Report</i> , http://www.adb.org/sites/default/files/pub/2010/2009-Development-Effectiveness.pdf . Other Development Effectiveness Reviews Reports, http://www.adb.org/documents/series/development-effectiveness-review?ref=site/development-effectiveness/publications . ADB (2009), <i>ADB Action Plan on Managing for Development Results 2009–2011</i> , http://www.adb.org/sites/default/files/pub/2009/MfDR-Revised-Action-Plan.pdf

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	The MO has a policy that defines how annual performance reporting will be systematically used.	Met	
	There is evidence that annual performance reviews (e.g. audits, evaluations) are systematically used to adjust strategies/policies.	Met	ADB (2011), <i>Special Evaluation Study on Managing for Development Results</i> , http://www.adb.org/sites/default/files/ses-mfdr.pdf .
	There is evidence that annual performance reviews (e.g. audits, evaluations) are systematically used to adjust budgets.	Met	
	The Board receives annual reports on strategy and/or budgetary changes that are based on performance information.	Not met	ADB (28 May 2012), <i>Minutes of the Meeting of the Board of Directors of the ADB held at 10:00 AM on 25 April</i> , http://www.adb.org/sites/default/files/M11-12_25Apr12.pdf .
Overall Score MI 19.5		Strong(5)	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
19.6 Reports on country (or other) level programming adjustments made or recommended based on performance information	The MO has a policy that defines how annual performance reporting will be carried out at the country level.	Met	<p>ADB (2013), <i>Operations Manual - A2: Country Partnership Strategy</i>, http://www.adb.org/sites/default/files/OM-A2.pdf.</p> <p>ADB (2010), <i>Preparing Results Frameworks and Monitoring Results: Country and Sector Levels</i>, http://www.adb.org/sites/default/files/pub/2010/preparing-results-frameworks.pdf.</p> <p>ADB (2007), <i>Guidelines for preparing a Design and Monitoring Framework</i>, http://www.adb.org/sites/default/files/pub/2007/guidelines-preparing-dmf.pdf.</p> <p>ADB (2005), <i>Country Program Evaluation for Indonesia</i>, http://www.adb.org/sites/default/files/cape-ino.pdf</p> <p>ADB (2012), <i>Development Effectiveness Country Brief - Indonesia: Reform for Resilient Growth</i>, http://www.adb.org/sites/default/files/pub/2012/deb-indonesia.pdf.</p> <p>ADB (2007), <i>Country Program Evaluation for Pakistan</i>, http://www.adb.org/sites/default/files/CAPE-PAK-2007_0.pdf.</p> <p>ADB (2009), <i>Development Effectiveness Country Brief - Pakistan: Making a Difference in the Fight Against Poverty</i>, (2009), http://www.adb.org/sites/default/files/pub/2009/decb-pak.pdf.</p> <p>ADB (2009), <i>Country Program Evaluation for Viet Nam</i>, http://www.adb.org/sites/default/files/CAP-VIE-2009-29.pdf</p> <p>ADB (2011), <i>Development Effectiveness Country Brief - Viet Nam: Southeast Asia's Rising Star takes the Next Step in its National Development</i>, http://www.adb.org/sites/default/files/pub/2011/decb-vie.pdf.</p>
	The MO has a policy that defines how annual performance reporting will be systematically used at the country level.	Met	
	There is evidence that annual performance reviews (e.g. audits, evaluations) at the country level are systematically used to adjust strategies/policies.	Met	<p>ADB (2009), <i>Pakistan: Development Effectiveness Brief</i>, http://www.adb.org/sites/default/files/pub/2009/decb-pak.pdf.</p> <p>ADB (2012), <i>Indonesia: Development Effectiveness Brief</i>, http://www.adb.org/sites/default/files/pub/2012/deb-indonesia.pdf.</p> <p>ADB (2011), <i>Viet Nam: Development Effectiveness Brief</i>, http://www.adb.org/sites/default/files/pub/2011/decb-vie.pdf.</p> <p>ADB (2007), <i>Viet Nam: Development Effectiveness Country Brief</i>, http://www.adb.org/sites/default/files/pub/2007/Viet-Nam.pdf.</p>
	There is evidence that annual	Not Met	Ibid.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	performance reviews (e.g. audits, evaluations) at the country level are systematically used to adjust budgets.		
	The Board receives annual reports on strategy and/or budgetary changes at the country level that are based on performance information.	Not met	ADB (2008), <i>ADB Results Framework</i> , http://www.adb.org/sites/default/files/pub/2008/r166-08.pdf .
Overall Score MI 19.6		Adequate (4)	

KPI 20. The MO encourages identification, documentation and dissemination of lessons learned and/or best practices.

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
20.1 Reports on lessons learned based on performance information.	There is evidence that the organisation is committed to the identification of lessons learned and/or best practices.	Met	ADB (2013), <i>Knowledge Management Directions and Action Plan (2013–2015): Supporting “Finance ++” at the Asian Development Bank</i> , http://www.adb.org/sites/default/files/knowledge-management-directions-2013-2015.pdf . ADB (2009), <i>Knowledge Management Action Plan 2009-2011</i> , http://www.adb.org/sites/default/files/pub/2009/enhancing-knowledge-management-under-strategy-2020.pdf . ADB (2008), <i>Strategy 2010: The Long Term Strategic Framework of the Asian Development Bank 2008-2020</i> , www.adb.org/documents/policies/strategy2020/strategy2020.pdf . ADB (2004), <i>Knowledge Management in ADB</i> , http://www.adb.org/sites/default/files/pub/2004/knowledge-management.pdf . ADB (2001), <i>Moving the Poverty Reduction Agenda Forward in Asia and the Pacific: The Long-Term Strategic Framework of the ADB (2001–2015)</i> , http://www2.adb.org/documents/policies/ltsf/ltsf.pdf .
	There is a unit/coordinating group responsible for documenting and disseminating	Met	

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	lessons learned and/or best practices.		
	The MO has a system for collecting and disseminating lessons learned and/or best practices internally.	Met	
	(If third criterion is met) The MO has an easily accessible system that collects and disseminates <i>both</i> internal <i>and</i> external lessons learned and/or best practices.	Met	
	There is evidence that the MO uses lessons learned and/or best practices based on performance to change management and programme practices.	Not met	
Overall Score MI 20.1		Strong (5)	

KPI 21. The MO ensures the availability of documents in the public domain

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
21.1 Key MO documents are available to the public.	<i>More than half of the documents in the sample (excluding the disclosure policy) are available on the public website.</i>	Met	ADB (2013), <i>Publications</i> , http://www.adb.org/publications/search . ADB (2013), <i>Project Documents</i> , http://www.adb.org/projects/documents . ADB (2013), <i>Country Planning Documents</i> , http://www.adb.org/countries/documents/main . ADB (2013), <i>All Annual Meetings</i> , http://www.adb.org/about/all-annual-meetings . ADB (2013), <i>Overview</i> , http://www.adb.org/about/overview .
	(If first criterion met) all of the documents in the sample (excluding the disclosure policy) are available on the public website.	Met	Ibid.
	(If first criterion met) more than 50% of the documents in the sample are available on the public website <i>in multiple languages</i> in keeping with the organisation's policies.	Met	ADB (2013), <i>Translation Framework</i> , http://www.adb.org/site/disclosure/translation-framework . ADB (2012), <i>Update on the Translation Framework</i> , http://www.adb.org/sites/default/files/translation-framework-2012.pdf .
	A disclosure/ access to information policy exists and is available on the MO's website.	Met	ADB (2010), <i>Information Disclosure</i> , http://www.adb.org/site/disclosure . ADB (2012), <i>Operations Manual Bank Policies – Public Communications</i> , http://www.adb.org/sites/default/files/oml3.pdf . ADB (2011), <i>Public Communications Policy of the ADB 2011: Disclosure and Exchange of Information</i> , http://www.adb.org/sites/default/files/pcp-2011.pdf . ADB (2010), <i>Public Communications Policy Review 2010: First Communication Draft</i> , http://www.adb.org/sites/default/files/pcp-consultation-draft01.pdf . ADB (2010), <i>Public Communications Policy Review 2010: Second Communication Draft</i> , http://www.adb.org/sites/default/files/pcp-consultation-draft02.pdf . ADB (2005), <i>Public Communications Policy of the ADB 2005: Disclosure and Exchange of Information</i> , http://www.adb.org/sites/default/files/PCP-R-Paper.pdf .

Micro-Indicator	Criteria	Status	Key documents consulted (Title and hyperlink if available)
	Clear procedures exist to contact the MO and receive a timely reply.	Met	ADB (2013), Information Requests, http://www.adb.org/site/disclosure/requests . ADB (2013), Contacts, http://www.adb.org/site/disclosure/contacts . ADB (2013), Contacts, http://www.adb.org/contacts/main .
Overall Score MI 21.1		Very strong (6)	

Appendix VII ADB – Interviewees at headquarters and in resident missions

Headquarters Interviews (April - May 2013)

Name	Title	Division
Bernard Woods	Principal Results Management Specialist	Results Management Unit (SPRU)
Bobur Alimov	Senior Portfolio Management Specialist	Portfolio, Results, Safeguards and Social Sector Unit (CWOD-PSS)
Eugene Zhukov	Director	Budget and Management Services Division (BPBM)
Geoffrey Crooks	Principal Compliance Coordination Specialist	Office of the Compliance Review Panel (OCRP)
Josefina Balane	Results Management Specialist	Results Management Unit (SPRU)
Manju Senapaty	Lead Planning and Policy Specialist (Development Effectiveness and Partnerships)	Strategy, Policy, and Interagency Relations Division (SPPI)
Nessim Ahmad	Director	Environment and Safeguards Division (RSES)
Noriko Ogawa	Head	Results Management Unit (SPRU)
Risa Zhijia Teng	Advisor and Head, Portfolio, Results, Safeguards and Social Sector	Portfolio, Results, Safeguards and Social Sector Unit, (CWOD-PSS)
Robert Siy, Jr.	Senior Advisor	Office of the Director General (BPOD)
Walter Kolkma	Director	Independent Evaluation Division 1 (IED1)
Xinning Jia	Principal Institutional Coordination Specialist	Unit for Institutional Coordination (BPOD-UIC)

Resident Missions Interviews (April - May 2013)

Name	Title	Country
Jon Lindborg	Country Director	Indonesia Resident Mission (IRM)
Edimon Ginting	Deputy Country Director	Indonesia Resident Mission (IRM)
Werner Liepach	Country Director	Pakistan Resident Mission (PRM)
Saad Abdullah Paracha	Senior Programs Officer	Pakistan Resident Mission (PRM)
Muhammad Munir Abbasi	Operations Assistant	Pakistan Resident Mission (PRM)
Tomoyuki Kimura	Country Director	Viet Nam Resident Mission (VRM)
Andrew Head	Deputy Country Director	Viet Nam Resident Mission (VRM)

Appendix VIII Key documents consulted for development results component

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Energy

- ADB (2009), *Energy Policy*, <http://www.adb.org/sites/default/files/pub/2010/Sustainable-Transport-Initiative.pdf>.

Water

- ADB (2009), *ADB Water Operational Plan 2011-2020: a Water Blueprint for the Next Decade*, <http://www.adb.org/sites/default/files/water-operational-plan-2011-2020-brochure.pdf>
- ADB (2010), *Water Policy and Related Operations*, <http://www.adb.org/sites/default/files/SES-OTH-2010-47.pdf>
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Environment

- ADB (2002), *Environment Policy of the ADB*, http://www.adb.org/sites/default/files/environment_policy.pdf.
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- ADB (2002), *Education Policy*, <http://www.adb.org/sites/default/files/education-policy.pdf>.
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Appendix IX ADB's reported contributions to outputs in core sector areas

The tables below highlight evidence of outputs delivered in select sector areas of the Bank, as reported in the 2012 Development Effectiveness Review (DEfR).

ADB's Reported Results in Infrastructure Development in the Transport Sector

ADB core sector indicators	Outputs delivered			MOPAN Survey Ratings (mean scores)
	2004–2007 (Baseline)	2008–2011	2009–2012	
Transport				4.79
Expressway built or upgraded (km)	1,500	1,300	900	
National highways and provincial, district, and rural roads built or upgraded (km)	26,700	70,700	66,300	
Railways constructed or/and upgraded (km)	2,400	800	400	
Beneficiaries from road projects (number)	409,547,000	448,590,000	367,566,000	

ADB's Reported Results in Infrastructure Development in the Energy Sector

ADB core sector indicators	Outputs delivered			MOPAN Survey Ratings (mean scores)
	2004–2007 (Baseline)	2008–2011	2009–2012	
Energy				4.75
Installed energy generation capacity (megawatt equivalent)	4,200	3,600	8,200	
Transmission lines installed or upgraded (km)	9,100	19,700	11,200	
Distribution lines installed or upgraded (km)	17,200	89,000	73,200	
New households connected to electricity (number)	751,900	3,916,000	2,347,000	
Greenhouse gas emission reduction (tons of carbon dioxide equivalent per year)	22,517,000	2,234,000	8,334,000	

ADB's Reported Results in Infrastructure Development in the Water Sector

ADB core sector indicators	Outputs delivered			MOPAN Survey Ratings (mean scores)
	2004–2007 (Baseline)	2008–2011	2009–2012	
Water				4.54
Water supply pipes installed or upgraded: length of network (km)	19,300	18,700	19,000	
New households served with water supply (number)	2,104,000	4,064,000	6,239,500	
Wastewater treatment capacity created (cubic meters)	1,380,000	1,567,00	3,197,000	

ADB core sector indicators	Outputs delivered			MOPAN Survey Ratings (mean scores)
	2004–2007 (Baseline)	2008–2011	2009–2012	
New households served with sanitation (number)	1,501,000	984,600	1,476,000	
Land improved through irrigation services, drainage, and flood management (hectares)	1,556,000	20,629,000	22,081,000	

ADB's Reported Results in Finance Sector Development

ADB core sector indicators	Outputs delivered			MOPAN Survey Ratings (mean scores)
	2004–2007 (Baseline)	2008–2011	2009–2012	
Finance				4.18
Microfinance loan accounts opened / end borrowers reached (number)	1,182,000	4,488,000	3,772,000	
Small and medium-sized enterprise loan accounts opened or end borrowers reached (number)	5,900	441,500	272,300	

ADB's Reported Results in the Education Sector

ADB core sector indicators	Outputs delivered			MOPAN Survey Ratings (mean scores)
	2004–2007 (Baseline)	2008–2011	2009–2012	
Education				4.07
Classrooms built or upgraded (number)	115,100	42,200	265,300	
Teachers trained (number)	564,100	384,400	897,800	
Students benefiting from school improvement programs or direct support (number)	19,650,000	11,787,000	11,426, 000	

Appendix X Examples of ADB contribution to country-level goals and priorities

The tables below highlight examples of outputs and outcomes achieved in Indonesia and Viet Nam as described in ADB's evaluation reports.

ADB Contribution to Indonesia's Goals and Priorities, by Priority Sector

Priority Sector	Country Level Strategic Goals – National Medium-term Development Plan (RPJM) 2005-2009 ³¹	Examples of Outputs and Outcome Results from the 2010 Supplementary CSP Final Review	MOPAN Stakeholder Survey (mean score)
B1: Infrastructure and infrastructure services	Higher economic growth through greater investments, including enhanced infrastructure provision	Outputs <ul style="list-style-type: none"> “With ADB support, a best-practice regulatory framework for private infrastructure and a National Committee for Acceleration of Infrastructure Provision (KKPPI) were established.” “Rural infrastructure. The infrastructure component of the government's rural PNPM program, initiated in 2007 and supported by ADB, has provided financing to more than 36,000 villages for building or upgrading more than 40,000 kilometres of rural roads, building or reconstructing 9,000 rural bridges, some 1,000 irrigation systems, 10,450 clean water supply units, and 4,822 sanitation units.” Outcome <ul style="list-style-type: none"> “ADB-supported road rehabilitation projects have facilitated rapid growth in traffic and transport time-savings on several of Indonesia's national roads.” 	4.18
B2: Financial sector deepening	Greater domestic resource mobilisation to support growth	Outputs <ul style="list-style-type: none"> “Non-bank's share of total financial sector assets reached 22% at end-2009.” “Market capitalization rose from Rp.1,249 billion in 2006 to Rp.2,534 billion at end-2009 (124% growth).” 	4.03
B3: Decentralisation	Greater fiscal and human capacity for sustainable service delivery	Outcome <ul style="list-style-type: none"> “The timeliness and quality of financial reporting by regional governments has improved as a result of the adoption of improved reporting accounting frames.” 	4.17
B4: MDG Acceleration	Quantity and quality of social service delivery improved	Outcome <ul style="list-style-type: none"> “Education expenditures reached 4% of GDP in 2009, up from 2% in 2001. Public health expenditures continued to be below target at about 1% of GDP in 2009. Local planning has become more sensitive to poverty reduction concerns through the introduction of MDG score cards and poverty maps, poverty reduction action plans in a number of pilot districts, and through adoption of guidelines for incorporating MDGs in local plans and budgets.” 	4.40

³¹ Rencana Pembangunan Jangka Menengah Nasional

Priority Sector	Country Level Strategic Goals – National Medium-term Development Plan (RPJM) 2005-2009 ³¹	Examples of Outputs and Outcome Results from the 2010 Supplementary CSP Final Review	MOPAN Stakeholder Survey (mean score)
B5: Environmental and natural resource management	Natural resource management done on a more sustainable basis, with an economic return for the poor Incidence of pollution reduced	Outputs <ul style="list-style-type: none"> “ADB support has contributed to rehabilitating farmer-managed irrigation systems and to secure agreement on the plans and institutional framework for a coordinated cleanup of the Citarum river basin, which is one of Indonesia’s most important and polluted river basins. Under ADB’s Coral Reef Rehabilitation Project, some 40,000 hectares of fragile coral reefs have been rehabilitated, and progress has been made in establishing a community-based coastal reef protection system.” “Progress has been made in reversing the loss of fragile watershed and coastal resources. Some 11 million hectares of fragile coral reefs were under protection by 2009, and dynamite and cyanide fishing has been reduced.” 	4.15

ADB Contribution to Viet Nam’s Goals and Priorities, by Priority Sector

Priority Sector	Country Level Goals and Priorities (Socio-Economic Development Plan 2007-2010)	Examples of Outputs and Outcome Results from the 2009 CAPE	MOPAN Stakeholder Survey (mean score)
B1: Transport	Access to infrastructure (transport, power, etc) improved	Outputs : <ul style="list-style-type: none"> ADB assistance helped improve about 1,000 kilometers (km) of national roads, 4,000 km of provincial and district roads, and 2,100 km of rural roads; and hundreds of small bridges.” Outcomes <ul style="list-style-type: none"> “ADB’s participation through its private sector operations in financing the construction of two power plants, Phu My 2.2 and Phu My 3 (total of 1,431.8 megawatts), contributed to reducing some of the supply-demand gap in the country, which was constraining the supply of power to some economic concerns, particularly industrial.” “The rehabilitation and development of roads by ADB has facilitated the movement of goods throughout the country, and roads are also contributing to increased labor mobility.” <p>“ADB projects have contributed to the reduction in the incidence of accidents and injuries with the installation of traffic signs and signals, street lights, road markings, centre lines and barriers and speed reduction strips.”</p>	4.70

Priority Sector	Country Level Goals and Priorities (Socio-Economic Development Plan 2007-2010)	Examples of Outputs and Outcome Results from the 2009 CAPE	MOPAN Stakeholder Survey (mean score)
B2: Energy	Access to infrastructure (transport, power, etc) improved	Outcomes: <ul style="list-style-type: none"> • In its support to the power sector, distribution loans led to “reductions in losses and increases in electricity availability... The overall socioeconomic impact of the program is difficult to assess precisely, but it is noteworthy that significant increases in electrification rates, from 55.0% in 1992 to 93.0% in 2009.” • “The construction of two power plants contributed to reducing some of the supply-demand gap in the country, which was constraining the supply of power to some economic concerns, particularly industrial.” • “The availability of reliable power enabled manufacturers to expand production activity to meet international and local demand.” • “Reduced energy losses in the distribution system and power outages, providing a reliable power distribution system.” 	4.38
B3: Finance	More efficient access to financial services	Outputs and outcomes: <ul style="list-style-type: none"> • “Over 800,000 borrowers received rural credit under rural finance projects or components. At an estimated 5 persons per household, this means that about 4 million people benefited from the provision of rural finance under ADB projects. ” <p>“ADB-supported financial sector reforms contributed to widening the access of private sector companies to capital market and leasing financing and facilitated the equitization of some SOEs, contributing to some improvements in allocative efficiency all of which will contribute to improved allocational efficiencies.”</p>	4.07
B4: Education	Improve access and quality of secondary education	Outputs <ul style="list-style-type: none"> • “Training facilities of 15 institutions were renovated or constructed and equipment provided which increased training capacity and improved training quality.” • “The completed education project (Loan 1537)25 improved access to better education facilities through the construction or replacement of several hundred classrooms in 366 schools in 21 provinces. Children from ethnic minority groups also benefited, as the catchment areas of some of the beneficiary schools included them.” 	4.19
B5: Water supply and other municipal infrastructure and services	Improve urban management, water supply, and sanitation and mass transit systems	Results: Outputs <ul style="list-style-type: none"> • “Water production capacity for some 500,000 yet unconnected people has been constructed.” • “Improving UWSS was and is an important element of the development strategy of the Government to improve the life and health of its people and to curb pollution of its water resources. Except for Loan 1702, which was cancelled for non performance, projected outputs for the completed projects were generally achieved with minor, justified deviations, albeit with long delays. Project investments resulted in highly improved service coverage and quality.” 	4.51

Priority Sector	Country Level Goals and Priorities (Socio-Economic Development Plan 2007-2010)	Examples of Outputs and Outcome Results from the 2009 CAPE	MOPAN Stakeholder Survey (mean score)
		Outcomes <ul style="list-style-type: none"> • “ADB assistance has contributed to the improvement of the provincial capitals’ water supply network and expanding their coverage. Project investments resulted in highly improved service coverage and quality.” • “There are no data to assess the benefits or beneficiaries [in water sector], but it is safe to say that the investments did lead to more people connecting to the drainage network and to less flooding in the beneficiary areas.” • “Overall, about 1 million people have received safe piped water supply 24 hours a day.” 	