



Technical Assistance Consultant's Report

Project Number: 45328
July 2015

RETA 8065: Enhancing ADB's Engagement in Fragile and Conflict-Affected Situations

Progress Report
January 2015 – June 2015

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For Asian Development Bank

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ABBREVIATIONS

ADB	Asian Development Bank
CPUC	Chuuk Public Utilities Corporation
FSM	Federated States of Micronesia
FCAS	fragile and conflict-affected situations
NASC	Nepal Administrative Staff College
PBT	peacebuilding tool
RETA	regional technical assistance
SDG	Sustainable Development Goal
UNDP	United Nations Development Programme

I. INTRODUCTION

1. The Regional Technical Assistance (RETA) 8065: Enhancing Asian Development Bank's (ADB) Engagement in Fragile and Conflict-Affected Situations (FCAS) aims to improve ADB's capacity in managing issues in FCAS, thereby increasing its development effectiveness in such situations. This report is the ninth progress report covering the first semester of 2015 (January–June).

2. The RETA initiatives for this period include fragility assessments in Federated States of Micronesia (FSM), Nepal, and Vanuatu; capacity building in FSM and Solomon Islands; experts' meeting on fragility assessment held in Bangkok; and continued implementation of the FCAS operational plan (Appendix shows RETA progress, from inception to this reporting period).

II. PROGRESS AND ACHIEVEMENTS

A. Understanding the Local Context

1. Understanding the local context using political economy analysis: Land tenure system in the Federated States of Micronesia

3. This initiative aims to increase understanding among government and development partners of the political economy in the country's land tenure system and its implications for development strategy, policy, and programs; inform tourism strategy and investment plans for the country; and strengthen a political economy analysis framework that can be used by ADB staff to better understand the local context and inform country strategy, policy, and program/project designs. The study is focused on Pohnpei, one of FSM's largely four autonomous states.

4. Following a preliminary study done in Pohnpei in December 2014, a validation study was conducted in March 2015. Key findings of the study were presented during a tourism workshop with the government. A knowledge product has been prepared to share and disseminate the main findings of the study.

5. The study finds that the deep-rooted, complex land ownership systems, the intricate political and cultural behavior, and the weak policies and institutional systems have a huge impact on tourism development. In the short- and medium-term, community involvement and fragility-sensitive approaches should be considered (at earlier stage when possible) to do no harm when planning and implementing development reforms particularly in tourism, while land reform may be considered as a long-term solution.

2. Understanding the local context using political economy analysis: A pilot study in Vanuatu

6. This initiative aims to support a more effective and politically feasible development strategy, policy, programs, and projects in Vanuatu; that is, in general more realistic expectations of what can be achieved through development assistance and also more importantly how this can be brought about.

7. A knowledge product summarizing the main findings of the political economy analysis in Vanuatu is being prepared to share and disseminate this experience. The

Government of Vanuatu supported the analysis as a potential input to its ongoing effort to prepare the country's next national sustainable development plan.

8. Recommendations are summarized as (i) having a thorough understanding of context, including culture and politics; (ii) building universal ownership for development results; (iii) requiring participation in project design and implementation, not just consultation; (iv) ensuring institutions and planning structures effectively support change; (v) proving that change can work, through reinforcement by proof and practical application; and (vii) continually communicating well to support understanding of all stakeholders.

3. Experts' Meeting on Assessing Fragility for a Differentiated Approach in Fragile and Conflict-Affected Situations

9. This event was part of a pilot initiative on Developing Fragility Index endorsed by the FCAS Steering Committee on 27 September 2012. The meeting, co-organized with the Asia Foundation in Bangkok (15-16 June 2015), was attended by 23 participants composed of experts from institutions monitoring fragility and conflict, practitioners from development partners performing fragility assessments and/or constructing fragility indices, and researchers with extensive work on FCAS.¹

10. The experts' meeting aims to generate broader awareness of fragility and conflict assessments, debate what the next generation of assessments should look like, discuss how fragility and conflict assessments can be conducted at the subnational level, and determine how these tools can best inform development partners and governments in order to contribute to effective programming and policy responses on the ground.

11. Participants recognized that conflict remains unparalleled and it can reverse national development gains by more than 20 years. Recent assessments of fragility have shown that the key drivers of conflict often revolve around injustice, inequality, ethnic tensions and, in extreme cases, religious radicalization of various kinds. Climate change, environmental disasters and pandemic diseases have also exposed the vulnerabilities of many countries, from small island states in the Pacific to post-conflict Asian states. Weak institutions could also be a source of collapse in seemingly strong states.

12. Experts emphasized the importance of "taking context as the starting point," the first of Organisation for Economic Co-operation and Development's 10 Fragile States Principles. They highlighted the need to conduct a periodic country-led assessment—with right tools and indicators—on the causes and features of fragility and sources of resilience as a basis for the 'one vision, one plan' of the New Deal for Engagement in Fragile States strategy.² Assessment will include key national stakeholders and non-state actors and will build upon a harmonized methodology, including a fragility spectrum, to be developed by the g7+ and supported by international partners.

¹ Agenda, list of participants, and presentations are available at the FCAS Resource Center https://wpqr4.adb.org/LotusQuickr/fragilesituations/Main.nsf/h_94AA27BD00345C2B48257CE5002FDD66/4701314F1DA4A47648257E690028C9E3/?OpenDocument

² The New Deal is a key agreement between fragile states and partners to change the policy and practice of engagement to work together promoting peacebuilding and statebuilding in countries affected by conflict and fragility. This includes providing more timely, transparent, and predictable assistance; promoting the use of country systems; joint donor risk-mitigation strategies; and more effective capacity development. <http://www.newdeal4peace.org/>

13. The meeting recognized the common story of fragile and conflict-affected countries and the need for a strong continuous advocacy for all stakeholders (e.g., beneficiaries, civil society organizations, multilateral development banks, governments). It also contributed to the broader debate to define and implement post-2015 Sustainable Development Goals (SDGs). It pointed out that addressing fragility in a new framework will be crucial if strides in reducing poverty are to be made. Thus, it supported the proposed SDG 16—promoting peaceful and inclusive societies—that aims to reduce violence of all forms.

B. Capacity Development

1. Strengthening local capacity for peace-sensitive development approach in Nepal

14. This initiative seeks to enhance development effectiveness of ADB-supported projects and programs with measures to support peacebuilding and mitigate the risks of exacerbating the political and social tensions during the ongoing political transition in Nepal.

15. To date, more than 600 government officials have been sensitized on the peace-sensitive approach under a training program led by the Nepal Administrative Staff College (NASC), supported by ADB and the United Nations Development Programme (UNDP). Experiences in this local capacity building effort has been documented and published.³

16. The Nepali version of the peacebuilding tool (PBT) is already being used for NASC's regular training program for government officials. NASC prepared a training manual that includes the Nepali version of the PBT.

17. A report on the fragility assessment jointly conducted with International Alert has been published.⁴ The study explored the drivers of fragility, project responses to manage them, and recommended strategies to strengthen project operations. The analysis reveals that the drivers of conflict are contextual at the subnational level, yet there are some common elements to potential disputes across the regions, such as land issues, exclusion, and weak governance in the absence of locally represented bodies. Experiences in this exercise show that such assessments should be continued across the projects by allocating staff time and resources on the project budget.

18. The peacebuilding advisor continued to mainstream the peace-sensitive approach in Nepal. Activities include sharing about ADB's FCAS approach and the PBT application with the Ministry of Peace and Reconstruction (in the context of the Ministry's peace-sensitive development approach) as well as participation in UNDP video conference on status of economic and social rights, Basic Operating Guidelines' meeting on political updates and operating environment, and Department for International Development's seminar on subnational context assessment. The peacebuilding advisor also provided technical inputs to the Ministry of Peace and Reconstruction's concept

³ ADB. 2014. *Building Local Capacity for Peace-Sensitive Development in Nepal*.

Manila. www.adb.org/publications/building-local-capacity-peace-sensitive-development-nepal

⁴ ADB. 2015. *Understanding the Local Context: Fragility Assessment of Development Projects in Nepal*. www.adb.org/publications/understanding-local-context-fragility-assessment-development-projects-nepal

paper on peace-sensitive development approach, project proposal on counselling services to conflict-affected persons, and program structure of donor conference on conflict-affected persons.

2. Building capacity for implementation of a national development strategy in a postconflict state (Solomon Islands)

19. This initiative aims to assist the Government of Solomon Islands in completing its high priority tasks: medium-term development plan, medium-term expenditure framework, and reform of development budget processes for the National Development Strategy.

20. A consultant development economist implemented the initiative and provided capacity building for the Ministry of Development Planning. Project preparation and appraisal guidelines have been prepared to provide institutional support to implementation of the National Development Strategy. The guidelines will assist in the preparation of projects contributing to the achievement of the National Development Strategy objectives. A knowledge product capturing the experiences on capacity building and participatory policymaking has been prepared for sharing and disseminating that work.

3. Increasing Self-Reliance of the Chuuk Public Utilities Corporation (Federated States of Micronesia)

21. This initiative—requested by the local Government—aims to capacitate the Chuuk Public Utilities Corporation (CPUC) for effective and sustainable delivery of electricity, water, and sewerage services to the residents of Chuuk State in FSM. The proposed training plan will cover all areas of CPUC operations—technical (water, sewer, and power operations); administrative (customer service, inventory and store management, procurement, health and safety); financial (asset register control, basic accounting, cash control and management); and management and supervision. Various components of the plan have already been identified in relation to the technical aspects of operations. Training materials also exist in different forms such as for technical and supervisory/management training.

22. Recruitment of a personnel capacity development specialist (international consultant), to help in preparing the CPUC personnel training and capacity development plan, is in progress. The consultant is expected to undertake the assignment in Weno, Chuuk State.

C. Implementation of FCAS Operational Plan

23. The FCAS Support Team⁵ continues to support the implementation of the *Operational Plan for Enhancing ADB's Effectiveness in Fragile and Conflict-Affected Situation*.⁶ During this period, the ADB FCAS focal point delivered three training sessions (two in headquarters under the Program Design and Management Course

⁵ The ADB FCAS support team is composed of Patrick Safran, FCAS focal point and PARD principal operations coordination specialist (fragile situations); Jesusa Dela Cruz, PARD operations assistant; and Cyrel San Gabriel, research and knowledge management specialist (consultant).

⁶ ADB. 2013. *Operational Plan for Enhancing ADB's Effectiveness in Fragile and Conflict-Affected Situations*. Manila. www.adb.org/documents/operational-plan-enhancing-adb-effectiveness-fragile-and-conflict-affected-situations

conducted by ADB for its staff and one in the Pacific Liaison and Coordination Office). Topics discussed were fragility and conflict, issues and challenges when engaging in FCAS, and different approaches applied by ADB in FCAS. A brownbag session on OECD's report, *States of Fragility 2015: Meeting Post-2015 Ambitions*, was conducted in April. The OECD Lead Governance Advisor presented the report that introduces a new broader approach to fragility (inspired by Sustainable Development Goals 16); analyzes financing to fragile environments; and discusses a new concept of fragility for post-2015 and its implications to policy, operations, and monitoring.

24. A technical assistance on *Mapping Resilience to Fragility and Conflict in Asia and the Pacific* will be deliberated and endorsed by ADB's FCAS Steering Committee. This TA will support fragility and conflict-sensitive approaches to development in fragile states in Asia and the Pacific. Resilience mapping provides the means to capture collective local knowledge to allow all stakeholders in development to better understand the operating context and provide for context-relevant, hence resilient, interventions. This TA will support and expand the application of specific assessment tools (e.g., peacebuilding tool, guide to fragility assessment, fragility index, institutional strengthening framework, and customized risk management framework) piloted in developing member countries with FCAS. This will enable governments to lead and build more effective policies and programs designed specifically to manage the complex development issues in each FCAS.⁷

D. Other Activities

25. A fragility assessment of Afghanistan has been prepared based on desk study to inform the next country partnership strategy.

26. An investigative study has also been conducted for the Integrated Natural Resources and Environmental Management Project (INREMP) in Mindanao, Philippines. The Lake Lanao Basin in Autonomous Region of Muslim Mindanao (ARMM) is one of the four priority upper river basins (URBs) that the project has been targeting to address unsustainable watershed management. While INREMP implementation has commenced with the other three URBs—Chico River Basin in Cordillera Administrative Region, Wahig Inabanga in Bohol, and the Upper Bukidnon River Basin—implementation in Lake Lanao has not proceeded due to several issues unknown to ADB. ADB's FCAS Support Team attempted to explore these issues by consulting government counterparts and other key development players in Lanao del Sur. From these consultations, political and cultural issues, issues of transparency and accountability, and lack of understanding have surfaced rather than merely project management and security issues.

⁷ ADB. 2014. *Mapping Resilience to Fragility and Conflict in Asia and the Pacific*. Manila (48397-001) http://adb.org/projects/details?page=details&proj_id=48397-001

III. FINANCIAL STATUS

27. Table 1 summarizes the financial status of the RETA as of 30 June 2015.

Table 1: RETA 8065 Financial Status as of 30 June 2015 (in US\$)

Category	Budget Allocation	Total Contracts	Contracts Disbursed	Contracts Undisbursed	Uncommitted TA Funds	Undisbursed TA Funds
Consultants	720,070	694,293	548,925	145,368	25,777	171,145
Training	92,000	113,792	64,518	49,274	21,792	27,482
Studies	23,750				23,750	23,750
Administration	65,500	10,276	10,137	139	55,224	55,363
Contingency	20,000	15,746		15,746	4,254	20,000
Total	921,320	834,107	623,580	210,526	87,213	297,740

Appendix: RETA Design and Monitoring Framework and RETA Progress

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks	RETA Progress (to-date)
Impact Improved development effectiveness in FCAS	Portfolio performance in FCAS improved in the medium term (% of total TCRs in FCAS rated successful increases to 80% in 2015 from 74% in 2010) ^a	TA completion reports, development effectiveness reports, CPS documents, country operations business plans, projects' documents, portfolio review reports, and annual CPA exercise	Assumptions Global efforts on improving development partners' engagement in FCAS are contributing to development effectiveness ADB supports a differentiated approach to strategy formulation and programming in FCAS Risks High levels of political risks, external factors, and uncertainties are inherent in FCAS	
Outcome Better capability to manage fragility issues in FCAS	All CPS in FCAS identify and address fragility issues by 2015 (5 CPS in FCAS in 2011) ^b	CPS, COBP, RRP, and TA reports	Assumptions Conditions in DMCs permitting demand for and involvement of counterparts in regional and local TA initiatives Risks High levels of political risks, external factors, and uncertainties are inherent in FCAS	
Outputs 1. Country-led fragility assessments implemented in selected FCAS	At least 3-4 pilot fragility assessment and political economy analyses completed by 2014.	CPS, COBP, documents, programs, projects, and TAs' reports, and consultants' reports	Assumptions Effective engagement by DMCs' governments and active development partners in the preparation and implementation	A report on the fragility index study was finalized and being prepared as Economics and Research Department's

		<p>CPS, COBP, documents, programs, projects, and TAs' reports, and consultants' reports</p>	<p>of activities</p> <p>Availability of incentives and resources to support TA implementation</p> <p>Risks</p> <p>Commonly high staff turnover among both DMC agencies and development partners</p> <p>Regional departments do not sustain long-term commitment to implement ADB's approach</p>	<p>working paper series. A short brochure has been published.^c</p> <p>An experts' meeting on fragility assessment was conducted jointly with The Asia Foundation in Bangkok on 15-16 June 2015. A total of 23 experts and government officials discussed best practices on conflict and fragility assessments and how these can best inform policymaking and development assistance.</p> <p>A conflict-sensitive analysis was conducted in Afghanistan's transport sector and published as knowledge product (brochure) to inform future ADB operations in the country.^d</p> <p>A fragility assessment of Afghanistan has been prepared based on desk study to inform the next country partnership strategy.</p> <p>An investigative study was conducted for the Integrated Natural Resources and Environmental Management Project in Mindanao, Philippines.</p> <p>A knowledge product of the fragility assessments done</p>
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				<p>jointly with International Alert has been published.⁶ Fragility assessments were conducted on three projects being implemented in Nepal: (i) Secondary Town Urban Integrated Environment Improvement Project, (ii) High Mountain Agriculture and Livelihood Project, and (iii) Decentralized Rural Infrastructure and Livelihood Project.</p> <p>The peacebuilding tool has been applied in several ADB projects in Nepal. It has also been translated into Nepali by government staff. The translated version is being used in the regular training program for government officials at the Nepal Administrative Staff College (NASC).</p> <p>Initial political economy study and validation work were conducted on land issues and their impact to tourism development in Pohnpei, Federated States of Micronesia. A knowledge product is being prepared for sharing and disseminating the main findings of the study.</p> <p>Fragility assessment of</p>
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				<p>transport and energy sectors in Papua New Guinea (PNG) was conducted to inform PNG Country Partnership Strategy 2016-2020. Findings of the study were presented during the PNG CPS country team retreat in April 2014. A short policy brief has been published with no-objection from the PNG government.^f A full-blown report has been finalized for internal use. Based on this study, a practical guide to fragility assessment has been developed and published.^g</p> <p>A political economy study was conducted to inform ADB's next country operations business plan for Vanuatu. Study findings and recommendations were presented in Vanuatu to separate groups of donors, NGOs, and the government and to the public. Presentations were given to ADB in Sydney on 5 September and in Manila on 12 November 2014. A knowledge product, approved by the Government of Vanuatu, is being prepared for publication.</p>
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<p>2. Country-led capacity development plans implemented in selected FCAS</p>	<p>At least 2-3 capacity development plans piloted by 2014.</p>			<p>A high-level forum was held on 6-7 June 2013, with more than 60 participants, including high-ranking government officials and senior representatives from development partners. Proceedings highlighting the presentations and discussions in the high-level forum has been published.^h A brochure summarizing the issues and recommendations that emerged from the forum has also been published.ⁱ</p> <p>NASC continues to provide training to government staff on peace-sensitive approach to development. To date, around 600 government officials have been trained. The training curriculum and the peacebuilding tool manual have been prepared by NASC. A knowledge document on local capacity building on peace-sensitive development approach has been published.^j</p> <p>Project preparation and appraisal guidelines have been prepared to provide institutional support to implementation of Solomon Islands' National Development Strategy. Capacity building was conducted for the Ministry of</p>
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				<p>Development Planning. A knowledge product capturing the experiences on capacity building and participatory policymaking has been prepared for publication.</p> <p>Since the endorsement of the operational plan, about 270 ADB staff have been familiarized on FCAS through (i) introductory session incorporated in the project design and management program regularly conducted by ADB Budget, Personnel and Management Systems Department; (ii) Pacific Talk organized by ADB's Pacific Department; (iii) seminars conducted for Afghanistan Resident Mission and Pacific Liaison and Coordination Office; and (iv) brownbag seminars with the g7+ general secretary and OECD lead governance advisor. The FCAS Support Team also participated in the World Bank's online course on Violence, Conflict and Fragility.</p> <p>A customized risk management framework has been developed to guide ADB staff in managing risks in FCAS. A knowledge product has been published.</p>
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				<p>The framework will be piloted in selected FCAS countries under the technical assistance on mapping resilience to fragility.^k</p> <p>A broad framework for long-term institution building suited to FCAS DMCs has been developed. A brochure has been published.^l The framework will be piloted in selected FCAS countries under the technical assistance on mapping resilience to fragility.</p> <p>A new initiative will be implemented in FSM to capacitate the Chuuk Public Utilities Corporation (CPUC) for effective and sustainable delivery of electricity, water, and sewerage services to the residents of Chuuk State in FSM. Recruitment of a personnel capacity development specialist (international consultant), to prepare the CPUC personnel training and capacity development plan, is in progress.</p>
Activities with Milestones <p>1. Country-led fragility assessments developed and piloted in FCAS</p> <p>1.1. Assess needs and demands on political economy, the causes and features of fragility, and</p>		Inputs <p>TASF-others: US\$800,000</p> <p>Australian Aid cofinancing for the High-Level Forum on Building Resilience to Fragility in Asia and the Pacific:</p>		

<p>sources of resilience in FCAS (by Q3, Year 1)</p> <p>1.2. Refine peacebuilding tool in Nepal (by Q3, Year 1)</p> <p>1.3. Design fragility assessment tool (or fragility filter) for FCAS, in particular for the Pacific FCASs (by Q3, Year 1)</p> <p>1.4. Conduct political economy analyses in FCASs, in particular in Pacific FCASs (by Q1, Year 2)</p> <p>1.5. Develop and pilot fragility assessment in FCAS (by Q1, Year 2)</p> <p>1.6. Implement refined peacebuilding tool in Nepal (by Q1, Year 2)</p> <p>1.7. Organize a workshop to share and disseminate lessons learned (by Q3, Year 2)</p> <p>1.8. Produce and disseminate knowledge products (by Q3, Year 2)</p> <p>2. Country-led capacity development plans formulated in FCAS</p> <p>2.1. Prepare capacity development needs assessments (by Q4, Year 1)</p> <p>2.2. Design capacity development plans for FCAS. Development of curriculum (e.g., political economy, peace or fragility filter) will target government counterparts and development practitioners in the participating countries. When possible, the curriculum will cover key topics for advancing women's leadership in peace and security; or in fragile countries, plans will cover gender-sensitive issues (by Q1, Year 2)</p> <p>2.3. Pilot capacity development plans in FCAS (by Q3, Year 2)</p> <p>2.4. Establish database on best practices and lessons from engagement in FCAS (by Q4, Year 1)</p> <p>2.5. Produce and disseminate knowledge products (by Q3, Year 2)</p>	<p>US\$121,320</p>	
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- ^a ADB. 2010. *ADB Development Effectiveness Review*. Manila.
- ^b ADB 2010. *Special Evaluation Study. Asian Development Bank's Support to Fragile and Conflict-Affected Situations*. Manila.
- ^c ADB. 2014. *Fragility Index for a Differentiated Approach*. Manila. www.adb.org/publications/fragility-index-differentiated-approach
- ^d ADB. 2014. *Transport Sector Development in Afghanistan: Improving Resettlement Planning and Implementation*. Manila. www.adb.org/publications/transport-sector-development-afghanistan-improving-resettlement-planning-and
- ^e ADB. 2015. *Understanding the Local Context. Fragility Assessment of Development Projects in Nepal*. Manila. www.adb.org/publications/understanding-local-context-fragility-assessment-development-projects-nepal
- ^f ADB. 2014. *Understanding and Responding to a Fragile Situation: A Pilot Assessment in Papua New Guinea*. Manila. www.adb.org/publications/understanding-and-responding-fragile-situation-pilot-assessment-papua-new-guinea
- ^g ADB. 2014. *Practical Guide to Fragility Assessment*. Manila. www.adb.org/publications/practical-guide-fragility-assessment
- ^h ADB. 2013. *Forum on Building Resilience to Fragility in Asia and the Pacific: Proceedings*. Manila. www.adb.org/publications/forum-building-resilience-fragility-asia-and-pacific-proceedings
- ⁱ ADB. 2013. *Building Resilient Societies: Evolving Solutions*. Manila. www.adb.org/publications/building-resilient-societies-evolving-solutions
- ^j ADB. 2014. *Building Local Capacity for Peace-Sensitive Development in Nepal*. Manila. www.adb.org/publications/building-local-capacity-peace-sensitive-development-nepal
- ^k ADB. 2014. *Customized Risk Management Framework*. Manila. www.adb.org/publications/customized-risk-management-framework
- ^l ADB. 2014. *Institutional Strengthening Framework: A Guidance Note*. Manila. www.adb.org/publications/institutional-strengthening-framework-guidance-note

ADB = Asian Development Bank, COBP = country operations business plan, CPA = country performance assessment, CPS = country partnership strategy, DMC = developing member country, FCAS = fragile and conflict-affected situation, NASC = Nepal Administrative Staff College, NRM = Nepal Resident Mission (ADB), PNG = Papua New Guinea, RRP = report and recommendation to the President, TA = technical assistance, TASF = technical assistance special fund, TCR = technical assistance completion report, UNDP = United Nations Development Programme

Source: Asian Development Bank estimate