

CLIENT SURVEYS WITH RELEVANCE TO ADF

Supplementary Appendix E

to the

**SPECIAL EVALUATION STUDY ON THE
ASIAN DEVELOPMENT FUND VIII AND IX OPERATIONS**

December 2007

CLIENT SURVEYS WITH RELEVANCE TO ADF

1. Two previous OED surveys, one on the Role of Project Implementation Units (PIU)¹ and another on Urban Sector Strategy and Operations (USS)² were re-analyzed to enable a comparison of findings for ADF funded projects and OCR funded projects.
2. The survey on Project Implementation Units (PIUs) was conducted between July and September 2004 and was undertaken to quantify characteristics of and views on project offices³ in executing agencies (EAs) and implementing agencies, with respect to aspect of their implementation efficiency and potential for capacity development. The survey covered all approved loans registered on ADB databases which were effective on or before 1 July 2004, excluding program loans and all credit line loans for DFIs. The universe for the study consisted of 324 loans funding 263 projects. Questionnaires were sent to these projects' respective project managers by email, fax, and when needed, postal mail. The accompanying letters requested the project managers to forward a copy of the questionnaire to all other project offices involved in the project. Some projects had both central project offices and sub-national PIUs, others had more than one central PIU, located in various EAs. The final result was a response covering a total of 152 projects (58%), and 206 questionnaire returns: 69% for central PIUs, 23% from other PIUs, and 10% from projects without PIUs.
3. The USS survey was conducted a year later, between July and September 2005. The survey covered all 52⁴ ADB-approved loans pertaining to urban sector projects. Like in the PIU survey, questionnaires were sent by email and fax. Accompanying letters requested project directors to forward copies of the questionnaire to other project offices and/or PIUs involved in the project. The number of projects that responded with at least one questionnaire return was 44 (85%) while the 88 (75%) out of a total of 117 questionnaires circulated to known project offices responded.
4. More information regarding the methodology of the surveys is in the respective studies referred to. Table 1 shows the total number of responses for each survey as well as the number of respondents from ADF- and OCR-funded projects.

Table 1: Number of Responses from the Surveys

	PIU	USS
Number of Projects Sent	263	52
Number of Projects that Responded	152	44
Response Rate (Projects)	58%	85%
Total Responses (including all Project Offices)	206	88
Responses from ADF-funded projects	152	50
Responses from OCR-funded projects	47	38

5. In both surveys, respondents were asked to choose between the answer categories "Major", "Minor", or "None" in most of the questions. Respondents who did not indicate any answer in one question were excluded from the total valid responses for that question. The weighted average reflects the average of Major, Minor, and None responses which were assigned values 100, 50, and 0, respectively. It can be seen as the sum of all 'major' responses plus half of the 'minor' responses.

¹ ADB. 2005. *Special Evaluation Study on the Role of Project Implementation Units*. Manila.

² ADB. 2006. *Special Evaluation Study on Urban Sector Strategy and Operations*. Manila.

³ The term project office was chosen to avoid confusion—PIUs can mean different things in different countries. Project offices implied all special purpose office arrangements for the management and implementation of projects.

⁴ Initially, there were 54 loans being considered but project officers of some recently established projects asked for their respective projects to be excluded from the sample.

Table 2: Selected PIU Survey Responses

	Wtd Ave.	ADF %			Total Valid	Wtd Ave.	OCR %			Total Valid	ALL	
		Major	Minor	None			Major	Minor	None		Wtd Ave.	Total Valid
1. Focus of the project												
Infrastructure (re)construction / provision	88	82	11	7	118	83	83	0	18	40	86	158
Policy / institutional / capacity development	82	69	27	4	102	79	64	31	6	36	82	138
Service delivery oriented activities (excluding infrastructure)	65	47	36	17	81	54	39	29	32	28	62	109
Operation and maintenance of infrastructure	62	41	42	16	85	58	36	42	21	33	61	118
Emergency response	39	30	17	52	69	21	10	24	67	21	35	90
2. The project will...												
Achieve the outputs against the allocated budget	59	59	0	41	152	51	51	0	49	47	57	199
Improve the sustainability of infrastructure created	59	59	0	41	152	60	60	0	40	47	59	199
Achieve the outputs in time	57	57	0	43	152	40	40	0	60	47	53	199
Develop project management capacity in the EA or IA	55	55	0	45	152	60	60	0	40	47	56	199
Improve the sustainability of services delivered by the EA / IA (if any)	48	48	0	52	152	43	43	0	57	47	47	199
Develop other capacities in the EA or IA	39	39	0	61	152	36	36	0	64	47	38	199
3. The project introduces a new approach												
	51	29	45	26	145	53	26	55	19	47	52	192
4. Main purpose of the PO												
Ensure efficiency in project implementation	98	98	1	1	147	98	98	0	2	45	98	192
Develop EA's capacity to manage projects	54	44	20	36	147	69	60	18	22	45	58	192
Develop EA's capacity for service delivery or O&M	43	27	31	42	147	46	29	33	38	45	43	192
Develop EA's capacity to do detailed design	32	17	31	52	147	39	18	42	40	45	34	192
5. Facilities available to the PO												
Communications—telephone, fax, internet	88	88	0	12	146	98	98	0	2	46	90	192
Office furniture, fixtures, supplies, and budget for running costs	87	87	0	13	143	91	91	0	9	45	88	188
Office space/aircon/power supply (for POs inside main building of EA /IA)	81	81	0	19	113	97	97	0	3	33	84	146
Vehicles	77	77	0	23	145	75	74	2	24	46	77	191
Office space/aircon/power supply (for POs outside main building of EA/IA)	75	75	0	25	102	94	94	0	6	31	80	133
7. 6. Systems available in the PO												
Sufficient legal documentation and manuals, clear procedures	72	72	0	28	152	74	74	0	26	47	73	199
Computerized finance /accounts (use of specialized software package)	41	41	0	59	152	51	51	0	49	47	43	199
Computerized project progress software (fixed system, e.g., MS Project)	36	36	0	64	152	51	51	0	49	47	39	199
Computerized procurement database	24	24	0	76	152	32	32	0	68	47	26	199
Computerized and sufficient baseline databases and for updating status	23	23	0	77	152	43	43	0	57	47	28	199
Computerized detail design software packages	18	18	0	82	152	30	30	0	70	47	21	199
Other computerized systems	13	13	0	87	152	13	13	0	87	47	13	199

	ADF				Total	OCR				Total	ALL	
	Wtd	%				Wtd	%				Wtd	Total
	Ave.	Major	Minor	None		Ave.	Major	Minor	None		Ave.	Valid
7. Main role of consultants/contractuals in the PO												
Fill gaps in agency staffing due to the extra work created by the project	39	39	0	61	152	43	43	0	57	47	40	199
Fill gaps in agency staffing mainly due to the need for quality work or integrity	31	31	0	69	152	36	36	0	64	47	32	199
Provide on-the job training or advice	30	30	0	70	152	26	26	0	74	47	29	199
Combination of filling gaps, substitution, and advice	26	26	0	74	152	32	32	0	68	47	27	199
Substitute for available agency staff but who are not thought sufficiently qualified	10	10	0	90	152	13	13	0	87	47	11	199
Combination of filling gaps and substitution	10	10	0	90	152	11	11	0	89	47	10	199
Substitute for available agency staff but who are not sufficiently motivated / paid	5	5	0	95	152	4	4	0	96	47	5	199
Substitute for available agency staff but who are not trusted by ADB / Borrower	5	5	0	95	152	9	9	0	91	46	6	198
8. Which types of capacity development are major/minor in the project?												
Project management	73	62	21	17	145	85	76	17	7	46	76	191
Individual skills development	64	48	31	21	145	63	43	39	17	46	64	191
Service delivery capacity development	61	47	28	25	145	52	41	22	37	46	59	191
Organization development	61	47	29	24	145	65	54	22	24	46	62	191
Operation & maintenance of infrastructure	54	36	36	28	145	55	39	33	28	46	54	191
Strategy / policy / legal development	49	34	29	37	145	51	37	28	35	46	49	191
Construction of offices / training centers or other facilities	40	26	28	46	145	40	24	33	43	46	40	191
9. What are in your view main staff capacity problems in your agency?												
Project implementation experience is small or not geared to new approaches	41	41	0	59	152	49	49	0	51	47	43	199
Qualifications or experience for good operation and maintenance are insufficient	25	25	0	75	152	28	28	0	72	47	26	199
Qualifications or experience for good policy or planning are insufficient	24	24	0	76	152	15	15	0	85	47	22	199
Qualifications or experience for good service delivery functions are insufficient	19	19	0	81	152	9	9	0	91	47	17	199
10. Regular staff of agency could/would do more project work if there were special incentives												
	77	77	0	23	143	78	78	0	22	46	77	189
11. Government officials resigned and joined the PO as consultants/contractuals												
	21	21	0	79	146	24	24	0	76	45	21	191
12. There were written guidelines from the Government on the structure, level, and source of remuneration of PO staff												
	82	82	0	18	144	77	77	0	23	47	81	191
13. PO work overlaps with main EA/IA												
	19	19	0	81	143	31	31	0	69	45	22	188

ADB = Asian Development Bank, ADF = Asian Development Fund, EA = executing agency, HH = households, IA = implementing agency, NA = no answer, O&M = operation and maintenance, PO/PIU = project office/project implementation unit, ROW = right of way.

Note: (i) "Major" (or Yes in some cases), "Minor", and "None" (or No in some cases) responses were assigned 100, 50, and 0 values, respectively. The weighted average (Wtd Ave.) is then the average points after reflecting the number of Major, Minor, and None responses with their assigned values. (ii) In cases where the number of NA for a single question varies, this means that the question can have as many answers as possible. (iii) If a respondent skipped an entire question, all answers for this question were marked as "NA". But if the respondent ticked only one answer among a set of answers, the rest of the answers (not ticked) were all marked as "0" or "None".

Source: SES on the Role of Project Implementation Units. April 2005.

Table 3: Selected Urban Sector Survey Responses

	ADF				OCR				ALL			
	Wtd	%			Total	Wtd	%			Total	Wtd	Total
	Ave.*	Major	Minor	None	Valid	Ave.*	Major	Minor	None	Valid	Ave.	Valid
1. Main purpose of the ADB loan												
Infrastructure creation	91	91	0	9	47	84	84	0	16	38	88	85
O&M of infrastructure	51	51	0	49	47	21	21	0	79	38	38	85
Service delivery oriented activities	34	34	0	66	47	29	29	0	71	38	32	85
Land management or policy/institutional/capacity development	26	26	0	74	47	34	34	0	66	38	29	85
Housing finance/ other finance	17	17	0	83	47	18	18	0	82	38	18	85
Response to emergency	4	4	0	96	47	8	8	0	92	38	6	85
2. What are the main advantages of ADB involvement in the project?												
Better design of project	75	60	30	10	50	63	50	26	24	38	70	88
Intellectual/ technical leadership	75	62	26	12	50	54	34	39	26	38	66	88
External quality control/ monitoring by ADB	68	48	40	12	50	63	39	47	13	38	66	88
More certain/steady supply of funds	81	76	10	14	50	74	68	11	21	38	78	88
Good and transparent procurement processes	75	64	22	14	50	84	79	11	11	38	79	88
Access to technical advice or operational support	68	50	36	14	50	71	58	26	16	38	69	88
ADB can persuade government decision makers	61	40	42	18	50	51	37	29	34	38	57	88
ADB can leverage additional financial resources	61	54	14	32	50	47	29	37	34	38	55	88
Large investment project has catalytic effect	55	44	22	34	50	57	42	29	29	38	56	88
Project admin/ salaries funded thru loan	48	38	20	42	50	24	13	21	66	38	38	88
Other advantage/s	6	6	0	94	50	5	5	0	95	38	6	88
3. The project will...												
Improve services for, or lives of, the poorest people more than others	67	67	0	33	48	42	42	0	58	36	56	84
Achieve some outputs in time (some may be delayed)	63	63	0	38	48	61	61	0	39	36	62	84
Benefit from a follow-on ADB-supported project	52	52	0	48	48	33	33	0	67	36	44	84
Achieve the outputs against the allocated budget	38	38	0	63	48	42	42	0	58	36	39	84
Achieve outputs in time or before time	35	35	0	65	48	31	31	0	69	36	33	84
Directly benefit (some) hh/ businesses outside the urban areas	33	33	0	67	48	44	44	0	56	36	38	84
Reduce the proportion of low income hh in the city/ municipality	29	29	0	71	48	16	16	0	84	38	23	86
Achieve the intended outputs much below the original budget	10	10	0	90	48	14	14	0	86	36	12	84

	ADF					OCR					ALL	
	Wtd	%			Total	Wtd	%			Total	Wtd	Total
	Ave.	Major	Minor	None	Valid	Ave.	Major	Minor	None	Valid	Ave.	Valid
PROBLEMS WITH PO/PROJECT												
4. What are some of the problems of the project at this stage?												
a. ADB Involvement												
Difficult ADB forms and procedures and excessive paperwork	35	10	50	40	48	43	21	45	34	38	39	86
Improper staffing by consultants recruited for the project	34	13	44	44	48	30	16	29	55	38	33	86
Delays in ADB responses/ decisions/ approvals	31	8	46	46	48	37	13	47	39	38	34	86
Enforcement of ADB agenda (e.g. resettlement, environment, participation, etc)	31	19	25	56	48	39	16	47	37	38	35	86
Lack of suitability of ADB project officers for task at hand	14	0	27	73	48	11	3	16	82	38	12	86
Delays in ADB disbursements	11	0	23	77	48	18	8	21	71	38	15	86
Lack of staff continuity in ADB	10	0	21	79	48	13	3	21	76	38	12	86
b. Government Involvement												
Delays in government responses/ decisions/ approvals	50	25	50	25	48	42	26	32	42	38	47	86
Lack of effective coordination, or opposition from other agencies	36	15	44	42	48	34	16	37	47	38	35	86
Insufficient government budget made available to project (or late release)	34	13	44	44	48	30	21	18	61	38	33	86
Lack of (qualified and capable) staff to implement the project	31	10	42	48	48	25	8	34	58	38	28	86
Government policies or decisions obstruct/ delay project activities	31	13	38	50	48	36	18	34	47	38	33	86
Difficult/ unwieldy government systems and procedures	30	13	35	52	48	30	13	34	53	38	30	86
Lack of effective zoning/ building regulations	20	6	27	67	48	11	3	16	82	38	16	86
Involvement of politicians in the administrative domain	18	2	31	67	48	28	16	24	61	38	22	86
Problematic division of responsibilities between project office and other agencies	20	10	19	71	48	25	11	29	61	38	22	86
c. Deficient Design/Preparation												
High and rising cost of land or other issues with land acquisition/ ROW	25	13	25	63	48	39	21	37	42	38	31	86
Project has too many components and imp agencies	25	13	25	63	48	24	13	21	66	38	24	86
Project has lack of effective monitoring system/ lack of data	19	2	33	65	48	17	0	34	66	38	18	86
Project has more donors than ADB and this demands time	15	8	13	79	48	12	5	13	82	38	13	86
Lack of demand for project (components) from intended beneficiaries	11	2	19	79	48	14	8	13	79	38	13	86
Opposition to project activities from civil society or private sector parties	7	2	10	88	48	18	8	21	71	38	12	86

	ADF					OCR					ALL	
	Wtd Ave.	Major	Minor	None	Total Valid	Wtd Ave.	Major	Minor	None	Total Valid	Wtd Ave.	Total Valid
5. Are there experiences with irregularities or corruption in the context of your project?												
No experience with irregularities or corruption	90	90	0	10	42	89	89	0	11	36	90	78
Project staff have witnessed attempts at corrupt practices	7	7	0	93	42	0	0	0	100	36	4	78
Written allegations of irregularities have been made	7	7	0	93	42	6	6	0	94	36	6	78
Written allegations of corruption have been made	5	5	0	95	42	0	0	0	100	36	3	78
Written allegations of corruption have been dealt with	5	5	0	95	42	3	3	0	97	36	4	78
Project staff have suspected irregularities	2	2	0	98	42	6	6	0	94	36	4	78
Irregularities have been dealt with	2	2	0	98	42	8	8	0	92	36	5	78
STAFFING/CAPACITY DEVELOPMENT												
6. Is there sufficient involvement of staff?												
Headquarters staff	52	20	63	16	49	51	20	63	17	35	52	84
Resident Mission staff	60	31	59	10	49	58	22	72	6	36	59	85
7. How are government officers funded in the project office?												
All or some are funded by regular budget of the agency's or government	48	48	0	52	46	59	59	0	41	34	53	80
Combinations of loan funds and other sources than government or agency	22	22	0	78	46	15	15	0	85	34	19	80
All are funded by a component of the ADB loan	17	17	0	83	46	12	12	0	88	34	15	80
All or some are funded by the government's public investment budget	13	13	0	87	46	12	12	0	88	34	13	80
Some are funded by a component of the ADB loan	7	7	0	93	46	12	12	0	88	34	9	80
Other sources	7	7	0	93	46	6	6	0	94	34	6	80
8. Do PO staff at present get higher salaries and allowances than other agency staff?												
Other employees	49	49	0	51	35	23	23	0	77	26	38	61
Government staff	24	24	0	76	38	7	7	0	93	28	17	66

	ADF					OCR					ALL	
	Wtd	%			Total	Wtd	%			Total	Wtd	Total
	Ave.	Major	Minor	None	Valid	Ave.	Major	Minor	None	Valid	Ave.	Valid
9. Which types of capacity development are major/minor in the project?												
Project implementation capacity development	76	64	23	13	47	88	81	14	6	36	81	83
Project management capacity development	69	51	36	13	47	85	75	19	6	36	76	83
Operation and maintenance of infra capacity development	63	43	40	17	47	58	39	39	22	36	61	83
Individual skills development	56	40	32	28	47	49	36	25	39	36	53	83
Service delivery capacity development	55	43	26	32	47	53	36	33	31	36	54	83
Organizational development	53	38	30	32	47	46	31	31	39	36	50	83
Strategy/policy/ legal development	45	26	38	36	47	46	28	36	36	36	45	83
Construction of office/training centers or other facilities	34	17	34	49	47	26	22	8	69	36	31	83
10. What are in your view main staff capacity problems in your agency?												
Available staff have insufficient capacity, qualifications or experience	38	38	0	62	37	29	29	0	71	31	34	68
Lack of staff in agency (lack of positions or filled positions)	27	27	0	73	37	35	35	0	65	31	31	68
Available staff is underpaid and does not perform well for this reason	27	27	0	73	37	23	23	0	77	31	25	68
Tenure of senior staff in project is too short	22	22	0	78	37	13	13	0	87	31	18	68
Lack of interest/ incentive to move to project area or field in general	22	22	0	78	37	23	23	0	77	31	22	68
Available staff is demoralized due to political decision-making, corruption, etc	14	14	0	86	37	13	13	0	87	31	13	68
Staff turnover is high due to promotions, competition from other agencies/private sector	11	11	0	89	37	10	10	0	90	31	10	68
Tenure of senior staff in agency is too short	3	3	0	97	37	10	10	0	90	31	6	68

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