

# Quality in Design and Monitoring Frameworks (DMFs)

## **FINAL REPORT**

Contract No. AO 8019  
RSC No. C51894 (PHI)

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March 31 2006

## CONTENTS

	<b>Page</b>
ACKNOWLEDGEMENTS .....	ii
EXECUTIVE SUMMARY .....	iii
I. BACKGROUND & SCOPE .....	1
II. FINDINGS .....	2
III. SUMMARY CONCLUSIONS .....	7
IV. RECOMMENDATIONS .....	7
APPENDIXES	
1. Tables and Graphs	9
2. Study Database Summaries	24
3. Study Database	36
4. Methodology and Limitations	49
5. Rating System for Design and Monitoring Frameworks	52
6. Quality Review and Assessment Checklist	56
7. Terms of Reference	65
8. Ballad of the Logframe	66

## ACKNOWLEDGEMENTS

I would like to thank Keith Leonard and Henry Tucker for their technical guidance, congeniality and flexibility in permitting me to conduct this relatively short-term study over a period of several months — intermittently with some of my other consultancy activities. I'd also particularly like to acknowledge the invaluable quality control assistance afforded me by Ms. Jocelyn Tubadeza. Her attention to detail caught several egregious errors in some earlier draft data so her feedback contributed immeasurably to the quality of this final product.

Oscar Badiola and Brian Cafirma also deserve recognition for their administrative support throughout my study, which occasionally required considerable extensive and intensive efforts on their part to search, retrieve and/or reproduce numerous copies or extracts of documents for me at short notice.

Thank you for the opportunity to work on this assignment, and again I look forward to future occasions to assist in this — or related — areas where my background in project design, implementation monitoring and/or evaluation techniques, skills and services can help further the objectives of ADB and its developing member countries in economic and social development.

## EXECUTIVE SUMMARY

The project/program design and monitoring framework (DMF) is the principal tool of the Asian Development Bank (ADB) for establishing quality-at-entry for its projects and programs. The DMF summarizes a proposed project/program design and is contained as an appendix in a key loan document—the Report and Recommendation of the President (RRP) to the Board of Directors of ADB. The DMF also forms the basis for subsequent project/program monitoring of implementation activities and evaluation of results. The information contained in the DMF is also transcribed in other ADB project performance management system (PPMS) documentation—namely the project administration memorandum (PAM), project/program performance reports (PPRs) and technical assistance performance reports (TPRs), project completion reports (PCRs), and project/program performance evaluation reports (PPERs).

During this consultation, the quality of ADB project and program loans, regional technical assistance (RETA) and advisory technical assistance (TA) loans & grants frameworks over a period of several years—from 2000 to December 2005—was assessed, compared, and trends noted. The prime focus in the review was the design summary statement for the project/program and TA at three levels: (i) impact (i.e. goal), (ii) outcome (i.e. purpose), and (iii) outputs; and related performance indicators and targets. Assumption and risk statements associated with each project/program proposal in both the DMF and RRP text were also reviewed, as well as the data source statements in the DMFs.

In order to compare “like with like”, this study looked exclusively at DMFs—not DMFs and PPRs as in previous studies. The study also expanded the review to include assumptions & risks, and data sources. Otherwise the process, analytical procedure and rating scale used in this assessment was essentially the same as that used in similar ADB studies conducted in previous years.

**The findings are very encouraging. Since 2000, there has been continual improvement in the quality of almost all aspects of ADB DMFs for project/program loans and TAs.** The weakest areas of DMFs are the developmental objective levels—i.e. Impacts and Outcomes—and the same generic errors continue to appear as heretofore.

**Despite the commendable improvements noted, however, renewed efforts are still necessary on three fronts.**

- (i) Quality assurance at entry for new project/program loans and technical assistance processing within Departments should be strengthened prior to ADB Board approval.
- (ii) Review and selective DMF retrofitting for on-going projects/programs is also necessary to enhance their utility for future results assessment, country and sector strategy programming.
- (iii) Concurrently, continual capacity building within ADB and the DMCs in PPMS concepts and related tools is also essential to ensure system sustainability for effective project/program management and measurement of development results.

## I. BACKGROUND & SCOPE

1. The project/program DMF is the principal tool of the Asian Development Bank (ADB) for establishing quality-at-entry for its projects and programs. The DMF summarizes a proposed project/program design and is contained as an appendix in a key loan document—the Report and Recommendation of the President (RRP) to the Board of Directors of ADB. The DMF also forms the basis for subsequent project/program monitoring of implementation activities and evaluation of results. The information contained in the DMF is also transcribed in other ADB project performance management system (PPMS) documentation—namely the project administration memorandum (PAM), project/program performance reports (PPRs) and technical assistance performance reports (TPRs), project completion reports (PCRs), and project/program performance evaluation reports (PPERs).<sup>1</sup>

2. This study was undertaken for OED by the consultant during the period 7 Dec 2005 through 31 March 2006, under Contract No. A08019 RSC No. C51894 PHI, Quality in Design and Monitoring Frameworks. In order to compare “like with like”, this study looked exclusively at DMFs—not DMFs and PPRs as in previous studies. The study also expanded the review to include assumptions and risks, and data sources. Otherwise the process, analytical procedure and rating scale used in this assessment was essentially the same as that used in similar ADB studies conducted in previous years.

### A. Scope

3. **During this consultation the quality of selected DMFs—as of December 2005—was assessed and compared to several prior years.** Project/program loans, regional technical assistance (RETA) and advisory technical assistance (ADTA) loans & grants approved during years 2000, 2002, 2004, and 2005 were selected for review, as follows:

#### **Project/Program Loans**

1. Random sample of 25 project/program loans approved in 2000
2. Random sample of 25 approved in 2002
3. All (56) approved in 2004
4. All (57) approved in 2005

#### **Regional Technical Assistance (RETA)**

1. Random sample of 25 approved in 2000
2. Random sample of 26 approved in 2002
3. All (66) approved in 2004
4. Random sample of 25 approved in 2005

#### **Advisory Technical Assistance (ADTA)**

1. Random sample of 52 ADTA's approved in 2000
2. Random sample of 52 approved in 2002
3. All (130) approved in 2004
4. Random sample of 50 approved in 2005

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<sup>1</sup> Formerly Project Performance Audit Reports (PPARs).

4. The design summary statements and their related performance indicators and targets—at three levels—were the prime focus of the review:

- (i) impact, (goal), long term objectives
- (ii) outcome, (purpose), immediate development objective
- (iii) outputs [*i.e. deliverables*]

5. The source of data for the indicators and targets, and the statement of assumptions and risks associated with each project/program proposal were also examined.

6. **The prime objective of the review was to assess the current quality of the stated rationale for each project/program and technical assistance initiative—i.e. the extent to which the output statements and resultant objectives reflected a coherent, measurable, approach to providing financial and technical assistance; as well as suitability of the DMF for subsequent implementation performance monitoring and objective analysis of results.**

7. In accordance with item (vi) of the terms of reference, **a checklist was also developed to facilitate OED review and quality assessment of DMFs.** This was produced in two modes:

- (i) An MS word-file format for manual use—with 44 items that can be hand-tallied—together with a supplementary DMF general reference criteria in a matrix format.
- (ii) An MS Excel worksheet format—with the same 44 items—for automatic quantitative and qualitative assessment.

## II. FINDINGS

8. **Over the period of this study—2000 to 2005—the overall quality of DMFs<sup>2</sup> for project and program design and monitoring has consistently improved—from 32% in 2000, to 83% in 2005 being deemed satisfactory or better (Figure 1).**

9. **In 2005, the improving trend in project/program DMF quality—compared with 2004—continued, but was not statistically significant.<sup>3</sup>**

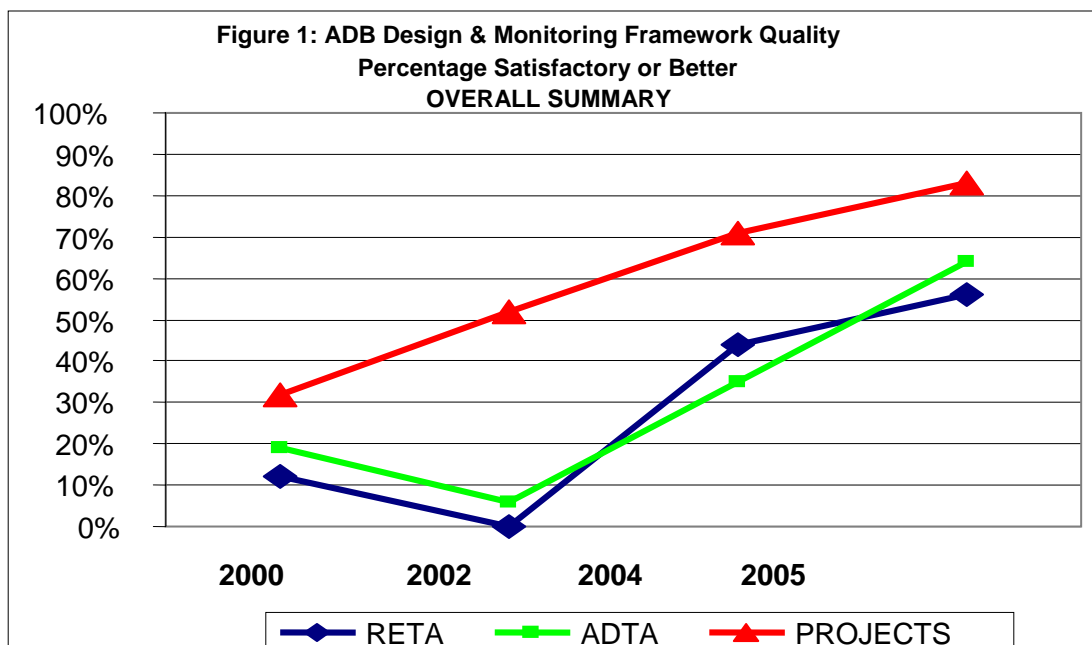
10. **Following some dissonance in 2002, a similar improvement trend occurred in the overall quality of both advisory and regional technical assistance DMFs.** About half of technical assistance DMFs—i.e. 64 % of RETAs, and 56 % of ADTAs respectively—are now deemed satisfactory or better.

11. **Improvement in advisory technical assistance DMFs in 2005 over 2004 was significant in *almost all* aspects.**

12. **On the other hand, significant improvement in 2005 was noted for only a few aspects of DMFs for regional technical assistance, compared with 2004.**

<sup>2</sup> And their precedent frameworks.

<sup>3</sup> Essentially due to the relatively high quality levels previously attained, coupled with the large margin for error that results from small population sizes.



13. However, despite these improvements in trends, the *absolute* quality levels for various aspects of technical assistance DMFs are still substantially lower than the rates attained by project/program loans.

14. Moreover, in the less-than-satisfactory DMFs of both projects/programs and TAs, the same generic errors continue to appear. Many design summary statements are at inappropriate levels, poorly articulated and/or inadequately supported — i.e. lacking indicators, targets &/or timing for attainment.

15. Percentage results—as well as further disaggregation, statistical significance, and rank order priority identification of areas for improvement—of these findings are outlined in Tables 1–3.

16. The data are also graphed in a separate set of tables and graphs (Figures 1–26) contained in Appendix 1.

Table 1: DMF Quality – Project and Program Loans

	Percent Satisfactory or Better	2000	2002	2004	2005	Rank order priority areas for improvement	Statistically Significant
1	<b>Sample Size</b>	25	25	56	57		
2	<b>Overall Summary</b>	32%	52%	71%	83%		
3	Impact Summary	32%	40%	68%	71%	2	
4	Outcome Summary	32%	52%	68%	79%	4	
5	Output Summary	92%	100%	97%	96%	5	
6	Data Source Summary	84%	92%	91%	77%	3	
7	Assumptions and Risks Summary	20%	32%	48%	58%	1	
3	<b>Impact Summary</b>	32%	40%	68%	71%	2	
8	Impact Appropriate Level	72%	72%	91%	88%	5	
9	Impact Quality	60%	44%	66%	79%	3	
10	Impact Indicators	76%	60%	89%	84%	4	
11	Impact Targets	32%	32%	63%	63%	2	
12	Impact Timing	24%	36%	50%	61%	1	
4	<b>Outcome Summary</b>	32%	52%	68%	79%	4	
13	Outcome Appropriate Level	48%	40%	77%	74%	2	
14	Outcome Quality	32%	44%	72%	88%	5	
15	Outcome Indicators	68%	64%	79%	82%	4	
16	Outcome Targets	40%	44%	61%	77%	3	
17	Outcome Timing	28%	48%	54%	68%	1	
5	<b>Output Summary</b>	92%	100%	97%	96%	5	
18	Output Appropriate Level	96%	100%	98%	100%		
19	Output Quality	92%	100%	98%	100%		
20	Output Indicators	92%	100%	9%	91%	1	
21	Output Targets	88%	100%	77%	91%	1	

**Conclusion:** General improvement trend but no statistically significant difference.

**Table 2: DMF Quality – Advisory Technical Assistance (ADTAs)**

	<b>Percent Satisfactory or Better</b>	<b>2000</b>	<b>2002</b>	<b>2004</b>	<b>2005</b>	<b>Rank order priority areas for improvement</b>	<b>Statistically Significant</b>
1	<b>Sample Size</b>	52	52	130	50		
2	<b>Overall Summary</b>	19%	6%	35%	64%		Yes
3	Impact Summary	21%	12%	29%	48%	1	
4	Outcome Summary	20%	12%	23%	60%	2	Yes
5	Output Summary	66%	74%	75%	94%	4	Yes
6	Data Source Summary	69%	31%	100	100%		
				%			
7	Assumptions and Risks Summary	23%	21%	37%	62%	3	Yes
3	<b>Impact Summary</b>	21%	12%	29%	48%	1	
8	Impact Appropriate Level	54%	67%	63%	82%	5	
9	Impact Quality	54%	48%	48%	78%	4	Yes
10	Impact Indicators	37%	33%	43%	66%	3	Yes
11	Impact Targets	19%	6%	19%	34%	1	
12	Impact Timing	15%	12%	20%	40%	2	
4	<b>Outcome Summary</b>	20%	12%	23%	60%	2	Yes
13	Outcome Appropriate Level	42%	46%	44%	74%	4	Yes
14	Outcome Quality	31%	33%	34%	72%	3	Yes
15	Outcome Indicators	29%	27%	33%	84%	5	Yes
16	Outcome Targets	19%	8%	20%	46%	2	Yes
17	Outcome Timing	15%	10%	18%	44%	1	Yes
5	<b>Output Summary</b>	66%	74%	75%	94%	4	Yes
18	Output Appropriate Level	90%	96%	85%	98%	3	Yes
19	Output Quality	87%	90%	85%	98%	3	Yes
20	Output Indicators	65%	73%	64%	90%	2	Yes
21	Output Targets	37%	37%	48%	84%	1	Yes

**CONCLUSION:** General improvement trend and most are statistically significant differences.

**Table 3: DMF Quality – Regional Technical Assistance (RETAs)**

	<b>Percent Satisfactory or Better</b>	<b>2000</b>	<b>2002</b>	<b>2004</b>	<b>2005</b>	<b>Rank order priority areas for improvement</b>	<b>Statistically Significant</b>
1	<i>Sample Size</i>	25	26	66	25		
2	<b>Overall Summary</b>	12%	0%	44%	56%		
3	Impact Summary	12%	0%	14%	44%	2	Yes
4	Outcome Summary	8%	4%	21%	32%	1	
5	Output Summary	48%	57%	85%	80%	5	
6	Data Source Summary	96%	27%	100%	60%	3	Yes
7	Assumptions and Risks Summary	28%	35%	42%	76%	4	Yes
3	<b>Impact Summary</b>	12%	0%	14%	44%	2	Yes
8	Impact Appropriate Level	40%	38%	74%	96%	5	Yes
9	Impact Quality	20%	8%	47%	68%	4	
10	Impact Indicators	28%	23%	39%	48%	2	
11	Impact Targets	8%	12%	6%	48%	2	Yes
12	Impact Timing	0%	8%	15%	28%	1	
4	<b>Outcome Summary</b>	8%	4%	21%	32%	1	
13	Outcome Appropriate Level	24%	19%	64%	60%	4	
14	Outcome Quality	36%	15%	45%	68%	5	
15	Outcome Indicators	20%	23%	36%	56%	3	
16	Outcome Targets	8%	4%	12%	36%	2	
17	Outcome Timing	8%	0%	17%	20%	1	
5	<b>Output Summary</b>	48%	57%	85%	80%	5	
18	Output Appropriate Level	68%	88%	91%	100%		Yes
19	Output Quality	64%	81%	91%	100%		Yes
20	Output Indicators	48%	54%	80%	72%	2	
21	Output Targets	28%	19%	59%	60%	1	

**CONCLUSION:** General improvement trend and some are statistically significant differences.

### III. SUMMARY CONCLUSIONS

17. Direct attribution of quality improvements in project/program and technical assistance DMFs over the past 2 years to particular ADB efforts is not feasible. Nevertheless, since the changes do coincide with several initiatives during this time period by ADB top management, OED, COSO and regional Departments to heighten staff awareness and utilization of the PPMS—including continuing on-going training—a cause-effect linkage is plausible.

18. Since there is still need for some improvement in DMFs—particularly with identification of higher level development objectives to facilitate future evaluation of results—those efforts should be continued, and given renewed emphasis to achieve a higher plateau and ensure sustainability.

### IV. RECOMMENDATIONS

19. Continue initiatives for ADB departments to improve quality assurance-at-entry for new project/program loans, and technical assistance processing.

- (i) Require individuals responsible for preparing a DMF to certify its conformance with a standardized DMF checklist.<sup>4</sup> (i.e. Individual self-check)
- (ii) Establish and staff a permanent PPMS specialist position within each department and RM to provide assistance to design teams and other members in preparing project/program DMFs. (i.e. Organizational Help Desk support function)
- (iii) Institute an authoritative organizational quality assurance point in the project/program review process within each department—either the PPMS specialist acting alone, or a working group review board (with the PPMS specialist as one of the members)—with recurrent responsibility to periodically review, screen and comment on DMF quality for action officers to rectify prior to writing the RRP text and circulating it for comment. (i.e. Organizational-check)
- (iv) Incorporate a standard requirement in the Terms of Reference for project appraisal preparation submissions—for at least one consultant team member to have “ADB DMF competency”.

20. Urge departments to conduct selective review and retrofitting of DMFs for on-going projects/programs as a special effort—as well as in conjunction with mission reviews—to enhance their utility for country and sector strategy programming and future results assessment.

21. Continue to foster—and further—general PPMS awareness; skills training; and competence in ADB, EAs, and TA consultants.

- (i) Make PPMS awareness training mandatory for all new personnel before they assume project/program design responsibilities, as well as incumbents—not just on an *ad hoc* voluntary self-initiated basis, or only for selected individuals.

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<sup>4</sup> The checklist prepared for OED in this study—Appendix 6—could also be utilized for this purpose.

- (ii) Provide more extensive in-depth training in PPMS aspects to certify—or at least qualify—direct-hire personnel in each sector, department, and resident mission as PPMS specialists—to authoritatively assist other ADB and developing member country executing agency members with PPMS formulation requirements and review processes.

22. Utilize the checklist developed in this study to review, rate and provide feedback to department project officers during the project design phase.

## TABLES AND GRAPHS

Table A1.1: Project and Program Loans

Percent Satisfactory, or Better	2000 (%)	2002 (%)	2004 (%)	2005 (%)	Rank Order Priority Areas for Improvement	Statistically Significant
<b>1 Overall Summary</b>	<b>32</b>	<b>52</b>	<b>71</b>	<b>83</b>		
<b>2 Impact Summary</b>	<b>32</b>	<b>40</b>	<b>68</b>	<b>71</b>	<b>2</b>	
<b>3 Outcome Summary</b>	<b>32</b>	<b>52</b>	<b>68</b>	<b>79</b>	<b>4</b>	
<b>4 Output Summary</b>	<b>92</b>	<b>100</b>	<b>97</b>	<b>96</b>	<b>5</b>	
<b>5 Data Source Summary</b>	<b>84</b>	<b>92</b>	<b>91</b>	<b>77</b>	<b>3</b>	
<b>6 Assumptions and Risks Summary</b>	<b>20</b>	<b>32</b>	<b>48</b>	<b>58</b>	<b>1</b>	
<b>2 Impact Summary</b>	32	40	68	71		
7 Impact Appropriate Level	72	72	91	88	<b>5</b>	
8 Impact Quality	60	44	66	79	<b>3</b>	
9 Impact Indicators	76	60	89	84	<b>4</b>	
10 Impact Targets	32	32	63	63	<b>2</b>	
11 Impact Timing	24	36	50	61	<b>1</b>	
<b>3 Outcome Summary</b>	32	52	68	79		
12 Outcome Appropriate Level	48	40	77	74	<b>2</b>	
13 Outcome Quality	32	44	72	88	<b>5</b>	
14 Outcome Indicators	68	64	79	82	<b>4</b>	
15 Outcome Targets	40	44	61	77	<b>3</b>	
16 Outcome Timing	28	48	54	68	<b>1</b>	
<b>4 Output Summary</b>	92	100	97	96	<b>5</b>	
17 Output Appropriate Level	96	100	98	100		
18 Output Quality	92	100	98	100		
19 Output Indicators	92	100	89	91	<b>1</b>	
20 Output Targets	88	100	77	91	<b>1</b>	

**Conclusion: General Improvement Trend but No Statistically Significant Difference**

Note: Sample sizes for 2000 is 25, 2002 is 25, 2004 is 56, and 2005 is 57.

Source: Ken Smith, OED Project Evaluation Consultant, March 2006

Table A1.2: Advisory Technical Assistance (ADTAs)

Percent Satisfactory, or Better	2000 (%)	2002 (%)	2004 (%)	2005 (%)	Rank Order Priority Areas for Improvement	Statistically Significant
<b>1 Overall Summary</b>	<b>19</b>	<b>6</b>	<b>35</b>	<b>64</b>		Yes
<b>2 Impact Summary</b>	<b>21</b>	<b>12</b>	<b>29</b>	<b>48</b>	<b>1</b>	
<b>3 Outcome Summary</b>	<b>20</b>	<b>12</b>	<b>23</b>	<b>60</b>	<b>2</b>	Yes
<b>4 Output Summary</b>	<b>66</b>	<b>74</b>	<b>75</b>	<b>94</b>	<b>4</b>	Yes
<b>5 Data Source Summary</b>	<b>69</b>	<b>31</b>	<b>100</b>	<b>100</b>		
<b>6 Assumptions and Risks Summary</b>	<b>23</b>	<b>21</b>	<b>37</b>	<b>62</b>	<b>3</b>	Yes
<b>2 Impact Summary</b>	21	12	29	48	1	
7 Impact Appropriate Level	54	67	63	82	5	
8 Impact Quality	54	48	48	78	4	Yes
9 Impact Indicators	37	33	43	66	3	Yes
10 Impact Targets	19	6	19	34	1	
11 Impact Timing	15	12	20	40	2	
<b>3 Outcome Summary</b>	20	12	23	60	2	Yes
12 Outcome Appropriate Level	42	46	44	74	4	Yes
13 Outcome Quality	31	33	34	72	3	Yes
14 Outcome Indicators	29	27	33	84	5	Yes
15 Outcome Targets	19	8	20	46	2	Yes
16 Outcome Timing	15	10	18	44	1	Yes
<b>4 Output Summary</b>	66	74	75	94	4	Yes
17 Output Appropriate Level	90	96	85	98	3	Yes
18 Output Quality	87	90	85	98	3	Yes
19 Output Indicators	65	73	64	90	2	Yes
20 Output Targets	37	37	48	84	1	Yes

**Conclusion: General Improvement Trend and Most are Statistically Significant Differences.**

Note: Sample sizes for 2000 is 52, 2002 is 52, 2004 is 130, and 2005 is 50.

Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

Table A1.3: Regional Technical Assistance (RETAs)

Percent Satisfactory, or Better	2000 (\$)	2002 (\$)	2004 (\$)	2005 (\$)	Rank Order Priority Areas for Improvement	Statistically Significant
<b>1 Overall Summary</b>	<b>12</b>	<b>–</b>	<b>44</b>	<b>56</b>		
<b>2 Impact Summary</b>	<b>12</b>	<b>–</b>	<b>14</b>	<b>44</b>	<b>2</b>	Yes
<b>3 Outcome Summary</b>	<b>8</b>	<b>4</b>	<b>21</b>	<b>32</b>	<b>1</b>	
<b>4 Output Summary</b>	<b>48</b>	<b>57</b>	<b>85</b>	<b>80</b>	<b>5</b>	
<b>5 Data Source Summary</b>	<b>96</b>	<b>27</b>	<b>100</b>	<b>60</b>	<b>3</b>	Yes
<b>6 Assumptions and Risks Summary</b>	<b>28</b>	<b>35</b>	<b>42</b>	<b>76</b>	<b>4</b>	Yes
<b>2 Impact Summary</b>	<b>12</b>	<b>–</b>	<b>14</b>	<b>44</b>	<b>2</b>	Yes
7 Impact Appropriate Level	40	38	74	96	<b>5</b>	Yes
8 Impact Quality	20	8	47	68	<b>4</b>	
9 Impact Indicators	28	23	39	48	<b>2</b>	
10 Impact Targets	8	12	6	48	<b>2</b>	Yes
11 Impact Timing	–	8	15	28	<b>1</b>	
<b>3 Outcome Summary</b>	<b>8</b>	<b>4</b>	<b>21</b>	<b>32</b>	<b>1</b>	
12 Outcome Appropriate Level	24	19	64	60	<b>4</b>	
13 Outcome Quality	36	15	45	68	<b>5</b>	
14 Outcome Indicators	20	23	36	56	<b>3</b>	
15 Outcome Targets	8	4	12	36	<b>2</b>	
16 Outcome Timing	8	–	17	20	<b>1</b>	
<b>4 Output Summary</b>	<b>48</b>	<b>57</b>	<b>85</b>	<b>80</b>	<b>5</b>	
17 Output Appropriate Level	68	88	91	100		Yes
18 Output Quality	64	81	91	100		Yes
19 Output Indicators	48	54	80	72	<b>2</b>	
20 Output Targets	28	19	59	60	<b>1</b>	

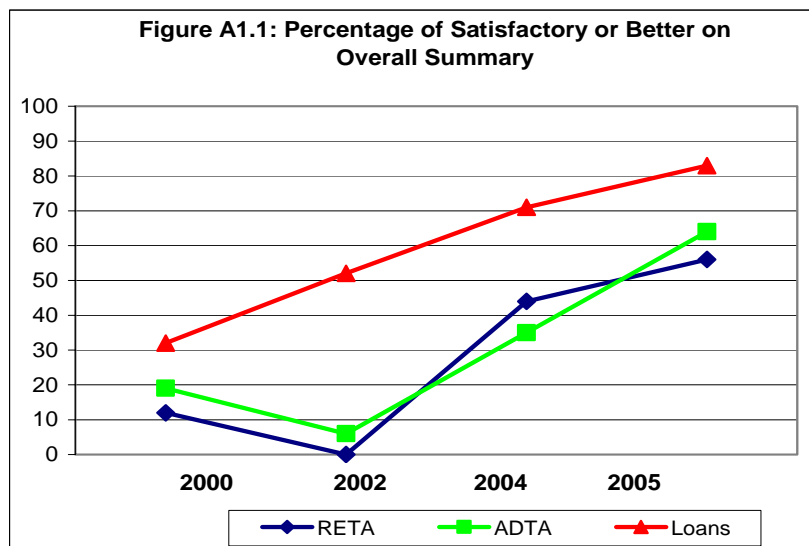
**Conclusion: General Improvement Trend and Some are Statistically Significant Differences.**

Note: Sample sizes for 2000 is 25, 2002 is 26, 2004 is 66, and 2005 is 25.

Source: Ken Smith, OED Project Evaluation Consultant, March 2007.

**Table A1.4: Percentage of Satisfactory or Better on Overall Summary**

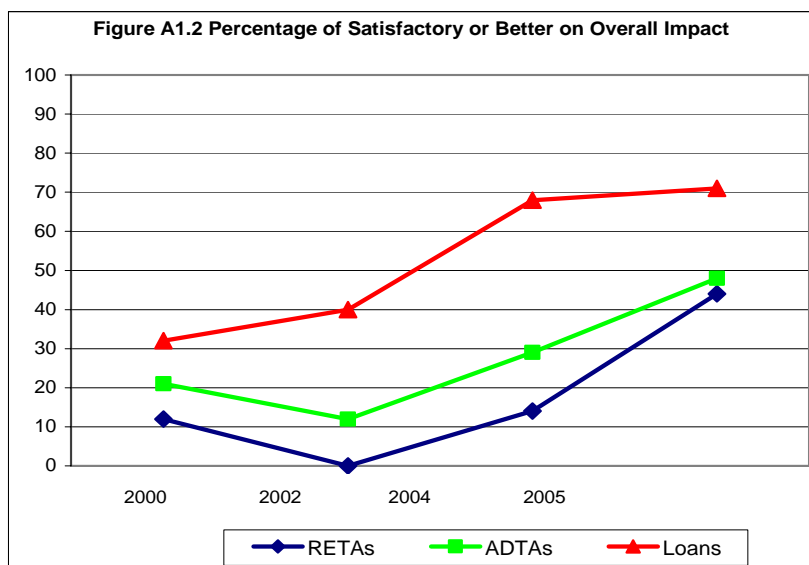
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	12	0	44	56
ADTAs	19	6	35	64
Loans	32	52	71	83



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.5: Percentage of Satisfactory or Better on Overall Impact**

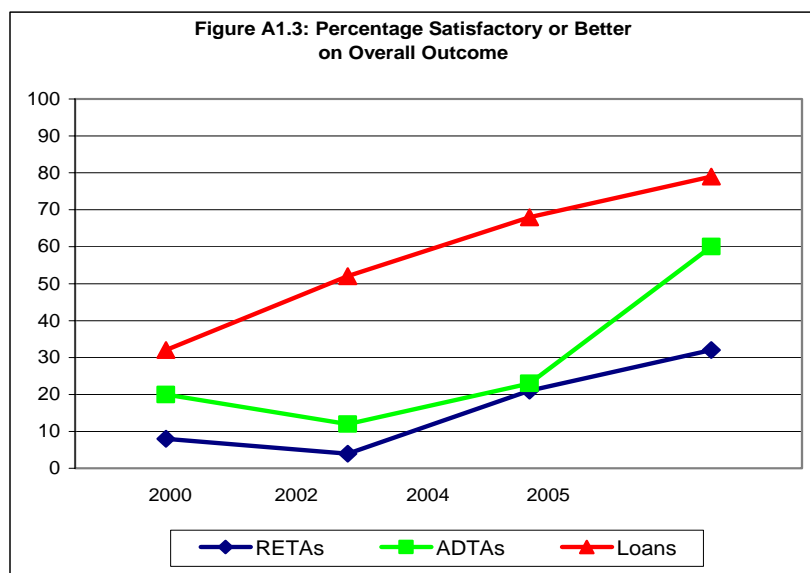
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	12	0	14	44
ADTAs	21	12	29	48
Loans	32	40	68	71



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.6: Percentage of Satisfactory or Better on Overall Outcome**

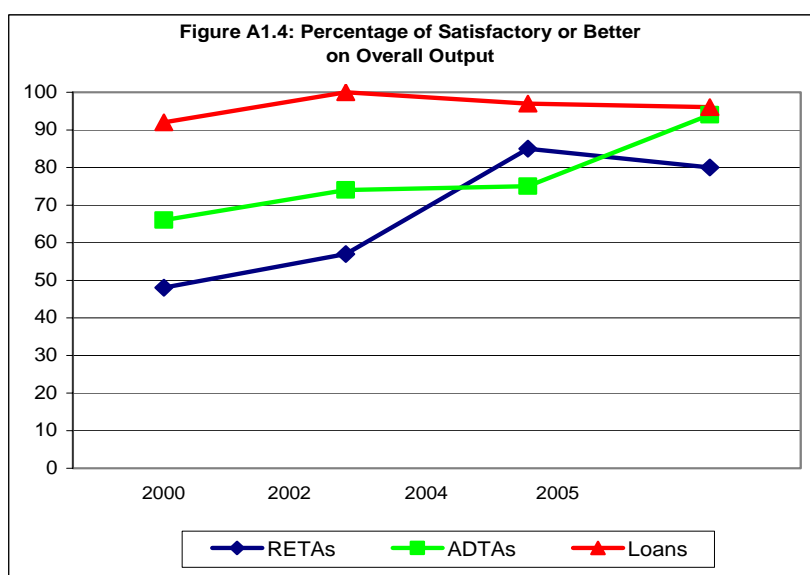
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	8	4	21	<b>32</b>
ADTAs	20	12	23	<b>60</b>
Loans	32	52	68	<b>79</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.7: Percentage of Satisfactory or Better on Overall Output**

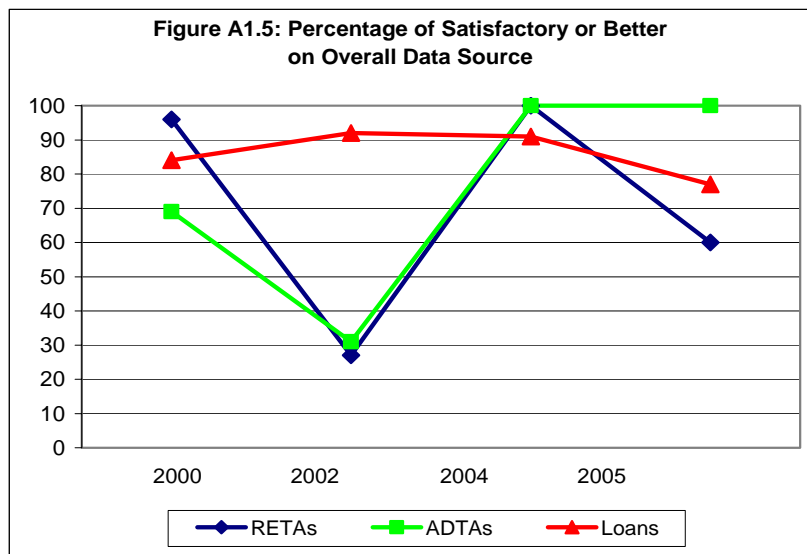
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	48	57	85	<b>80</b>
ADTAs	66	74	75	<b>94</b>
Loans	92	100	97	<b>96</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.8: Percentage of Satisfactory or Better on Overall Data Source**

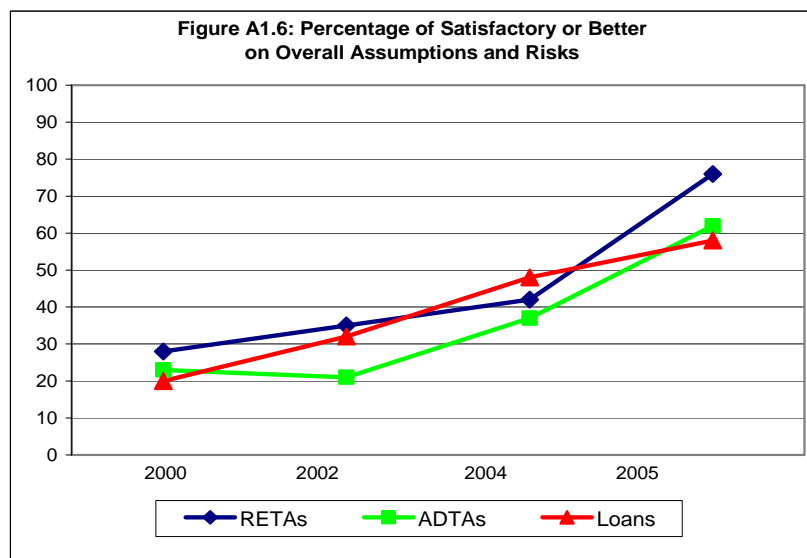
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	96	27	100	60
ADTAs	69	31	100	100
Loans	84	92	91	77



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.9: Percentage of Satisfactory or Better on Overall Assumptions and Risks**

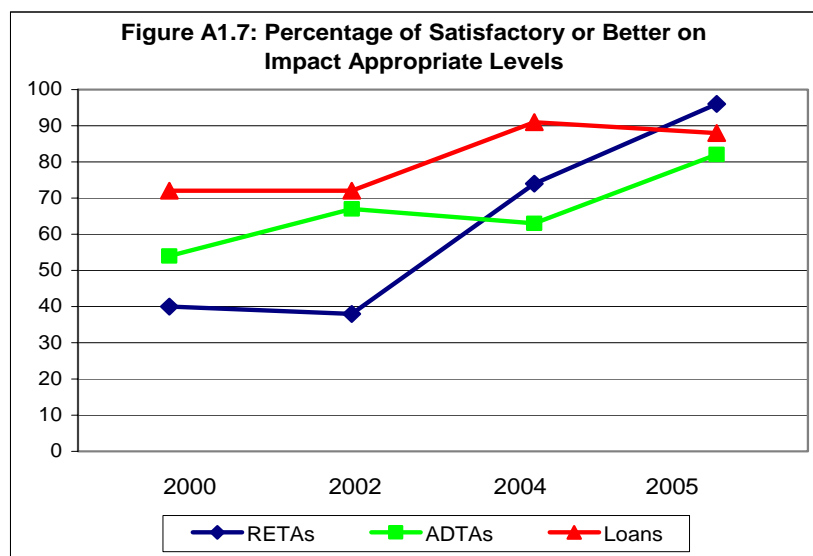
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	28	35	42	76
ADTAs	23	21	37	62
Loans	20	32	48	58



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.10: Percentage of Satisfactory or Better on Impact Appropriate Levels**

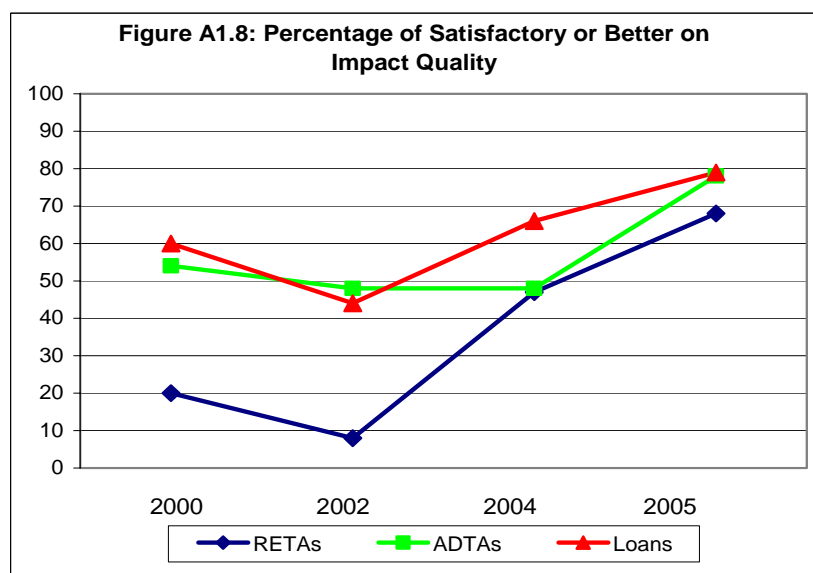
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	40	38	74	96
ADTAs	54	67	63	82
Loans	72	72	91	88



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.11: Percentage of Satisfactory or Better on Impact Quality**

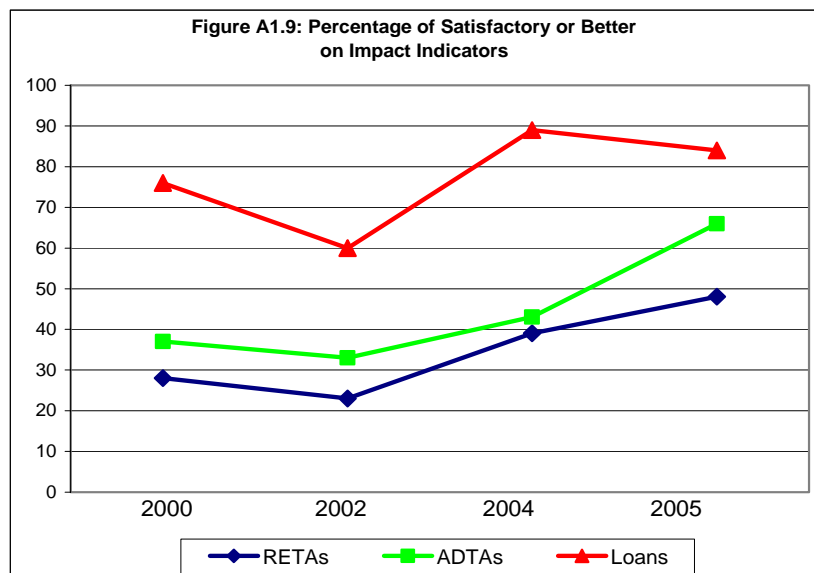
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	20	8	47	68
ADTAs	54	48	48	78
Loans	60	44	66	79



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.12: Percentage of Satisfactory or Better on Impact Indicators**

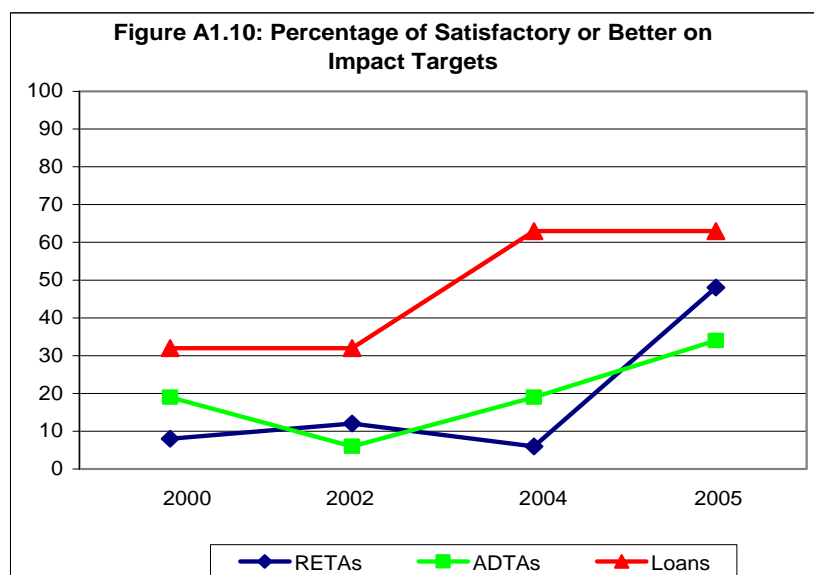
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	28	23	39	<b>48</b>
ADTAs	37	33	43	<b>66</b>
Loans	76	60	89	<b>84</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.13: Percentage of Satisfactory or Better on Impact Targets**

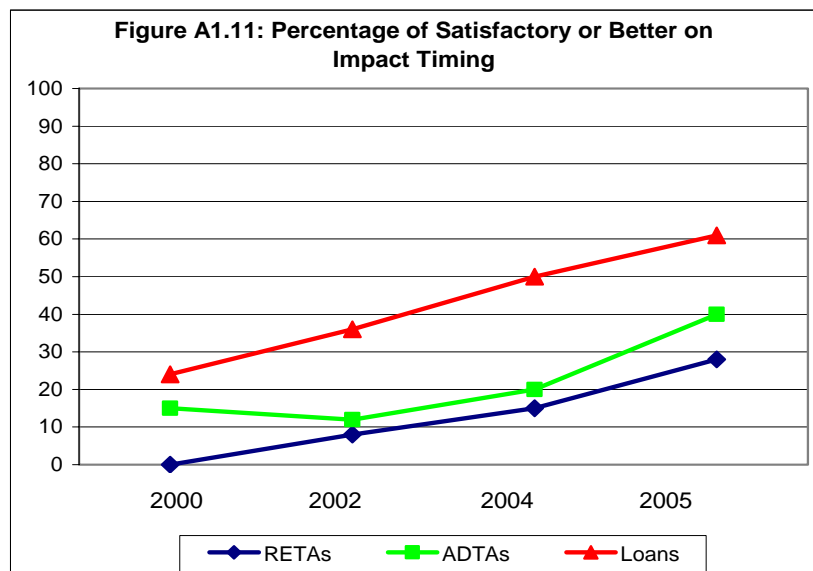
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	8	12	6	<b>48</b>
ADTAs	19	6	19	<b>34</b>
Loans	32	32	63	<b>63</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.14: Percentage of Satisfactory or Better on Impact Timing**

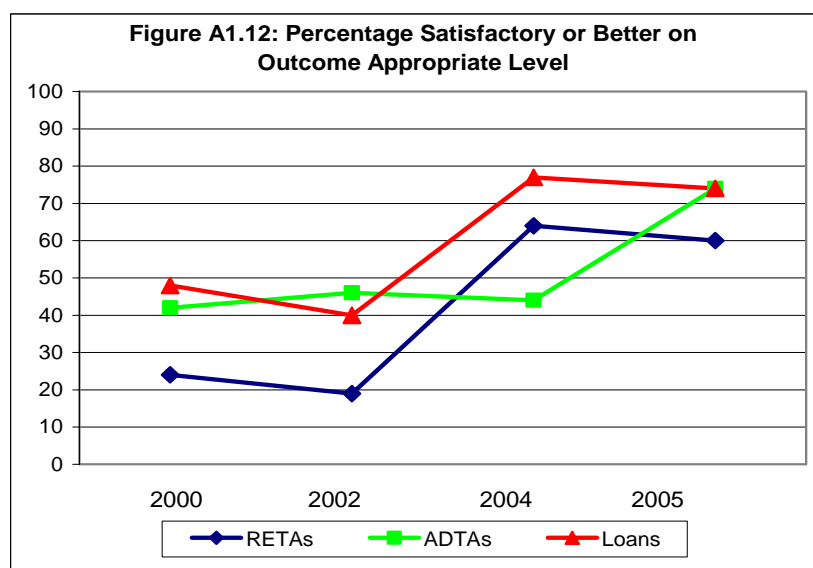
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	0	8	15	<b>28</b>
ADTAs	15	12	20	<b>40</b>
Loans	24	36	50	<b>61</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.15: Percentage of Satisfactory or Better on Outcome Appropriate Level**

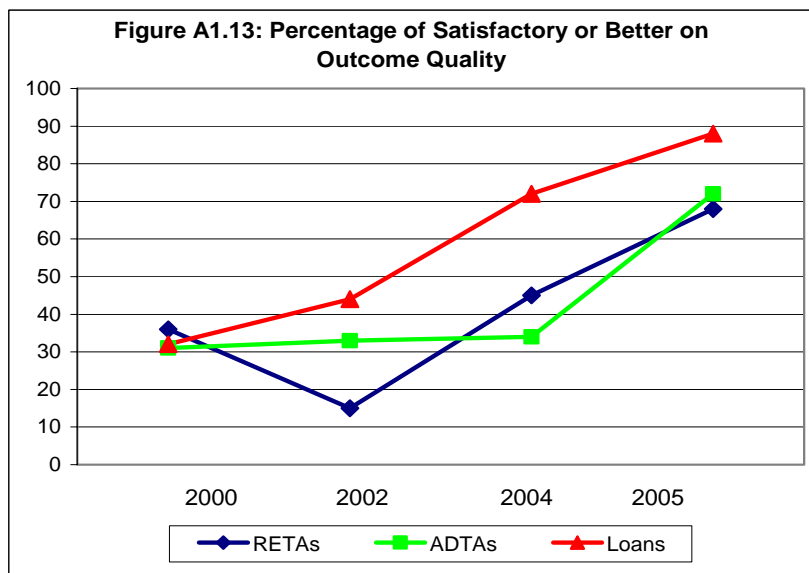
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	24	19	64	<b>60</b>
ADTAs	42	46	44	<b>74</b>
Loans	48	40	77	<b>74</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.16: Percentage of Satisfactory or Better on Outcome Quality**

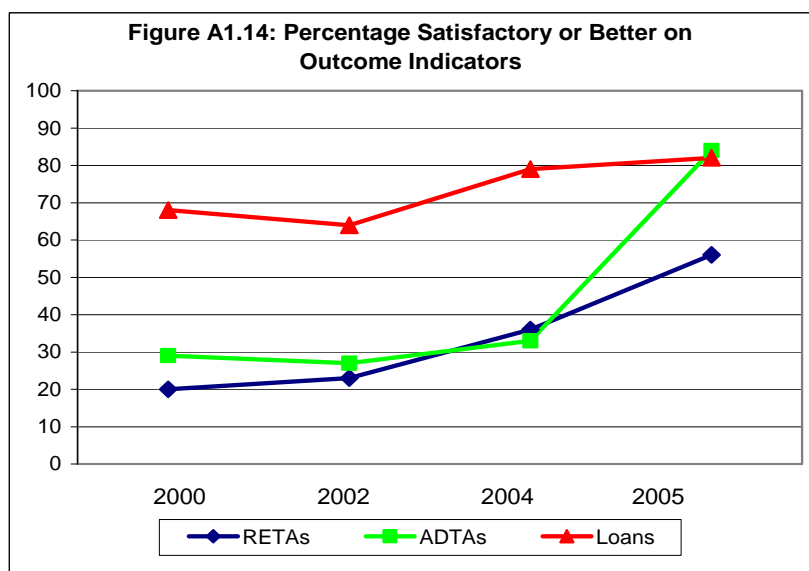
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	36	15	45	<b>68</b>
ADTAs	31	33	34	<b>72</b>
Loans	32	44	72	<b>88</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.17: Percentage of Satisfactory or Better on Outcome Indicators**

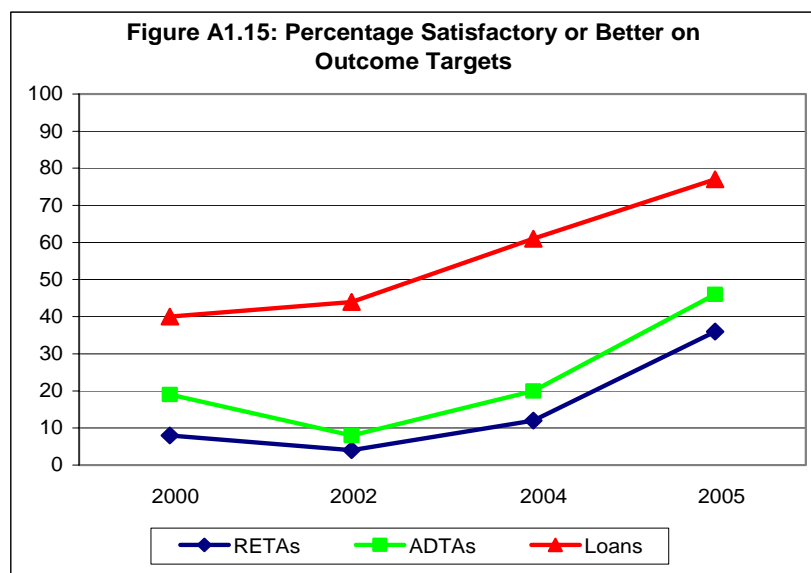
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	20	23	36	<b>56</b>
ADTAs	29	27	33	<b>84</b>
Loans	68	64	79	<b>82</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.18: Percentage of Satisfactory or Better on Outcome Targets**

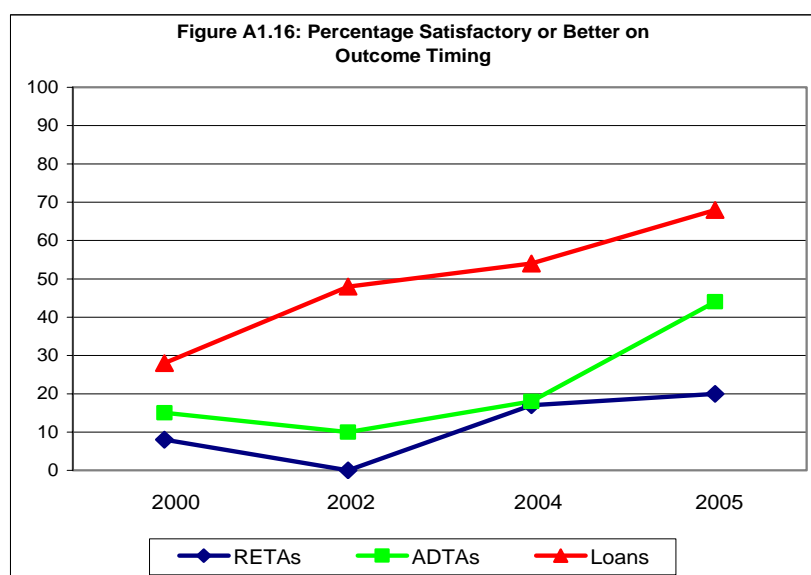
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	8	4	12	<b>36</b>
ADTAs	19	8	20	<b>46</b>
Loans	40	44	61	<b>77</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.19: Percentage of Satisfactory or Better on Outcome Timing**

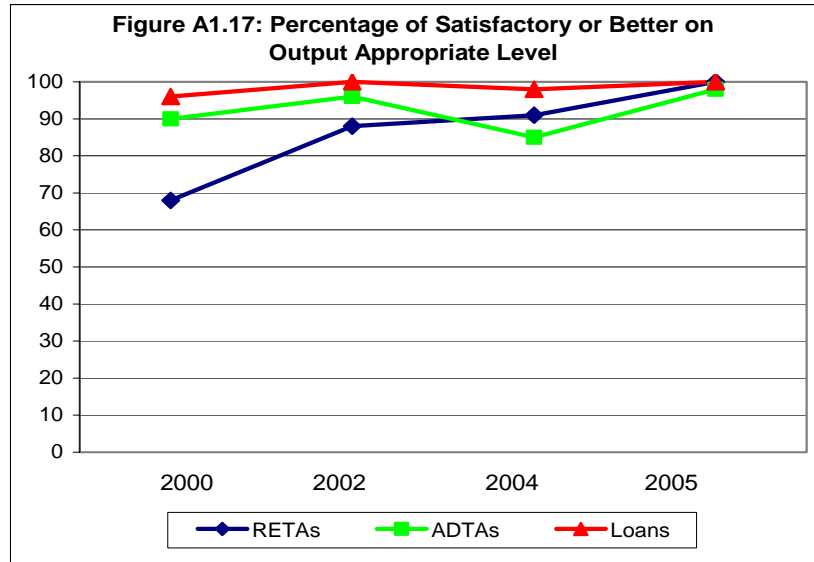
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	8	0	17	<b>20</b>
ADTAs	15	10	18	<b>44</b>
Loans	28	48	54	<b>68</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.20: Percentage of Satisfactory or Better on Output Appropriate Level**

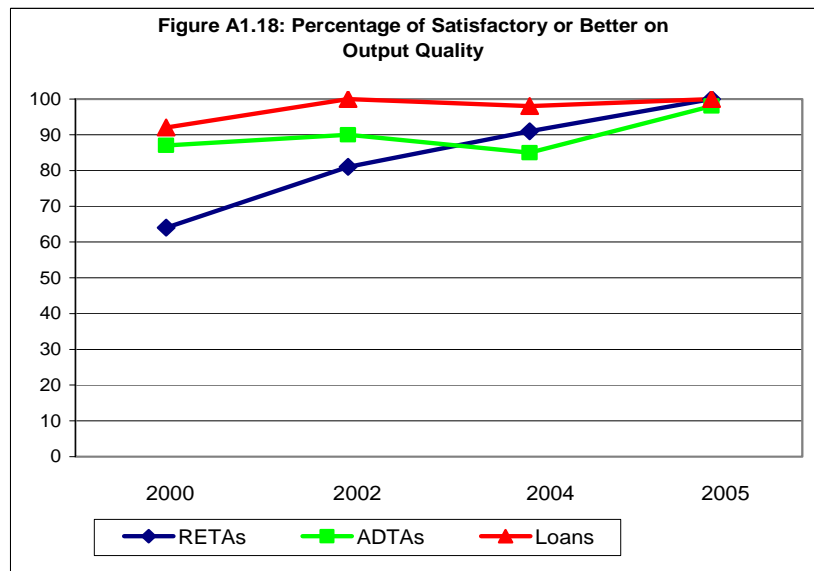
Item	2002 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	68	88	91	<b>100</b>
ADTAs	90	96	85	<b>98</b>
Loans	96	100	98	<b>100</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.21: Percentage of Satisfactory or Better on Output Quality**

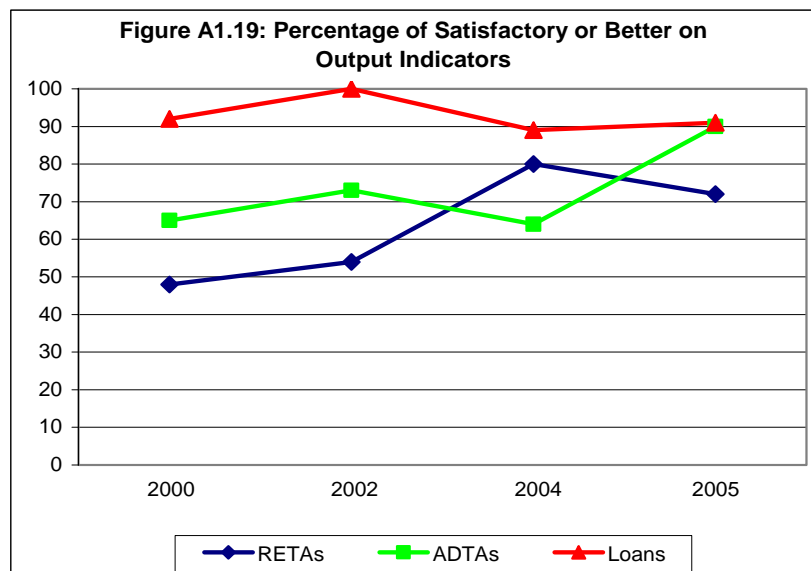
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	64	81	91	<b>100</b>
ADTAs	87	90	85	<b>98</b>
Loans	92	100	98	<b>100</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.22: Percentage of Satisfactory or Better on Output Indicators**

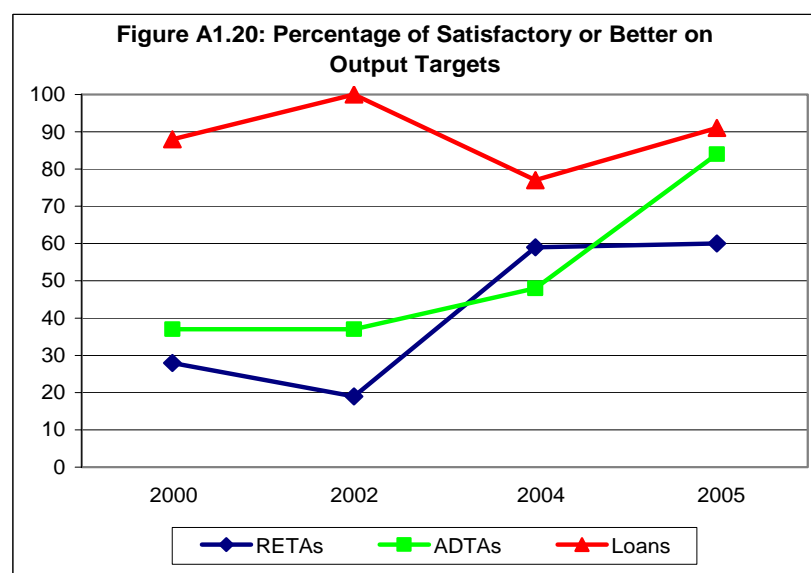
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	48	54	80	<b>72</b>
ADTAs	65	73	64	<b>90</b>
Loans	92	100	89	<b>91</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.23: Percentage of Satisfactory or Better on Output Targets**

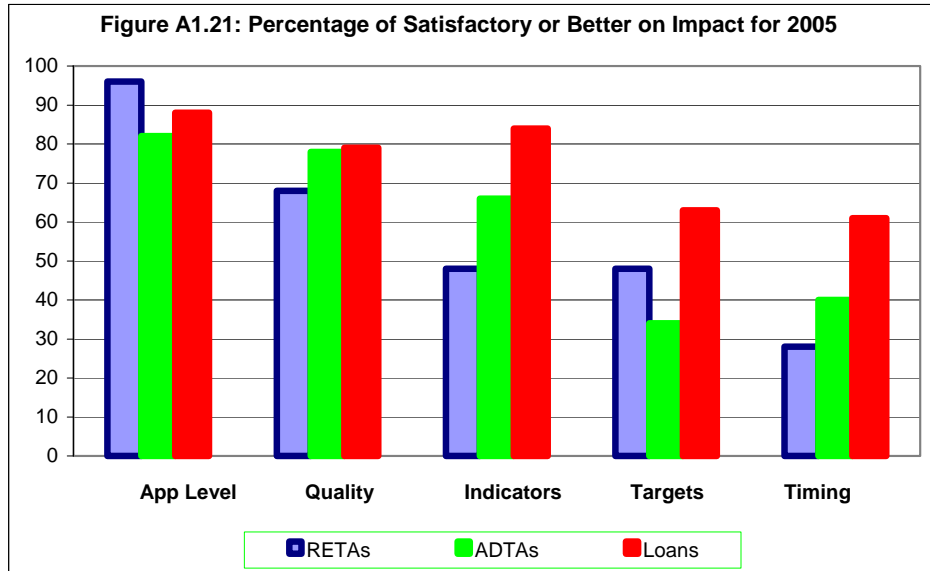
Item	2000 (%)	2002 (%)	2004 (%)	2005 (%)
RETAs	28	19	59	<b>60</b>
ADTAs	37	37	48	<b>84</b>
Loans	88	100	77	<b>91</b>



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

**Table A1.24: Percentage of Satisfactory or Better on Impact for 2005**

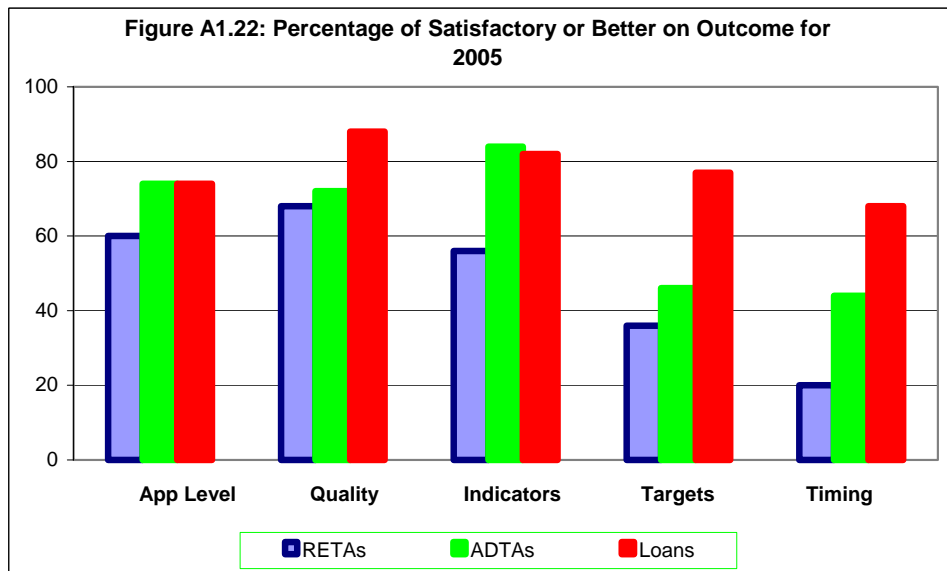
Item	App Level Quality (%)		Indicators	Targets	Timing (%)
	(%)	(%)	(%)	(%)	(%)
RETAs	96	68	48	48	28
ADTAs	82	78	66	34	40
Loans	88	79	84	63	61



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

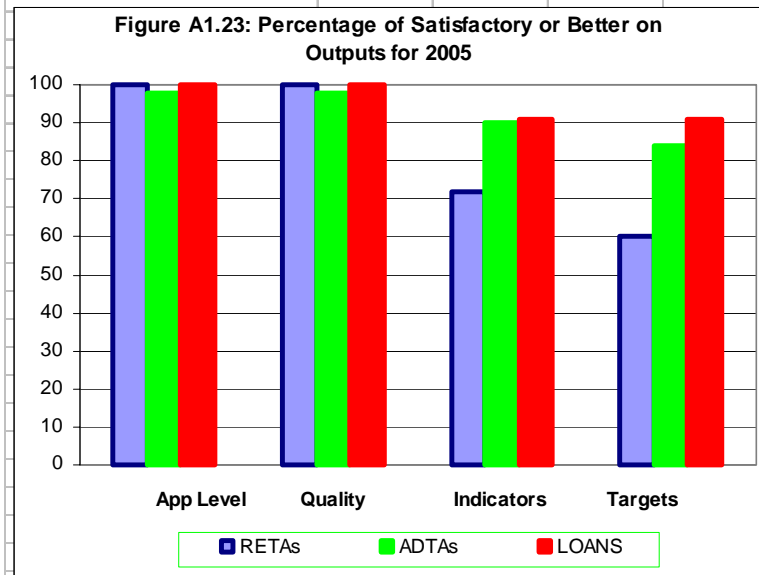
**Table A1.25: Percentage of Satisfactory or Better on Outcome for 2005**

Item	App Level Quality (%)		Indicators	Targets	Timing (%)
	(%)	(%)	(%)	(%)	(%)
RETAs	60	68	56	36	20
ADTAs	74	72	84	46	44
Loans	74	88	82	77	68



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

Item	App Level (%)	Quality (%)	Indicators (%)	Targets (%)
RETAs	100	100	72	60
ADTAs	98	98	90	84
Loans	100	100	91	91



Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

## STUDY DATABASE SUMMARIES

Table A2.1: Database 2000 Project Loans

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists		FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists			FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally																				
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output Level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are Internal to project management or at the Wrong Level Structure*	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING	OVERALL SUMMARY RATING (All Five Factors)								
Count of 3s	17	14	19	8	6	10	5	17	10	7	24	23	23	22																					Count of 3s	4	0	22	7	3	0
Count of 2s	1	1	0	0	0	2	3	0	0	0	0	0	0	0																					Count of 2s	4	8	1	14	2	8
Count of 1s	4	7	2	0	1	9	12	2	1	0	0	1	1	1																					Count of 1s	13	12	1	4	3	17
Count of 0s	3	3	4	17	18	4	5	6	14	18	1	1	1	2																					Count of 0s	4	5	1	0	17	0
	25	25	25	25	25	25	25	25	25	25	25	25	25	25					Average #									Check	25	25	25	25	25	25							
% of 3s	68	56	76	32	24	40	20	68	40	28	96	92	92	88					21	2								Check	%	%	%	%	%	%	% of 3s	16	0	88	28	12	0
% of 2s	4	4	0	0	0	8	12	0	0	0	0	0	0	0													Check	%	%	%	%	%	%	% of 2s	16	32	4	56	8	32	
% of 1s	16	28	8	0	4	36	48	8	4	0	0	4	4	4													Check	%	%	%	%	%	%	% of 1s	52	48	4	16	12	68	
% of 0s	12	12	16	68	72	16	20	24	56	72	4	4	4	8													Check	%	%	%	%	%	%	% of 0s	16	20	4	0	68	0	
	100	100	100	100	100	100	100	100	100	100	100	100	100	100													Check	100	100	100	100	100	100								

Source: Ken Smith, OED Project Evaluation Consultant, March 2006.

Table A2.2: Database 2002 Loans

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists				FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists				FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally					OVERALL SUMMARY RATING (All Five Factors)									
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are Internal to project management or at the Wrong Level Structure	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING		OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING						
Count of 3s	17	11	15	8	9	9	10	16	11	12	25	25	25	25															Count of 3s	4	5	25	15	2	0			
Count of 2s	1	0	0	0	0	1	1	0	0	0	0	0	0	0															Count of 2s	6	8	0	8	6	13			
Count of 1s	3	10	5	2	0	7	6	4	3	0	0	0	0	0															Count of 1s	9	4	0	2	7	12			
Count of 0s	4	4	5	15	16	8	8	5	11	13	0	0	0	0															Count of 0s	6	8	0	0	10	0			
Check	25	25	25	25	25	25	25	25	25	25	25	25	25	25											Check							25	25	25	25	25	25	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%					19	2												%	%	%	%	%	%	
% of 3s	68%	44%	60%	32%	36%	36%	40%	64%	44%	48%	100%	100%	100%	100%																		% of 3s	16%	20%	100%	60%	8%	0%
% of 2s	4%	0%	0%	0%	0%	4%	4%	0%	0%	0%	0%	0%	0%	0%																		% of 2s	24%	32%	0%	32%	24%	52%
% of 1s	12%	40%	20%	8%	0%	28%	24%	16%	12%	0%	0%	0%	0%	0%																		% of 1s	36%	16%	0%	8%	28%	48%
% of 0s	16%	16%	20%	60%	64%	32%	32%	20%	44%	52%	0%	0%	0%	0%																		% of 0s	24%	32%	0%	0%	40%	0%
Check	1	1	1	1	1	1	1	1	1	1	1	1	1	1											Check							1	1	1	1	1	1	

Source: Ken Smith, OED Project Evaluation Consultant, March 2006

Table A2.3: Database 2004 Loans

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING					Means of Verification (Data Source) RATING Enter "1" if condition exists		FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists						FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists		NOTE: Five Factors Weighted Equally					OVERALL SUMMARY RATING (All Five Factors)									
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are internal to project management or at the Wrong Level Structure*	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING		MOV (DS) RATING	Assumptions & Risks RATING							
Count of 3s	47	37	50	35	28	33	34	43	33	29	55	55	50	43																				Count of 3s	20	11	43	27	4	0
Count of 2s	4	0	0	0	0	10	6	1	1	1	0	0	0	0																				Count of 2s	18	27	11	24	23	40
Count of 1s	1	17	2	5	0	8	12	8	11	0	1	1	6	6																				Count of 1s	13	12	1	4	6	16
Count of 0s	4	2	4	16	28	5	4	4	11	26	0	0	0	7																				Count of 0s	5	6	1	1	23	0
Check	56	56	56	56	56	56	56	56	56	56	56	56	56	56																				Check	56	56	56	56	56	56
% of 3s	84%	66%	89%	63%	50%	59%	61%	77%	59%	52%	98%	98%	89%	77%					8	2														% of 3s	36%	20%	77%	48%	7%	0%
% of 2s	7%	0%	0%	0%	0%	18%	11%	2%	2%	2%	0%	0%	0%	0%																				% of 2s	32%	48%	20%	43%	41%	71%
% of 1s	2%	30%	4%	9%	0%	14%	21%	14%	20%	0%	2%	2%	11%	11%																				% of 1s	23%	21%	2%	7%	11%	29%
% of 0s	7%	4%	7%	29%	50%	9%	7%	7%	20%	46%	0%	0%	0%	13%																				% of 0s	9%	11%	2%	2%	41%	0%
Check	1	1	1	1	1	1	1	1	1	1	1	1	1	1																				Check	1	1	1	1	1	1

Source: Ken Smith, OED Consultant, Feb 2005

Table A2.4: Database 2005 Loans

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists		FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists					FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists		NOTE: Five Factors Weighted Equally																			
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are Internal to project management or at the Wrong Level Structure	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING	OVERALL SUMMARY RATING (All Five Factors)										
Count of 3s	48	45	48	36	35	40	49	47	44	39	57	57	52	52																					Count of 3s	26	25	51	17	6	2		
Count of 2s	2	0	0	0	0	2	1	0	0	0	0	0	0	0																					Count of 2s	14	20	4	27	27	44		
Count of 1s	6	11	7	6	0	13	5	9	2	0	0	0	3	3																					Count of 1s	12	10	2	11	14	10		
Count of 0s	1	1	2	15	22	2	2	1	11	18	0	0	2	2																					Count of 0s	5	2	0	2	10	1		
	57	57	57	57	57	57	57	57	57	57	57	57	57	57					Average #							Check												57	57	57	57	57	57
% of 3s	84%	79%	84%	63%	61%	70%	86%	82%	77%	68%	100%	100%	91%	91%					14	6																% of 3s	46%	44%	89%	30%	11%	4%	
% of 2s	4%	0%	0%	0%	0%	4%	2%	0%	0%	0%	0%	0%	0%	0%																					% of 2s	25%	35%	7%	47%	47%	77%		
% of 1s	11%	19%	12%	11%	0%	23%	9%	16%	4%	0%	0%	0%	5%	5%																					% of 1s	21%	18%	4%	19%	25%	18%		
% of 0s	2%	2%	4%	26%	39%	4%	4%	2%	19%	32%	0%	0%	4%	4%																					% of 0s	9%	4%	0%	4%	18%	2%		
	1	1	1	1	1	1	1	1	1	1	1	1	1	1											Check												1	1	1	1	1	1	

Source: Ken Smith, OED Consultant, Dec 2005.

Table A2.5: Database 2000 ADTAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists	FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists						FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally					OVERALL SUMMARY RATING (All Five Factors)						
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets		No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS		No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are Internal to project management or at the Wrong Level Structure	FRAMEWORK A&R QUALITY RATING		Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING
Count of 3s	28	16	19	10	8	21	14	15	10	8	47	45	34	19													Count of 3s	7	6	19	16	2	0	
Count of 2s	0	12	0	0	0	1	2	0	0	0	0	0	0	0													Count of 2s	4	4	15	20	10	10	
Count of 1s	1	0	1	1	0	5	11	5	1	0	0	1	7	8													Count of 1s	11	12	12	8	6	26	
Count of 0s	23	24	32	41	44	25	25	32	41	44	5	6	11	25					Average #									Count of 0s	30	30	6	8	34	16
Check	52	52	52	52	52	52	52	52	52	52	52	52	52	52						9	1					Check	52	52	52	52	52	52		
% of 3s	54%	31%	37%	19%	15%	40%	27%	29%	19%	15%	90%	87%	65%	37%													% of 3s	13%	12%	37%	31%	4%	0%	
% of 2s	0%	23%	0%	0%	0%	2%	4%	0%	0%	0%	0%	0%	0%	0%													% of 2s	8%	8%	29%	38%	19%	19%	
% of 1s	2%	0%	2%	2%	0%	10%	21%	10%	2%	0%	0%	2%	13%	15%													% of 1s	21%	23%	23%	15%	12%	50%	
% of 0s	44%	46%	62%	79%	85%	48%	48%	62%	79%	85%	10%	12%	21%	48%													% of 0s	58%	58%	12%	15%	65%	31%	
Check	1	1	1	1	1	1	1	1	1	1	1	1	1	1											Check	1	1	1	1	1	1			

Source: Ken Smith, OED Consultant, Feb 2005

Table A2.6: Database 2002 ADTAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists	FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists					FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally											
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets		No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS		# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are internal to project management or at the Wrong Level Structure*	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING
Count of 3s	35	25	17	3	6	23	16	14	4	5	50	47	38	19												Count of 3s	2	3	19	4	2	0	
Count of 2s	0	0	0	0	0	1	1	0	0	0	0	0	0	0												Count of 2s	4	3	19	12	9	3	
Count of 1s	1	11	9	3	0	3	10	6	2	0	0	2	7	9												Count of 1s	27	18	11	22	11	34	
Count of 0s	16	16	26	46	46	25	32	46	47	2	3	7	24													Count of 0s	19	28	3	14	30	15	
Check	52	52	52	52	52	52	52	52	52	52	52	52	52												Check	52	52	52	52	52	52		
% of 3s	67%	48%	33%	6%	12%	44%	31%	27%	8%	10%	96%	90%	73%	37%												% of 3s	4%	6%	37%	8%	4%	0%	
% of 2s	0%	0%	0%	0%	0%	2%	2%	0%	0%	0%	0%	0%	0%													% of 2s	8%	6%	37%	23%	17%	6%	
% of 1s	2%	21%	17%	6%	0%	6%	19%	12%	4%	0%	4%	13%	17%													% of 1s	52%	35%	21%	42%	21%	65%	
% of 0s	31%	31%	50%	88%	88%	48%	48%	62%	88%	90%	4%	6%	46%													% of 0s	37%	54%	6%	27%	58%	29%	
Check	1	1	1	1	1	1	1	1	1	1	1	1	1												Check	1	1	1	1	1	1		

Source: Ken Smith, OED Consultant, Feb 2005



Table A2.8: Database 2005 ADTAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means or Verification (Data Source) RATING Enter "1" if condition exists	FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists	FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally					OVERALL SUMMARY RATING (All Five Factors)										
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks: or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks		Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are internal to project management or at the Wrong Level Structure*	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING
Count of 3s	41	39	33	17	20	34	35	42	23	22	49	49	45	42													Count of 3s	13	13	42	30	9	4
Count of 2s	0	0	0	0	0	3	1	0	0	0	0	0	0	0													Count of 2s	11	17	5	20	22	28
Count of 1s	4	6	11	6	0	8	9	5	5	1	0	0	3	3													Count of 1s	19	13	2	0	6	18
Count of 0s	5	5	6	27	30	5	5	3	22	27	1	1	2	5													Count of 0s	7	7	1	0	13	0
	50	50	50	50	50	50	50	50	50	50	50	50	50	50					Average #							Check	50	50	50	50	50	50	
% of 3s	82%	78%	66%	34%	40%	68%	70%	84%	46%	44%	98%	98%	90%	84%					7	3						Check							
% of 2s	0%	0%	0%	0%	0%	6%	2%	0%	0%	0%	0%	0%	0%	0%													% of 3s	26%	26%	84%	60%	18%	8%
% of 1s	8%	12%	22%	12%	0%	16%	18%	10%	10%	2%	0%	0%	6%	6%													% of 2s	22%	34%	10%	40%	44%	56%
% of 0s	10%	10%	12%	54%	60%	10%	10%	6%	44%	54%	2%	2%	4%	10%													% of 1s	38%	26%	4%	0%	12%	36%
	1	1	1	1	1	1	1	1	1	1	1	1	1	1												Check	1	1	1	1	1	1	

Source: Ken Smith, OED Consultant, Dec 2005.

Table A2.9: Database 2000 RETAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists				FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists				FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists		NOTE: Five Factors Weighted Equally																
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are internal to project management or at the Wrong Level Structure*	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING	OVERALL SUMMARY RATING (All Five Factors)								
Count of 3s	8	5	7	2	0	5	7	5	2	2	17	15	12	7																					Count of 3s	0	1	6	13	0	0
Count of 2s	2	0	0	0	0	1	2	0	0	0	0	1	0	0																					Count of 2s	3	1	6	11	7	3
Count of 1s	2	6	2	1	0	8	4	6	1	0	0	1	4	2																					Count of 1s	4	7	5	0	12	14
Count of 0s	13	14	16	22	25	11	12	14	22	23	8	8	9	16																					Count of 0s	18	16	8	1	6	8
Check	25	25	25	25	25	25	25	25	25	25	25	25	25	25												Check		25	25	25	25	25	25								
% of 3s	32%	20%	28%	8%	0%	20%	28%	20%	8%	8%	68%	60%	48%	28%					6	2															% of 3s	0%	4%	24%	52%	0%	0%
% of 2s	8%	0%	0%	0%	0%	4%	8%	0%	0%	0%	0%	4%	0%	0%																					% of 2s	12%	4%	24%	44%	28%	12%
% of 1s	8%	24%	8%	4%	0%	32%	16%	24%	4%	0%	0%	4%	16%	8%																					% of 1s	16%	28%	20%	0%	48%	56%
% of 0s	52%	56%	64%	88%	100%	44%	48%	56%	88%	92%	32%	32%	36%	64%																					% of 0s	72%	64%	32%	4%	24%	32%
Check	1	1	1	1	1	1	1	1	1	1	1	1	1	1												Check		1	1	1	1	1	1								

Source: Ken Smith, OED Consultant, Feb 2005

Table A2.10: Database 2002 RETAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists		FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists					FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally					OVERALL SUMMARY RATING (All Five Factors)								
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output Level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are Internal to project management or at the Wrong Level Structure*	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING		GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING			
Count of 3s	10	2	6	3	2	5	4	6	1	0	23	21	14	5																						
Count of 2s	0	0	0	0	0	0	0	0	0	0	0	0	0	0																						
Count of 1s	4	12	7	0	0	9	10	6	1	0	0	2	9	4																						
Count of 0s	12	12	13	23	24	12	12	14	24	26	3	3	3	17																						
Check	26	26	26	26	26	26	26	26	26	26	26	26	26	26												Check										
																			Average #																	
																			8	2						Check										
% of 3s	38%	8%	23%	12%	8%	19%	15%	23%	4%	0%	88%	81%	54%	19%																						
% of 2s	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%																						
% of 1s	15%	46%	27%	0%	0%	35%	38%	23%	4%	0%	0%	8%	35%	15%																						
% of 0s	46%	46%	50%	88%	92%	46%	46%	54%	92%	100%	12%	12%	12%	65%																						
Check	1	1	1	1	1	1	1	1	1	1	1	1	1	1												Check										

Source: Ken Smith, OED Consultant, Feb 2005.

Table A2.11: Database 2004 RETAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists			FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists					FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally											
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are internal to project management or at the Wrong Level Structure	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING	OVERALL SUMMARY RATING (All Five Factors)		
Count of 3s	49	30	26	4	10	35	26	24	8	11	60	60	53	39																					
Count of 2s	0	1	0	0	0	7	4	0	0	0	0	0	0	0																					
Count of 1s	3	21	18	10	0	4	18	23	9	0	1	1	7	9																					
Count of 0s	14	14	22	52	56	20	18	19	49	55	5	5	6	18																					
Check	66	66	66	66	66	66	66	66	66	66	66	66	66	66																					
																			Average #																
																			9	1															
% of 3s	74%	45%	39%	6%	15%	53%	39%	36%	12%	17%	91%	91%	80%	59%																					
% of 2s	0%	2%	0%	0%	0%	11%	6%	0%	0%	0%	0%	0%	0%	0%																					
% of 1s	5%	32%	27%	15%	0%	6%	27%	35%	14%	0%	2%	2%	11%	14%																					
% of 0s	21%	21%	33%	79%	85%	30%	27%	29%	74%	83%	8%	8%	9%	27%																					
Check	1	1	1	1	1	1	1	1	1	1	1	1	1	1																					

Source: Ken Smith, OED Consultant, Feb 2005.

Table A2.12: Database 2005 RETAs

	IMPACT RATING					OUTCOME RATING					OUTPUT RATING				Means of Verification (Data Source) RATING Enter "1" if condition exists	FRAMEWORK ASSUMPTIONS & RISKS RATING Count A&R Then Enter "1" if condition exists	FRAMEWORK & RRP ASS & RISK COMPATIBILITY Enter "1" if condition exists	NOTE: Five Factors Weighted Equally																									
	Impact Statement Level	Impact Statement Quality	Impact Indicators	Impact Targets	Impact Timing	Outcome Statement Level	Outcome Statement Quality	Outcome Indicators	Outcome Targets	Outcome Timing	Output Statement Level	Output Statement Quality	Output Indicators	Output Targets	No MOVs (Data Sources) Identified for Impact, Outcome or Output level	Very Generic non-specific MOVs for Outcome & Impact Levels	Inappropriate MOV for Impact &/or Outcome Level	Frequency of Data Collection not cited for Outcome Level Surveys	# of ASSUMPTIONS	# of RISKS	No Risks; or Risks are not specifically ID'd in Framework	Some Duplication of Assumptions or Risks	Some Assumptions/Risks are Technical "Givens" or Rationale rather than potential constraints	Assumptions or Risks are internal to project management or at the Wrong Level Structure	FRAMEWORK A&R QUALITY RATING	Key Risks in RRP Text are not in Framework	A&R FRAMEWORK & RRP COMPATIBILITY RATING	GOAL LEVEL RATING	OUTCOME LEVEL RATING	OUTPUT LEVEL RATING	MOV (DS) RATING	Assumptions & Risks RATING	OVERALL SUMMARY RATING (All Five Factors)										
Count of 3s	24	17	12	12	7	13	17	14	9	5	25	25	18	15																						Count of 3s	3	4	15	13	9	0	
Count of 2s	0	0	0	0	0	2	0	0	0	0	0	0	0	0																						Count of 2s	8	4	5	2	10	14	
Count of 1s	1	8	12	1	0	7	5	8	1	0	0	0	7	3																						Count of 1s	13	12	5	10	3	11	
Count of 0s	0	0	1	12	18	3	3	3	15	20	0	0	0	7																						Count of 0s	1	5	0	0	3	0	
	25	25	25	25	25	25	25	25	25	25	25	25	25	25					Average #																		Check	25	25	25	25	25	25
% of 3s	96%	68%	48%	48%	28%	52%	68%	56%	36%	20%	100%	100%	72%	60%					7	2																% of 3s	12%	16%	60%	52%	36%	0%	
% of 2s	0%	0%	0%	0%	0%	8%	0%	0%	0%	0%	0%	0%	0%	0%																						% of 2s	32%	16%	20%	8%	40%	56%	
% of 1s	4%	32%	48%	4%	0%	28%	20%	32%	4%	0%	0%	0%	28%	12%																						% of 1s	52%	48%	20%	40%	12%	44%	
% of 0s	0%	0%	4%	48%	72%	12%	12%	12%	60%	80%	0%	0%	0%	28%																						% of 0s	4%	20%	0%	0%	12%	0%	
	1	1	1	1	1	1	1	1	1	1	1	1	1	1																						Check	1	1	1	1	1	1	

Source: Ken Smith, OED Consultant, Dec 2005.

## STUDY DATABASE

Table A3.1: 25 Sample DMFs - 2000 Project/Program Loans

Seq #	Loan	Country	Title
1	1753	CAM	Stung Chinit Irrigation and Rural Infrastructure
2	1758	IND	Housing Finance II Project
3	1748	PRC	Hefei-Xi'an Railway
4	1814	PRC	West Henan Agricultural Development
5	1738	INO	Industrial Competitiveness and Small and Medium Enterprise Development Program
6	1770	INO	Marine and Coastal Resources Management
7	1810	INO	Decentralized Health Services
8	1779	KAZ	Farm Restructuring Sector Development Program (Policy)
9	1786	KGZ	Skills and Entrepreneurship Development
10	1749	LAO	Primary Health Care Expansion
11	1743	MON	Second Financial Sector Reform Program
12	1787	PAK	North-West Frontier Province Area Development Phase II
13	1796	PAK	Small-and Medium-Size Enterprise Trade Enhancement Finance
14	1807	PAK	Energy Sector Restructuring Program
15	1798	INO	Road Rehabilitation Sector
16	1768	PNG	Microfinance and Employment
17	1812	PNG	Provincial Towns Water Supply and Sanitation
18	1739	PHI	Grains Sector Development Program - Program Loan
19	1746	PHI	Pasig River Environmental Management and Rehabilitation Sector Development Program - Project Loan
20	1772	PHI	Infrastructure for Rural Productivity Enhancement Sector
21	1785	SAM	Small Business Development
22	1800	SRI	Private Sector Development Program (Subprogram I)
23	1737	UZB	Senior Secondary Education
24	1773	UZB	Railway Modernization
25	1799	UZB	Small and Medium Enterprise Development

Source: Ken Smith, OED Consultant, Dec 2005

Table A3.2: 25 Sample DMFs - 2002 Project/Program Loans

Seq #	Loan	Country	Title
1	1920	BAN	Road Network Improvement and Maintenance
2	1943	BAN	Dhaka Clean Fuel
3	1939	CAM	Tonle Sap Environmental Management
4	1969	CAM	Mekong Tourism Development (Cambodia)
5	1953	CAM	Commune Council Development
6	1924	PRC	Efficient Utilization of Agricultural Wastes
7	1985	PRC	Hebei Province Wastewater Management
8	1944	IND	East-West Corridor
9	1974	IND	Modernizing Government and Fiscal Reform in Kerala (Subprogram I)
10	1909	INO	Poor Farmers' Income Improvement through Innovation
11	1964	INO	Sustainable Capacity Building for Decentralization
12	1949	LAO	Smallholder Development
13	1948	RMI	Outer Island Transport Infrastructure
14	1928	PAK	Punjab Road Development Sector
15	1937	PAK	Local Government Performance Enhancement (TA Loan)
16	1938	PAK	Gender and Governance Mainstreaming (TA Loan)
17	1950	PAK	Punjab Community Water Supply and Sanitation Sector
18	1955	PAK	Financial (Nonbank) Markets and Governance Program
19	1988	PAK	Rural Finance Sector Development Program (Project Loan)
20	1925	PNG	Coastal Fisheries Management and Development
21	1971	VIE	GMS: Mekong Tourism Development (Viet Nam)
22	1976	UZB	Regional Power Transmission Modernization (Uzbek Component)
23	1911	SRI	Aquatic Resource Development and Quality Improvement
24	1904	TON	Economic and Public Sector Reform Program
25	1960	UZB	Education Sector Development Program (Program Loan)

Source: Ken Smith, OED Consultant, Dec 2005.

Table A3.3: 56 Sample DMFs - 2004 Project/Program Loans

Seq #	Loan	Country	Title
1	2076	VIE	Health Care in the Central Highlands
2	2079	PNG	Community Water Transport
3	2082	PRC	Fujian Soil Conservation and Rural Development II
4	2083	AFG	Agriculture Sector Program
5	2084	SRI	North East Community Restoration and Development Extension
6	2085	LAO	Roads for Rural Development
7	2086	LAO	Northern Community-Managed Irrigation Sector
8	2087	MON	Regional Road Development
9	2088	TUV	Maritime Training
10	2089	PRC	Hunan Roads Development II
11	2090	UZB	Woman and Child Health Development
12	2091	AFG	Afghanistan Investment Guarantee Facility
13	2092	NEP	Decentralized Rural Infrastructure and Livelihood
14	2093	UZB	Second Textbook Development
15	2094	PRC	Guangxi Roads Development II
16	2095	VIE	Small and Medium-sized Enterprise Development
17	2096	SRI	Secondary Education Modernization II
18	2097	NEP	Subregional Transport Facilitation
19	2099	FSM	Omnibus Infrastructure Development
20	2101	BAN	Teaching Quality Improvement in Secondary Education
21	2102	NEP	Community-Managed Irrigated Agriculture Sector
22	2105	AFG	Regional Airports Rehabilitation Ph 1
23	2106	KGZ	Southern Transport Corridor Road Rehabilitation
24	2107	PAK	Balochistan Resource Management Program
25	2110	IND	Torrent Combined-Cycle Power
26	2111	NEP	Skills for Employment
27	2112	PRC	Liaoning Environmental Improvement
28	2115	VIE	Second Lower Secondary Education Development
29	2116	PRC	Dali-Lijiang Railway
30	2117	BAN	Secondary Towns Integrated Flood Protection Phase 2
31	2118	VIE	Second Financial Sector Program
32	2123	VIE	Support to Implementation of Poverty Reduction Program
33	2124	TAJ	Irrigation Rehabilitation
34	2125	PRC	Gansu Roads Development
35	2126	INO	State Audit Reform Sector Development
36	2128	VIE	Northern Power Transmission Sector
37	2129	CAM	Small and Medium Enterprise Development Program
38	2133	PAK	Restructuring of the Technical Education and Vocational Training System (Balochistan Province)
39	2134	PAK	Sustainable Livelihoods in Barani Areas
40	2135	PAK	Restructuring of the Technical Education and Vocational Training System (Northwest Frontier Province)
41	2140	AFG	Andkhoy-Qaisar Road
42	2143	NEP	Gender Equality and Empowerment of Women
43	2146	PRC	Coal Mine Methane Development
44	2147	BAN	Chittagong Port Trade Facilitation
45	2151	IND	Multisector Project for Infrastructure Rehabilitation in Jammu and Kashmir
46	2152	IND	Power Grid Transmission (Sector)
47	2103/ 2104	PAK	North-West Frontier Province Road Development Sector and Subregional Connectivity
48	2113/ 2114	KGZ	Regional Customs Modernization and Infrastructure Development
49	2119/ 2120	AZE	Urban Water Supply and Sanitation
50	2121/ 2122	CAM	Second Education Sector Development Program
51	2130/ 2131/ 2132	SRI	Fiscal Management Reform Program
52	2136/ 2137	PHI	Health Sector Development
53	2138/ 2139	SRI	Financial Markets Program for Private Sector Development
54	2141/ 2142	IND	Assam Governance and Public Resource Management Sector Development
55	2144/ 2145	PAK	Punjab Devolved Social Services
56	2148/ 2149/ 2150	BAN	Small and Medium Enterprise Sector Development Program

Source: Ken Smith, OED Consultant, Feb 2005.

Table A3.4: 57 Sample DMFs - 2005 Project/Program Loans

Seq #	Loan	Country	Title
1	2175	PRC	Jilin Watere Supply and Sewerage Development
2	2207	PRC	Henan Wastewater Management and Water Supply Sector
3	2218	MON	Financial Regulation and Governance Program
4	2181	PRC	Central Sichuan Roads Development
5	2191	UZB	Information and Communications Technology in Basic Education
6	2196	TAJ	Dushanbe-Kyrgyz Border Road Rehabilitation Project (Phase II)
7	2208	UZB	Kashkadarya and Navoi Rural Water Supply and Sanitation Sector
8	2221	INO	Rural Infrastructure Support
9	2182	PRC	Zhengzhou-Xi 'an Railway
10	2183	REG	Establishment of the Pacific Aviation Safety Office
11	2205	AZE	East-West Highway Improvement
12	2171	PAK	Agribusiness Development
13	2172	BAN	Second Urban Primary Health Care
14	2225	VIE	Northern Power Transmission Expansion Sector
15	2166	IND	Tsunami Emergency Assistance (Sector)
16	2202	PAK	Balochistan Devolved Social Services Program
17	2220	SAM	Education Sector Project II
18	2224	KGZ	Banking Sector and Capital Market Development Program
19	2180	VIE	Preventive Health System Support
20	2158	FIJ	Alternative Livelihoods Development
21	2226	IND	Kerala Sustainable Urban Development Project
22	2201	SRI	Local Government Infrastructure Improvement
23	2217	SRI	National Highways Sector Project
24	2195	VIE	Central Region Transport Networks Improvement Sector Project
25	2188/2189	BAN	Gas Transmission and Development
26	2163/2164	INO	Community Water Services and Health
27	2157	PRC	Sanjiang Plain Wetlands Protection
28	2159	IND	Chhattisgarh Irrigation Development
29	2219	PRC	Hunan Roads Development III Project
30	2162	LAO	Greater Mekong Subregion: Nam Theun 2 Hydroelectric
31	2165	AFG	Power Transmission and Distribution
32	2222	VIE	Kunming-Haiphong Transport Corridor — Noi Bai-Lao Highway Technical Assistance Project
33	2200	BAN	Southwest Area Integrated Water Resources Planning and Management
34	2199	PHI	Microfinance Development Program
35	2176	PRC	Fuzhou Environmental Improvement
36	2223	VIE	Central Region Water Resources Project
37	2190	BAN	Agribusiness Development
38	2167/2168	SRI	Tsunami Affected Areas Rebuilding / Northeast Community Restoration and Development II
39	2178	PAK	Infrastructure Development
40	2192	INO	Local Government Finance and Governance Reform Sector Development Program
41	2227	AFG	Western Basins Water Resources Management
42	2186	PHI	Small and Medium Enterprise Development Support
43	2211	PAK	Rawalpindi Environmental Improvement
44	2210	PAK	National Highway Development Sector Investment Program
45	2187	BHU	Road Network
46	297	SRI	Technical Education Development Project
47	2215	AFG	Fiscal Management and Public Administration
48	2228	INO	Development Policy Support Program
49	2174	COO	Cyclone Emergency Assistance
50	2170	MLD	Regional Development Project Phase II - Environmental Infrastructure and Management
51	2184	INO	Road Rehabilitation-2
52	2160	MLD	Tsunami Emergency Assistance
53	2156	BAN	Emergency Flood Damage Rehabilitation
54	2194	VIE	Support the Implementation of the Poverty Reduction Program II
55	2185	CAM	Financial Sector Program (Subprogram III)
56	2216	PAK	Punjab Resource Management Program — Subprogram 2
57	2213	PAK	Earthquake Emergency Assistance

Source: Ken Smith, OED Consultant, Dec 2005.

Table A3.5: 52 Sample DMFs - 2000 ADTAs

Seq #	TA No.	Country	Title
1	1903	NEP	Group Formation and Training of Women Beneficiaries (Supplementary)
2	3110	SRI	Reengineering of Road Sector Institutions (Supplementary)
3	3391	FIJ	Strengthening Debt Management
4	3396	LAO	Assessing a Concession Agreement for the Lao PDR Component of the Chiang Rai to Kunming
5	3402	VIE	Human Capital of the Poor in Viet Nam: Policy Options
6	3407	LAO	Participatory Assessment of Poverty in the Lao PDR
7	3411	PHI	Joint ADB, UNDP, And World Bank Poverty Consultations
8	3415	CAM	Education Strategic Support
9	3419	SOL	Strengthening Public Sector Management (Phase 2)
10	3424	FIJ	Capacity Building of the Native Land Trust Board in Preparing Land Maps and Establishing
11	3429	PHI	Grains Policy and Institutional Reforms
12	3433	PAK	Strengthening of Institutional Capacity for Judicial and Legal Reform
13	3438	UZB	Development of the Insurance Industry
14	3445	IND	Establishing a Public Private Joint Venture for the West Bengal North-South Economic Corridor
15	3450	SRI	Promotion of Private Sector Involvement in Oil and Gas Exploration
16	3454	CAM	Building Capacity in Tourism Planning
17	3460	IND	Policy and Operational Support and Capacity Building for the Insurance Regulatory and
18	3468	PRC	Policy Support for PRC 2020 Project (Phase III)
19	3472	INO	Governance Audit of the Public Prosecution Service
20	3478	LAO	Capacity Building for Primary Health Care
21	3481	INO	Outer Island Electrification
22	3484	INO	Corporate Governance Reform
23	3493	PRC	Development of a Small and Medium-sized Enterprise Credit System
24	3498	SAM	Education Support
25	3503	PRC	Establishing an Enterprise Sample Survey System
26	3510	FSM	Improving Access to Laws
27	3515	TIM	Capacity Building for Local Government
28	3521	PRC	Assessment of Small and Medium Cities Urban Infrastructure Development
29	3522	RMI	Community-Based Coastal Marine Resources Development
30	3523	INO	Capacity Building for Decentralized Natural Resources Management
31	3528	VIE	Capacity Building for Water Resources Management (TA Cluster)
32	3529	UZB	Facilitating Development of the Railway Sector
33	3533	BAN	Capacity Building of the Securities and Exchange Commission and Selected Capital
34	3534	PRC	Development of Financing Policies and Mechanisms for Small and Medium-Sized
35	3541	KAZ	Deepening of Agricultural Reforms and Development Programs
36	3543	PRC	Private Sector Development
37	3549	SAM	Capacity Building of Financial and Business Advisory Intermediaries
38	3550	KAZ	A Comprehensive Medium-Term Poverty Reduction Strategy
39	3554	COO	Review of the Superannuation and Insurance Schemes
40	3555	TAJ	Support to Rural Financial Systems Development
41	3558	PAK	Institutional Strengthening of Export Promotion Bureau (TA Cluster)
42	3560	VIE	Secondary Education Sector Master Plan
43	3566	SAM	Capacity Building for Urban Planning and Management
44	3573	IND	Reorganization Plan for Guharat Electricity Board
45	3577	CAM	Implementation of Land Legislation
46	3582	BAN	Strengthening the National Accounts and Poverty Monitoring System
47	3586	IND	Building HUDCO's Capacity for Lending to Community-Based Finance Institutions
48	3592	TIM	Economic Policy Forum
49	3600	TAJ	Improving Barki Tajik's Billing and Collection System
50	3607	PRC	Policy Support for Social Security Reform under Tenth Five-Year Plan
51	3611	RMI	Reviewing the Health Management Information System
52	3616	LAO	Participatory Poverty Monitoring and Evaluation

Source: Ken Smith, OED Consultant, Feb 2005.

Table A3.6: 52 Sample DMFs - 2002 ADTAs

Seq #	TA No.	Country	Title
1	3621	PAK	Fiscal Decentralization (Supplementary)
2	3830	VIE	Assessment and Strengthening of Coastal Management Institutions
3	3834	NEP	Support for the Focal Point for Financial Sector Reforms
4	3833	VAN	Institutional Strengthening of the National Statistics Office
5	3840	PRC	Opportunities for the Clean Development Mechanism in the Energy Sector
6	3838	KIR	Community Development and Sustainable Participation
7	3846	INO	Gender Equity in Policy and Program Planning
8	3850	INO	Establishment of a Financial Services Authority
9	3859	KGZ	Strengthening Capacity in the Office of the President, Phase Two
10	3866	IND	Secured Transactions Reform
11	3873	TON	Building a Performance Based Public Service
12	3880	IND	Integrating Poverty Reduction in Programs and Projects
13	3884	VIE	Eligibility of State-Owned Enterprises in ADB-Financed Projects
14	3891	PRC	Study of Control and Management of Rural Nonpoint Source Pollution
15	3902	IND	North Eastern Region Urban Sector Profile
16	3910	BHU	Institutional Development of the Bhutan Development Finance Corporation
17	3920	MON	Strengthening Public Sector Administration and Financial Management
18	3925	MLD	Revenue Diversification
19	3926	PAK	Support to the Implementation of Decentralization
20	3932	PHI	Improving the Climate for Investment and Productivity in the Philippines
21	3933	PRC	Improving Corporate Governance and Financial Performance of State-Owned Enterprises
22	3936	SAM	Strengthening of Economic Sectors Planning and Management
23	3937	TKM	Improving the Statistical Methodology of the National Institute of State Statistics
24	3940	PHI	Capacity Building of the Mindanao Economic Development Council to Enhance Private Sector
25	3941	RMI	Mobilizing Land
26	3944	PAK	Industrial Environmental Management
27	3946	PNG	Improving Economic and Social Statistics
28	3952	CAM	Integrated Social Sectors Study
29	3954	PHI	Organizational Development of the Commission on Higher Education
30	3957	INO	Integration of Poverty Considerations in Decentralized Education Management
31	3958	PRC	Improving Basic Education in Underdeveloped Areas Through Information and Communication
32	3962	FSM	Capacity Building in Public Sector Financial Management
33	3963	PRC	Study of Carrying Capacity of Water Resources Renewable Energy Development in Small Towns and Rural Areas
34	3967	INO	Local Government Provision of Minimum Basic Services for the Poor
35	3969	LAO	Northern Region Strategic Action Plan
36	3972	IND	Strengthening Consumer and Stakeholder Communication for Madhya Pradesh Power Sector
37	3976	THA	Strengthening Accountability Mechanisms II
38	3980	PRC	Strengthening Public Debt Management
39	3987	TAJ	Strengthening Corporate and Financial Governance Reforms
40	3993	CAM	Improving the Regulatory and Management Framework for Inland Fisheries
41	4003	BAN	Supporting Urban Government Reform
42	4009	LAO	Social Protection in the Lao PDR: Issues and Options
43	4015	PAK	Enhancing Capacity for Resource Management and Poverty Reduction in Punjab
44	4020	CAM	Improving Insurance Supervision
45	4025	CAM	Capacity Building of the Inland Fisheries Research and Development Institute
46	4030	CAM	Private Sector Assessment
47	4040	SRI	Needs Assessment in Conflict-Affected Areas
48	4044	BAN	Efficiency Enhancement of Fiscal Management II
49	4053	IND	Management Consulting Services to Indian Railways
50	4061	PRC	Songhua River Water Quality and Pollution Control Management
51	4067	INO	Managing Regional Disparity in Economic and Poverty Reduction Programs Under Decentralization
52	4072	KAZ	Capacity Building of National and Local Governments to Implement the Poverty Reduction Program

Source: Ken Smith, OED Consultant, Feb 2005.

Table A3.7: 130 Sample DMFs - 2004 ADTAs

SEQ #	TA No.	Country	Title
1	2080	SRI	TA Road Project Preparatory Facility
2	3874	AFG	Capacity Building for Reconstruction and Development (Supplementary)
3	4131	CAM	Preventing Poverty and Empowering Female Garment Workers Affected by the Changing
4	4283	CAM	Participatory Poverty Assessment of the Tonle Sap (Supplementary)
5	4315	SRI	Road Sector Master Plan
6	4316	CAM	Harmonizing Loan Project Implementation Procedures
7	4319	PAK	Determinants and Drivers of Poverty Reduction and ADB's Contribution in Rural Pakistan
8	4320	BAN	Social Protection of Poor Female Workers in the Garment Sector in the Context of Changing
9	4321	PHI	Strengthening Governance of Securities Trading Markets
10	4322	PRC	Poverty Impact of Area-Wide Road Networks
11	4325	PRC	World Trade Organization Policy Reform Support to the Ministry of Railways
12	4326	NEP	Education Sector Development Policy and Strategy
13	4327	PRC	Flood Management Strategy Study
14	4328	UZB	Agricultural Sector Review and Planning
15	4329	TIM	Capacity Building in the Ministry of Planning and Finance to Monitor the National Development Plan
16	4330	FIJ	Strengthening Public Sector Banking and Cash Management
17	4331	VIE	Support for Pro-Poor Health Policies
18	4333	INO	Gas Generation from Waste
19	4334	AFG	Capacity Building for Agriculture Policy Reform
20	4335	PRC	Town-Based Urbanization Strategy Study
21	4337	MLD	Commercialization of Agriculture
22	4338	MLD	Strengthening the Framework of Education Toward Vision 2020
23	4339	LAO	Study of Gender Inequality in Women's Access to Land, Forests, and Water
24	4341	INO	Strengthening the Capacity of the Commission for Eradication of Corruption in Indonesia
25	4342	PRC	National Food Safety Regulatory and Strategic Framework
26	4345	AFG	Security of ADB-Financed Projects in Afghanistan
27	4346	PAK	Coordination of Devolved Social Services Programs
28	4349	PRC	Strengthening of the Statistical System of the China Banking Regulatory Commission
29	4350	PRC	Development of Small and Medium-Sized Enterprise Credit Guarantee Companies
30	4351	PRC	Policy Reform in Road Transport
31	4352	MON	Developing and Urban Development and Housing Sector Strategy
32	4353	NEP	Promoting Pro-Poor and Gender-Responsive Service Delivery
33	4354	AFG	Establishing a Gas Regulatory Framework
34	4358	PRC	Capacity Building to Combat Land Degradation
35	4359	MON	Agriculture Sector Strategy Study
36	4362	VAN	Development of a Medium-Term Strategic Framework
37	4363	PRC	Support for Reforms in Compulsory Education Financing
38	4364	MON	Regional Road Development
39	4364	MON	Awareness and Prevention of HIV/AIDS and Human Trafficking
40	4365	PRC	Technical Assistance Facility for Policy Reform
41	4370	IND	West Bengal Development Finance
42	4375	KAZ	Environmental Monitoring and Information Management System for Sustainable Land Use
43	4376	CAM	Capacity Building for the Tonle Sap Poverty Reduction Initiative
44	4383	MON	Participatory Poverty Assessment and Monitoring
45	4386	BHU	Strengthening of the Payment and Settlement System
46	4388	PNG	Strengthening the Capacity of the Parliamentary Accounts Committee
47	4389	PRC	Waste Coal Utilization Study
48	4390	PHI	Preparing the Agrarian Reform Communities Project II
49	4392	LAO	Marketing Support for Organic Produce of Ethnic Minorities
50	4393	MON	Establishing an Effective Anti-Money Laundering Regime
51	4395	VIE	Improving Risk Management in the Viet Nam Bank for Agriculture and Rural Development
52	4396	UZB	Woman & Child Health Development
53	4397	NEP	Decentralized Rural Infrastructure and Livelihood
54	4398	BHU	Strengthening the Debt Management Capacity of the Department of Aid and Debt Management
55	4399	PRC	Agricultural Taxation Reform
56	4400	PAK	Transport Policy Support
57	4401	PRC	Rural Income and Sustainable Development
58	4402	PRC	Heating Supply for Urban Poor in Liaoning
59	4403	FIJ	Fisheries Sector Review
60	4404	PRC	Implementation of the National Strategy for Soil and Water Conservation
61	4405	KGZ	The Study on Pricing Systems and Cost-Recovery Mechanisms for Irrigation
62	4406	LAO	Capacity Building for Smallholder Livestock Systems
63	4408	KGZ	A Study of the Impact of Land Reform on Agriculture, Poverty Reduction, and Environment
64	4410	VIE	Development of the Transport Sector, Review of Policy and Regulations
65	4412	BHU	Small and Medium Enterprise Development

Table A3.7: 130 Sample DMFs - 2004 ADTAs (con't)

SEQ #	TA No.	Country	Title
66	4414	PAK	Non-Formal Primary Education and Functional Literacy for Rural Women in Selected Barani Areas of Punjab
67	4415	AFG	Kabul Air Quality Management
68	4416	PRC	Capacity Strengthening of Power Planning Process
69	4417	SAM	Privatization Support
70	4418	VIE	Capacity Building for Small and Medium-Sized Enterprise Development
71	4419	LAO	Preparing the Forest Plantations Sector
72	4421	SRI	Implementing Products and Services for the Domestic Debt Market (TA Cluster)
73	4422	NEP	Preparation of National Resettlement Policy Framework
74	4423	TAJ	Development of Community Based Micro-Hydropower Supply in Remote Rural Areas
75	4424	BHU	Strengthening the National Statistical System Phase 2
76	4426	FSM	Omnibus Infrastructure Development
77	4427	CAM	Establishment of the Tonle Sap Basin Management Organization II
78	4428	CAM	Strengthening National Program Budgeting for the Agriculture Sector
79	4430	PRC	Rural Finance Reforms and Development of Microfinance Institutions
80	4431	KAZ	Financial Sector Governance
81	4432	PAK	Capacity Building for Environmental Management in Sindh
82	4434	LAO	Poverty Reduction through Land Tenure Consolidation, Participatory Natural Resources Management, and Local Communities Skills Building
83	4435	PAK	Water Section Irrigation Development
84	4439	RMI	Improving the Environment for Private Sector Development
85	4441	CAM	Support to Public Financial Management Reform
86	4442	SRI	Psychosocial Health in Conflict-Affected Areas
87	4443	PAK	Mobilization of Grassroots Stakeholders for Pro-Poor Social Service Delivery (Sindh)
88	4444	KGZ	Southern Transport Corridor Road Rehabilitation
89	4445	KGZ	Southern Transport Corridor Road Rehabilitation
90	4446	BAN	Support to the Roads and Highways Department for Safeguard Policy Compliance
91	4447	PRC	Evaluation of Environmental Policy and Investment for Water Pollution Control in the Huai River Basin and the Taihu Lake Basin
92	4450	KGZ	Regional Customs Modernization and Infrastructure Development
93	4451	TAJ	Regional Customs Modernization and Infrastructure Development
94	4452	VIE	Gender Mainstreaming Action Plan for Agriculture and Rural Development
95	4453	VIE	Supporting the Preparation of the Law on Gender Equality
96	4454	PRC	Developing a Poverty Monitoring System at the Country Level
97	4455	PRC	Dali-Lijiang Railway
98	4457	VAN	Secured Transaction Reforms
99	4459	CAM	Implementation of the Action Plan for Gender Mainstreaming in the Agriculture Sector
100	4464	FSM	Strengthening Public Sector Audit Function
101	4465	AZE	Urban Water Supply and Sanitation
102	4468	CAM	Second Education Sector Development
103	4471	MON	Formulating a Transport Strategy
104	4472	TAJ	Irrigation Rehabilitation
105	4476	CAM	Small and Medium Enterprise Development
106	4480	VIE	Developing Agricultural Insurance
107	4481	LAO	Integrating the Poor in Regional Trade Through Industrial Standard Development — Phase II
108	4486	PRC	Formulation of the Regulation for Selection and Engagement of Consultants for Government-Financed Projects
109	4488	TON	Youth Microenterprise Development
110	4489	AZE	Capacity Building at the Ministry of Economic Development
111	4490	CAM	Enhancing the Resettlement Legal Framework and Institutional Capacity
112	4491	AZE	Developing Collateral Framework and Microfinance Regulations
113	4494	SOL	Institutional Strengthening of the Ministry of Infrastructure and Development
114	4496	IND	Capacity Building for Clean Development Mechanism
115	4497	IND	Capacity Building for Municipal Service Delivery in Kerala
116	4503	VIE	Monthly Report on Small-Scale Technical Assistance Projects Not Exceeding \$150,000 per Project
117	4504	PAK	Punjab Devolved Social Services Program
118	4506	BAN	Chittagong Port Trade Facilitation
119	4507	BAN	Small and Medium Enterprise Sector Development
120	4510	TON	Integrated Strategic Planning, Medium-Term Fiscal Framework and Budgeting
121	4513	SAM	Strengthening State-Owned Enterprise Corporate Governance
122	4518	IND	Capacity Building for Kerala Sustainable Urban Development
123	4519	TIM	Strengthening Microfinance Operations
124	4521	LAO	Institutional Strengthening for Poverty Monitoring and Evaluation
125	4523	PHI	Strengthening SME Credit Management Systems
126	4527	SOL	Diagnostic Assessment of Inter-Island Transport
127	4536	AFG	Cross-Border Trade and Transport Facilitation
128	4543	INO	Sustaining Decentralization and Local Governance Reforms
129	4544	PHI	Enhancing Access of the Poor to Microfinance Services in Frontier Areas
130	4557	PHI	Institutional Strengthening of Energy Regulatory Commission and Privatization of National Power Corporation

Source: Ken Smith, OED Consultant, Feb 2005.

Table A3.8: 50 Sample DMFs - 2005 ADTAs

Seq #	TA No.	Country	Title
1	4594	AFG	Capacity Strengthening of the Civil Aviation Sector
2	4675	AFG	Capacity Building for Road Sector Institutions
3	4701	PRC	Railway Passenger and Freight Policy Reform
4	4688	BAN	Improving National Accounts, Price, and Wage Statistics
5	4599	BHU	Capacity Building for the Bhutan Power Corporation
6	4636	BHU	Capacity Building to Implement Environmental Assessment Procedures
7	4658	BHU	Capacity Building in Road Safety and Road Asset Management
8	4283	CAM	Participatory Poverty Assessment of the Tonle Sap (Supplementary)
9	4645	CAM	Restructuring of the Railway in Cambodia
10	4755	CAM	Developing Deposit Services in Rural Cambodia
11	4580	PRC	Nongovernment Organization-Government Partnerships in Village-Level Poverty Alleviation
12	4604	PRC	Nanjing Water Utility Long-Term Capital Finance in Commercial Markets
13	4621	AZE	Participatory Strategy Development for Millenium Development
14	4680	PRC	Alternative Livelihood Options to Facilitate Coal Sector Restructuring
15	4724	PRC	Application of Public-Private Partherships in Urban Rail-Based Transportation
16	4630	IND	Uttaranchal Power Sector Capacity Building
17	4697	IND	Development of Road Agencies in the North Eastern States
18	4687	INO	Natural Resources Management in a Decentralized Framework
19	4561	BAN	Emergency Flood Damage Rehabilitation
20	4618	PRC	Asset-backed Securities Market and Restructuring of Asset Management Companies
21	4627	LAO	Public Expenditure Planning for National Growth and Poverty Eradication Strategy
22	4655	LAO	Capacity Building for Gender Mainstreaming in Agriculture
23	4737	MON	Capacity Building for Financial Sector Reforms
24	4572	FIJ	Alternative Livelihoods Development
25	4590	NAU	Reform of the Nauru Phosphate Corporation
26	4752	NEP	Regional Development Strategy
27	4391	INO	Decentralized Education Management II
28	4207	PAK	Support to Implementation of Decentralization II (Supplementary)
29	4588	SOL	Implementation of Interisland Transport Reforms
30	4620	PAK	Developing Social Health Insurance
31	4546	TAJ	Improving AID Coordination and Portfolio Management
32	4749	PAK	Results-Based Monitoring of Projects
33	4686	PHI	Harmonization and Managing for Results
34	4693	PHI	Support the Implementation of the Microfinance Development Program
35	4717	PHI	Debt and Risk Management
36	4712	SAM	Promoting Economic Use of Customary Land
37	4738	SAM	National Teacher Development Framework
38	4700	SOL	Supporting Business Law Reform
39	4597	THA	Promoting International Cooperation on Anti-Money Laundering and Combating the Financing of Terrorism
40	4736	SRI	Capacity Building of the Environmental and Social Division of the Road Development Authority
41	4748	SRI	Independent External Monitoring of Resettlement Activities of the Southern Transport Development
42	4558	THA	Commercial Financing for Local Government Units
43	4667	THA	Capacity Building for Pollution Taxation and Resource Mobilization for Environment and Natural Resources Sectors Ph II
44	4613	THA	Subregional Development Plan for the Tsunami-Affected Andaman Region
45	4565	UZB	Financial Sector Infrastructure Development
46	3528	VIE	Capacity Building for Water Resources Management (Supplementary)
47	4603	VIE	Strategic Secondary Education Planning and Cooperation
48	4612	VIE	Results-Based Monitoring of Poverty Reduction and Growth
49	4670	VIE	Air Pollution, Poverty, and Health Effects in Ho Chi Minh City
50	4695	VIE	Expressway Network Development Plan

Source: Ken Smith, OED Consultant, Dec 2005.

Table A3.9: 25 Sample DMFs - 2000 RETAs

Seq #	RETA No.	Title
1	5824	Regional Study of Nutrition Trends, Policies and Strategies in Asia and the Pacific
2	5892	An International Conference on Poverty
3	5905	Second Asia Development Forum
4	5908	Pacific Governance and Public Sector Management Training Program
5	5911	Sixth Joint ADB-OECD Forum on Development
6	5914	Ninth International Congress of the World Federation of Public Health Associations
7	5915	Establishment of Backbone Telecommunications Network Project — Phase I
8	5918	Study on Potential Use of Biotechnology in Reducing Poverty and Achieving Food Security
9	5921	Third ADB-Colombo Plan Training Program
10	5924	Development of a RETA Homepage
11	5927	2000-2002 Orientation Program for Officials of ADB's Member Countries
12	5930	ADB-ADBI Capacity Building Seminar on Poverty Reduction Issues
13	5933	Seminars on the Use of Consulting Services in 2000-2001
14	5936	Identification and Prioritization of Subregional Projects in South Asia
15	5939	Strategies for Poverty Reduction through Urban Environmental Improvement
16	5942	Regional Economic Cooperation in Central Asia (Phase II - Year Two)
17	5945	Fifth Agricultural and Natural Resources Research at CGIAR Centers
18	5948	Combatting Trafficking of Women and Children in South Asia
19	5951	Small and Medium-Size Enterprise Growth and Development in the Mekong Region
20	5954	Seventh Joint ADB-OECD Forum on Asian Perspectives — Technology and Poverty
21	5957	Economic Cooperation in Asia
22	5960	Regional Power Transmission Modernization Project in Central Asian Republics
23	5963	Private Sector Development in the Pacific
24	5966	Capacity Building for Financial Regulation and Supervision
25	5969	Strategic Study on Development Options for Economic Cooperation between the People's Republic of China and Mongolia

Source: Ken Smith, OED Consultant, Feb 2005.

**Table A3.10: 26 Sample DMFs - 2002 RETAs**

<b>Seq #</b>	<b>RETA No.</b>	<b>Title</b>
1	5945	Fifth Agriculture and Natural Resources Research at CGIAR Centers
2	6022	Thematic Evaluation Studies of Asian Development Bank Operations in Developing Member Countries
3	6023	Regional Gas Transmission Improvement Project in the Central Asian Republics
4	6026	Promoting Urban Poverty Reduction through Participation in the Cities Alliance
5	6027	Fourth Asian Development Forum
6	6030	Eighth Joint ADB-OECD Forum on Asian Perspectives - Asia and Europe: Services Liberalization
7	6031	Promoting Effective Water Management Policies and Practices
8	6034	Study on Subregional Issues in the Agriculture Sector in the Greater Mekong Subregion
9	6035	Capacity Building for Developing Member Countries on the World Trade Organization Trading System
10	6038	Networking with the Asian Institute of Technology
11	6039	Formulation of the Pacific Region Environmental Strategy
12	6042	Poverty Mapping in Selected DMCs
13	6043	Promoting Good Governance in East and Central Asia
14	6046	Regional Public Goods and Regional Development
15	6050	Networking with the Asian Institute of Management
16	6054	Training Workshops on Financial Governance and Management of Investment Projects
17	6058	Trade Facilitation and Customs Cooperation
18	6059	Regional Trade Facilitation and Customs Cooperation Program (Kyrgyz Republic & Tajikistan)
19	6062	Coordinating the Revival of Cooperation Activities in BIMP-EAGA
20	6066	Feasibility Studies of the Turkmenistan-Afghanistan-Pakistan Natural Gas Pipeline
21	6070	Capacity Building for Implementing Early Warning Systems in ASEAN-3 Countries
22	6074	Technical Monograph on Participatory Development
23	6078	Rural Finance in Central Asia
24	6082	Supporting Country-Driven Private Sector Development Strategies
25	6086	Public-Private Infrastructure Advisory Facility
26	6090	Private Sector Cooperation in the SASEC Subregion

Source: Ken Smith, OED Consultant, Feb 2005.

Table A3.11: 26 Sample DMFs - 2004 RETAs

Seq #	RETA No.	Department	Title
1	6016	RSDD/RSES	Clean Air Initiative for Asian Cities
2	6056	MKRD/MKSS	Greater Mekong Subregion Phnom Penh Plan for Development Management (Supplementary)
3	6077	RSDD/RSFI	Road Safety in the Association of Southeast Asian Nations
4	6088	ERD/ERDI	Strengthening and Collection of Purchasing Power Parity Data in Selected DMCs
5	6108	RSDD/RSAN	Emergency Regional Support to Severe Acute Respiratory Syndrome (Supplementary)
6	6109	RSDD/NGOC	NGO Partnerships for Poverty Reduction (Supplementary)
7	6166	PARD/PAHQ	Pacific Regional Transport Analysis
8	6167	MKRD/MKAE	Study on Cooperation Opportunities between ADB and Mekong River Commission
9	6168	RSDD/RSPR	Upscaling Successful Poverty Reduction Initiatives
10	6169	OED/OEOD	Selected Evaluation Studies for 2004
11	6170	RSDD/RSGR	Pilot Project on Institutionalizing Civil Society Participation to Create Local Pro-Poor Projects
12	6171	MKRD/MKAE	Reviewing the Poverty Impact of Regional Economic Integration in the Greater Mekong
13	6172	REMU/REMU	High-Level Conference on Asia's Economic Cooperation and Integration
14	6173	RSDD/RSAN	Strengthening the Response to HIV/AIDS in Asia and the Pacific
15	6174	SERD/SEID	Support to Strategize Regional Cooperation in Southeast Asia
16	6175	PARD/PAHQ	Making Resources Allocation Pro-Poor and Participatory in the Pacific
17	6176	RSDD/RSPR	Building Capacity for Participatory Approaches to Poverty Reduction in ADB Operations
18	6177	ECRD/ECSS	Mainstreaming Gender into Poverty Reduction Strategies in Four Central Asian Republics
19	6178	PARD/PAHQ	E-Rural Demonstration in the Pacific
20	6179	MKRD/MKSS	Greater Mekong Subregion Tourism Sector Strategy
21	6180	RSDD/RSES	Preparation of Asian Environment Outlook for 2005
22	6181	BPMS/BPHR	2004-2006 Orientation Program for Officials of the Asian Development Bank's Developing
23	6183	ERD/EROD	Fourteenth Tax Conference
24	6184	ECRD/ECOC	Central Asia Regional Cooperation in Trade, Transport and Transit
25	6185	SPD/SPPI	Regional Workshops in Preparation for the Second High-Level Forum on Harmonization and
26	6186	MKRD/MKOC	Strengthening the Greater Mekong Subregion Economic Cooperation
27	6187	SARD/SAOC	Promoting South Asian Regional Economic Cooperation
28	6188	OGC/OGC	Establishing Legal Identity for Social Inclusion
29	6189	SARD/SAOC	Supporting Network of Research Institutes and Think Tanks in South Asia
30	6190	MKRD/MKAE	Preventing the Trafficking of Women and Children and Promoting Safe Migration in the Greater
31	6191	REMU/REMU	Capacity Building of Selected Credit Rating Agencies in Asia Phase III
32	6192	MKRD/MKAE	Transboundary Animal Disease Control in the Greater Mekong Subregion
33	6193	MKRD/MKID	Greater Mekong Subregion Infrastructure Connections in Northern Lao PDR
34	6194	MKRD/MKSS	Preparing the Greater Mekong Subregion Regional Communicable Disease Control Project
35	6195	MKRD/MKID	Greater Mekong Subregion Transport Sector Strategy Study
36	6196	RSDD/RSGR	Implementation of the ADV/OECD Anticorruption Initiative for Asia-Pacific
37	6197	RSDD/RSPR	Supporting the Achievement of the Millennium Development Goals in the Asia-Pacific Region
38	6198	MKRD/MKAE	Capacity Building for Promoting Sustainable Development in the Greater Mekong Subregion
39	6199	ECRD/ECOC	The Greater Silk Road Initiative 2005
40	6200	ERD/ERMF	Asian Development Outlook 2005
41	6201	REMU/REMU	Technical Training and Capacity Building in Support of the Asean Economic Surveillance Process
42	6202	PARD/PAHQ	Diagnostic Studies for Secured Transactions Reforms in the Pacific Region
43	6203	ECRD/ECGF	Regional Trade Facilitation and Customs Cooperation Program (Phase II)
44	6204	PARD/PAHQ	Mainstreaming Environmental Considerations in Economic and Development Planning Processes in Selected Pacific Developing Member Countries
45	6205	ERD/ERMF	Long-Term Scenarios for Asian Growth and Trade, 2005-2020
46	6206	PARD/SPSO	Pacific Financial Technical Assistance Centre 2004
47	6207	PARD/PAHQ	Pacific Regional Social Protection Systems Assessment
48	6208	RSDD/RSAN	Ninth Agriculture and Natural Resources Research at International Agricultural Research Centers
49	6209	PARD/PAHQ	HIV/AIDS in the Pacific: ADB's Response
50	6210	MKRD/MKGF	Small and Medium-sized Enterprise Growth and Development Phase II
51	6211	COSO/COPP	Capacity Building for Project Implementation and Administration 2005-2006
52	6212	SERD/SEGF	Southeast Asia Workers' Remittance Study
53	6213	MKRD/MKAE	Biodiversity Conservation Corridors Initiative
54	6214	MKRD/MKAE	Strengthening Capacity and Regional Cooperation in Advanced Agricultural Science and Technology in the Greater Mekong Subregion
55	6215	RSDD/RSFI	Public-Private Infrastructure Advisory Facility
56	6218	RSDD/RSGR	Decentralization in Social Sectors
57	6219	RSDD/RSAN	Promoting Effective Water Management Policies and Practices — Phase 4
58	6220	ERD/EROD	Capacity Building of Developing Member Countries on Selected World Trade Organization and DOHA
59	6222	PARD/PAHQ	Leadership Enhancement and Advancement Program (LEAP)
60	6223	ECRD/ECTC	Formulating and Implementing an Intergovernmental Agreement of the Shanghai Cooperation Organization Member States on Facilitation of International Road Transport
61	6224	RSDD/RSPR	Pilot Testing Participatory Assessment Methodologies for Sustainable and Equitable Water Supply
62	6225	SARD/SAAE	South Asia Subregional Economic Cooperation Human Resource Development and Capacity Building
63	6226	PARD/PAHQ	Developing and Implementing the Pacific Plan for Strengthening Regional Cooperation and Integration
64	6227	MKRD/MKID	Coordinating the Greater Mekong Subregion: North-South Economic Corridor Bridge Project
65	6228	MKRD/MKGF	Facilitating Cross-Border Trade and Investment in the Greater Mekong Subregion
66	6229	RSDD/RSFI	Improving the Outreach of Formal Financial Institutions

Source: Ken Smith, OED Consultant, Feb 2005.

**Table A3.12: 25 Sample DMFs - 2005 RETAs**

<b>Seq #</b>	<b>RETA No.</b>	<b>Department</b>	<b>Title</b>
1	6085	PARD	Preparing a Pacific Governance Strategy
2	6113	MKRD	Making Markets Work Better for the Poor (Supplementary)
3	6194	MKRD	Greater Mekong Regional Communicable Diseases Control
4	6222	PARD	Leadership Enhancement and Advancement Project (Supplementary)
5	6234	MKRD	Environmental Compliance and Enforcement Network
6	6236	ECRD	Central Asian Countries Initiative for Land Management
7	6237	MKRD	Greater Mekong Subregion Phnom Penh Plan for Development Management II
8	6243	MKRD	Strengthening Malaria Control for Ethnic Minorities
9	6246	OED	Technical Assistance for Selected Evaluation Studies for 2005
10	6250	RSDD	Preparation of International Public Sector Financial Audit Guidelines
11	6256	COSO	Results-focused Project Design and Management
12	6259	PARD	Aviation Legislative and Regulatory Review
13	6262	MKRD	Enhancing the Development Effectiveness of the Greater Mekong Subregion Economic Cooperation Program
14	6265	RSDD	Implementing Pilot Projects for Small Piped Water Networks
15	6268	PARD	Implementation of Pacific Education Strategy: Skills Development
16	6270	RSDD	Facilitating Knowledge Management for Pro-Poor Policies and Projects
17	6280	OREI	Strengthening Economic and Financial Monitoring in Selected ASEAN+3 Countries
18	6282	MKRD	A Study on Economic Cooperation Between East Asia and South Asia
19	6291	RSDD	Rolling Out Air Quality Management in Asia
20	6292	RSDD	Promoting Environmental Investment in Asia and the Pacific
21	6293	RSDD	Managing the Cities in Asia
22	6294	ECRD	Facilitation of Transport Cooperation among Central Asia Regional Economic Cooperating Countries Ph 1
23	6296	RSDD	Developing Pro-Poor Governance Capability and Knowledge
24	6297	SARD	South Asia Subregional Economic Cooperation III
25	6298	SERD	Supporting Enhanced Cooperation among Southeast Asian Equity Markets

## METHODOLOGY AND LIMITATIONS

### A. Methodology

1. The review was confined to a documentary examination and subjective assessment of static output deliverables and development objectives for the loans and TAs — i.e. those items that reflect the key project design items in terms of their description, and intended results, together with quantifiable / monitorable targets.
2. Listings of loans and TAs were obtained from OED and random sampling conducted (using a skip interval method) to select documents for the study. [Note: The minimum sample sizes for the advisory and regional TAs were contractually predetermined by OED.]
3. The appropriate loan and TA documents were then obtained by OED and provided to the consultant.
4. The DMFs for each of these documents was reviewed and various factors for each level rated on a four point scale, using the same criteria as employed in previous studies. The factors rated were as follows:

#### **Impact (Goal) for conformity with ADB DMF criteria:**

- (i) Appropriate Level
- (ii) Quality (i.e. Succinctness and Clarity)
- (iii) Indicators
- (iv) Targets
- (v) Timing

#### **Outcome (Purpose)**

- (i) Appropriate Level
- (ii) Quality (i.e. Clarity)
- (iii) Indicators
- (iv) Targets
- (v) Timing

#### **Outputs**

- (i) Appropriate Level
- (ii) Quality (i.e. Clarity)
- (iii) Indicators
- (iv) Targets

5. A four point quantitative ordinal/nominal rating scale was employed (3 = Highly Satisfactory, 2 = Satisfactory/Acceptable, 1 = Major Shortcomings, 0 = Totally Inadequate) with subjective criteria for each rating as shown in the “Criteria for Ratings” in the checklist.
6. Assessment was in terms of each DMF’s stated design summary objectives, indicators and targets—not substantive quality or actual/reported implementation performance. Nevertheless, “Major Shortcomings” or “Totally Inadequate” ratings indicate that the objectives

were too imprecise—which would impair ability to objectively monitor implementation effectively, and weaken subsequent evaluation of achievements.

7. Several Excel files and worksheets were created to list the pertinent DMFs. Columns were then added to each worksheet to accommodate quantitative ratings in terms of the aforementioned DMF attributes for each level.

8. Aggregate scores for each level were derived as follows:

**Impact level.** All items were weighted equally.

**Outcome level.** All five items were weighted equally.

**Output level.** All four items were weighted equally.

*[Note: Timing of Outputs was not considered in this assessment because in practice—unless specifically stated—timing is considered to be concurrent with the project completion date.*

*Furthermore, in rating the Output level, as long as the implied deliverables were apparent, grammatical distinction in the framework between Activities (i.e. active verb) and Outputs (completed action) was ignored.]*

9. Other columns were added to tabulate and rate **risks** and **data sources**.

10. The risks in the loan project/program DMFs were compared with those cited in the main body of the RRP text.

11. The data sources were reviewed for appropriateness.

12. All other aspects of the loan and TA documents were ignored.

13. An **overall summary rating** was derived by weighting each of the five factors—Impact, Outcome, Output, Risks and Data Sources—equally.

14. The scores for each item were tabulated directly.

15. Since the five factor summaries and the overall summary for each loan/TA were averaged scores—and not integers—in the final tabulation they were treated differently as follows:

3 = **3**  
 Range 2 → 2.99 = **2**  
 Range 1 → 1.99 = **1**  
 Range 0 → 0.99 = **0**

16. Finally, percentages were computed, and the top two levels (2 and 3)—i.e. at least “Satisfactory or better”—were combined, tabulated and graphed.

## **B. Limitations**

17. This study was a desk documentary review. No follow-up clarification was sought from those responsible for, or more familiar with, the documents. The assessment was conducted in its entirety by one consultant using a simplified checklist of qualitative nominal/ordinal criteria, and standard statistical techniques.

18. The variables and criteria guidelines have face validity, and were used by a single rater in an attempt to standardize ratings and limit subjectivity. Subjective ratings were converted to numerical integer scores. However, rating narrative statements is subjective, and unconscious bias and “halo effect” are possible even with one ‘objective’ rater — knowledgeable in the subject matter but uninvolved in the actual implementation, the documents authors, or the outcome.

19. Impact (Goal) level statistics are somewhat misleading as most are poorly articulated. “Economic development” and/or “poverty reduction” meet both criteria of appropriate level and succinctness, but without indicators are relatively vapid statements.

20. No separate/independent verification was conducted to check the rater’s reliability or accuracy in rating. Furthermore, the actual substantive quality of each loan and TA—in terms of its political desirability, economic necessity, and/or administrative priority; technical appropriateness, resource adequacy, sufficiency, and/or feasibility—was not questioned or assessed. Neither was any attempt made to verify or judge implementation performance—either reported and/or actual.

## **C. A Note re: Numbers and Percentages in this report**

21. The 0 → 3 rating scale employed was “ordinal” rather than “interval”, so strictly speaking the data are not open to rigorous statistical manipulation with results less-than integers.

22. Averages are useful for summarizing data to make comparisons between different sets of data, and to depict trends. However variation within the ranges of the data sets may also be useful to identify patterns, &/or other performance by meaningful groupings, and for possible follow-up action.

23. Percentages facilitate comparisons between data sets of differing sizes. However, where a set of data is less than 100, percentages drawn from the set are exaggerated. Widely disparate percentages on small sets may not be really significantly different from each other because they are also subject to differing standard errors, standard deviations as well as any predetermined margin of error tolerated for comparison. Thus comparisons between different size data sets—especially small sets such as employed here—may lead to inappropriate conclusions as any apparent difference may be statistically insignificant.

24. Nevertheless, if comparisons are made and conclusions drawn with caution, comparisons of overall averages and percentage ratings at the ADB level are still useful descriptive statistics.

## RATING SYSTEM FOR DESIGN AND MONITORING FRAMEWORKS

1. The following rating system was used to review and rate Project loan design and monitoring frameworks (DMFs).
2. Points were awarded on the following quantitative/nominal qualitative rating scale:
  - 3 = Completely Satisfactory**
  - 2 = Satisfactory/Acceptable — with some shortcomings**
  - 1 = Major Shortcomings**
  - 0 = Totally Inadequate**
3. The thrust of this assessment was the quality of each framework in terms of its stated objectives, performance indicators and targets in conformity with ADB guidelines and structural requirements. In addition, the quality of assumption and risk statements, and monitoring mechanisms (data sources) were examined to determine their adequacy for monitoring purposes.
4. The desirability, substantive technical quality, and subsequent implementation performance of the project were not examined. Nevertheless, any structural quality ratings of either “1 – Major Shortcomings”, or “0 – Totally Inadequate” are early-warning “flags” that the stated performance objectives, monitoring mechanisms, assumptions or risks are too imprecise, thereby limiting ability to effectively monitor (or review) project implementation objectively. Thus any subsequent evaluation of achievements at the PCR stage is likely to be impaired, the findings questionable, and assertions indefensible.
5. The criteria for rating each of the framework factors and attributes are outlined in the tables on the following pages.

### A. Various Levels

		<b>3 = Highly Satisfactory</b>	<b>2 = Satisfactory/Acceptable</b>	<b>1 = Major Shortcomings</b>	<b>0 = Totally Inadequate</b>
<b>Goal (Impact) Level</b>					
1.a.	Statement	All at Appropriate Level	Most at Appropriate Level	Some at Appropriate Level	None at Appropriate Level (i.e. Not Long Term Objectives)
1.b.	Quality	Succinct		Run-on Statement (i.e. “by . . .” “through . . .” etc.); or unclear	None at Appropriate Level
2.	Indicators	Measurable		Vague	None (or at Inappropriate Level)
3.	Targets	Measurable		Vague	None (or at Inappropriate Level)
4.	Timing	Stated			Not Stated (or Inappropriate: Timing)

	<b>3 = Highly Satisfactory</b>	<b>2 = Satisfactory/ Acceptable</b>	<b>1 = Major Shortcomings</b>	<b>0 = Totally Inadequate</b>
				or Level
<b>Purpose (Outcome) Level</b>				
1.a. Statement	Only one, and at Appropriate Level	One or Two, and both at Appropriate Level	More than Two at Appropriate Level, or some at wrong level	None at Appropriate Level (Not Immediate Objectives/Outcomes/ i.e. the Reason Why the project is being done)
1.b. Quality	Succinct		Run-on Statement (i.e. “by . . .” “through . . .” etc.); or Unclear	None at Appropriate Level
2. Indicators	All Measurable		Some or all Vague	None (or at Inappropriate Level; i.e. Not Measures of Changed Behavior or Conditions)
3. Targets	All Measurable		Some or all Vague	None (or at Inappropriate Level)
4. Timing	Stated			Not Stated (or Inappropriate: Timing or Level)

	<b>3 = Highly Satisfactory</b>	<b>2 = Satisfactory/ Acceptable</b>	<b>1 = Major Shortcomings</b>	<b>0 = Totally Inadequate</b>
<b>Output Level</b>				
1.a. Statement	Some at Appropriate Level (May include Measurable Activities) Succinct		Unclear	None at Appropriate Level (i.e. Not Deliverables or Activities of the Project)
2. Indicators	All Outputs have Measurable Indicators		Only Some Outputs have Measurable Indicators	None at Appropriate Level
3. Targets	All Outputs have Measurable Targets		Only Some Outputs have Measurable Targets	No Indicators (or at Inappropriate Level— i.e. Not Output Level Indicators)
				None (or at Inappropriate Level— i.e. Not Output Level Targets)

**B. All Levels of the Framework****1. Quality of Means of Verification (Data Sources)**

6. Four typical shortcomings are used to rate MoV (DS) framework quality:

- (i) No MOV (DS) given for either impact-, outcome-, or output-level indicators.
- (ii) Very generic, non-specific, sources provided for outcome and impact levels.
- (iii) Inappropriate MOV (DS) given for impact- &/or outcome-level indicators—i.e. citing project reports for measuring higher-level achievements long after the project has been completed.
- (iv) Frequency of data collection not provided (i.e. annual, semi-annual, quarterly, etc.) for Outcome or Output levels

**Criteria for Rating Framework Means of Verification (Data Sources):**

<b>Condition</b>	<b>Rating</b>
<b>None</b> of the above shortcomings	<b>3 = Highly Satisfactory</b>
<b>One</b> of the above shortcomings	<b>2 = Satisfactory / Acceptable</b>
<b>Two</b> of the above shortcomings	<b>1 = Major Shortcomings</b>
<b>Three or Four</b> of the above shortcomings	<b>0 = Totally Inadequate</b>

**2a. Quality of Framework Assumptions & Risks (A&R)**

7. Four typical A&R shortcomings are used to rate framework quality:

- (i) No risks are stated in the framework, or risks are not clearly identified for monitoring.
- (ii) Some duplication—assumptions &/or risks are repeated at different levels in the framework.
- (iii) The stated assumptions and/or risks are really rationale (or technical “givens”) rather than potential constraints for monitoring.
- (iv) The assumptions and/or risks are at internal to project management or at the wrong level in the framework.

**Criteria for Rating Framework Quality of Assumptions & Risks**

<b>Condition</b>	<b>Rating</b>
<b>None</b> of the above shortcomings	<b>3 = Highly Satisfactory</b>
<b>One</b> of the above shortcomings	<b>2 = Satisfactory / Acceptable</b>
<b>Two</b> of the above shortcomings	<b>1 = Major Shortcomings</b>
<b>Three or four</b> of the above shortcomings	<b>0 = Totally Inadequate</b>

**2b. Compatibility of Framework Assumptions & Risks (A&R) with the RRP Text:**

8. Three typical A&R shortcomings are used to rate framework quality:

- (i) Key risks in RRP text are not in the framework — either as risks or assumptions.
- (ii) Key risks in the framework are not in the RRP text.
- (iii) No risks identified in either the RRP text or the framework.

**Criteria for Rating Framework Compatibility of Assumptions & Risks with RRP**

<b>Condition</b>	<b>Rating</b>
<b>None</b> of the above shortcomings	<b>3 = Highly Satisfactory</b>
<b>Either one or two</b> above	<b>2 = Satisfactory / Acceptable</b>
<b>Both one and two</b> above	<b>1 = Major Shortcomings</b>
<b>item three</b> above	<b>0 = Totally Inadequate</b>

## QUALITY REVIEW AND ASSESSMENT CHECKLIST

**Project Title:** \_\_\_\_\_

**Loan Number:** \_\_\_\_\_

This checklist contains forty-four (44) generic reminders about project design criteria that should be incorporated in a Project Design & Monitoring Framework (DMF).

Use this checklist as an aid to rapidly review, assess and comment on the RRP (DMF Appendix).

#	Assessment			Topic
	U	P	S	
	Unsati	Partly	Satis-	
	s-	Satis-	factory	
	factory	factory		
<b>A. General</b>				
	<b>Design Summary (DS) 1<sup>st</sup> Column</b>			
1	(DS) The summaries at each level are precise descriptive narrative statements (i.e. no numbers); one sentence (or less) at each level, without “run-on” conjunctions such as—“and”, “as well as”, “also”, “through”, “by means of”, “in order to”, etc.			
	<b>Indicators and Targets (IT) 2<sup>nd</sup> Column</b>			
2	(IT) The indicators (direct and/or proxy) are valid and reliable measures of accomplishment—i.e. <ul style="list-style-type: none"> <li>▪ an increase in the level would indicate improvement;</li> <li>▪ no change would represent stability; and</li> <li>▪ a decrease would indicate the situation was deteriorating</li> </ul> <i>[Note: for some classes of indicators—such as in public health, crime, or safety—the reverse may be true:—i.e. increased incidence of a disease, crime rate, or number of accidents, could indicate deterioration in the situation, while a decrease would be considered an improvement.]</i>			
	<b>Data Sources (DS) 3<sup>rd</sup> Column</b>			
3	(DS3) A reasonable source &/or method for collecting the data required for each indicator is identified—established secondary sources, special surveys (frequency also cited for Outcome and Impact levels), and/or specific reports.			
	<b>Assumptions and Risks (AR) 4<sup>th</sup> Column</b>			
4	(AR) Assumptions are pre-requisites for attaining the project's Design Summary at the same level; NOT the rationale or a working hypothesis.			
5	(AR) Risks are major constraints to successful attainment of the			

#	Assessment			Topic
	U	P	S	
	Unsati	Partly	Satis-	
	s-	Satis-	factory	
	factory	factory		
6				Design Summary at the same level.
7				(AR) Risks are NOT simply restatements of the Assumptions. (AR) The AR cited are independent of and external to the project. i.e. outside the project management's implementation responsibility, reach, or influence.
<b>B. Specific Considerations at Each Level</b>				
<b>Impact level</b> —the long term objective to which the project contributes.				
8				(DS) This project is only one of several initiatives contributing to the Impact. The Impact will not be attained by this particular project alone.
9				(DS) The Impact statement does NOT describe what the project is going to do.
10				(IT) The Impact is likely to be attained only a considerable time after completion of this project.
11				(IT) There are Indicators of achievement.
12				(IT) The Indicators have Quantitative (or measurable qualitative) Targets.
13				(IT) Target attainment will NOT be solely the result of this project.
14				(IT) Targets have an estimated time (year) for attainment.
15				(DS3) Performance data are external to the project, and will be obtained from secondary sources.
16				(AR) Impact-level assumptions are necessary to attain the Impact.
17				(AR) Risks identified in the RRP text are adequately addressed in the DMF either as Risks or restated positively as Assumptions.
18				(AR) If Impact-level risks occur, they will impair attainment of the Impact.
<b>Outcome level</b> —the immediate objective; i.e. why the project is being done				
19				(DS) The project has only one Outcome. <i>[NOTE: Projects sometimes have multiple—and even contradictory—Outcomes imposed on them by various stake-holders with different agendas. To maximize the potential for unambiguous success, the project's prime Outcome should be narrowly defined.]</i>
20				(DS) The Outcome is the project objective, but it is not a deliverable that the project managerial team can produce. <i>[NOTE: Institutional strengthening is only an Output, not an Outcome. The Outcome resulting from institutional strengthening should be an increased level of effectiveness &amp;/or efficiency in service</i>

#	Assessment			Topic
	U	P	S	
	Unsati- s- factory	Partly Satis- factory	Satis- factory	
21				<i>delivery performance.]</i> (DS) The Outcome represents the result of an increased level of activity, a different method for doing things, and/or a fundamental change in behavior by the targeted beneficiaries as a direct consequence of the project. ( <i>i.e. "more"/ "better".</i> )
22				(IT) There are Indicators at the Outcome level—different from Impacts and Outputs. Indicators are not a summary or restatement of Outputs.
23				(IT) All Indicators have measurable quantitative &/or qualitative Targets.
24				(IT) All Targets have an estimated date for attainment.
25				(IT) The baseline situation (or benchmark for comparison) at the beginning of the project status (BOPS) is identified in numerical quantitative terms. (If percentages are used, an actual value is provided to establish a linkage.
26				(IT) The nature, extent and incidence of the targeted beneficiary population is identified, in addition to aspects (such as level of income) intended to be changed by the project.
27				(IT) The categories of indicators for a specific project are limited to not more than five. [ <i>Note: An appropriate simple proxy indicator obtained periodically through an opinion survey may be preferable to regular collection, processing and reporting of numerous technically-detailed service statistics or other measurements.</i> ]
28				(DS3) In addition to PCRs, other Outcome-level data will be obtained by special survey, and/or derived from secondary source analysis.
29				(AR) Outputs and Outcome-level assumptions are necessary and sufficient to attain the Outcome.
30				(AR) Outcome-level risks are major constraints to attaining the Outcome.
				<b>Output level</b> — what the project will do.
31				(DS) Outputs are results to be produced by the project. ( <i>i.e. kilometers of road built, farmers trained, hectares planted with high yielding variety seed, studies conducted, etc.</i> )
32				(DS) The Outputs define the project's key areas of implementation management responsibility.
33				(IT) All Outputs have Indicators.
34				(IT) All Indicators have measurable quantitative &/or qualitative Targets.
35				(IT) To the maximum extent possible, interim Output targets and accomplishments—if any—are cumulative.
36				(DS3) Reporting frequency ( <i>i.e. annual, quarterly, monthly, or "as</i>

#	Assessment			Topic
	U	P	S	
	Unsati	Partly	Satis-	
	s-	Satis-	factory	
	factory	factory		
37				occurs”) of utput targets is identified. (DS3) Most of the Output-level data will be obtained by regular reporting.
38				(AR) Assumptions about activities of collateral organizations necessary to support the project are identified.
39				(AR) The Activities, and Output assumptions are necessary and sufficient to assure delivery of the outputs.
40				(AR) Output-level risks are major constraints to completing timely delivery of the outputs.
				<b>Activity level</b> —Key jobs or steps to accomplish the Outputs.
41				(DS) Key Activities to be undertaken by the project are stated as actions ( <i>i.e. recruit personnel, procure equipment, train farmers, etc.</i> ).
42				(IT) Time-related Milestones are identified for completing each Activity.
				<b>Input level</b> —Key resources required to accomplish the activities.
43				Donors/contributors to the project ( <i>i.e. ADB and other donors, such as the World Bank, AUSAID, USAID, etc; the DMC, and others (i.e. NGO matching grants)</i> ); and/or resource categories ( <i>i.e. technical assistance level of effort, equipment and supplies, training, and funding</i> ) are identified.
44				Funding levels for each category— <i>i.e. personnel (and/or level of effort in person-months)</i> , and other resources are identified.
A				<b>Summary Quality Assessment Total Numeric Score</b>
B				<b>Relative Percentage Summary (Rounded off)</b> % = (# / 44) x 100 [See conversion table below]

DMF prepared by: \_\_\_\_\_ OED Review & Assessment by: \_\_\_\_\_  
 \_\_\_\_\_

Position : \_\_\_\_\_ Position: \_\_\_\_\_

Dept/Division: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

**Number to Percentage Conversion Table — Based on 44 items**

1 = 2%	8 = 18%	15 = 34 %	22 = 50%	29 = 66%	36 = 82%	43 = 98%
2 = 5%	9 = 20%	16 = 36 %	23 = 52%	30 = 68%	37 = 84%	44 = 100%
3 = 7%	10 = 23%	17 = 39 %	24 = 55%	31 = 70%	38 = 86%	
4 = 9%	11 = 25%	18 = 41 %	25 = 57%	32 = 73%	39 = 89%	
5 = 11%	12 = 27%	19 = 43 %	26 = 59%	33 = 75%	40 = 91%	
6 = 14%	13 = 30%	20 = 45 %	27 = 61%	34 = 77%	41 = 93%	
7 = 16%	14 = 32%	21 = 48 %	28 = 64%	35 = 80%	42 = 95%	

Source: Ken Smith, OED Monitoring & Evaluation Consultant, March 2006.

### General Reference Criteria

Design Summary	Indicators and Targets	Data Sources	Assumptions and Risks
<b>Impact</b>			
<p>The Impact is the long term objective—i.e. the project “vision”—and may also be expressed as sustainable.</p> <p>Impacts are only indirectly related—and partially attributable (if at all)—to the project.</p> <p>Impacts are also likely to occur only a considerable time period after the project Outcome has been attained</p> <p><i>The Impact is not something that the project will be expected to achieve alone, or a “deliverable” during implementation.</i></p>	<p>Indicators are the pre-selected means to measure performance.</p> <p>The measurement unit for each indicator should be specified.</p> <p>A target is a pre-determined measurement level on the indicator for a particular timeframe that will serve as a proxy for success.</p> <p>Every Impact should have a related indicator with target and timing stated.</p>	<p>The source, means &amp;/or frequency for collecting data at the Impact level should be external to the project, and should already be institutionalized.</p> <p>Every indicator should have at least one source of data, &amp;/or means for collecting it.</p>	<p><i>Only assumptions and risks beyond the control of the project—but essential to success at each level—should be cited.</i></p> <p>Assumptions and risks at the Impact level are beyond the control of the project, but essential to attainment of the Impact.</p>
<b>Outcome</b>			
<p>The Project should have <b>only one</b> Outcome statement.</p> <p>The Outcome should summarize the immediate reason <b>why</b> the project is being proposed: <i>NOT <b>what</b> the project is going to do.]</i></p> <p>The Outcome should describe the improved situation for the target beneficiaries after the project has been satisfactorily completed—or the changed conditions when the outputs to alleviate a perceived problem have been</p>	<p><i>Outcome indicators and targets should reflect changes in processes, results and/or behavior by target beneficiaries that are expected by the end of the project, or shortly after the project outputs have been delivered.</i></p> <p>The desired state, or expected improvement in the situation should be stated in measurable terms—i.e. quantity and/or quality, and time—and if possible, compared to an earlier time period.</p>	<p>Project Completion Reports are one source of data.</p> <p>Some other sources, means and/or frequency for collecting data should also be external to the project.</p>	<p>Assumptions and risks at the Outcome level are those that relate to attainment of Outcome targets.</p>

Design Summary	Indicators and Targets	Data Sources	Assumptions and Risks
delivered.			
<b>Outputs</b>			
Outputs are the key categories of <i>results</i> that should be produced/delivered during project implementation.	Outputs are deliverables within the control of the project.  Outputs should all be expected to be completed by the end of the project	The source, means and/or frequency for collecting data should be within the project implementation management's control.  PPRs should be at least one source of data.	Assumptions and Risks at the Output level are those that are external, and beyond the control of the project implementers but essential for successful attainment of the Outputs.  <i>[Do not state the project rationale, or cite implementation management expectations or concerns.]</i>
<b>Activities</b>			<b>Inputs</b>
Activities are the key tasks, steps, or stages to be undertaken by the project to accomplish each of the Outputs above.  Several key Activities should be enumerated for each Output.	A rough outline of the project implementation schedule—in terms of key milestones—should be provided here.  <i>[A milestone is an unequivocal descriptive checkpoint that indicates the activity has been completed.]</i>  Identify a milestone and target timing for each Activity.		The various resource categories required to undertake the project should be identified.  Indicators and targets should all be expressed in terms of money, and/or level of effort (person months)

### Additional DMF Reference Criteria

Design Summary	Indicators & Targets	Monitoring Mechanisms	Assumptions & Risks
<p>Each level in the design summary hierarchy: inputs → activities → outputs → outcomes → impacts should contribute to the next higher level.</p> <p>There may be more than one sentence at any level, but each sentence should only describe a single item. There should be no “run-on” conjunctions. The statements at each level should only be descriptive. Each statement should be unique—i.e. the only one of its kind in the framework.</p>	<p>Every statement in the design summary column has at least one measurable indicator.</p> <p>There may be more than one indicator for each design summary statement</p> <p>Every indicator has a target (or predetermined standard) that is measurable in terms of quantity &amp;/or quality, and time</p> <p>Each indicator and target should be unique—i.e. the only one of its kind in the framework.</p> <p>Every indicator should be sufficiently descriptive and quantitative (&amp;/or qualitative) to permit subsequent performance measurement and comparison, by independent monitoring and evaluation personnel</p> <p>Where direct measurement indicators are impractical, indirect proxy indicators should be used</p> <p><i>The following format is a guide to indicator and target definition:</i></p> <p><u>Quantitative:</u>  <i>Increase (indicator kkk)  at least: x%  from: XX units (baseline)  to: YY units,  by: ZZ (date)</i></p> <p>[Round-off monetary values.  Express level of effort in person- /man-months]]</p>	<p>Monitoring mechanisms either exist already, or have been planned and budgeted</p> <p>The same source, or means for collecting data can be cited for some indicators at different levels</p> <p>More than one source can be cited for some indicators</p> <p>The monitoring mechanism is only a brief description.</p>	<p>Assumptions and risks in the hierarchy: inputs → activities → outputs → outcomes → impacts relate to attainment of targets at the same level.</p> <p>Every identified risk should be prefaced with an “R” for easy identification.</p> <p>Each A&amp;R statement in the framework is unique.</p> <p>Each statement only describes a single item.</p>

Design Summary	Indicators & Targets	Monitoring Mechanisms	Assumptions & Risks
	<i>Qualitative:</i> <i>Improve (indicator kkk)</i> <i>at least: x%</i> <i>from: XX satisfaction level</i> <i>(baseline)</i> <i>to: YY satisfaction level</i> <i>[on a xx-point scale]</i> <i>by: ZZ (date)</i>		

## TERMS OF REFERENCE

<b>Contract</b>	A08019		
<b>Project</b>	RSC – C51894 (PHI): Quality in Design and Monitoring Frameworks		
<b>Expertise</b>	Design and Monitoring Frameworks Specialist		
<b>Source</b>	International	<b>Category</b>	Independent
<b>Prof. Group</b>	C	<b>Job Level</b>	5
<p><b>Objective/Purpose of the Assignment:</b> Assess the quality of the DMF prepared for each loan approved during 2005 and to ensure that the DMFs prepared for all loan and TA projects are of an acceptable standard.</p> <p><b>Scope of Work:</b> To review the quality of the DMFs prepared during 2005 (and to evaluate a sample of 2000 and 2002 loan approval DMFs to provide a more robust basis for historical comparison than the previous used figures based on PPR data), to ascertain whether those for loan projects have continued to be relatively well prepared, and whether or not there has been any improvement in those for TAs.</p> <p><b>Detailed Tasks:</b></p> <ul style="list-style-type: none"> <li>(i) Assess the quality of the DMF prepared for each loan approved during 2005, following the same methodology and criteria (but incorporating all five criteria assessed at the goal [impact] level in the goal [impact] level rating) as used for the previous assessments of loans approved during 2000, 2002, and 2004, but extended to include a rating of the monitoring mechanisms [data sources], and the statements of assumptions and risks, in addition to the design statements and the performance targets and indicators. This will include a check to determine whether or not the assumptions and risks identified in the text are reflected in the DMF, and whether or not they have been used as the basis for sensitivity testing in the financial and economic analysis for the loan.</li> <li>(ii) Rate a random sample of 25 project frameworks for loans from each of 2000 and 2002 using the same methodology as used for (i), extending the analysis of goal (impact), purpose (outcome), and output statements to include an assessment of the adequacy of the proposed monitoring mechanisms (data sources), and the quality of the statements of assumptions and risks.</li> <li>(iii) Assess the quality of the DMFs prepared for a random sample of 50 advisory TAs and 25 regional TAs approved during 2005, again using the same methodology and criteria as used for (i).</li> <li>(iv) Analyze the trends in the overall quality of the DMFs prepared for loans and TAs during 2000-2005 and determine the statistical significance of the differences.</li> <li>(v) Discuss any apparent generic shortcomings in the DMFs assessed, including the underlying causes, and discuss possible remedies to rectify the problems.</li> <li>(vi) Prepare a standard format for use by OED staff to assess the DMF quality when reviewing and commenting on draft RRP and TA papers, including the criteria by which each aspect of the DMF is to be evaluated.</li> <li>(vii) Prepare a report presenting the findings of the assessments and the analyses.</li> </ul> <p><b>Output/Reporting Requirements:</b> To prepare a report presenting the findings for the assessments and the analysis.</p>			
<b>Places of Assignment</b>	<b>Days</b>	<b>Estimated Dates (dd/mm/yyyy)</b>	
PHI, Manila	15	28/11/2005 – 31/03/2006	
OTH, Home Office, Virginia, U.S.A.	15	28/11/2005 – 31/03/2006	
<b>TOTAL DAYS (Intermittent)</b>	<b>30</b>	<b>Equivalent to 30WD</b>	

## BALLAD OF THE LOGFRAME

### The ADB Design & Monitoring Framework (DMF)

*If you've chosen the management game to seek out your fortune and fame  
To preclude going bust, a framework's a must to map out the project terrain.*

*It's not really nuclear fission to outline your "Mission" and "Vision"  
But "big bangs for the buck" are more than dumb luck;  
Rather, ideas honed to precision.*

*Though planning's an onerous task when the details all slip through your grasp  
The framework is here to make it all clear;  
Each cell has key questions to ask.*

*An essential tool of the trade, whose value's not likely to fade,  
The framework will show where you all plan to go —  
"Why"; "When"; and "How Much" is your aid.*

*Although it's a bit of a bore to constantly monitor score  
To determine your fate — "On Time", "Early" or "Late"?  
The framework will open the door.*

*To measure a project's success takes more than simply a guess,  
But you're not in the dark with a framework benchmark,  
"Work Your Plan" best you can, with less stress.*

*The framework's a ready-made briefing whenever you're holding a meeting  
Concise and compact, with fact after fact  
You'll "Wow" them — wherever they're seating!*

*Thus embarked on a project career, with a framework you've nothing to fear.  
You don't need to sweat; It's the best you can get —  
And still better yet — it's not dear!*

*Kenneth F. Smith  
March 2006*