

March 2008

Assessment of the Implementation of
the Public Communications Policy
September 2006–December 2007

ABBREVIATIONS

ADB	–	Asian Development Bank
COBP	–	country operations business plan
CPS	–	country partnership strategy
CSP	–	country strategy and program
DER	–	Department of External Relations
DMC	–	developing member country
DMF	–	design and monitoring framework
DMS	–	disclosure management system
EIA	–	environmental impact assessment
InfoUnit	–	Public Information and Disclosure Unit
IPDP	–	indigenous peoples development plans
IPSA	–	initial poverty and social assessment
op-ed	–	opinion editorial
NGO	–	nongovernment organization
OIST	–	Office of Information Systems and Technology
OM	–	Operations Manual
PAM	–	project administration memorandums
PCP	–	Public Communications Policy
PDAC	–	Public Disclosure Advisory Committee
PID	–	project information document
RCS	–	regional cooperation strategy
ROBP	–	regional operations business plan
RRP	–	report and recommendation of the President
TA	–	technical assistance

CONTENTS

	Page
EXECUTIVE SUMMARY	i
I. INTRODUCTION	1
II. STAKEHOLDERS' TRUST IN AND ABILITY TO ENGAGE WITH ADB	1
III. PROACTIVE EXTERNAL RELATIONS OF ADB	2
A. Overall Progress	2
B. Detailed Assessment of Output, Activities, and Inputs	3
IV. IMPROVED ACCESS TO INFORMATION ON ADB OPERATIONS	6
A. Overall Progress	6
B. Detailed Assessment of Activities and Outputs	6
V. ISSUES AND ACTIONS	19
A. Proactive External Relations	19
B. Improved Access to Information	20
APPENDIXES	
1. Performance Assessment Framework	22
2. Summary of Compliance with Project Disclosure Requirements	24
3. Denied Requests	26

EXECUTIVE SUMMARY

The Asian Development Bank (ADB) has made overall progress in compliance with the Public Communications Policy (PCP) on its second reporting period of implementation covering 1 September 2006 to 31 December 2007. This paper shows the extent ADB has complied with the requirements of the PCP during the reporting period, the areas that need to be strengthened, and the next steps to fully attain the PCP targets.

Since the PCP's approval in 2005, ADB pursued new strategic directions under the active leadership of Management on two separate but complementary components: effective external relations and disclosure of information. Efforts have been framed and guided by the PCP's objective of enhancing stakeholders' trust in and ability to engage with ADB.

During the first year of PCP implementation, systems and processes were developed to support proactive external relations and disclosure of information.¹ The Department of External Relations (DER) met the challenges to operationalize the policy in close coordination with regional departments and field offices. The first report provided a baseline to measure results.

In the second year of PCP implementation, these approaches and processes were improved and strengthened. Systems have been put in place to improve coordination and enhance operational effectiveness. Actions have been taken to address findings of the first ADB global perceptions survey in 2006 showing that a sizable minority of opinion leaders saw the need to improve ADB communications.

The PCP's external relations strategy calls for continued relationship building in developing member countries (DMCs) and enhanced outreach to constituencies in donor countries. The external relations strategy, adopted under the policy, has led to a rapid expansion of media coverage of ADB activities. In the second year of PCP implementation, Management actively participated in outreach activities, resulting in increased speaking opportunities and media engagements by 78% and 8%, respectively, over the previous year.

ADB's three representative offices in Frankfurt, Tokyo, and Washington, DC, were actively engaged in outreach activities to their donor constituencies to gain greater support for ADB.

In outreach activities in DMCs, ADB intensified its support for regional departments and field offices on media and other external relations activities. A review of the depository library program and the development of a strategy to upgrade public information centers were undertaken.

Staff skills were further developed through media training for key communicators and the annual structured external relations training for field office staff. ADB continued to promote internal communications to share information among ADB Management and staff.

To increase accessibility to ADB information, ADB's website (<http://www.adb.org>) underwent a major revamp and the publishing program was reviewed. With the adoption of a translation framework in 2007, ADB will make more information available to affected people in languages they understand.

¹ Details are provided in the first Public Communications Policy (PCP) Annual Report issued in March 2007.

Through the PCP, ADB has embraced a higher standard of transparency. In the 2007 *Global Accountability Report*² published by One World Trust, ADB received a perfect score (100%) on transparency good practice.

Project-related information disclosed on ADB's website has increased from an average of 73 monthly documents posted in 2005 to 86 in 2006 and 104 in 2007. This information can be found easily on ADB's website in a single view.³

Documents circulated to the Board of Directors continue to be routinely disclosed but timeliness must be improved. Project monitoring and evaluation information is also available to the public, as well as decisions by the Board and core administrative documents.

During the reporting period, ADB responded to 1,703 external requests for information and documents (see para 115). As provided under the policy, ADB was able to declassify and send upon request many pre-PCP documents that would have been publicly available if they had been created when the PCP was in effect.

To support successful disclosure of information, ADB continued to conduct training not only for staff but also development partners. Briefings on the disclosure requirements under the PCP were held for a total of 345 staff members, 122 government officials, and 16 nongovernment organizations representatives. ADB enhanced monitoring by producing regular compliance reports to motivate staff to improve their compliance level. DER's Public Information and Disclosure Unit (InfoUnit) maintains a computer system for submitting documents and project summaries to ADB's website and for tracking external requests for information.

The overall level of compliance in terms of disclosure of information has improved during the reporting period, and the level of awareness of staff regarding their responsibilities under the PCP has increased.

On external relations, ADB will continue efforts to monitor and evaluate more regularly implementation progress, further refine output indicators and targets to track progress more meaningfully, and clarify requirements for implementing communications plans for certain projects and programs. On information disclosure, staff capacity building on the PCP will be strengthened, particularly on the use of the disclosure information technology systems; and more compliance reports will be prepared to more closely monitor disclosure. Overall, much has been done in the second reporting period of PCP implementation, but ADB could respond even better and faster to the PCP requirements. This would demonstrate ADB's increased transparency and effectiveness as a development partner.

² One World Trust. 2007. *2007 Global Accountability Report*. London.

³ Available: <http://www.adb.org/Projects/summaries.asp>

I. INTRODUCTION

1. This paper is the second annual report on the Asian Development Bank's (ADB) progress in implementing the Public Communications Policy (PCP), effective since 1 September 2005. It provides a detailed assessment of the two PCP outputs: proactive external relations and improved disclosure of information.

2. This report follows the PCP's results-based performance assessment framework (PCP, Appendix 1) and covers the period 1 September 2006–31 December 2007. It aims to assess ADB's progress toward the stated PCP outcome and outputs. It also identifies areas for improvement since the publication in March 2007 of the first assessment of the implementation of the PCP.

3. The Department of External Relations (DER) is responsible for the implementation, consistent application, and monitoring of the PCP; and the public disclosure advisory committee (PDAC)¹ serves as the oversight body to interpret, monitor, and review disclosure requirements. DER completed the assessment of external relations in this report, while PDAC provided guidance in assessing ADB's progress in improving access to information.

II. STAKEHOLDERS' TRUST IN AND ABILITY TO ENGAGE WITH ADB

4. The PCP's envisaged outcome is "stakeholders' trust in, and ability to engage with, ADB greatly enhanced." ADB believes that creating strong and productive partnerships with a broad range of people and organizations can improve its effectiveness. To build and strengthen relationships, ADB needs to be widely respected and trusted as a professional, open, and transparent institution.

5. In 2007, ADB took further steps to attain the PCP's outcome. ADB responded to recommendations of the 2006 global perceptions survey of 700 randomly selected stakeholders, which included the need for improved ADB communications and outreach. While a majority of opinion leaders (60% in developing member countries [DMCs] and 57% in donor countries) said that ADB communicates "very well" or "somewhat well" about its mission, program, and activities, a sizable minority of opinion leaders (at least 30% in DMCs and more than 40% in donor countries) feel that ADB communications could be improved. DER undertook a major revamp of ADB's website (<http://www.adb.org>) and publishing program and increased strategic communications with donor countries through systematic planning for speaking engagements at key events. Strategic planning of external relations activities was piloted in selected DMCs for more effective external relations and outreach activities.

6. ADB continued its practice of consulting external stakeholders for major policies and strategies under review to improve policy dialogue and contribute to a higher level of stakeholder trust. In 2007, external consultations with government, nongovernment organizations (NGOs), and civil society were held on the following three major policies and strategies:

¹ The public disclosure advisory committee (PDAC) comprises the Managing Director General (serving as Chair); the Director General, DER; The Secretary; and the General Counsel. See PCP paras 151 and 152 for a description of the committee's responsibilities.

- (i) Review of the Energy Strategy: Four regional stakeholder consultation workshops were held between 14 June and 13 July 2007 in Almaty, New Delhi, Beijing, and Manila.
- (ii) Review of the Long-Term Strategic Framework (LTSF): Between 12 July and 25 September 2007, ADB held 16 external consultation meetings in Bishkek, Tashkent, Tokyo, Bangkok, Frankfurt, Washington, Ottawa, New Delhi, and Beijing.
- (iii) Safeguard Policy Update: ADB held one external stakeholders' consultation in Bishkek, and two in Manila in November 2007 as the start of an extensive process of external consultations that will culminate in the second quarter of 2008.

7. ADB will conduct another global perceptions survey in 2009 to assess stakeholders' perceptions of ADB's openness, accountability, and partnering. This will be a follow-up to the 2006 survey to measure changes in perceptions of opinion leaders.

III. PROACTIVE EXTERNAL RELATIONS OF ADB

8. ADB is committed to implementing proactive external relations to make itself more widely known and better understood by its external audiences, particularly key constituencies. The PCP defines "external relations" as all aspects involving contact with external audiences that target building relationships, trust, and partnerships to enhance ADB's ability to achieve its objectives. According to the PCP, the external relations strategy aims to reinforce and refine ADB's approaches to external relations and raise ADB's profile among its key audiences. The strategy recognizes Management leadership and motivation as the key to success, outlines approaches to reach target audiences, identifies key communicators, and sets the organizational structure for effective implementation.

9. This section reviews ADB's efforts on proactive external relations during the PCP's second reporting period of implementation. Discussion focuses on progress made in meeting the new directions on external relations.

A. Overall Progress

10. In the second reporting period of PCP implementation, Management (President, Vice-Presidents, and Managing Director General) participated more frequently and proactively in high-profile outreach activities, including high-level conferences, speaking events, and media events in both donor countries and DMCs. This resulted in a considerable increase in opportunities for ADB to convey messages and views on relevant development issues. An events planning system was set in place for a more strategic and systematic planning and implementation of key events for Management and senior staff. Management's active engagement with external audiences sent a clear message that external relations are a high priority for ADB.

11. In 2007, DER realigned its organizational structure to increase work synergies and further enhance its departmental effectiveness to provide more proactive external relations.

12. DER intensified support for regional departments in planning and carrying out proactive external relations. Coordination of external relations activities at resident missions (RMs) and representative offices (ROs) was strengthened through the establishment of a focal point system in DER to provide advice and support to operational departments and assistance in

developing communication plans for selected high-profile projects. Strategic external relations plans for two field offices—Indonesia Resident Mission and India Resident Mission—were piloted for more effective external relations. Staff skills were further developed over the second reporting period through media training for key ADB communicators and the annual structured external relations training for external relations officers and focal points in field offices. To strengthen coordination and communication between DER and field offices, the informal external relations community of practice was strengthened through the launch of the C-Cube, an online tool to help share best practices and lessons learned in external relations.

13. External relations skills of staff, particularly on strategic external relations planning, were further developed during the third year of implementing the structured annual external relations training workshop, with the theme “Communicating with Impact.” A review of the external relations positions in the field offices was undertaken to harmonize the functions and titles of external relations officers.

14. ADB continued to improve its external relations monitoring systems and capability through a new media tracking system and more systematic reporting and analysis of reports from field offices.

15. For better dissemination of information about ADB, additional resources were allocated to develop and implement the translation framework.² Translations have been done in 17 DMC languages, resulting in translation of 27 types of documents from English. ADB’s glossary was also translated (see paras 112–113).

B. Detailed Assessment of Output, Activities, and Inputs

1. Leadership and Motivation

16. The PCP considers Management’s “strong and highly visible commitment to strengthening external relations” as critical for raising ADB’s public profile (PCP, para 43). A more proactive and systematic approach for defining external relations priorities and outreach planning was established. An events planning system for Management was developed and implemented.

17. Planning for Management outreach was driven by a shared event planning road map where high-level events and strategic speaking opportunities for Management were identified and tracked to ensure that Management effectively conveyed messages to targeted external audiences. Close coordination with event organizers ensured positioning of Management at key external events. This more proactive and targeted approach led to a significant increase in speaking engagements in 2007 with Management participating in 107 events in developing and donor countries, a 78% increase over 2006. Of the total, 57 were speaking engagements in donor countries and 50 in DMCs. The key themes of Management speeches were regional cooperation and integration, energy/climate change, finance/infrastructure, and the two faces of Asia—issues in line with ADB’s strategic priorities.

² Available: <http://www.adb.org/Documents/Guidelines/Translation-Framework>.

18. Management also played a pivotal role in engaging top-tier media through press conferences, briefings, written commentaries, and interviews to reach out to ADB's key audiences, including decision makers and opinion leaders. In total, Management undertook about 70 media engagements including press conferences, briefings, and interviews, an increase from 65 in the previous year.

19. ADB enhanced its support of strategic external relations planning in resident missions. It piloted external relations plans in two resident missions (Indonesia Resident Mission and India Resident Mission). It will continue to phase in more of these external plans with other resident missions.

20. ADB continued to promote internal communications to share information among ADB Management and staff through the online daily newsletter *ADB Today* and relaunched the online monthly news magazine *ADB Review* to ensure Management's key priorities and messages are shared with internal and external audiences. An electronic daily news briefing of key global and development issues was also disseminated to Management and senior staff.

2. Target Audiences and Approaches to Reaching Them

21. The PCP recognizes that audiences in DMCs and donor countries—opinion leaders, client countries, partner organizations, civil society, the private sector, and academia—are important. The strategy, however, focuses on reaching out to audiences in donor countries because of ADB's limited resources and its already close working relationships with audiences in DMCs (PCP, para 46).

22. The strategic focus on donor countries highlights the critical role of representative offices in helping ADB achieve its external relations goals. Since the strategy identifies external relations as the representative offices' primary function (PCP, para 51), DER improved information sharing to better support and promote closer coordination between the representative offices and headquarters.

23. The strategy also calls for deeper relationships with targeted top-tier media, given their level of influence on public perceptions. During the reporting year, ADB expanded its definition of top-tier media to include key regional newspapers (English and non-English language) and news wire agencies. More than 2,100 articles that referenced ADB were either published or broadcast in the 29 targeted global media. The articles included interviews with Management and senior staff on key policy, sector, and thematic issues to project work and opinion pieces. This compares with 417 articles under last year's definition of top-tier media.

24. ADB continued to conduct press tours³ to project sites to raise awareness and understanding of ADB operations in DMCs. Nineteen opinion editorials (op-eds) authored by

³ Thirteen press tours were carried out in 2007. The first was to Viet Nam for six Japanese media (*Kyodo*, *Nikkei*, *Yomiuri Shimbun*, *Mainichi Shimbun*, *Japan Times*, and *Kyoto Shimbun*) to familiarize them with the ADB projects including the East–West Corridor, Small and Medium Enterprise, and livelihood improvement projects. This resulted in extensive coverage for ADB in the Japanese media before and during the Annual Meeting in Kyoto in 2007. A press tour for the *Financial Times* and *Nikkei* on rebuilding the ancient Silk Road in Central Asia resulted in several articles, including a multipage special report on “Strategic Trade Routes” in the *Financial Times*. Another press tour was arranged for the Bangkok-based *Nation* newspaper and *Nation TV* along the East–West Corridor from Bangkok to Da Nang, Viet Nam. DER also organized a Philippine press tour for a journalist of *Cinco Dias* as part of its outreach activities to Spanish news organizations ahead of the Annual Meeting in Madrid in 2008. Press tours were carried out also by resident missions, including those in the People's Republic of China (one), Indonesia (two), and the Philippines (six).

Management and staff members were published, including three in *The Wall Street Journal* and *Financial Times*. Op-eds by the President were published in non-English publications *Die Welt* in Germany and *Les Echos* in France.

25. Maintaining high-level media exposure will depend on many factors, including ADB's ability to offer knowledge and information of news value and ADB's involvement in major external events or disasters. The meaningfulness of the output target—5% annual increase in Management media interviews and outreach activities—may need to be reviewed, considering that the scope for continued increases may be limited in the medium term.

26. In 2007, ADB continued to develop its website to more effectively make information readily available to its target audiences. A project gateway site was launched on the website and the section "About ADB" containing basic facts was revamped. ADB also continued to produce publications to raise awareness and share knowledge. In October, the quarterly magazine *ADB Review* was given a more accessible format as a monthly web-based newsletter. A new development issues magazine, *Development Asia*, was approved by Management in August and will be launched in 2008. New business processes were developed for the systematic translation of ADB materials. All these initiatives address findings of the first global perceptions survey⁴ on the need to improve ADB's communications. According to the survey, a sizable minority of publication users, particularly in donor countries, said ADB publications have either a small or no influence at all on their thinking about international development issues, and that publications would be more useful if translated into local languages. The survey also noted that ADB's website would be more useful if it provided more information about ADB projects.

27. To build the skills and competencies of staff to engage in effective media relations, training sessions were organized for Management and senior staff to communicate ADB's key messages more effectively. Hub media training is planned for resident missions in 2008.

28. While the strategy's primary focus is on raising ADB's profile in donor countries, it provides for building ADB's external relations capacity in DMCs. The strategy urges ADB to gradually increase the number of field office external relations staff members and ensure their quality by developing consistent job descriptions and qualifications. In the second reporting year, 10 of ADB's resident/regional missions and country/liaison offices have external relations officers at the national officer level to implement the strategy at the field level. DER has started an informal community of practice among DER and external relations staff in field offices, strengthened communication and collaboration through the launch of the C-Cube online tool, and continued a structured annual training program for external relations officers and staff. Feedback from external relations officers reaffirmed the need for more support for external relations from operational staff both at headquarters and field offices to plan and implement external relations activities more effectively.

29. To show ADB's operational effectiveness, DER and regional departments also worked together in identifying and writing impact stories on successful projects for posting on the website and publication in the *Annual Report* and other public awareness materials. A review of ADB's depository library program was undertaken and a strategy for upgrading ADB's public

⁴ Available: <http://www.adb.org/Documents/Reports/ADB-Perceptions-Survey/2006/>.

information centers was developed to improve ADB's public information dissemination systems at the field level.

IV. IMPROVED ACCESS TO INFORMATION ON ADB OPERATIONS

A. Overall Progress

30. This section provides a summary assessment of the second PCP component—improved access to information on ADB operations—and its corresponding targets and indicators during the second reporting year of PCP implementation.

31. The PCP calls for all project-related documents normally produced during the project cycle to be posted on ADB's website. Documents addressing social or environmental issues and those summarizing the proposed project design are disclosed before decisions are made so that affected people can influence project design. The information disclosed on ADB's website regarding ADB-assisted projects increased continuously since the adoption of the new PCP in 2005. For further discussion of ADB's compliance regarding operational information, see paras 49–113.

32. The PCP calls for summary project information documents (PIDs) to be posted on ADB's website and updated to report on the status of implementation of the project. Considerable progress was achieved in posting PIDs for projects under administration—from 10% to 91% compliance for loans and from 0% to 61% compliance for technical assistance (TA). Overall, PIDs were posted for 87% of projects under administration by 31 December 2007 but not all reported on implementation progress. Despite the significant increase in PIDs posting, this fell short of the targeted 100% posting of PIDs by 31 August 2007, as indicated in the PCP Performance Assessment Framework (Appendix 1). For detailed information on PIDs, see paras 50–59.

33. In keeping with the presumption of disclosure, ADB reviewed requests for information during the reporting period. This resulted in the clearance and release to the public of more operational documents, many of which were not permitted to be disclosed under ADB's previous (1994) disclosure policy. For more information regarding management of ad hoc requests, see paras 114–125.

34. Capacity building for ADB staff, as required under the PCP, was pursued during the reporting period. Training sessions were conducted on both PCP content and disclosure tools.

B. Detailed Assessment of Activities and Outputs

35. The Public Information and Disclosure Unit (InfoUnit) of DER has been operating since the PCP was approved in 2005. It provides advice and policy interpretation to all ADB departments, and monitors the disclosure requirements of the Policy. It is staffed by one professional staff, one national officer, and one coordination assistant—the same structure as during the first year of PCP implementation.

1. Capacity Building

36. ADB pursued capacity building for staff and awareness-raising activities for external stakeholders as follows.

a. Staff Training Regarding PCP Content

37. During the first year of PCP implementation, ADB conducted the following briefings for ADB staff, to respond to significant turnover in operations.

38. Between 1 September 2006 and 31 December 2007, the InfoUnit conducted individual and informal small group trainings on 40 occasions when resident mission staff visited headquarters or operations staff sought help in meeting the PCP requirements on a daily basis. In addition, ADB gave formal PCP briefings, including demonstration of the disclosure management system (DMS) to a total of 345 staff in several instances (e.g., staff induction and briefings for country directors).

b. Staff Training Regarding Disclosure Tools

39. ADB continued to maintain and enhance the disclosure information technology systems created to aid operations staff to plan and manage project documents and information for disclosure, namely, the DMS and the PID.

40. The DMS is the only venue through which staff can send documents related to projects or country and regional strategies to the Board document system or ADB's website. It is also used as a planning tool, as it is programmed to send out e-mail reminders to staff before disclosure deadlines.

41. The PID is the system for staff to provide a summary of the project and report on the attainment of outcomes and status of implementation progress. The PID provides the project summary on ADB's website.

42. A total of 38 DMS and 19 PID enhancements were done during the reporting period. These enhancements covered resolving technical errors, systems reprogramming because of new disclosure requirements as required by policy, procedural changes, and other new initiatives. The PID template was also expanded to report on the status of loans and TA projects under implementation.

43. Staff's use of the disclosure systems, which was minimal during the first year of PCP implementation, has progressed, as shown by the increase in project summaries and documents posted on ADB's website. The InfoUnit circulated internally three disclosure compliance reports during the reporting period, which prompted project staff to complete their disclosure requirements.

44. The InfoUnit regularly provided project staff advice and assistance on the disclosure requirements and tools through phone or e-mail. Most questions pertained to procedures on using the disclosure systems and the timing of documents for web posting. InfoUnit responded to an average of six inquiries on DMS and PID-related issues daily. Demonstration of the DMS and PID were also included in the formal disclosure briefings mentioned in para 38.

c. Information for Partners and Stakeholders

45. In the first year of PCP implementation, the following information resources were produced to guide staff to meet PCP's disclosure requirements: disclosure handbook, communications tools for borrowers and project sponsors, communications tools for civil society organizations and the public, reference manual on the DMS, and quick reference for staff on the disclosure of operational documents. This information is available on ADB's intranet and Internet.⁵ ADB regularly maintains and updates information as needed. In particular, communication tools for external stakeholders and the quick reference for staff have been updated during the reporting period to reflect new ADB business processes.

46. InfoUnit revised sections of relevant Operations Manuals (OMs) to incorporate the PCP disclosure requirements.

d. Awareness Raising among Government and NGOs in Member Countries

47. ADB conducted five disclosure briefings for a total of 122 government officials in several instances (e.g., orientation of officials of DMCs, and executing and implementing agencies across Southeast Asia).

48. The InfoUnit staff also provided briefings for 16 NGO Forum representatives in different instances as part of its mandate to make external stakeholders aware of how they can access information from ADB.

2. Proactive Disclosure of Information

49. This section assesses compliance with the specific disclosure requirements of the PCP. Data on the time frame for posting documents on ADB's website were generated using the reporting function of the DMS.

a. Project Documents

i. Project Information Document

50. The PID is a tool that provides factual summary of information and reflects progress on ADB-assisted projects.

51. During the project preparation phase, the initial PID must be posted on the web not later than 30 calendar days after approval of the concept paper for public sector projects and not later than 30 calendar days before the date for Board consideration for private sector projects. At the end of the reporting period, a total of 174 PIDs (85% of initial PIDs due) were posted on the web for projects under processing. Thirty-nine percent (39%) were posted on time.

52. For public sector projects, 83% of initial PIDs due were posted on the web, of which 36% were posted on time.

⁵ Available: <http://adb.org/Disclosure/>

53. For private sector projects, 96% of initial PIDs due were posted on the web and 59% of PIDs posted were on time.

54. While PIDs for projects under preparation include mandatory fields, not all project officers posted complete PIDs. For the reporting period, the description and objectives fields were complete in most PIDs (100% for objectives and scope and 90% for description) but the level of completeness of the data fields—link to country/regional strategy, summary of social and environmental issues, and consultations planned or carried out—needs to be further improved.

55. Upon project approval and during the project's implementation phase, the PID must be posted and updated to report on the project outcome and implementation progress.

56. During the reporting period, 87% of PIDs due for public sector projects were posted on the web and 86% of these posted PIDs reported on progress toward outcome and the status of project implementation.

57. For private sector projects under implementation, 94% of PIDs due were posted on the web and reported on the status on attainment of development objectives.

58. The PCP requires that PIDs of all projects under administration be posted by 1 September 2007. On 31 December 2007, 87% of public and private sector projects under administration had their PIDs posted on the web. Of the total PIDs posted for projects under administration, 88% reported on the status of implementation.

59. The PCP stipulates that all PIDs be updated quarterly to reflect activities and issues, progress in meeting development objectives and covenants, and loan use. Staff members are required to check their PIDs and update them if any further developments have occurred during that quarter. Regular reminders have been sent by the DMS to staff on this requirement, but the level of compliance on quarterly updates remains low.

ii. Initial Poverty and Social Assessment

60. ADB's *Operations Manual on Gender and Development*⁶ requires staff to produce an initial poverty and social assessment (IPSA) for any loan. The PCP requires the IPSA to be posted when it has been completed. During the reporting period, 100% of IPSAs due were posted on the web, five as stand-alone documents and others as appendix to project preparatory TA reports. The InfoUnit encourages earlier disclosure when the IPSA itself has been completed (stand-alone document) even before the TA paper has been approved and posted.

iii. Design and Monitoring Framework

61. Under the PCP, the draft design and monitoring framework (DMF) should be posted on the web as a stand-alone document before the project's appraisal mission. Since the report and

⁶ See ADB. 2003. *Operations Manual*. Section C2/OP: Gender and Development. Manila (29 October), para 9; and ADB. 2003. *Operations Manual*. Section F2/OP: Involuntary Resettlement. Manila (29 October), para 23.

recommendation of the President (RRP) is not disclosed until after Board approval of the project, the DMF allows the public to see the proposed project design before decisions are formalized.

62. For public sector projects, 31% of DMF were posted as drafts before appraisal, meeting the requirements of the PCP.

iv. Environmental Assessments

63. The substance of ADB's environmental requirements for public and private sector projects is the same.

64. For category A projects, which according to ADB's categorization scheme could have significant adverse environmental impacts, an environmental impact assessment (EIA) is required to address significant impacts. ADB's environment policy and the PCP require that the borrower or private sector sponsor disclose relevant environmental information to affected people at two stages: (i) at the early stage of EIA field work and (ii) when the draft EIA report is available but before appraisal.

65. Environmental assessments for category A projects indicated that disclosure to affected people before appraisal was satisfactorily done.

66. The 25 public and private sector projects requiring the posting of the summary EIA (SEIA) or summary initial environmental examination (SIEE) 120 days before Board consideration of the project were in compliance. On average, staff made the SEIA or SIEE publicly available 199 days before the Board meeting.

v. Resettlement Planning Documents

67. The government or private sector sponsor must disseminate to affected people the draft resettlement plans before the start of the appraisal mission, and the final and revised resettlement plans when completed. ADB must post on its website the draft resettlement plans or resettlement frameworks—or both—before appraisal, and the final and revised resettlement plans upon receipt.

68. For the public sector, out of the 24 projects under preparation, 21 disseminated the draft resettlement plans to affected people and 18 posted these drafts on the web, before appraisal. Likewise, 15 draft resettlement frameworks were posted on the web, but only 7 were posted before appraisal. Final or revised resettlement plans were posted on the web for 37 projects.

69. For the private sector, one draft resettlement framework was posted on the web before appraisal and one final resettlement plan was publicly disclosed.

vi. Indigenous Peoples Planning Documents

70. The government or private sector sponsor must disseminate to affected people the draft indigenous peoples development plans (IPDP) before the start of the appraisal mission, and the final and revised IPDPs when completed. ADB must post on its website the draft IPDPs or indigenous peoples development frameworks—or both—before appraisal, and the final and revised IPDPs upon receipt.

71. For the public sector, four out of five projects under preparation had draft IPDPs posted on the web before appraisal and were all disclosed in draft form to affected people on time. Seven draft indigenous people development frameworks were posted on the web, but only five were posted before appraisal. IPDPs were posted on the web for six projects after they were finalized or revised.

72. No private sector projects required IPDP documents during the reporting period.

vii. Technical Assistance Report

73. The PCP stipulates that a TA report, which is a recommendation to finance a TA project, be posted on the web within 14 days of approval by the relevant authority. For the reporting period, approved TA projects had their TA reports posted on the web on average 5 days after Board approval or circulation.

viii. Reports and Recommendations of the President

74. The RRP, which is the document that approves the loan, is required to be posted on the web within 14 days after Board approval of the loan. For private sector projects, only an abbreviated version of the RRP is to be posted.

75. During the reporting period, out of 121 public sector RRPs, 111 were posted on the web, in compliance with the prescribed period for posting, on average 6 days following Board approval.

76. For private sector projects, out of the 29 redacted RRPs due, 7 were posted on time, 20 were posted on average 39 days after Board approval, and 2 were awaiting clearance by project sponsors for posting when this report was finalized. Disclosure of the abbreviated RRP for private sector projects was delayed because staff members only start to prepare the abbreviated version after Board approval and clearance by the private sector sponsor.

ix. Legal Agreements

77. Public sector legal agreements—loan, grant, financing, guarantee, project, and program agreements, and TA loan agreements—are now posted on the web, together with the RRP after Board approval of the project. The PCP requires posting of these documents within 14 days after Board approval. During the reporting period, 105 out of 107 projects requiring legal agreements on the web posted their legal agreements on an average of 28 days after Board approval.⁷

x. Documents Produced under Technical Assistance

78. The PCP calls for final reports produced under TA to be posted on the web within 14 days after completion. During the reporting period, 247 final reports produced under TA projects

⁷ One reason that caused delayed disclosure could be the increased number of multitranchise financing facility (MFF) projects, under which loan and project agreements are not circulated to the Board together with the RRP and are subjected to approval by Management after these are negotiated (which normally happens after Board approval).

for the public sector (mostly by consultants) were posted on the web. Three final consultant reports were withheld according to exceptions in paras 123 and 126 (exceptions 2, 8, and 18) of the PCP. ADB does not capture in its information systems a rolling list of all consultant reports that are expected to be produced, with timing for their finalization. Therefore, it is not possible to measure compliance regarding disclosure of TA consultant reports. However, based on the number of completed TA projects during the period, more final consultant reports should have been posted on the web, making posting of TA documents one of the key areas for improvement.

xi. Project Administration Memorandum

79. The PCP calls for the project administration memorandums (PAMs) for public sector projects to be made publicly available. PAMs are usually finalized during loan inception missions, after loan effectiveness. Fifty-eight percent (58%) of PAMs due were posted on the web during the reporting period, which is still insufficient but represents a very significant progress compared with the first year of PCP implementation where only 5% of all PAMs due were posted.

xii. Social and Environmental Monitoring Reports

80. Social and environmental monitoring reports are required to be disclosed to affected people and posted on the web upon their submission to ADB by executing agencies for public sector projects. In addition, private sector project sponsors are required to disclose these reports locally to affected people.

81. ADB's safeguard policies stipulate that a loan agreement may require certain monitoring reports to be prepared in the course of a project or program. The number of monitoring reports that need to be produced according to the loan agreements cannot be specifically quantified. However, it may be assumed that any project under implementation categorized A for environment, resettlement, or indigenous peoples would require monitoring reports.

82. Only 12 (29%) of the 41 public sector loans classified as environment category A posted environmental monitoring reports. Of 35 ongoing loans classified as involuntary resettlement category A, 15 (43%) had resettlement monitoring reports posted on the web. None of the eight loans classified as A for indigenous peoples has a monitoring report posted.

83. Thirty-two social and environmental monitoring reports were posted for 12 private sector projects during this reporting period.

xiii. Major Change in Scope

84. Documents circulated to the Board describing a major change in project scope, amount, or implementation arrangements are required to be posted within 14 days after approval of the change. Twenty-five were posted on the web, on average 4 days after Board circulation or approval.

xiv. Progress Report on Tranche Releases

85. The PCP calls for progress reports on multitranche public sector lending operations to be posted on the web within 14 days after Board or Management approval. Twenty-five progress reports were posted on the web, on average 7 days after Board approval or circulation.

xv. Completion Reports

86. Project, TA, and program completion reports should be posted within 14 days of their circulation to the Board.

87. For public sector projects, 266 completion reports were posted, on average 4 days after circulation to the Board.

88. For private sector projects, only one completion report was posted, 8 days after circulation to the Board.

xvi. Evaluation Reports

89. Evaluation reports produced by the Operations Evaluation Department are required to be posted on the web upon circulation to Management and the Board. For private sector projects, staff members need to first redact information deemed confidential.

90. For the reporting period, 48 evaluation reports were posted on the web. Of the total, 21 are public sector projects evaluation reports and 27 are not project related (e.g., sector assistance program evaluations or special thematic evaluation studies). About 85% of the evaluation reports disclosed on ADB's website were posted on time, on average 3 days after circulation to the Board. No evaluation reports on private sector projects were posted.

b. Communications Planning for Projects

91. To provide information to persons affected by ADB projects and to facilitate dialogue, the PCP's para 75 notes that "developing member country governments and ADB may jointly develop communication plans for certain projects and programs, particularly those likely to generate a high level of public interest." The PCP does not specify the form such plans should take, listing instead a range of possibilities, from providing advice on fostering dialogues with affected populations, to increasing the involvement of civil society organizations in the development process. The PCP specifies certain essential elements that communications plans should include, such as objectives, form (including languages), methodology, time lines, target stakeholders, and focal issues. At present, some project officers incorporate communications components into their project designs. These range from public information campaigns or grassroots community engagement to broader program communications efforts. Due to capacity issues, DER has not emphasized project communications planning in its work. During the reporting year, DER has supported the development and implementation of strategic communications planning for two highly sensitive projects and the ongoing safeguard policy update. Through its support of operations departments, DER will continue to work with staff to identify those projects which require communications planning.

c. Strategies and Programs

92. Para 65 of the PCP requires that the final country strategy and program (CSP) be posted on ADB's website not later than 14 days after Board endorsement. In August 2006, ADB adopted the "Further Enhancing Country Strategy and Program and Business Processes" which introduced a new document called country partnership strategy (CPS) that replaces the former

CSP. Under the new business processes, CSPs are no longer required. The Operations Manual on CPS (OM A2) was updated in February 2007 to reflect those changes. Since then, staff members have been following the requirements applicable to old CSPs in disclosing the CPSs. Likewise, the former CSP updates are no longer required. The new business processes and the updated OM A2 include CPS midterm reviews and country operations business plans (COBPs). These documents are required to be disclosed as follows: ADB shall make CPS midterm reviews publicly available upon circulation to or endorsement by the Board. ADB shall make COBPs publicly available upon circulation to the Board. The updated OM L3 on the PCP (pending) will stipulate those requirements.

93. Seventeen CSP and CPS assessments were made publicly available during the reporting period. In the absence of a standard list of assessments that need to be systematically produced, the number of assessments due could not be specified.

94. The Board endorsed three CSPs, four CPSs, and three CSP updates. A total of 25 COBPs were circulated for the Board's information.

95. The seven endorsed CSPs and CPSs were posted on time (within 14 days), on average 5 days after Board endorsement. Four Chair's summaries were posted, on average 23 days after Board endorsement. The remaining 3 Chair's summaries were not posted on ADB's website. This is not in compliance with para 65 of the PCP that requests that the Board summary of each Board discussion of former CSPs be posted on ADB's website not later than 14 days after endorsement by the Board.

96. Of the 3 CSP updates and 25 COBPs, 26 were posted on time, on average 5 days after the Board meeting.

97. Five of the seven new CSPs and CPSs released a draft to in-country stakeholders before being approved but only two out of the seven fully complied with the requirement of para 64 of the PCP to make drafts available to in-country stakeholders at two stages before approval.

98. For countries where English is not widely used, the PCP mandates that the former CSP or its update be translated within 90 calendar days of Board endorsement. The five CSPs and CPSs endorsed by the Board during the reporting period and requiring translation were all translated. Two out of five were translated on time, within the 90-day deadline. All five translated versions were posted on ADB's website. The CPS midterm review requiring translation is being translated and finalized.

99. Para 65 of the PCP also requires that the final regional cooperation strategy and program (RCSP) be posted on ADB's website not later than 14 days after Board endorsement. In August 2006, the RCSP has been renamed regional cooperation strategy (RCS).⁸ Since then, staff members are required to disclose RCSs upon endorsement by the Board. The OM on former RCSPs (OM B1) is being updated to reflect those changes. Likewise, RCSP updates have been replaced by the RCS midterm review report and regional operations business plans (ROBPs). ADB shall make RCS midterm reviews publicly available upon circulation to or

⁸ This new terminology regarding former RCSP and updates was presented to staff in a memorandum from the Office of the President dated 6 August 2006. RCSP and updates were renamed in accordance with para 10 of the "Further Enhancing Country Strategy and Program and Business Processes" approved by Management on 4 August 2006 which suggests that, in principle, the proposal on enhancing CSP processes may apply to RCSPs.

endorsement by the Board and ROBPs publicly available upon circulation to the Board. The updated OM L3 (pending) will stipulate those requirements.

100. During the reporting period, the Board endorsed one RCSP update and two ROBPs were circulated for the Board's information. The RCSP update was posted 4 days after Board endorsement. The ROBPs were also posted on time, on average 2 days after the Board circulation date.

101. In accordance with para 63 of the PCP, a list of new CPSs and RCSs scheduled for preparation next year is available on ADB's website.⁹ The list indicates the dates of initial consultation meeting, Management review meeting, country programming mission, Board approval, and team leader. This list is regularly updated.

102. As noted earlier, ADB reviewed the disclosure procedure pertaining to strategy and programs in light of the enhanced business processes approved in August 2006. The PCP OM is currently being updated to reflect these changes. It will clearly indicate that the disclosure requirements of the PCP should apply to new business processes. The updated version will only refer to the PCP provisions that are subject to compliance review under the accountability mechanism.¹⁰

103. According to the PCP, any policy or strategy developed or revised after September 2005 shall clearly articulate the disclosure requirements for documents and information required to be produced. This requirement of the policy has been complied with.

d. ADB Policies, Strategies, and Operational Procedures

104. The PCP calls for ADB policy and strategy papers to be disclosed not later than 14 days after final approval by the Board or Management. During the reporting period, the Board discussed 14 policy and strategy papers, 6 of which were working papers. Of the eight final papers discussed by the Board, two were disclosed on time and one was disclosed 27 days after Board approval together with its Chair's summary. The other five policy papers pertained to ADB's treasury operations and were not disclosed in accordance with the PCP, para 126, exceptions 5, 6, 9, and 18.

105. ADB maintains a web listing¹¹ of safeguard policies and sector and thematic strategies under development or review. The list indicates public consultation periods, contact person, and target approval date. It has been regularly updated.

106. Where the PCP calls for new disclosure requirements for ADB policies or strategies, the OM sections of such policies are to be updated within 6 months of the PCP approval. While none of the OM sections were amended during the first year of PCP implementation to integrate disclosure requirements consistent with the PCP, 10 OMs were updated with description of disclosure requirements.

⁹ Available: <http://www.adb.org/spd/strategies-programs.asp>

¹⁰ See paras 28–38 (policy provisions), paras 55–130 (disclosure requirements) and paras 155–166 (implementation arrangements) of the PCP. OM L3 will be revised to delete its current paras 71–92 that are not subject to compliance review under the PCP.

¹¹ Available: <http://www.adb.org/SPD/policies-strategies.asp>

e. Documents Circulated to ADB's Board of Directors Not Cited in the Policy

107. The PCP calls for most Board documents routinely produced to be made publicly available. Para 122 stipulates that other documents circulated to the Board not cited in the policy be made publicly available unless Management informs the Board otherwise and the Board agrees. Staff members are required to justify reasons for nondisclosure, in accordance with PCP para 126 (exceptions to presumed disclosure), and obtain the President's approval for withholding Board documents. Removal of confidential information is encouraged rather than withholding the document altogether. Any removal of information should be indicated on the document's cover page to ensure a systematic approach to exercising a presumption in favor of disclosure.

f. Information Related to ADB's Board of Directors

108. The PCP calls for enhanced transparency regarding the activities of ADB's Board of Directors. The calendar of the Board's meetings is posted on a rolling 21-day cycle and the Board's minutes are posted on ADB's website on average 1 day after Board approval of the minutes¹² and 24 days after the Board's meeting. During the reporting period, reports of Board committees to the full Board were publicly disclosed for the audit and development effectiveness committees.

109. The Chair's summaries are produced and disclosed for each Board discussion of an ADB policy or strategy, or a country or regional strategy and program.

110. During the reporting period, 21 Board meetings required Chair's summaries, and 19 Chair's summaries were approved for posting on the web. Out of these 19 Chair's summaries, 15 were posted on the web on an average of 27 days after the Board meeting and 4 were not posted.

g. Other ADB Information

111. The PCP calls for the proactive disclosure of cofinancing, administrative, financial, and employment information. Most of the information required to be posted on ADB's website is now available. The following information, which was not available when the first PCP progress report was issued, is now available: ADB's organizational structure and members of the Board of Governors, Board of Directors, Management, and senior staff, including contact information for Management and Staff,¹³ and general information on professional staff and benefits.¹⁴ The summary proceedings of the 2007 annual meeting of the Board of Governors in Kyoto were posted on the web 108 days after the annual meeting.

h. Translation Framework

112. Although the working language of ADB is English, the PCP recognizes the need to produce information in other languages to raise stakeholders' understanding of and participation

¹² Available: <http://www.adb.org/BOD/default.asp>

¹³ Available: <http://www.adb.org/About/adb-management.asp>

¹⁴ Available: <http://www.adb.org/Employment/benefits.asp>

in ADB-assisted activities. The PCP thereby called for ADB to produce a translation framework to expand the extent of translated documentation.

113. In March 2007, Management approved the ADB translation framework and the necessary infrastructure has been developed to implement it. Since March 2007, translations have been done in 17 DMC languages, resulting in translation of 27 types of documents from English. The central translation budget was organized and administered, wherein a budget tracking and reporting system was implemented. Basic procedures for translation were developed and a process was created for centralized Russian translation. An ADB master glossary is currently being translated into several languages of DMCs. The development of an online terminology database (which will include the ADB master glossary and its translations) started in March 2008, and localized pilot websites in Russian and Chinese began in February 2008.

3. Responding to Information Requests

114. ADB maintains a computer system for tracking external requests for information. The system can be viewed by all staff but is designed for use by request managers in the InfoUnit and in resident missions and representative offices. It has built-in response templates and an e-mail facility to correspond with requesters and decision makers.

a. Information Request Profile and Statistics

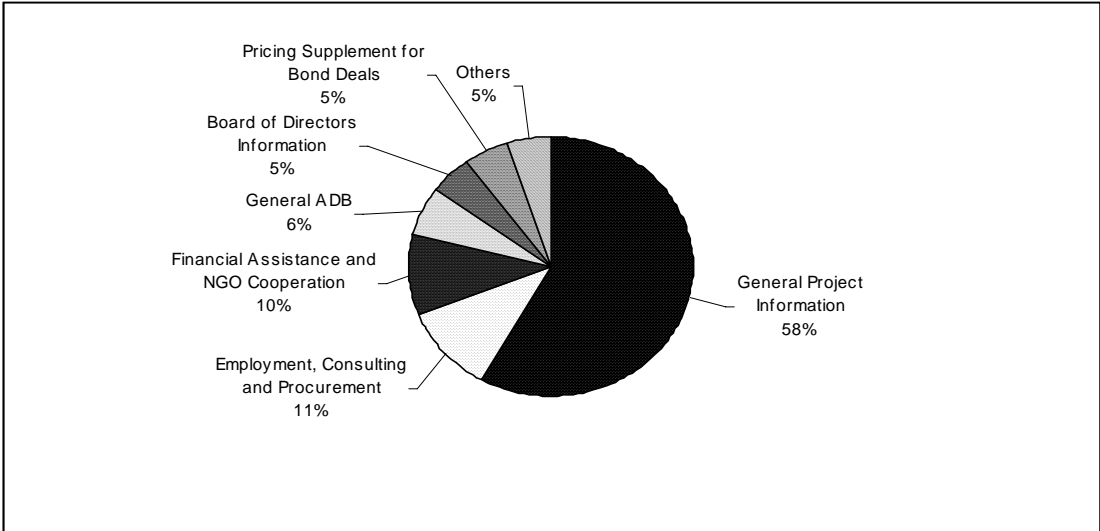
115. For the reporting period, 1,703 external requests for information and documents were tracked and processed by the InfoUnit and ADB's field offices.¹⁵ These constitute an average of 106 requests processed by month (while only 72 requests per month were processed on average during the first year of PCP implementation). ADB responded to each request, providing either the requested information or a reason for not granting the request.

116. ADB expected to receive fewer requests over the second year of PCP implementation, as more project-related information was being proactively disclosed on ADB's website. However, the number of requests increased, which may be attributed to an increased level of awareness among external stakeholders on the right to seek and receive information from ADB.

117. More than half of the requests processed were for project-related information (status of implementation of a project, TA, completion reports, consultant reports, RRP, environmental assessments, and other project documents). Most of the remaining requests concerned financial assistance from ADB and NGO cooperation, employment, consulting and procurement, general information about ADB, or pricing supplements for bond deals. The distribution of requests according to type is found in the following figure.

¹⁵ Other units in DER process general information requests and handle queries from journalists. In addition, not all requests received at field offices have been tracked.

**Figure 1: Number of Requests Processed Per Type of Information
(1 September 2006–31 December 2007)**



i. Timing of Response

118. Under the PCP, written requests must be acknowledged within 5 working days and responded to as soon as a decision has been made and not later than 30 calendar days after receiving the request. About 98% were acknowledged within 5 days, and 96% were fulfilled within the 30-day deadline.

119. Fulfilling a request took an average of 7 days. During the reporting period, 68% of the requests were fulfilled within 5 days. Four percent (4%) of the requests were fulfilled beyond the deadline partly because of the difficulty to find some documents completed before the policy was in place and due to the staff turnover within the InfoUnit team. The InfoUnit had to search and scan volumes of documents that were available as hard copies only.

120. Six percent of requests for current information were denied (See Appendix 3 for more information about denied requests).

121. The list of denied requests and reasons for denial are posted on the web and updated at the end of each month.¹⁶

ii. Requests for Documents Issued Before the PCP’s Effective Date

122. Information that was not publicly available when the PCP was issued, but would have been publicly available if created under the policy, must be available on request at the discretion of ADB, subject to the terms and conditions of the policy and its exceptions (PCP, para 128). Most requests received were for documents completed before the PCP’s effective date.

¹⁶ Available: <http://www.adb.org/Disclosure/requests.asp>

123. ADB shall make historical information available on request 20 years after issuance, subject to the exception listed in para 127 of the PCP. These exceptions are more limited, as ADB considers that information older than 20 years old is generally not sensitive anymore. However, more staff time and effort are required to search for these older documents for closed projects, in the absence of an institution-wide document repository.

iii. Requests Received at ADB's Field Offices

124. The InfoUnit processed almost all (95%) of the requests analyzed in this annual report. The number of requests tracked by the resident missions and representative/regional offices is still low. More training should be directed to build their capacity to use the tracking system more systematically and process the external requests they receive regarding ADB's operations within the time limit required by the PCP.

b. Complaints to the Public Disclosure Advisory Committee

125. The PDAC was established on 1 September 2005. A webpage (<http://www.adb.org/Disclosure/pdac.asp>) was launched, advertising its readiness to receive complaints, and the purpose and contact information for the committee was incorporated into PCP public awareness materials. To date, PDAC has not received complaints or petitions to review requests denied.

V. ISSUES AND ACTIONS

126. In the second reporting period of PCP implementation, progress has been made to align the organization, systems, processes, and activities with the strategic directions given under the PCP. Management's visible leadership and increased willingness to engage in more proactive external relations through speaking engagements and media events are an indicator of the high priority given to external relations. ADB has become more proactive in communicating with ADB's external stakeholders as it addressed the recommendation of the first global perceptions survey on ADB on the need to improve communications. The disclosure requirements of the PCP have resulted in significant changes at ADB. Most staff members agree to give out information, but improved compliance with PCP's deadlines is needed. The report shows that ADB generally complied better with disclosure requirements of the PCP than previously reported but not fully. ADB needs to further develop an enabling environment by building staff capacity, improving systems and procedures, and regularly monitoring and evaluating implementation. ADB must resolve issues that emerged during the second year of implementation. The key implementation issues and proposed actions are discussed below.

A. Proactive External Relations

127. **Background:** In the first PCP assessment report, issues and actions were identified to ensure ADB's success in implementing PCP's two components on proactive external relations and access to information. On external relations, the issues included regular monitoring and evaluation, refining output indicators and targets more meaningfully to track progress, promoting strategic approaches to prioritizing external relations activities, and clarifying DER's role and reinforcing cooperation and collaboration between DER and regional departments and their field offices to improve country-specific outreach planning.

128. Overall, these issues were addressed in the second reporting period. External relations activities were more closely monitored with a new improved system for media monitoring. Field offices regularly monitored and, for the first time, provided media analysis reports. Tracking of website users was done regularly. An events planning system was in place for more strategic and systematic planning and implementation of key events for Management and senior staff. Media output indicators were regularly tracked and the definition of top-tier media was expanded. Strategic external relations planning was introduced in two field offices. Cooperation and collaboration with regional departments and their field offices were strengthened through the establishment of a focal point system and the launch of a communication and collaboration tool for sharing information and lessons learned among members of the external relations community of practice.

129. **Issues and Actions:** Under the PCP's external relations component, the following issues and actions need to be considered in the third year of implementation:

- (i) Continue efforts to monitor and evaluate more regularly implementation progress to better position ADB to achieve the intended external relations results;
- (ii) Further refine output indicators and targets to track progress more meaningfully; and
- (iii) Clarify requirements for implementing communications plans for certain projects and programs.

B. Improved Access to Information

130. **Background:** In the first PCP assessment report, issues included mixed progress in compliance with certain aspects, need for continuous capacity building, issuance of regular compliance reports to the regional departments, and review of disclosure procedures according to new business processes for strategies and policies.

131. Progress in compliance in certain areas is still mixed but better than previously reported. A summary of compliance with projects disclosure requirements is found in Appendix 2, which highlights bold areas of improvements compared to the first year of PCP implementation. Staff capacity building has been conducted as needed during the reporting year, three compliance reports were produced, and new business processes on strategies and policies were integrated into the reporting system and in the PCP's OM L3 currently under preparation.

132. **Issues and Actions:** Under the PCP's disclosure component, the following issues and actions need to be considered in the third year of implementation:

- (i) Posting documents on time;
- (ii) Issuing compliance reports to staff, at least quarterly, to help them monitor compliance more effectively; and
- (iii) Providing continuous staff capacity building on the PCP, particularly on the use of the disclosure information technology. Project staff members need to fully use DMS for planning disclosure of project documents and respond to DMS and PID-generated e-mail reminders before disclosure deadlines. Hands-on training

programs on the use of DMS and PID will be further developed to complement PCP briefing sessions, both stand-alone and integrated, with other ADB training programs.

133. ADB will continue to measure the progress of PCP implementation by preparing an annual assessment report to keep stakeholders informed. With the active support and participation of staff in headquarters and field offices, and under the guidance of the PDAC, ADB will continue to strive for full compliance with the PCP.

PERFORMANCE ASSESSMENT FRAMEWORK

Design Summary	Indicators/Targets	Status
Impact		
<ul style="list-style-type: none"> Improved development effectiveness 	Monitored by reform agenda progress reports	
Outcome		
<ul style="list-style-type: none"> Stakeholders' trust in, and ability to engage with, ADB greatly enhanced 	<ul style="list-style-type: none"> Improvements in stakeholders' perception of ADB and their assessment of ADB openness, accountability, and partnering 	<ul style="list-style-type: none"> 2006 baseline: See Chapter II. New perceptions survey to be conducted in 2009.
Outputs		
1. Proactive external relations of ADB	<ul style="list-style-type: none"> Increased number of outreach missions to donor countries by Management 5% annual increase in Management media interviews and outreach activities Consistent presence in top-tier print media (i.e., at least six opinion editorials (op-eds) published in <i>Asian Wall Street Journal</i>, <i>Financial Times</i>, and <i>International Herald Tribune</i>) 	<ul style="list-style-type: none"> 57 outreach missions undertaken to donor countries in 2007 (see para 17) 70 Management media interviews, press conferences in 2007 (see para 18) 19 opinion editorials (op-eds) published in 2007 (see para 24)
2. Improved access to information on ADB operations	<ul style="list-style-type: none"> Annual increase in the number of communications plans developed by operations departments for CSPs, RCSPs, and projects Starting in year 2, 10% annual decrease in complaints that the PCP's disclosure requirements have not been properly implemented PIDs created for 50% of projects by end of year 1 and 100% by end of year 2 	<ul style="list-style-type: none"> Assessment deferred to 2008 No complaints received in second year of implementation PIDs posted for 87% of projects under implementation by 31 December 2007, 88% of which reported on attainment of development objectives (see para 58)
	<ul style="list-style-type: none"> Improvement in public satisfaction as stated in comment cards submitted to resident missions and representative offices Percentage of requests for information fulfilled within 30 calendar days 100% compliance with disclosure requirements 	<ul style="list-style-type: none"> Baseline survey to be conducted in 2008 96% of requests fulfilled on time (see para 118) Significant progress in compliance for the second reporting year, but compliance still lower than the 100% target. See Chapter IV, Section B.2 (paras 49–125)

Design Summary	Indicators/Targets	Status
Activities		
1.1 Prepare an action plan for the PCP's strategy for external relations	<ul style="list-style-type: none"> • Within 3 months of the PCP's approval 	<ul style="list-style-type: none"> • Action plan approved by Management in July 2005
1.2 Realign organizational structure and start aligning skills mix to support new strategic directions on external relations	<ul style="list-style-type: none"> • Within 3 months of the PCP's approval 	<ul style="list-style-type: none"> • OER upgraded to DER in July 2005. DER structure refined in November 2005, and skills mix aligned with the PCP
1.3 Update media guidelines	<ul style="list-style-type: none"> • Circulation to staff within 4 months of the PCP's approval 	<ul style="list-style-type: none"> • Guidelines updated in line with the PCP and circulated to staff in December 2005
2.1 Establish and put into operation the InfoUnit	<ul style="list-style-type: none"> • Within 3 months of the PCP's approval 	<ul style="list-style-type: none"> • InfoUnit active during the PCP's approval and fully staffed in September 2005
2.2 Establish PDAC	<ul style="list-style-type: none"> • By the PCP's effective date 	<ul style="list-style-type: none"> • PDAC active by effective date
2.3 Prepare and disseminate staff handbook on the policy	<ul style="list-style-type: none"> • Circulated to staff by the PCP's effective date 	<ul style="list-style-type: none"> • Handbook posted by effective date and updated as needed
2.4 Prepare and disseminate borrower and sponsor handbook on the PCP	<ul style="list-style-type: none"> • Within 6 months of the PCP's effective date 	<ul style="list-style-type: none"> • Tools translated and disseminated in 4th quarter 2005, then as needed.
2.5 Conduct training on disclosure requirements	<ul style="list-style-type: none"> • All mission leaders and project analysts within 1 year of the PCP's effective date 	<ul style="list-style-type: none"> • 73% of headquarters operations staffed trained, plus others in RMs, during first year. Briefings pursued as appropriate during the second reporting period (see paras 36–48).
2.6 Review the depository library program and develop strategy for upgrading public information centers in member countries	<ul style="list-style-type: none"> • Within 1 year of the PCP's effective date 	<ul style="list-style-type: none"> • Review completed in March 2007
2.7 Expand and/or upgrade public information centers in member countries based on the above review	<ul style="list-style-type: none"> • Within 2 years of the PCP's effective date 	<ul style="list-style-type: none"> • Will begin expansion in 2008; staffing shortage prohibited progress in 2007.

SUMMARY OF COMPLIANCE WITH PROJECT DISCLOSURE REQUIREMENTS

Type of Document/Information (for both public and private projects, if required)	Status	Timing of Compliance (Source: ADB information systems)
Project Information Documents (PIDs)	For projects under preparation, 85% compliance For loans and grants under administration with status of implementation, 91% compliance For TA projects under administration with status of implementation, 61% compliance	39% of posted PIDs on time 91% of PIDs due posted by 31 December 2007 61% of PIDs due posted by 31 December 2007
Initial Poverty and Social Assessments	100% compliance	PCP is not specific regarding timing
TA Reports	100% compliance	100% posted on time
Design and Monitoring Frameworks	84% compliance	31% posted on time
Summary Environmental Assessments (120-day rule)	100% compliance	100% posted on time
Resettlement Planning Documents (draft before appraisal)	100% compliance	75% of resettlement plans and 50% of resettlement frameworks posted on time
Indigenous Peoples Development Planning Documents (draft before appraisal)	100% compliance	80% of indigenous plans posted on time and 71% of indigenous frameworks posted on time
Reports and Recommendations of the President	100% compliance	79% posted on time
Legal Agreements (public sector)	98% compliance	47% posted on time
TA consultant reports	Unable to assess how many were due but 247 were submitted	Unable to assess
Project Administration Memoranda	58% compliance	Unable to assess
Social and Environmental Monitoring Reports	Unable to assess how many have been submitted to ADB	Unable to assess
Major Changes of Scope	100% compliance	100% posted on time
Progress Reports on Tranche Release	100% compliance	100% posted on time

Type of Document/Information (for both public and private projects, if required)	Status	Timing of Compliance (Source: ADB information systems)
Completion Reports	100% compliance	100% posted on time
Evaluation Reports	100% compliance	85% posted on time

DENIED REQUESTS

Type of Information/Document	No. of Requests	Reason for Denial
Pricing Supplement for Bond Deals	64	Para 126.8 – Business-sensitive information. Underwriter denied because of proprietary information
Project-Related (including 2 Mission Aide Memoires, 9 Reports and Recommendations of the President [RRPs], 8 Completion Reports, 7 TA Consultant Reports, 3 Legal Agreements and 3 General Project Information and 2 TA Reports)	34	<p>Para 104 – ADB shall not make private sector legal agreements entered into by ADB, or amendments to such agreements, publicly available.</p> <p>Para 126.1 – Internal information that, if disclosed, would or would be likely to compromise the integrity of ADB's deliberative or decision-making process.</p> <p>Para 126.2 – Disclosure would or would be likely to compromise the integrity of deliberative process between ADB and the Government.</p> <p>Para 126.3 – Information obtained in confidence from a government or international organization that, if disclosed, would or would be likely to materially prejudice ADB's relations with that party.</p> <p>Para 126.8 – Business-sensitive information.</p> <p>Para 126.9 – Confidential business information.</p> <p>Para 126.10 – Information related to procurement processes.</p> <p>Para 127.2 – Information provided to ADB in confidence with the express understanding that it be kept confidential and that, if disclosed, would or would be likely to materially prejudice ADB's relations with the party that provided the information or would violate the law or breach a legal agreement.</p>
Consulting and Procurement	5	<p>Para 126.1 – Internal information that, if disclosed, would or would be likely to compromise the integrity of ADB's deliberative or decision-making process.</p> <p>Para 126.4 – Individual records, as well as proceedings of internal appeal mechanisms and investigations, except to the extent permitted by staff rules and Board of Directors rules and regulations.</p> <p>Para 126.10 – Information related to procurement processes.</p>
Anticorruption	2	Para 126.15 – Sanctions list
Institutional/General ADB	1	Para 126.2 – Disclosure would or would be likely to compromise the integrity of deliberative process between ADB and the Government.
Total	106	