Results Study

Volume II – Indicators and Methodology Notes

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Content

Indicators and Methodology Notes

A: African Development Bank

B: Asian Development Bank

C: Inter-American Development Bank

D: World Bank

E: Department for International Development

Study on Results Frameworks – Volume II

for EuropeAid

AfDB

- Results Framework Indicators – current
- Results Framework Indicators – planned
- Core Sector Indicators – 2011

October 12th, 2013

Results Framework Indicators

These are are results framework indicators currently used by AfDB, but the Bank is in the process of revising them.

Level 1

Economic Growth and Poverty Reduction

- GDP per capita (2000 constant USD)
- Population living below USD 1.25/day at PPP (%)
- Income inequality as reflected by the Gini Index (%)

Private-Sector Development and Investment Climate

- Global Competitiveness Index ranking1 (1 to 7)
- Cost of business start-up (% GNI per capita)
- Time required for business start-up (days)

Regional Integration and Trade

- Africa's share of global trade (%)
- Intra-African trade (billion USD)

Infrastructure

- Access to an improved water source (% population)
- Access to improved sanitation facilities (% population)
- Access to an all-season road1 (% of rural population)
- Household electrification rate (% of households)
- Fixed lines and mobile phone subscribers (per 1000)
- Internet users (per 1000)

Agriculture and Food Security

- Agriculture, value added (% of GDP)
- Staple crops yield index (2002 value = 100)
- Fertiliser consumption (kilograms per hectare of arable land)

Gender and Human Development

- Under-five child mortality (per 1000 live births)
- Maternal mortality (per 100 000 live births)
- Ratio of girls to boys in primary and secondary school (%)
- Primary school completion rate (%)
- Employment-to-population gender ratio (index)

Governance and Transparency

- Worldwide Governance Indicators avg. score (-2.5 to 2.5)
- Extractive Industries Transparency Initiative score (% compliance)

Fragile and Conflict-Affected Countries

- Country Policy and Institutional Assessment (CPIA) score (average)
- Number of fragile countries (number)

Environment and Clean Energy

- Combustible renewables and waste (% of total energy)

Level 2

Energy

- Length of transmission and distribution lines rehabilitated or installed (km)
- Distribution substations and transformers constructed or rehabilitated (number)
- Power capacity installed (MW)
- Staff trained/recruited in the maintenance of energy facilities (number)
- People with a new electricity connection (number)
- Population benefiting from new electricity connections (people)

Transport

- Roads constructed, rehabilitated or maintained (km)
- Feeder roads constructed or rehabilitated (km)
- Staff trained/recruited for road maintenance (number)
- People educated in road safety and HIV transmission (people)
- People with improved access to transport (number)

Water and Sanitation

- Boreholes and wells drilled/rehabilitated and equipped1 (number)
- Drinking water transmission and distribution pipes constructed (km)
- Drinking water capacity created (service reservoirs m3/day)
- Latrines constructed or rehabilitated (number)
- Workers trained in the maintenance of water facilities (number)
- People with new or improved access to water and sanitation (people)

Education

- Classrooms and educational support facilities constructed/rehabilitated (number)
- Textbooks and teaching materials supplied (number)
- Teachers and other educational staff recruited/trained (number)
- Students newly enrolled (number)
- Students and scholars reached (number)

Health

- Primary, secondary and tertiary health centres constructed/equipped (number)
- Health workers trained (number)
- Health training and education sessions (number)
- People with access to better health services (people)

Microfinance and Social Sector

- Social facilities, community centres constructed and equipped (number)
- Jobs created (number)
- Government/NGO staff trained in microfinance management (number)
- Microcredits granted (number)
- Microenterprises created (number)
- Microfinance clients trained in business management (number)
- People benefiting from microfinance and social activities (people)

Agriculture

- Rural marketing and production facilities constructed or rehabilitated (number)
- Land with improved water management developed or rehabilitated (ha)
- Land whose use has been improved: replanted, reforested, landscaped, etc. (ha)
- Heads of livestock provided/vaccinated (number)
- Plants introduced: seedlings, trees, etc. (number)
- Social facilities established or rehabilitated (number)
- Agricultural inputs provided: fertiliser, seeds, etc. (tons)
- Agricultural community-based projects executed (number)
- Rural population trained/recruited/using improved technology (people)
- Rural households reached (household)
- Total people benefited (number)

Regional Integration

- Cross-border roads constructed or rehabilitated (km)
- Cross-border transmission lines constructed or rehabilitated (km)

Private-Sector and Trade

- Foreign exchange saved ($ million)
- Government revenue from investee projects and sub-projects ($ million)
- SME effect (turnover from investments) ($ million)
- Total jobs created for investee projects and sub-projects (jobs)
- Total jobs created for women (jobs)

Level 3

Portfolio Performance

- Operations formally supervised twice a year (%)
- Problem projects in ongoing portfolio (%)
- Disbursement ratio of ongoing portfolio (%)
- Operations eligible for cancellation (%)

Quality-at-Entry

- Budget support disbursed on schedule (%)
- Time elapsed from approval to first disbursement (months)
- Operations that disclose ESIAs on time (%)

- CSPs rated satisfactory (%)
- Operations rated satisfactory1 (%)
- Regional operations rated satisfactory1 (%)

Paris Declaration Indicators of Effective Aid
- Development resources recorded on budget (%)
- Predictable disbursements (%)
- Use of country systems (%)
- Parallel project implementation units (number)

Knowledge Management
- Exiting projects with a timely PCR (%)
- PCRs rated satisfactory (%)
- New ESW and related papers (number)

Gender Mainstreaming
- PCRs with gender-disaggregated data (%)
- New projects with at least one gender indicator (%)
- New CSPs with at least one gender indicator (%)

Climate Change
- Climate-proofed projects (%)

Level 4

Decentralization
- Operations professional staff based in field offices (%)
- Projects task-managed from field offices (%)

Human Resources
- Staff premature attrition rate2 (%)
- Share of women in professional staff (%)
- Vacancy rate (%)
- Operations professional staff (%)

Business Processes and Practices
- Lapse of time for bidding completion (weeks)
- Administrative costs per UA 1 million disbursed (UA thousands)

Information Technology
- Downtime of wide area network in field offices (hours)
- Average time to resolve clients' IT requests (hours)

Transparency and Timely Auditing
- Project audits submitted on time (%)

Indicative List of Results Framework Indicators

This list is to be approved in Dec 2013. Changes may still occur until then.

Level 1

INCLUSIVE GROWTH

Economic inclusion: Reducing poverty and income inequality

- Gross domestic product (GDP) growth (%)
- GDP per capita (USD)
- Population living below the poverty line (%)
- Income inequality (Gini index)

Spatial inclusion: Expanding access to basic services

- Access to improved water source (% population)
- Access to improved sanitation facilities (% population)
- Access to telephone services (per 1000)
- Access to telephone services (per 1000)
- Access to electricity (% population)
- Road density (km per km2)
- Share of population living in fragile countries (%)

Social inclusion: Ensuring equal opportunities for all

- Life expectancy (years)
- Enrollment in education (%)
- Enrollment in technical/vocational training (%)
- Unemployment rate (%)
- Gender inequality in the labour market (%)

Political inclusion: Securing broad-based representation

- Mo Ibrahim Index of African Governance
- Tax and non-tax fiscal revenues (% of GDP)
- Index of effective and accountable government
- Country Policy and Institutional Assessment (CPIA) score
- Gender-Sensitive Country Institutions (Index)

Sustaining growth: Building competitive economies

- Intra-African trade (billion USD)
- Cost of trading across borders (USD)
- Economic Diversification (index)
- Index of Africa's Global Competitiveness
- Time required for business start-up (days)
- Access to credit (% population)

THE TRANSITION TOWARDS GREEN GROWTH

Building resilience and adapting to a changing environment

- Food insecurity (% of population)
- Resilience to water shocks (index)

Managing natural assets efficiently and sustainably

- Institutional capacity for environmental sustainability (index)
- Agricultural productivity (USD per worker)
  Promoting sustainable infrastructure, reducing waste and pollution
- Production efficieny (Kg CO2 emissions CO2 per USD of GDP)
- Renewable energy (% total electricity produced)

Level 2

INFRASTRUCTURE DEVELOPMENT

- Transport – Roads constructed, rehabilitated or maintained (km)
- Transport – Staff trained/recruited for road maintenance
- Transport – People educated in road safety etc.
- Transport – People with improved access to transport
  of which women (%)
- Energy – Power capacity installed (MW)
- Energy – Staff trained/recruited in energy maintenance
- Energy – People with new or improved electricity connections
  of which women (%)
- Energy – CO2 emissions reduced (tons per year)
- Water – Drinking water capacity created (m3/day)
- Water – Workers trained in water maintenance
- Water – People with improved access to water and sanitation
  of which women (%)
- ICT – People with improved access to basic ICT services
  of which women (%)

REGIONAL INTEGRATION

- Transport – Cross-border roads constructed or rehabilitated (km)
- Energy – Cross-border transmission lines constructed etc.

PRIVATE SECTOR DEVELOPMENT

- Government revenue from investee projects and sub-projects (million USD)
- SME effect (turnover from investments) (million USD)
- Microcredits granted (number)
- Microfinance clients trained in business management
- Jobs created
  of which jobs for women (%)
- People benefiting from investee projects and microfinance

of which women (%)
- Land with improved water management (ha)
- Land whose use has been improved: replanted, reforested (ha)
- Rural population with improved technology
- People benefiting from improvements in agriculture
  of which women (%)

SKILLS & TECHNOLOGY
- People benefiting from vocational training
  of which women (%)
- Classrooms and educational support facilities constructed
- Teachers and other educational staff recruited/trained
- People benefiting from better access to education
  of which women (%)
- Primary, secondary and tertiary health centres
- Health workers trained
- People with access to better health services
  of which women (%)

GOVERNANCE AND ACCOUNTABILITY

Share of countries with improved:
- Quality of budgetary and financial management (%)
- Quality of public administration (%)
- Transparency, Accountability and Corruption in the Public Sector (%)
- Procurement systems (%)
- Competitive environment (%)

Level 3

STRENGTHENING RESULTS AT COUNTRY LEVEL
- Average CSPs rating (1-6)
- Timely CPPR coverage (%)
- Development resources recorded on budget (%)
- Predictable disbursements (%)
- Use of country systems (%)
- New ESW and related papers (#)

DELIVERING EFFECTIVE AND TIMELY OPERATIONS
- Learning from our operation
- Completed operations rated satisfactory (%)
- Completed operations with a timely PCR (%)
- Ensuring strong portfolio performance
- Disbursement ratio of ongoing portfolio (%)
- Time for procurement of goods and works (weeks)
- Operations with satisfactory mitigation measures (%)
- Operations no longer at risk (%)

- Operations at risk (%)
- Operations eligible for cancellation (%)
- Preparing high quality operations
- Time to first disbursement (month)
- New operations rated satisfactory (%)
- Time for approving operations (month)

DESIGNING GENDER- AND CLIMATE-INFORMED OPERATIONS

- New CSPs with gender-informed design (%)
- New projects with gender-informed design (%)
- New projects with climate-informed design (%)

Level 4

DECENTRALISATION: MOVING CLOSER TO OUR CLIENTS

- Operational staff based in field offices (%)
- Operations task-managed from field offices (%)

HUMAN RESOURCES: ENGAGING AND MOBILISING STAFF

- Employee Engagement Index (%)
- Operations professional staff (%)
- Share of women in professional staff (%)
- Share of management staff who are women (%)
- Net vacancy rate—professional staff (%)

VALUE FOR MONEY: IMPROVING COST EFFICIENCY

- Administrative costs per UA 1 million disbursed (UA ‘000)
- Cost of preparing a lending project (UA ‘000)
- Cost of supporting project implementation (UA ‘000)
- Work environment cost per seat (UA)
- Share of users satisfied with IT service delivery (%)

Core Sector Indicators

The following list of indicators, drawn by COMPAS, stands as of 2011 and has not been confirmed by the AfDB.[1]

Agricultural Research and Extension

- People trained in the agricultural sector, of which are female (number, percentage)
- Land irrigated (hectares)
- Post-harvest loss reduction (percentage)
- Water mobilized for multi-purpose, including water for agriculture (cubic meters)
- Crop yield increase (tons/ha)
- Crop production increase (tons)

Economic and Financial Governance

- Time to start a business (number of days)
- Share of private sector credit to total credit provided in the country (percentage)
- Time it takes for an enterprise to pay taxes (number of hours per year)
- Time it takes for the Executive to submit the Budget to the Legislature relative to the start of the fiscal year (number of days)
- Number of contracts awarded on the basis of open competition as a percentage of all contracts awarded in a given year (number percentage)
- Time it takes for the Auditor General to submit the most recent annual audit report on the public accounts to the Legislature (number of months)

Education

- Teachers trained as a result of project intervention, of which are female (number, percentage)
- Classrooms and laboratories constructed, renovated, and/or equipped (number)
- People enrolled in tertiary education, of which are female (number, percentage)

Health

- Health workers trained, of which are female (number, percentage)
- Health facilities constructed, renovated, and/or equipped (number)

Information and Communication Technology

- Broadband networks built or rehabilitated (km)
- Household expenditures devoted to information technology (monthly amount)
- Households, businesses or community facilities served with access to information technology (number)

MSME Finance/Social protection

[1] This list of Standard Results Indicators is drawn from the 2011 COMPAS Report, Appendix C, p. 85-108.

- People trained in basic micro-finance and business skills, of which are female (number, percentage)
- People employed in small scale and artisan enterprises, of which are female (number, percentage)
- People served by micro-finance institutions, of which are female (number, percentage)

Power

- Households, businesses or community facilities served with access to modern/improved energy (number)
- Non-renewable power output capacity (mw)
- Household expenditures devoted to energy (monthly amount)

Climate Change and Clean Energy

- People trained in climate resilient agricultural practices, of which are female (number, percentage)
- Agriculture-related climate resilient interventions (number)
- Railways constructed or rehabilitated (km)
- Renewable power output capacity installed (mw)
- Surface of Forest protected, reforested or rehabilitated (ha)

Private sector Development

- Permanent jobs created by the project (number)
- Rate of business success (FIRR)
- Value of the net financial flows to the government
- Share of female permanent employment (percentage)

Transport

- Roads constructed or rehabilitated, of which are rural (km)
- Roads in good and fair condition as a share of total classified roads (percentage)
- People that can access all season public transportation within 2 km of their homes, of which are female (number, percentage)
- Average speed for goods and for passengers along the transport project, from origin to end (km/h)
- Traffic accidents and mortality along the transport project (number per year)
- Household expenditures devoted to transport (monthly amount)
- National citizens employed in the construction, operation and maintenance of the infrastructure project, of which are female (number per month, percentage per month)

Regional Integration

- Cross-border roads constructed or rehabilitated (number, km)
- Cross-border transmission lines constructed or rehabilitated (number, km)
- New telecommunication networks that serve more than one country (number)
- Time spent to clear a truck at the border (minutes)
- Cross-border railways constructed or rehabilitated (number, km)
- Amount of road maintenance needs financed by the Bank (percentage)

Water Supply

- New piped household water connections (number)
- People with access to improved drinking water sources, of which are female (number, percentage)
- New collective bodies (committees, associations, groups) formed to manage the use of water responsibly, of which include women as members (number, percentage)
- Additional potable and non-potable (for irrigation) water production capacity at a community water point (liters)

Sanitation

- People with access to improved sanitation, of which are female (number, percentage)
- Additional or rehabilitated sewage treatment capacity (liters)
- New household sewer connections (number)
- New on-site sanitation measures (individual, grouped) (number)
- People educated through hygiene programs, of which are female (number, percentage)

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AsDB

- Supplementary Appendix A: Indicator Definitions (37 pages)
- Supplementary Appendix B: Standard Explanatory Data Definitions (35 pages)
- Core Sector Indicators (2 pages)

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Supplementary Appendix A: Indicator Definitions

Attached for information is a paper on the above subject.

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ABBREVIATIONS

ADB	–	Asian Development Bank
ADF	–	Asian Development Fund
CO_2	–	carbon dioxide
CPS	–	country partnership strategy
CSO	–	civil society organization
DVA	–	direct value-added
DMC	–	developing member country
FCAS	–	fragile and conflict-affected situation
GDP	–	gross domestic product
GPI	–	gender parity index
IAE	–	internal administrative expense
IPCC	–	Intergovernmental Panel on Climate Change
MDG	–	Millennium Development Goal
MFF	–	multitranche financing facility
OCR	–	ordinary capital resources
PCR	–	project completion report or program completion report
PFR	–	periodic financing request
PPER	–	project performance evaluation report or program performance evaluation report
PPP	–	purchasing power parity
PVR	–	PCR validation report
QAE	–	quality at entry
RRP	–	report and recommendation of the President
SME	–	small and medium-sized enterprises
TA	–	technical assistance
UN	–	United Nations
XARR	–	extended annual review report

WEIGHTS AND MEASURES

GWh	–	gigawatt hour
MJ/h	–	megajoule per hour
MJ/ton	–	megajoule per ton
MW	–	megawatt
MW-eq	–	megawatt equivalent
tCO_2	–	ton of carbon dioxide
tCO_2-eq	–	tons of carbon dioxide equivalent avoided per year
TJ	–	terrajoule

NOTE

In this report, "$" refers to US dollars.

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INTRODUCTION

This document provides definitions and data compilation methodologies for the Asian Development Bank (ADB) results framework indicators listed in the strategy paper on the review of the results framework.[1] Definitions of standard explanatory data[2] are included in a separate note.

In the following list, operation is used as a collective term for the various types of ADB development assistance, guaranteed or not by the government of the recipient country, financed from ADB's ordinary capital resources (OCR) or Asian Development Fund (ADF) resources, excluding assistance funded by technical assistance (TA) grants. A sovereign operation is an operation financed in part or in whole by one or more loans or grants financed from OCR and ADF resources extended to or guaranteed by the government. A nonsovereign operation is any loan, guarantee, equity investment, or other financing arrangement that (i) is not guaranteed by a government; or (ii) is guaranteed by a government under terms that do not allow ADB, upon default of the guarantor, to accelerate, suspend, or cancel any other loan or guarantee between ADB and the related sovereign. TA grants are referred to as TA projects.

Where possible, data will be disaggregated as standard explanatory data in the annual Development Effectiveness Review by country group (OCR-only, blend, ADF-only, and fragile and conflict-affected situations [FCAS]).[3]

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[1] ADB. 2012. *Review of the ADB Results Framework.* Manila. The strategy paper summarizes ADB's experiences with the framework, discusses the proposals for improving the framework, and provides their rationale. ADB's results framework was adopted in 2008 and refined in 2010. It is organized into four levels. Level 1 tracks overall development progress in Asia and the Pacific through selected poverty reduction and development outcome indicators to which ADB aims to contribute. Level 2 indicators measure ADB's contribution to development results in terms of (i) quality at completion of country strategies and assistance programs, and (ii) key sector outputs and outcomes delivered. Level 3 includes indicators for ADB's operational management. Level 4 tracks indicators for ADB's organizational management. ADB assesses its performance using these indicators, and reports its progress through the annual Development Effectiveness Review (http://www.adb.org/documents/series/development-effectiveness-review). The assessment of ADB generally covers (i) for level 1, progress in all of ADB's developing member countries (DMCs); and (ii) for levels 2–4, ADB operations funded by OCR and ADF. The assessment of ADF generally covers (i) for level 1, progress in ADF countries (a subgroup of ADB DMCs that have access to ADF, including blend countries with access to both ordinary capital resources and ADF); and (ii) for levels 2–4, ADF-funded operations. The classification of ADB DMCs used in this definition note is given in the Appendix. Progress assessments generally exclude operations financed from ADB's Countercyclical Support Facility, which was established in 2009 to help DMCs respond to the global economic crisis, because these operations were outside ADB's regular operations.

[2] Standard explanatory data allow ADB to systematically assess broader performance data while avoiding undue proliferation of indicators. Although not formally part of the framework, they enable ADB to (i) provide consistent and reliable performance information to external stakeholders, (ii) assess performance more rigorously to identify bottlenecks and inform action planning, and (iii) collect baseline data for future indicators. Standard explanatory data have no targets as their primary purpose is to supplement the results framework indicators. For standard explanatory data definitions, see ADB. 2012. *Review of the ADB Results Framework.* Supplementary Appendix B: Review of ADB Results Framework Standard Explanatory Data Definitions. Manila.

[3] OCR-only countries are countries with access only to OCR. ADF countries are those countries with access to the ADF. ADF countries can be disaggregated into (i) ADF-only countries, which have access only to the ADF; and (ii) blend countries, which have access to both the ADF and ADB's OCR. These definitions are based on country access to these resources. For information on FCAS countries, see ADB. 2011. *ADB Engagement in Fragile and Conflict-Affected Situations*. Manila.

LEVEL 1: DEVELOPMENT PROGRESS IN ASIA AND THE PACIFIC

Indicator	Definition
Poverty (income and non-income)	
1. **Population living on less than $1.25 (PPP) per day** (%)	Percentage of the population living on less than $1.25 per day, measured at 2005 international prices, adjusted for purchasing power parity (PPP). PPP is the number of units of a country's currency required to buy the same amount of goods and services in the domestic market as a dollar would buy in the United States. Regional and subregional aggregates are weighted averages of actual and estimated country data, using total population as weights. Estimates for years when country data are unavailable are computed based on trends since 1990. Estimates for the most recent year are presented when some actual data are available. Source: World Bank Development Research Group. PovcalNet. http://iresearch.worldbank.org/PovcalNet/index.htm
2. **GDP per capita growth rate** (%)	Annual growth rates of real per capita gross domestic product (GDP), which is defined as GDP at constant prices divided by the population. Source: *Asian Development Outlook*. http://www.adb.org/publications/series/asian-development-outlook
3. **Countries with high income inequality** (% of countries with Gini coefficient exceeding 0.4)	Proportion of countries in Asia and the Pacific with Gini coefficient over 0.4. The threshold approximates the median for 123 countries with latest data between 1993–2010. Gini coefficient measures the extent to which the distribution of income or consumption expenditure among individuals or households within an economy deviates from a perfectly equal distribution. It is a ratio with values that vary between 0, which reflects complete equality and 1, which indicates complete inequality. The Gini coefficient can also be expressed as a percentage ranging between 0 and 100. Source: World Bank Development Research Group. PovcalNet. http://iresearch.worldbank.org/PovcalNet/index.htm

Indicator	Definition
4. **Wage and salaried workers in total employment** (%) • **Female** • **Male**	Proportion of wage and salaried workers (employees) to total employment. Wage and salaried workers (employees) are those workers who hold the type of jobs defined as paid employment jobs, where the incumbents hold explicit (written or oral) or implicit employment contracts that give them a basic remuneration that does not directly depend upon the revenue of the unit for which they work. Total employment comprises all persons above a specified age who during a specified brief period, either 1 week or 1 day, were in the following categories: (i) "paid employment:" (a) "at work:" persons who during the reference period performed some work for wage or salary, in cash or in kind; (b) "with a job but not at work:" persons who, having already worked in their present job, were temporarily not at work during the reference period and had a formal attachment to their job. (ii) "self-employment:" (a) "at work:" persons who during the reference period performed some work for profit or family gain, in cash or in kind; (b) "with an enterprise but not at work:" persons with an enterprise, which may be a business enterprise, a farm or a service undertaking, who were temporarily not at work during the reference period for any specific reason. Regional and subregional aggregates are computed as weighted averages of country data using working age population as weights. Source: International Labour Organization. Key Indicators of Labor Market online database. http://www.ilo.org/empelm/what/WCMS_114240/lang--en/index.htm
5. **Underweight children under 5 years old** (%)	The percentage of children aged 0–59 months whose weights for age are less than two standard deviations below the median weight for age of the international reference population.

Indicator	Definition
	When country data are unavailable, estimates are used based on trends since 1990. Regional and subregional aggregates are weighted averages of actual and estimated country data, using the total number of children under 5 years of age as weights. Source: United Nations (UN) Statistics Division. Millennium Development Goals (MDG) database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
6. **Under-5 child mortality** (number per 1,000 live births) • **Female** • **Male**	Probability (expressed as a rate per 1,000 live births) of a child born in a specified year dying before reaching the age of 5, if subject to current age-specific mortality rates. Regional and subregional aggregates are weighted averages of country data, using the total number of live births as weights. Breakdown for female and male child mortality rate is available at the World Health Organization, Global Health Observatory Data Repository. Sources: United Nations, Department of Economic and Social Affairs, Population Division. World Population Prospects, CD-ROM Edition. World Health Organization, Global Health Observatory Data Repository. http://apps.who.int/ghodata/?vid=110#
Ratio of girls to boys in education 7. • **Secondary** 8. • **Tertiary**	Ratio of the number of female students (regardless of age) enrolled at secondary and tertiary levels in public and private schools to the number of male students. Also called the gender parity index (GPI). A GPI of 1 indicates parity between the sexes; a GPI that varies between 0 and 1 indicates a disparity in favor of males; a GPI greater than 1 indicates a disparity in favor of females. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
9. **Gross lower secondary education graduation rate** (%) • **Female** • **Male**	Number of graduates (male and female), regardless of age, in all lower secondary education programs expressed as a percentage of the total population at the theoretical graduation age for lower secondary education.

Indicator	Definition
	Gross lower secondary graduation rate covers programs for continuing academic education, strengthening vocational focus, and preparing to enter the workforce. The regional average is calculated as the weighted average of the country ratio using its denominator (total population of graduation age for lower secondary education) as weight. Source: United Nations Educational, Scientific and Cultural Organization Institute of Statistics. http://stats.uis.unesco.org/unesco/ReportFolders/ReportFolders.aspx
10. **Maternal mortality ratio** (number per 100,000 live births)	Ratio of the number of maternal deaths during a given period per 100,000 live births during the same period. Regional and subregional aggregates are weighted averages of actual and estimated country data, using the total number of live births as weights. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
Other Development Outcomes	
11. **Paved roads** (kilometers per 10,000 people)	Paved roads are roads surfaced with crushed stone and hydrocarbon binder or bituminized agents (macadam), concrete, or cobblestones. Total road network covers motorways, highways, main or national roads, secondary or regional roads, and all other roads in a country. Regional and subregional aggregates are weighted averages of actual and estimated country data, using population as weights. Sources: World Bank. World dataBank. World Development Indicators online database. http://databank.worldbank.org/ddp/home.do. International Road Federation. World Road Statistics. http://www.irfnet.org/statistics.php
12. **Electrification rate** (%)	Number of people with access to electricity as a percentage of total population. Electricity comprises electricity sold commercially, both on grid and off grid. It includes self-generated

Indicator	Definition
	electricity for those countries where access to electricity has been assessed through surveys by government or government agencies. The data do not capture unauthorized connections. Regional and subregional aggregates are weighted averages of actual and estimated country data, using population as weights. Source: International Energy Agency. World Energy Outlook. http://www.worldenergyoutlook.org/
13. **Deposit accounts in financial institutions** (number per 1,000 adults)	The number of deposit accounts per 1,000 adults in commercial banks, cooperatives, specialized state financial institutions, and microfinance institutions. An increasing value indicates an expansion in financial access as more individuals and firms use more financial services and products. A higher number of accounts could be due to more individuals and/or firms opening accounts or to the same or even a smaller number of account holders opening more accounts. The data do not distinguish between these dimensions because of lack of information on the number of unique deposit account holders. Regional and subregional aggregates are weighted averages of country data, using population as weights. Source: Consultative Group to Assist the Poor/The World Bank Group. http://www.cgap.org/
Population using an improved drinking water source (%) 14. • **Rural** 15. • **Urban**	Ratio of the number of people who use an improved drinking water source to the total urban and rural population, expressed as a percentage. Water supply for drinking includes piped water into dwelling, plot, or yard; public tap or standpipes; borehole or tube wells; protected dug wells; protected spring; rainwater collection and bottled water if a secondary available source is also improved. Regional and subregional aggregates are weighted averages of actual and estimated country data, using population as weights. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx

Indicator	Definition
Population using an improved sanitation facility (%) 16. • **Rural** 17. • **Urban**	Ratio of the number of people using improved sanitation facilities to the total urban and rural population, expressed as a percentage. Sanitation includes access to facilities that hygienically separate human excreta from human, animal, and insect contact. Improved facilities include flush or pour-flush toilets; latrines connected to a sewer, septic tank, or pit; ventilated improved pit latrines; and pit latrines with a slab or platform of any material which covers the pit entirely, except for drop hole and composting toilets or latrines. Regional and subregional aggregates are weighted averages of actual and estimated country data, using population as weights. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
18. **Governance and public sector management assessment** (index)	The indicator is based on individual country assessments conducted by ADB covering (i) property rights and rule-based governance; (ii) transparency, accountability, and corruption in the public sector; (iii) quality of public administration; (iv) quality of budgetary and financial management; and (v) efficiency of revenue mobilization. Aggregate score for the region or country groupings is the unweighted average of country scores. ADB assigns overall country scores between 1 (low) and 6 (high). Source: ADB Strategy and Policy Department.
19. **Time to start business** (days)	Time, in calendar days, needed to complete the required procedures for legally operating a business. If a procedure can be expedited at additional cost, the fastest procedure, independent of cost, is chosen. Aggregate value for the region or country grouping is unweighted average of country data. Source: International Finance Corporation and the World Bank. Doing Business online database. http://www.doingbusiness.org/data

Indicator	Definition
20. **Intraregional trade in total Asia and Pacific trade** (%)	The ratio of the total trade of ADB's borrowing members with Asia and the Pacific to the 40 borrowing members' total trade with the world. Total trade is the sum of exports and imports. Asia and the Pacific consists of the 48 regional member countries of ADB, including Australia; Brunei Darussalam; Hong Kong, China; Japan; the Republic of Korea; New Zealand; Singapore; and Taipei,China. Sources: International Monetary Fund. Direction of Trade Statistics; CEIC Database for Taipei,China data; and ADB's Asia Regional Integration Center Office of Regional Economic Integration.
21. **Land area covered by forests** (%)	Proportion of forest area to total land area expressed as a percentage. Forest is defined as land spanning more than 0.5 hectares with trees higher than 5 meters and a canopy cover of more than 10%, or trees able to reach these thresholds in situ. It does not include land that is predominantly under agricultural or urban land use. Regional and subregional aggregates are weighted averages of actual and estimated country data, using land area of countries as weights. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
22. **Carbon dioxide emissions** (metric tons per capita)	Total amount of carbon dioxide (CO_2) emitted as a consequence of all relevant human (production and consumption) activities. Aggregate values for the region or country groupings are the sum totals of country observations. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx

LEVEL 2: ADB CONTRIBUTIONS TO DEVELOPMENT RESULTS

Indicator	Definition
Quality at Completion	
1. **Completed country strategies and assistance programs rated *successful*** (%)	Country partnership strategies (CPSs) with *successful* or better evaluation ratings prepared as a percentage of total CPSs evaluated in a year. CPSs are assessed against six criteria: (i) strategic positioning, (ii) program relevance, (iii) efficiency, (iv) effectiveness, (v) sustainability, and (vi) development impacts. Sources: Country assistance program evaluations and CPS final review validation reports.
Completed sovereign operations rated *successful* (%) 2. • **Projects** 3. • **Policy-based operations** 4. • **Rated *likely sustainable***	Projects: Project completion reports (PCRs), PCR validation reports (PVRs), and project performance evaluation report (PPERs), prepared for sovereign operations and circulated in the last 3 years with *successful* or better ratings, as a percentage of the total number of PCRs, PVRs, and PPERs circulated during the same period. Where available, PPER ratings are taken as the final rating. If no PPER is prepared, an available PVR rating is used. If neither PPER nor PVR ratings are available, the PCR rating is used. When the PPER or PVR rating becomes available, the original rating is updated. Policy-based operations: Policy-based operations with PCRs circulated in the last 3 years with *successful* or better ratings, as a percentage of the total number of policy-based operations with PCRs circulated during the same period. Rated likely sustainable: Number of operations that were rated *successful* and rated *likely or most likely sustainable*, as reported in PCRs circulated in the last 3 years, as a percentage of the total number of operations with PCRs circulated during the same period. The number of *successful* ratings in PCRs, PVRs, and PPERs is based on the year of PCR circulation. Operations financed by the Countercyclical Support Facility are excluded. Sources: PCRs, PVRs, and PPERs.

Indicator	Definition
5. **Completed nonsovereign operations rated *successful*** (%)	Extended annual review reports (XARRs), PVRs, and PPERs prepared for nonsovereign operations and circulated in the last 3 years with *successful* or better ratings, as a percentage of the total number of XARRs, PVRs, and PPERs circulated during the same period. Where available, PPER ratings are taken as the final rating. If no PPER is prepared, an available PVR rating is used. If neither PPER nor PVR ratings are available, the XARR rating is used. When the PPER or PVR rating becomes available, the original rating is updated. The number of *successful* ratings in XARRs, PVRs, and PPERs is based on the year of XARR circulation. Sources: XARRs, PVRs, and PPERs.
6. **Completed technical assistance projects rated *successful*** (%)	Number of TA completion reports prepared for sovereign TA projects and circulated in the last 3 years with *successful* or better ratings as a percentage of total TA number of completion reports circulated during the same period. Source: TA completion reports.
7. **Completed sovereign operations delivering intended gender equality results** (%)	Number of PCRs of sovereign operations categorized as gender theme or effective gender mainstreaming that achieved their intended gender equality results at outcome (if relevant) and output levels as reflected in the Gender Action Plan and the design and monitoring framework, as a percentage of total number of PCRs of operations classified as gender theme and effective gender mainstreaming. Assessment will be based on (i) reported results using sex-disaggregated data, and (ii) reported successful achievements against the project gender action plan targets and activities. All sovereign operations use the following 4-tier system to measure the extent to which projects integrate gender issues in their design: (i) gender theme, (ii) effective gender mainstreaming, (iii) some gender elements, and (iv) no gender elements. For the gender project classification system, see *Guidelines for Gender Mainstreaming Categories of ADB Projects* (http://www.adb.org/documents/guidelines-gender-mainstreaming-categories-adb-projects). Source: PCRs.

Indicator	Definition
Core Operational Results	
Energy	
8. **Greenhouse gas emission reduction** (tCO_2-equivalent per year)	The avoided CO_2 equivalent emission as a result of a clean energy project or component of a project. Projects with CO_2 emission reduction include renewable energy generation, energy efficiency projects in supply and demand side, and use of cleaner fuels such as natural gas in place of coal or oil. In the absence of ready information on emission reduction in the PCR or RRP, a proxy emission factor of 793.73 tons of CO_2 per gigawatt hour (GWh) is to be used for developing Asia (countries where ADB may implement projects). This proxy factor is to be used to calculate emission reduction and/or avoidance accruing from the projects, i.e., GWh generated using renewable energy and GWh saved through efficiency improvement. This climate change indicator will monitor the avoided annual CO_2 equivalent emission by clean energy project or component. It will include CO_2 and other greenhouse gases identified by the United Nations Framework Convention on Climate Change and the greenhouse gas potential established under the Intergovernmental Panel on Climate Change (IPCC) Guidelines for National Greenhouse Gas Inventories (IPCC. 2006. *IPCC Guidelines for National Greenhouse Gas Inventories*. Japan). Annual CO_2 reduction or avoidance will be calculated as follows: Supply side: tCO_2 = GWh generated or saved x CO_2 emission factor (tCO_2/GWh) Demand side: Electricity related: tCO_2 = GWh saved measured at demand-side meter/ (1 – transmission and distribution losses) x CO_2 emission factor (tCO_2/GWh) Fossil fuel related switching projects: tCO_2 = Fossil fuel saved (TJ) x CO_2 emission factor (tCO_2/TJ) Sources: PCRs and RRPs.

Indicator	Definition
9. **New households connected to electricity** (number)	Number of new households given electricity connection. Only new household connections resulting from a project are counted. Households with electricity connection and receiving improved services through a project are not counted. The number of new household connections resulting from a project is counted in total and not proportional to the ADB funding component only. New connections may be reported as a straightforward number, i.e., the number of households that the project would connect to power. However, the indicator may also be measured in terms of population that would be served by the project. In this case, the population is divided by the average household size in the country or the locality. Thus, it is important that the RRP mentions the average household size. Sources: PCRs and RRPs.
10. **Installed energy generation capacity** (megawatts) • **Renewable**	Aggregated additional capacity in megawatts (MW) resulting from generation projects using conventional and renewable energy sources. Installed energy capacity from a conventional energy project is the total incremental generating capacity of a project sourced from conventional sources, e.g., oil, coal, or large hydro. A project may involve construction of a new power plant or acquisition of an asset, e.g., the private sector acquiring a government-owned coal plant. This includes the MW-equivalent (MW-eq) capacity of additional heating supply as well as hydrocarbon-based energy added through production or additional import capacity. Energy export is excluded from level 2 measurement as it does not add to the energy resources of a country. Calculation for additional installed capacity created using conventional energy is the aggregate of the following categories: (i) MW capacity of new power plant projects, (ii) incremental MW as the result of rehabilitation projects, (iii) MW-eq capacity of heating supply added, and (iv) MW-eq of natural gas and/or oil production capacity added. Gross capacity addition will be measured. Conversion to MW-eq is based on heating value and standard

Indicator	Definition
	factor of 3,600 megajoules per hour (MJ/h); or 860 megacalories per hour, 85.98 kilograms of oil equivalent per hour, 122.8 kilograms of coal equivalent per hour. In cases where net dependable capacity and gross installed capacity are reported in the PCR, take the gross amount to mean the actual installed energy capacity. Conversion to MW-eq is calculated as follows: MW-eq = fuel quantity (tons/hr) x heating value (MJ/ton) x 40% /3,600 MJ/hr where the heating value is available in the RRP; otherwise the following may be considered as default: coal: 18,900 MJ/ton, oil: 42,300 MJ/ton, gas: 48,000 MJ/ton. The energy conversion efficiency for hydrocarbon production is 40%. Installed energy generation capacity from a renewable energy project is the rated capacity of a project or project component involving renewable energy technologies such as solar, wind, small or mini hydro, geothermal, and biomass. The project may be either new construction or acquisition (e.g., the private sector acquiring a government-owned small hydro plant). For further guidelines, see ADB. 2011. *Manual for Calculating Energy Output Indicators.* Manila. Sources: PCRs and RRPs.
11. **Transmission lines installed or upgraded** (kilometers)	Length of power, gas, and oil transmission lines (ground distance in kilometers). For power transmission lines, this should be the simple distance from tower A to tower B and not the circuit-kilometer. Although the indicator does not differentiate between a newly installed and an upgraded line, upgraded lines should meet certain criteria. Upgraded power transmission lines should involve an increase in voltage level, e.g., from a low-voltage line to a high-voltage line. For gas and oil transmission lines, there should be an increase in pipe diameter or the pressure of the fluid. As this is a simple distance between two points, little calculation is needed, except when circuit-kilometer is the unit involved as the type of line has to be considered. If it is a double-circuit line, the number of circuit-kilometers is halved to give the indicator. If it is single-circuit line, the number of circuit-kilometers is the same as the distance between the given points.

Indicator	Definition
	A circuit-kilometer is a measure of the distance from tower A to tower B multiplied by the number of circuits. A double-circuit transmission line means that there are two lines or cables running the length. Thus, for a double-circuit line, 100 circuit-kilometers imply a 50-kilometer transmission line. Sources: PCRs and RRPs.
12. **Distribution lines installed or upgraded** (kilometers)	Length of the distribution network of lines or pipes installed and/or upgraded in kilometers, aggregating: (i) power distribution lines installed or upgraded, generally at 110 kilovolts or lower; (ii) district heating network pipes installed or upgraded; and (iii) urban gas supply network pipes installed or upgraded. Distribution lines, whether upgraded or installed, include power distribution lines, district heating network pipelines, and urban gas supply network pipelines. An upgrade would involve improvement of the network including reconductoring or changing the wires of the distribution line. Sources: PCRs and RRPs.
Transport	
13. **Use of roads built or upgraded** (average daily vehicle-kilometers in the first full year of operation)	Traffic benefiting from built or upgraded roads in the year after project completion. Vehicles are buses, trucks, minivans, cars, motorcycles, and other motorized means of conveyance, depending on the country and location. Daily vehicle-kilometers is to be calculated by adding all distances in kilometers traveled by all types of vehicles in a day on roads built or upgraded. Average daily vehicle-kilometers is calculated over the year immediately upon project completion, making allowances for factors such as seasonality. All vehicle-kilometers traveled will be counted, including those of traffic that existed before upgrading, diverted traffic, and traffic generated as a result of road improvement, as well as annual growth in each of these categories. This is because a main objective of most transport projects is to upgrade facilities, resulting

Indicator	Definition
	in improved service and lower cost of transport for all traffic. Sources: PCRs and reports and recommendations of the President (RRPs).
14. **Use of railways built or upgraded** (average daily ton-kilometers in the first full year of operation)	Railway freight benefiting from built or upgraded railway in the year after project completion. Ton-kilometer is often based on data provided by the railway company, as revenues are typically collected on this basis. If this is not available then daily ton-kilometer is calculated by multiplying the daily freight tons carried by the average number of kilometers hauled. Average daily ton-kilometers is calculated over the year immediately upon project completion, making allowances for factors such as seasonality. All ton-kilometers will be counted, including those of traffic that existed before upgrading, diverted traffic, and traffic generated as a result of railway improvement, as well as annual growth in each of these categories. This is because a main objective of most transport projects is to upgrade facilities, resulting in improved service and lower cost of transport for all traffic. The indicator excludes urban rail. Sources: PCRs and RRPs.
15. **Roads built or upgraded** (kilometers)	Length of expressways and national highways (i.e., fully access-controlled roadways) and provincial, district, and rural road networks (i.e., roads without full access control) built or upgraded, expressed in kilometers. Fully access-controlled implies (i) all cross traffic is fully grade separated (e.g., using overpasses); (ii) the use of a median crash barrier or wide median to physically separate both directions of travel; (iii) full segregation of motorized traffic from nonmotorized traffic, including pedestrians; (iv) prohibition of unsuitable vehicle classes and nonmotorized traffic from roadway use; and (v) use of roadside crash barriers or clear zones. Roads without access control may include kilometers of nonpaved road (tracks), if investments in these have been made through the project.

Indicator	Definition
	Upgrading includes all activity to restore a degraded road to its originally intended design capacity (repair or rehabilitation) and to improve on its design capacity (e.g., by widening). Upgrading of road signage only is excluded. This calculation is not affected by bidirectional travel or the number of lanes (i.e., corridor kilometers are used, not lane kilometers). Sources: PCRs and RRPs.
16. **Railways constructed or upgraded** (kilometers)	Length of railway tracks built or upgraded in kilometers (double tracks do not count twice). Railways refer to intercity and/or regional rail infrastructure. Sources: PCRs and RRPs.
17. **Urban rail- and bus-based mass transit systems built or upgraded** (kilometers)	Length of urban public transport corridors built or upgraded in kilometers (bidirectional travel does not count twice, i.e., record corridor kilometers are used, not lane kilometers). Urban mass transit incorporates all collective transport services operating within urban areas or extended to attached suburban areas. Rail-based mass transit systems may include underground heavy rail (i.e., metro rail), elevated heavy rail, at-grade light rail transit, grade-separated light rail transit, monorail, and rail-based personal rapid transit. Bus-based urban mass transit includes all modes with the provision of high-quality collective transport services by rubber-tired vehicles. These modes can include bus rapid transit, bus rapid transit lite, rubber-tired people movers, and rubber-tired personal rapid transit. Upgrading includes all activity to restore a degraded mass transit system to its originally intended design capacity (repair or rehabilitation) and to improve on its design capacity (e.g., by providing passing lanes at stations). Upgrading of corridor signage only is excluded. Sources: PCRs and RRPs.

Indicator	Definition
Water	
18. **Households with new or improved water supply** (number)	All additional households that benefit from projects offering piped or non-piped water supply systems that are of a higher order than the system that the households used before (non-piped supply may include standpipes), and households that are already connected to a piped system but are provided with improved service, e.g., longer hours of service and/or increased pressure. The situation at the end of the project is to be reflected. Sources: PCRs and RRPs.
19. **Households with new or improved sanitation** (number)	All additional households that benefit from projects offering a variety of sanitation systems to households that either did not benefit from sanitation systems before or benefit from systems of lesser order, and households that are already benefiting from sanitation services but are provided with improved service, e.g., sewer connection, septic tank, pour-flush, simple pit latrine, or ventilated improved pit latrine. The situation at the end of the project is to be reflected. Sources: PCRs and RRPs.
20. **Wastewater treatment capacity added or improved** (cubic meters per day)	Maximum cubic meters of wastewater intake per day at the new or improved treatment plant, excluding waste treatment capacity of septic tanks and the removal of the waste. Sources: PCRs and RRPs.
21. **Water supply pipes installed or upgraded** (length of network in kilometers)	All sizes of new and repaired or upgraded pipes intended to transport water for urban water use for domestic and nonagricultural business purposes, expressed as their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes. Sources: PCRs and RRPs.
22. **Land improved through irrigation, drainage, and/or flood management** (hectares)	Rural land area improved through any new or improved: (i) irrigation, (ii) drainage services, and (iii) flood management works.

Indicator	Definition
	Sources: PCRs and RRPs.
Finance	
23. **Trade finance supported** ($ million per year)	Value of trade finance instruments or transactions for which a guarantee is issued or loan is disbursed under the Trade Finance Program in a given year. The Trade Finance Program is a nonsovereign operations program that fills market gaps in trade finance by providing guarantees and loans through partner banks, in support of trade. Source: Trade Finance Program annual report.
24. **Microfinance loan accounts opened or end borrowers reached** (number) • **Female** • **Male**	The number of end borrowers; or, if not available, the number or estimate of microfinance loan accounts opened (regardless of amount in currency) over the course of the project. All those reached by microfinance lending or saving group activities of the project are counted, including participants in self-help groups. The definition of microfinance follows country conventions. Sources: PCRs and RRPs.
25. **Small and medium-sized enterprise loan accounts opened or end borrowers reached** (number)	Preferably number of end borrowers, but if not available, the number of small and medium-sized enterprise (SME) loan accounts opened (regardless of amount) over the course of the project. The calculation does not include equity operations for SMEs. The definition of SMEs follows the definition generally used in the country of the project. Sources: PCRs and RRPs.
Education	
26. **Students benefiting from new or improved educational facilities** (number) • **Female** • **Male**	Total number of students benefiting from new or upgraded physical educational facilities. Each student is counted only once, regardless of the number of years a student attends the education or training institution, or of the number of improvement inputs the education or training institution receives. All students benefiting from cofinanced projects are included. Students benefiting from minor infrastructure improvements are excluded. Students are counted cumulatively for each year the inputs are completed, without counting the same student twice.

Indicator	Definition
	Students are those enrolled in new or improved learning or training institutions. Facilities include primary schools, secondary schools, formal technical vocational education and training institutions, colleges, polytechnics, and universities. New or improved facilities include classrooms, libraries, laboratories, workshops, clean water sources, distance education equipment, and/or information and communication technology for instructional purposes. Improved can mean either newly constructed or upgraded during the project period. Newly constructed means new construction completed during the project. Upgraded means existing facilities that receive (i) major repairs or renovation as defined in project planning documents, (ii) upgrading of computer rooms or laboratories, (iii) clean water sources, (iv) connection to electricity, (v) computers for instructional purposes, (vi) laboratory equipment and furniture, (vii) library furniture and books, (viii) furniture for students and teachers, (ix) internet connections, or (x) distance learning equipment. Sources: PCRs and RRPs.
27. **Students educated and trained under improved quality assurance systems** (number) • **Female** • **Male**	Total number of students benefiting from improved quality assurance systems under the projects. Each student is counted only once, regardless of the number of years a student attends the education or training institution, or of the number of inputs associated with improved quality systems the education or training institution receives. All students benefiting from cofinanced projects are included. Students benefiting from minor infrastructure improvements are excluded. Students are counted cumulatively from the year the first input is completed to the subsequent years new inputs are added. Students are those enrolled in private or public primary, lower secondary, or secondary schools; colleges; vocational training institutions; polytechnics; or universities covered under the project. Education and training can refer to subsectors of education systems such as pre-primary and basic, upper secondary, formal technical vocational education and training, and higher education.

Indicator	Definition
	Quality assurance systems are country specific referring to developing member countries' own systems and include (i) standards for service delivery or learning outcomes, (ii) a means for verifying achievement of standards, and (iii) a mechanism for implementing standards directly in education or training institutions. Improved quality assurance systems include operations that: (i) invested in improved quality standards (e.g., minimum service delivery standards for education and training institutions, learning standards in the curriculum, competency-based teaching and learning systems, qualifications frameworks, and instructional staff qualifications) and a means for verifying progress toward achievement of those standards (e.g., certification, compliance reviews, accreditation, institutional census surveys, learning assessments, and qualifying examinations); (ii) financed inputs that enable education or training institutions to meet particular quality standards (e.g., teacher training, reformed examination, facility improvement grants for inputs directed at meeting standards, and improved facilities); (iii) used a mechanism for verifying progress toward achievement of standards (e.g., institutional census, project surveys, learning assessments, and qualifying examinations); and (iv) defined a finite number of project education or training institutions receiving such inputs. Sources: PCRs and RRPs.
28. **Teachers trained with quality or competency standards** (number) • **Female** • **Male**	Number of teachers trained who are likely to improve teaching practices and support improvements in curriculum, textbooks, or pedagogy. This includes the following: (i) Teachers who are full time, part time, or government-paid or contracted. Teachers, principals, instructors, lecturers, and professors covered by the project are included. (ii) Preservice: Candidate teachers enrolled in training programs that have been strengthened by the project and result in qualifications or certification. (iii) Upgrading: Teachers receiving in-service training that has been strengthened under

Indicator	Definition
	the project and leads to certification or licensing. (iv) In Service: The number of teachers receiving in-service training in specific subject areas or specific pedagogies where the training program has defined competencies and means for assessing attainment of competencies. Each teacher is counted only once, regardless of how many times he/she participated in pre- and/or in-service programs. If a teacher training institution receives upgrading through civil works and/or equipment, enrolled trainees are not counted unless teacher quality standards are also strengthened under the project. The faculty of teacher training institutions is excluded from the count unless they directly teach in classrooms. The number of teachers is counted cumulatively as follows: (i) Preservice: Number of teachers enrolled in the strengthened program. If the program is multiyear, add only the new intake for subsequent years; (ii) In-service leading to certification: Number of teachers receiving certificates or licenses under the strengthened program; and (iii) Short-course in-service: Teachers who participate in two or more short courses meeting quality standards are counted once. Teachers trained under cofinanced projects are included provided the training meets ADB's definition of quality standards. Teacher trainers, methodologists, administrators, supervisors, government officials, and principals without any direct teaching role or receiving training in administration only are excluded. If teacher trainers who are also working as teachers are trained, they are counted. Quality standards for teacher training are those defined in each project. These may include (i) definitions of teacher skills and/or competencies (skills and competencies can be subject specific and/or general good teaching practices), and (ii) a means of assessing whether trainees have achieved the competencies or met the standards. These can include portfolio

Indicator	Definition
	assessment, observed teaching, examinations, and/or satisfactory completion of required courses or modules. Teachers participating in study tours, peer learning networks, and courses subsidized by the project but taken from unaccredited outside providers are not counted. Sources: PCRs and RRPs.
Regional Cooperation and Integration	
29. **Cross-border transmission of electricity** (gigawatt-hours per year)	Cross-border electricity, in GWh, transmitted annually based on PCRs circulated during the year. Achieved outputs of operations with the thematic classification of regional cooperation and integration are counted. Source: PCRs and RRPs.
30. **Cross-border cargo volume facilitated** (tons per year)	Volume of cargo that crossed borders that are facilitated by ADB operations contributing to regional connectivity. Such operations may include regional road construction and rehabilitation, and border infrastructure and systems improvement. The figures on tons per year for vehicles that cross borders are based on figures reported in PCRs circulated during the year. Achieved outputs of operations with the thematic classification of regional cooperation and integration are counted. Source: PCRs and RRPs.

LEVEL 3: ADB OPERATIONAL MANAGEMENT

Indicator	Definition
Implementation Quality	
1. **Performance of sovereign operations at implementation rated *satisfactory*** (%)	Percentage of ongoing sovereign operations rated *satisfactory* at cut-off-date. The portfolio performance rating system uses the following five key performance indicators to rate the status of ongoing operations: technical, procurement, disbursement, financial management, and safeguards. The portfolio performance rating system applies to all ADB-administered project loans and grants, including sector development projects, multitranche financing facility (MFF) tranches, and projects financed solely by other sources (e.g., special funds and cofinancing). It does not apply to policy-based operations and TA projects. Source: Central Operations Services Office.
2. **Performance of nonsovereign operations at implementation, credit rated *satisfactory*** (%)	Number of nonsovereign operations facilities not under workout as a percentage of total number of facilities. Facilities refer to signed legal agreements evidencing ADB's investment (loan facility agreements, guarantee agreements, and investment agreements for direct equity). A nonsovereign operation may have more than one facility. Facilities under workout are (i) for loans and guarantees, facilities that have risk rating of 13 and 14 (in the scales of 1 to 14); and (ii) for equity, facilities that are classified as impaired and whose carrying value is written down. These facilities are transferred to ADB's Office of Risk Management for recovery of losses. Source: Quarterly Risk Management Report Submitted to the Board by the Office of Risk Management.
3. **Time from approval to first contract in sovereign projects** (months)	Average time, in months, from approval to first contract signing date of goods and services of all sovereign loans and ADF grants (excluding policy-based operations) approved during the year. Source: Central Operations Services Office.

Indicator	Definition
Quality at Entry	
4. **Quality at entry of country partnership strategies rated *satisfactory*** (%)	Number of CPSs with *satisfactory* or better ratings as a percentage of the total number of CPSs assessed. CPSs are assessed against seven criteria: (i) country diagnostics, (ii) identification of lessons, (iii) country strategy, (iv) country program, (v) results framework, (vi) risk assessment and mitigation, and (vii) the CPS preparation process. Sources: CPS and report of working group on quality-at-entry (QAE) assessment.
5. **Quality at entry of sovereign projects rated *satisfactory*** (%)	Sovereign projects with *satisfactory* or better ratings, as a percentage of total number of sovereign projects assessed. Projects are assessed against nine criteria: (i) development objectives, outcomes and impacts; (ii) strategic relevance and approach; (iii) technical and economic aspects; (iv) poverty, social, and environmental aspects; (v) fiduciary aspects; (vi) policy and institutional aspects; (vii) implementation arrangements, monitoring, and evaluation; (viii) risk assessment; and (ix) achievability and sustainability of development objectives. Sources: RRPs and report of the working group on QAE assessment.
6. **Quality at entry of nonsovereign projects rated *satisfactory*** (%)	Nonsovereign projects with satisfactory or better ratings as a percentage of total number of nonsovereign projects assessed. Nonsovereign projects are assessed against 10 criteria: (i) development objectives; (ii) enabling environment impact; (iii) strategic alignment and project design; (iv) ADB additionality and complementarity; (v) market, financial, economic, and technical feasibility; (vi) environmental and social responsibility;

Indicator	Definition
	(vii) implementation arrangements; (viii) ADB profitability and investment management; (ix) risk assessment and management; and (x) achievability of development objectives. Sources: RRPs and report of working group on QAE assessment.
7. **Quality at entry of country partnership strategies in supporting inclusive economic growth rated *satisfactory*** (%)	Percentage of CPSs rated *satisfactory* or better with respect to the integration of inclusive economic growth. Inclusive economic growth integration will be assessed according to the following criteria: (i) Analysis of inclusive economic growth and macroeconomic performance, prospects and binding constraints, and the role of different players in removing the constraints. (ii) Consistency between country diagnostics and ADB's approach to supporting inclusive economic growth in a particular country. (iii) Linkage of ADB's approach to inclusive economic growth to the choice of CPS focus areas (including sectors, subsectors, and geographic focus). This should be demonstrated in terms of focus on the three strategic pillars of inclusive economic growth, adequacy of allocation of resources for these in light of government priorities, ADB comparative strengths and resource availability, and other interventions of the government and other development partners. (iv) Consistency between ADB's assistance program linked to the CPS results framework and resource envelope, including inclusive economic growth objectives congruent with the binding constraints analysis. If a CPS has a QAE rating of 4 (*highly satisfactory*) or 3 (*satisfactory*) on all four criteria, the assessment would yield a "Yes" for linkage to inclusive economic growth demonstrated (i.e., the CPS would be assessed as supporting inclusive economic growth). Source: QAE review exercise statistics.

Indicator	Definition
8. **Project design and monitoring frameworks rated *satisfactory*** (%)	Percentage of project level design and monitoring frameworks rated *satisfactory* or better on seven dimensions: (i) impact, (ii) outcome, (iii) outputs, (iv) activities, (v) indicators, (vi) data sources, and (vii) assumptions and risks. Source: Central Operations Services Office.
Development Finance	
9. **Disbursement ratio for sovereign projects** (age standardized, %)	For each age group of projects, the ratio of sovereign projects disbursement in a given year or period to the net amount available for disbursement at the beginning of the year or period plus amounts that have become effective during the year or period, less cancellations made during the year or period. The age-specific disbursement ratios are weighted according to the age structure of the standard portfolio derived from historical data, to arrive at the age-standardized disbursement ratio. Disbursement in a given year refers to the confirmed disbursement for the particular year covered. Net amount available at the beginning of the year refers to the undisbursed amount aggregated for all ongoing loan and ADF grant operations at the beginning of the year. Source: Controller's Department.
10. **Disbursement ratio for nonsovereign project finance loans** (age standardized, %)	For each age group of projects, ratio of total nonsovereign project finance loan disbursements in a given year or period to the net project finance loan amount available for disbursement at the beginning of the year or period, plus project finance loans which have been signed during the year or period, less cancellations made during the year or period. The age-specific disbursement ratios are weighted according to the age structure of the standard portfolio derived from historical data, to arrive at the age-standardized disbursement ratio.

Indicator	Definition
	Total disbursement in a given year refers to the confirmed disbursement for project finance loans for the particular year covered. Net loan amount available at the beginning of the year refers to the undisbursed amount aggregated for all project finance loan operations at the beginning of the year. Source: Controller's Department.
11. **Direct value-added cofinancing** (% of ADB financing approved)	Ratio of total direct value-added (DVA) cofinancing to total approved OCR and ADF financing in the last year. DVA cofinancing includes official and commercial cofinancing, involving formal agreements or active collaboration between ADB and financing partners to facilitate resource mobilization, administration, or participation in cofinancing to bring additional benefits to client DMCs. Official DVA cofinancing includes loans and investment grants. Commercial DVA cofinancing includes parallel loans, B loans, net DVA guarantees, net DVA Trade Finance Program, parallel equity, and risk transfer arrangements. Sources: RRP, periodic financing request (PFR), change in scope memo, or similar project documents. Database for official cofinancing: ADB's Office of Cofinancing Operation's database for ADB-approved projects with official loan and investment grant cofinancing.
12. **Project development transactions for public–private partnerships** (total number from 2013)	Number of public–private partnership projects that execute agreements with the private sector for implementation from 2013. Project development transactions for public–private partnerships pertain to the successful outcome as evidenced by an appropriate public–private partnership contract signed between the client and the private sector. Project development transactions involve public–private partnership projects as defined in the Public–Private Partnership Operational Plan 2011–2020. These include performance-based service, management, or affermage contracts (public

Indicator	Definition
	financing); or lease, build–operate–transfer, and other concessions with a mix of public and private financing; or only private financing. ADB funding for project development includes OCR and other resources. Some of these projects may not involve ADB financing at a later stage. In such cases, the only funding provided by ADB is for project development, and the leveraging indicator will account for this funding also, provided the project development funding is recovered to enable revolving it for development of additional projects. Source: Annual monitoring report on the Public–Private Partnership Operational Plan.
13. **Cumulative public–private partnership leveraging achieved using ADB financing** (ratio of leveraging amount to ADB financing approved)	Ratio of total project value created by ADB from 2012 to the total ADB project development financing and project financing approved and allocated to these public–private partnerships. The leveraging multiplier is estimated only if there is private sector investment attracted in a project that may have public (government) financing and ADB support (project development funding support and/or project financing) or only private sector financing (commercial or market investment with ADB support for project development at the minimum even if it is without any ADB financing). It is not counted if it is a public financed project with ADB support alone. Various forms of public–private partnerships include performance-based contracts (management and service contracts), lease–operate–transfer, build–own–operate–transfer, design–build–finance–operate and its variants, and concessions. The following are excluded: (i) contracts involving turnkey design and construction as part of public procurement (engineering, procurement, and construction-type contracts); (ii) simple service contracts that are not linked to performance standards and construction contracts with extended warranties and/or maintenance provisions of, for example, up to 5 years post-completion; and (iii) all privatization and divestitures. Source: Annual monitoring report on the Public–Private Partnership Operational Plan.

Indicator	Definition
Strategy 2020 Development Agendas and Core Operations	
Operations contributing to inclusive economic growth focusing on 14. • **growth and creation of jobs and opportunities** (%) 15. • **inclusive access to jobs and opportunities** (%) 16. • **social protection** (%)	Number of operations approved during the last 3 years that support inclusive economic growth by promoting (i) growth and creation of jobs and opportunities, (ii) inclusive access to jobs and opportunities, and (iii) social protection, as a percentage of total number of ADB operations approved during the same period. Operations that focus on growth and creation of jobs and opportunities are those that typically support robust infrastructure, a stable finance sector, effective public sector management, and sound regulatory regimes that allow the private sector to participate. Operations that focus on inclusive access to jobs and opportunities are those that typically support improvements in basic services—such as education, health, water and sanitation,—especially for the disadvantaged; access to finance; urban development for the poor; rural infrastructure, and reforms that promote the participation of disadvantaged groups. Operations that focus on social protection include stand-alone social protection operations whose primary objective is to strengthen policies, programs, and schemes in the areas of labor markets, social insurance, and social assistance, and those operations integrating social protection components. Operations contributing to inclusive economic growth focusing on (i) growth and creation of jobs and opportunities, and (ii) inclusive access to jobs and opportunities (%), can also have integrated social protection components. Social protection is a set policies and programs that reduce poverty and vulnerability by promoting efficient labor markets, reducing people's exposure to risks, and enhancing their capacity to protect themselves against hazards and interruption and/or loss of income. Social protection consists of three major components: (i) Social insurance programs cushion the risks associated with unemployment, health, disability, work injury, and old age. (ii) Social assistance assists the most vulnerable groups who have no other means of adequate support. (iii) Labor market policies and programs facilitate employment and promote efficient operation of the labor market. The number of operations is based on RRPs and PFRs circulated during the same period.

Indicator	Definition
	Sources: RRPs, PFRs, and eOperations.
17. **Operations supporting environmental sustainability** (%)	Number of operations with the thematic classification of environment sustainability in the last 3 years as a percentage of the total number of operations approved during the same period. Environmental sustainability may or may not be the primary theme. The thematic classification of projects is based on the RRP or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
18. **Operations supporting climate change mitigation and/or adaptation** (%)	Number of operations that support climate change mitigation and/or adaptation in the last 3 years as a percentage of total number of operations approved during the same period. Identification of the projects that support climate change mitigation and adaptation is based on the RRPs or PFRs in the case of MFFs. Note: There is an ongoing multilateral development bank harmonization process to establish common climate change finance definitions. Joint multilateral development bank approaches for mitigation and adaptation finance reporting were finalized in December 2012. Based on the joint approach, activities should reflect at least one of the following categories to be classified as adaptation: (i) addressing current drivers of vulnerability; (ii) building resilience to current and future climate risks; (iii) incorporating climate risks into investments, and (iv) incorporating management of climate risk into plans, institutions and policies Adaptation activities falling into these categories must in addition fulfill three design process criteria: (i) context of climate vulnerability, (ii) statement of purpose or intent to address or improve climate resilience, and (iii) link between project activities and the context of climate vulnerability. These criteria are necessary to differentiate between adaptation and development. Based on the joint approach, activities can be classified as contributing to climate change mitigation if it promotes “efforts to reduce or limit greenhouse gas

Indicator	Definition
	emissions or enhance greenhouse gas sequestration".[a] Consistent guidelines for project classification will be developed. Sources: RRPs, PFRs, and eOperations.
19. **Operations supporting regional cooperation and integration** (%)	Number of operations with the thematic classification of regional cooperation and integration in the last 3 years as a percentage of the total number of operations approved during the same period. Regional cooperation and integration may or may not be the primary theme. The thematic classification of projects is based on the RRP and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
20. **Financing for Strategy 2020 core operational areas** (%)	Volume ($ amount) of approved sovereign and nonsovereign operations (including guarantees, equity investments, and B-loans) in a year supporting Strategy 2020 core operational areas as a percentage of total volume of ADB operations ($ amount) approved in the same year. Operations not classified as infrastructure, education, or finance (sectors) are included if these have environment or regional cooperation and integration as theme, irrespective of whether this is the primary thematic classification. Strategy 2020 core operational areas: infrastructure (transport, energy, water, and other infrastructure); environment; regional cooperation and integration; finance sector development; and education. Sources: RRPs, PFRs, and eOperations.
Strategy 2020 Drivers of Change	
21. **Operations supporting private sector development and private sector operations** (%)	Number of operations with the thematic classification of private sector development in the last 3 years as a percentage of the total number of operations approved during the same period. Private sector operations are generally classified as private sector development. Private sector development may or may not be the primary theme. The thematic classification of projects is based on the

Indicator	Definition
	RRP and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
22. **Operations supporting governance and/or capacity development** (%)	Number of operations with the thematic classification of either governance or capacity development in the last 3 years as a percentage of the total number of operations approved during the same period. Governance or capacity development may or may not be the primary theme. The thematic classification of projects is based on the RRP and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
23. **Operations supporting gender mainstreaming** (%)	Number of sovereign operations that support gender mainstreaming in the last 3 years as a percentage of the total number of sovereign operations approved during the same period. All sovereign operations use the following 4-tier system to measure the extent to which projects integrate gender issues in the design of projects (i) thematic classification of gender theme, (ii) effective gender mainstreaming (i.e., projects with specific design features that promote and facilitate women's access to and benefits from the project), (iii) some gender elements, and (iv) no gender elements. This gender mainstreaming indicator reports on the combined total of the first two categories (i) gender theme, and (ii) effective gender mainstreaming. For the gender project classification system, see *Guidelines for Gender Mainstreaming Categories of ADB Projects* (http://www.adb.org/documents/guidelines-gender-mainstreaming-categories-adb-projects). The thematic classification of projects is based on the RRPs, or PFRs in the case of MFFs. Sources: RRPs and PFRs.
24. **Perceived ADB performance in promoting knowledge sharing and best practices** (%)	Number of respondents who believe that ADB performs well in promoting the application of knowledge and best practices, as a percentage of the total number of respondents to ADB's perceptions survey. The indicator is based on responses rating as "excellent" or "good" to questions in the triennial

Indicator	Definition
	multinational survey of opinion leaders and stakeholders under the section on general impressions of ADB. Source: ADB Perceptions Survey. http://www.adb.org/publications/series/perceptions-survey
25. **Web-distributed knowledge solutions** (number of downloads)	Number of downloads in the reporting year of all knowledge solutions in digital format including working papers; books; flagship publications; research; presentations; special reports; articles; training materials; and sector, economic, or thematic briefs and technical notes. Source: ADB website statistics.
26. **Civil society organization participation in sovereign operations** (% of approved operations)	Approved sovereign operations in a year containing elements of activity and/or participation by civil society organizations (CSOs) in any stage of the project and as reflected in the RRPs, as a percentage of the total number of sovereign operations approved during the year. CSOs include nongovernment organizations, community-based groups or organizations, trade unions, research institutions, or foundations. CSOs may participate in general consultations, policy and advocacy work, or monitoring and evaluation; or as information provider, cofinancier, project beneficiary, expert/consultant/trainer, or implementing agency. Source: RRPs.

Note: QAE assessments of country partnership strategies, and sovereign and nonsovereign projects are conducted every 2 years.

[a] OECD DAC, Definition of the Rio Marker on climate change mitigation. http://bit.ly/RioMit

LEVEL 4: ADB ORGANIZATIONAL MANAGEMENT

Indicator	Definition
Human Resources	
1. **Budgeted international and national staff in operations departments** (%)	Number of filled and vacant authorized international and national staff positions in regional departments and the Private Sector Operations Department as a percentage of the total number of such positions in ADB in a budget year. Total positions exclude directors' advisors, staff in the Independent Evaluation Department and Office of the Compliance Review Panel, and young professionals. Source: Human Resource Management Information System.
2. **Representation of women in the international staff category** (%)	Women international staff as a percentage of the total number of international staff in a budget year. Source: Institutional Gender Report.
3. **Staff engagement** (index)	The average of the favorable scores of the following five staff engagement survey questions: (i) I believe strongly in ADB's goals and objectives. (ii) I am proud to be associated with ADB. (iii) I would recommend ADB as a good place to work. (iv) I work beyond what is required to help ADB succeed. (v) At the present time, are you seriously considering leaving ADB? A favorable score is calculated by averaging the percentage of staff that respond either "agree" or "tend to agree" to questions (i)–(iv) and the percentage of staff that respond "no" to question (v). Source: Staff engagement survey.
Budget Resources	
4. **Internal administrative expenses per $1 million disbursement** ($'000)	Total internal administrative expenses (IAE) in the past year divided by the total amount of ADF and OCR disbursed during the same period. IAE includes expenses such as those related to the Boards of Governors, the Board of Directors, salaries and benefits, consultants, business travel, office occupancy, contractual services, equipment,

Indicator	Definition
	maintenance, and depreciation. Source: Budget, Personnel, and Management Systems Department.
5. **Share of operational expenses for portfolio management** (% of total operational expenses attributable to portfolio management and processing of operations)	Total operational expenses attributable to portfolio management in the past year as a percentage of total operational expenses attributable to portfolio management and processing of operations. Operational expenses are an IAE category that includes expenses related to salaries and benefits, staff development, relocation, consultants, business travel, and representation. Source: Budget, Personnel, and Management Systems Department.
Process Efficiency and Client Orientation	
6. **Sovereign operations administered with substantial resident mission involvement** (%)	Number of sovereign operations administered with substantial resident mission involvement in a year, as a percentage of the total number of ongoing sovereign operations in DMCs with resident missions (including those covered by field offices in the Pacific). Substantial resident mission involvement is defined as (i) projects for which administration is led by staff (including outposted staff) in resident missions; the Pacific Liaison and Coordination Office in Sydney, Australia; the Special Office in Timor-Leste; and the Pacific Subregional Office in Suva, Fiji; and (ii) projects for which administration is led by headquarters staff and for which resident mission staff participated in review mission(s) in the year. Source: Strategy and Policy Department based on Central Operations Services Office data.
7. **Sovereign operations processing time** (from start of loan fact-finding to Board approval, months)	Average time, in months, from start of loan fact-finding to Board approval of sovereign operations during the year. Loan fact-finding refers to the date when the project team starts a mission to confirm the viability of the project after sufficient feasibility work has been undertaken either by the government or through ADB's project preparatory support. The start of the first loan fact-finding mission is considered. For MFF tranches not processed together with the facility: the submission of a PFR will be taken as the equivalent of loan fact-

Indicator	Definition
	finding. Approval refers to the Board approval date of the RRP. For MFF tranches not processed together with the facility, "approval" will refer to the President's approval of the tranche. Source: Central Operations Services Office.
8. **Nonsovereign operations processing time** (from start of due diligence to Board approval, months)	Average time, in months, from start of due diligence to Board approval for nonsovereign operations. Start of due diligence refers to the date on which the Investment Committee approves, or re-endorses, initiation of due diligence by the investment team for the project. Approval refers to the Board approval date of the RRP. Source: Private Sector Operations Department.
9. **Processing time for procurement contracts for sovereign operations** (above $10 million, days)	Average time, in days, from the ADB's receipt of bid evaluation report to approval by procurement committee of contracts above $10 million. Source: Central Operations Services Office.

Notes:

1. The 26 resident missions and three regional offices existing or created in June 2012 are the Afghanistan Resident Mission, Armenia Resident Mission, Azerbaijan Resident Mission, Bangladesh Resident Mission, Cambodia Resident Mission, European Representative Office, India Resident Mission, Indonesia Resident Mission, Georgia Resident Mission, Japanese Representative Office, Kazakhstan Resident Mission, Kyrgyz Republic Resident Mission, Lao People's Democratic Republic Resident Mission, Mongolia Resident Mission, Nepal Resident Mission, North American Representative Office, Pacific Liaison and Coordination Office, Pakistan Resident Mission, Papua New Guinea Resident Mission, People's Republic of China Resident Mission, Philippines Country Office, South Pacific Subregional Office, Special Liaison Office in Timor-Leste, Sri Lanka Resident Mission, Tajikistan Resident Mission, Thailand Resident Mission, Turkmenistan Resident Mission, Uzbekistan Resident Mission, and Viet Nam Resident Mission.
2. A staff engagement survey is conducted by an independent organization every 2 years to assess the level of ADB staff engagement.

THE ASIAN DEVELOPMENT BANK'S DEVELOPING MEMBER COUNTRIES

Table A1: ADB's Developing Member Countries (as of December 2012)

Afghanistan[a]	India	Federated States of Micronesia[a]	Solomon Islands[a]
Armenia[a]	Indonesia	Mongolia[a]	Sri Lanka[a]
Azerbaijan	Kazakhstan	Myanmar	Tajikistan[a]
Bangladesh[a]	Kiribati[a]	Nauru[a]	Thailand
Bhutan[a]	Kyrgyz Republic[a]	Nepal[a]	Timor-Leste[a]
Cambodia[a]	Lao People's Democratic Republic[a]	Pakistan[a]	Tonga[a]
People's Republic of China	Malaysia	Palau[a]	Turkmenistan
Cook Islands	Maldives[a]	Papua New Guinea[a]	Tuvalu[a]
Fiji	Marshall Islands[a]	Philippines	Uzbekistan[a]
Georgia[a]		Samoa[a]	Vanuatu[a]
			Viet Nam[a]

ADB = Asian Development Bank.
Note: The Republic of Korea; Hong Kong, China; Taipei,China; and Singapore are developing members that have graduated and are not included in this table.
[a] Developing member countries with access to the Asian Development Fund in ADF X (2009–2012).
Source: ADB Strategy and Policy Department.

Table A2: Classification of ADB's Developing Member Countries (as of December 2012)

Group C (OCR-Only)	Group B (Blend Countries)[a,b]	Group A (ADF-Only)[b]
Cook Islands	Armenia	Afghanistan
People's Republic of China	Azerbaijan[c]	Bhutan
Fiji	Bangladesh	Cambodia
Indonesia	Georgia	Kiribati
Kazakhstan	India[c]	Kyrgyz Republic
Malaysia	Marshall Islands	Lao People's Democratic Republic
Philippines	Federated States of Micronesia	Maldives
Thailand	Mongolia	Myanmar[c]
Turkmenistan	Pakistan	Nauru
	Palau	Nepal
	Papua New Guinea	Samoa
	Sri Lanka	Solomon Islands
	Timor-Leste	Tajikistan
	Uzbekistan	Tonga
	Viet Nam	Tuvalu
		Vanuatu

ADB = Asian Development Bank, ADF = Asian Development Fund, OCR = ordinary capital resources.
[a] Countries that are eligible to borrow from ADF and have access to OCR.
[b] Countries with access to ADF in ADF X (2009–2012), except those noted below.
[c] Currently with no access to ADF.
Source: ADB Strategy and Policy Department.

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Supplementary Appendix B: Standard Explanatory Data Definitions

Attached for information is a paper on the above subject.

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ABBREVIATIONS

ADB	–	Asian Development Bank
ADF	–	Asian Development Fund
AIDS	–	acquired immunodeficiency syndrome
CPS	–	country partnership strategy
DMC	–	developing member country
DMF	–	design and monitoring framework
DVA	–	direct value-added
FCAS	–	fragile and conflict-affected situations
GDP	–	gross domestic product
GPI	–	gender parity index
HIV	–	human immunodeficiency virus
IED	–	Independent Evaluation Department
MDG	–	Millennium Development Goal
MFF	–	multitranche financing facility
OCR	–	ordinary capital resources
PCR	–	project completion report or program completion report
PFR	–	periodic financing request
PVR	–	PCR validation report
QAE	–	quality at entry
RFI	–	results framework indicator
RRP	–	report and recommendation of the President
SED	–	standard explanatory data
SPI	–	social protection index
TA	–	technical assistance
UN	–	United Nations
XARR	–	extended annual review report

NOTE

In this report, "$" refers to US dollars.

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INTRODUCTION

This document provides definitions and data compilation methodologies for the Asian Development Bank (ADB) standard explanatory data (SED) listed in the strategy paper on the review of the results framework.[1]

The SED allow ADB to systematically assess broader performance data while avoiding undue proliferation of indicators. Although not formally part of the framework, the SED enable ADB to (i) provide consistent and reliable performance information to external stakeholders, (ii) assess performance more rigorously to identify bottlenecks and inform action planning, and (iii) collect baseline data for future indicators. The SED have no targets as their primary purpose is to supplement the results framework indicators. Where appropriate, a footnote is added to indicate that the SED are directly related to a results framework indicator.[2] The definition of these indicators can be found in the indicator definitions note.[3]

In the following list, operation is used as a collective term for the various types of ADB development assistance, guaranteed or not by the government of the recipient country, financed from ADB's ordinary capital resources (OCR) or Asian Development Fund (ADF) resources, excluding assistance funded by technical assistance (TA) grants. A sovereign operation is an operation financed in part or in whole by one or more loans or grants financed from OCR and ADF resources extended to or guaranteed by the government. A nonsovereign operation is any loan, guarantee, equity investment, or other financing arrangement that (i) is not guaranteed by a government; or (ii) is guaranteed by a government under terms that do not allow ADB, upon default of the guarantor, to accelerate, suspend, or cancel any other loan or guarantee between ADB and the related sovereign operation. TA grants are referred to as TA projects.

Where possible, data will be disaggregated as SED in the annual Development Effectiveness Review by country group (OCR-only, blend, ADF-only, and fragile and conflict-affected situations [FCAS]).[4]

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[1] ADB. 2012. *Review of the ADB Results Framework.* Manila. The strategy paper summarizes ADB's experiences with the framework, discusses the proposals for improving the framework, and provides their rationale.

[2] ADB's results framework was adopted in 2008 and refined in 2010. It is organized into four levels. Level 1 indicators track overall development progress in Asia and the Pacific through selected poverty reduction and development outcome indicators to which ADB aims to contribute. Level 2 indicators measure ADB's contribution to development results in terms of (i) quality at completion of country strategies and assistance programs, and (ii) key sector outputs and outcomes delivered. Level 3 includes indicators for ADB's operational management. Level 4 indicators track ADB's organizational management. ADB assesses its performance using these indicators, and reports its progress through the annual Development Effectiveness Review (http://www.adb.org/documents/series/development-effectiveness-review). The assessment of ADB generally covers (i) for Level 1, progress in all of ADB's developing member countries (DMCs); and (ii) for levels 2–4, ADB operations funded by OCR and ADF. The assessment of ADF generally covers (i) for level 1, progress in ADF countries (a subgroup of ADB DMCs that have access to ADF, including blend countries with access to both OCR and ADF); and (ii) for levels 2–4, ADF-funded operations. The classification of ADB DMCs used in this definition note is given in the Appendix. Progress assessments generally exclude operations financed from ADB's Countercyclical Support Facility, which was established in 2009 to help DMCs respond to the global economic crisis, because these operations were outside ADB's regular operations.

[3] ADB. 2012. *Review of the ADB Results Framework.* Supplementary Appendix A: Review of ADB Results Framework Indicator Definitions. Manila.

[4] OCR-only countries are countries with access only to OCR. ADF countries are those countries with access to the ADF. ADF countries can be disaggregated into (i) ADF-only countries, which have access only to the ADF; and (ii) blend countries, which have access to both the ADF and ADB's OCR. These definitions are based on country access to these resources. For information on FCAS countries, see ADB. 2011. *ADB Engagement in Fragile and Conflict-Affected Situations*. Manila.

LEVEL 1: DEVELOPMENT PROGRESS IN ASIA AND THE PACIFIC

Standard Explanatory Data	Definition
Poverty (income and non-income)	
1. **Proportion of own-account and contributing family workers in total employment** (%)[a]	The sum of the employment status groups of own-account workers and contributing family workers (vulnerable employment) as a proportion of total employment. Own-account workers are those workers who, working on their own account or with one or more partners, hold the type of jobs defined as a self-employment jobs (i.e., remuneration directly depends on the profits derived from the goods and services produced), and have not engaged on a continuous basis any employees to work for them during the reference period. Contributing family workers, also known as unpaid family workers, are those workers who are self-employed, as own-account workers in a market-oriented establishment operated by a related person living in the same household. Total employment comprises all persons above a specified age who during a specified brief period, either 1 week or 1 day, were in the following categories: (i) "paid employment:" (a) "at work:" persons who during the reference period performed some work for wage or salary, in cash or in kind; (b) "with a job but not at work:" persons who, having already worked in their present job, were temporarily not at work during the reference period and had a formal attachment to their job. (ii) "self-employment:" (a) "at work:" persons who during the reference period performed some work for profit or family gain, in cash or in kind; (b) "with an enterprise but not at work:" persons with an enterprise, which may be a business enterprise, a farm or a service undertaking, who were temporarily not at work during the reference period for any specific reason.

Standard Explanatory Data	Definition
	Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
2. **Ratio of girls to boys in primary education**[b]	Ratio of the number of female students (regardless of age) enrolled at primary levels in public and private schools to the number of male students. Also called the Gender Parity Index (GPI). A GPI of 1 indicates parity between the sexes; a GPI that varies between 0 and 1 indicates a disparity in favor of males; a GPI greater than 1 indicates a disparity in favor of females. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
3. **Primary education completion rate** (%)[c] • **Female** • **Male**	Total number of new entrants to the last grade of primary education (programs normally designed on a unit or project basis to give pupils a sound basic education in reading, writing, and mathematics, along with an elementary understanding of other subjects such as history, geography, natural science, social science, art, and music) regardless of age, expressed as a percentage of the total population of the theoretical entrance age to this grade. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/Metadata.aspx
4. **Women living with HIV** (number, million)	Estimated number of women (aged 15 and above) with HIV infection, whether or not they have developed symptoms of AIDS. Data are based on country progress reports submitted to UNAIDS by individual countries, subjected to a comprehensive data review and data reconciliation by UNAIDS, the Joint United Nations Programme on HIV/AIDS. For some countries where sufficient data from the last 6 years were not available, no estimates have been made. Aggregate value for the region or country grouping refers to sum of country data. Source: UNAIDS Report on the Global AIDS Epidemic. http://www.unaids.org/globalreport/Global_report.htm
5. **Social Protection Index** (%)	Total social protection expenditures divided by the number of intended beneficiaries as a percentage of one quarter of GDP per capita.

Standard Explanatory Data	Definition
	Social protection expenditures include central government expenditures on (i) social insurance (i.e., health insurance, pensions and other forms of social insurance (unemployment benefits, severance payments, provident funds); (ii) social assistance (i.e., social transfers, child protection, health assistance, assistance to the elderly, disability programs, disaster relief); and (iii) labor market programs (e.g., employment guarantee programs and skill development and training). Intended beneficiaries are those who are targeted for benefits such as those over 60 for old-age insurance, employed population for health insurance (if universal, total population is used), poor population (defined by national poverty line), disabled, children 0–14 years, those eligible for disaster relief, unemployed and underemployed for labor market programs. Underemployed is defined as those working fewer than 35 hours per week, unpaid family workers, and seasonal workers). Regional and subregional aggregates are simple arithmetic averages of country data. For detailed information on the SPI methodology see: http://www.adb.org/documents/revised-social-protection-index-methodology-and-handbook Source: Regional Social Protection Index Report.
Other Development Outcomes	
6. **Governance and public sector management assessment** (index)[d] • **Property rights and rule-based governance** • **Transparency, accountability, and corruption in the public sector** • **Quality of public administration** • **Quality of budgetary and financial management** • **Efficiency of revenue mobilization**	The average individual country assessments conducted by ADB for (i) property rights and rule-based governance; (ii) transparency, accountability, and corruption in the public sector; (iii) quality of public administration; (iv) quality of budgetary and financial management; and (v) efficiency of revenue mobilization. Aggregate score for the region or country groupings is the unweighted average of country scores. ADB assigns overall country scores between 1 (low) and 6 (high). Source: ADB Strategy and Policy Department.

Standard Explanatory Data	Definition
7. **Intraregional equity and bond holdings in Asia and the Pacific** (%)	Share of equity and debt securities that Asia invested intraregionally against total holdings of equity and debt securities. Country coverage: Afghanistan; Armenia; Azerbaijan; Bangladesh; Bhutan; Brunei Darussalam; Cambodia; the People's Republic of China; the Cook Islands; Fiji; Georgia; Hong Kong, China; India; Indonesia; Japan; Kazakhstan; Kiribati; the Republic of Korea; the Kyrgyz Republic; the Lao People's Democratic Republic; Malaysia; the Maldives; the Marshall Islands; the Federated States of Micronesia; Mongolia; Myanmar; Nauru; Nepal; Pakistan; Palau; Papua New Guinea; the Philippines; Samoa; Singapore; Solomon Islands; Sri Lanka; Taipei,China; Tajikistan; Thailand; Timor-Leste; Tonga; Turkmenistan; Tuvalu; Uzbekistan; Vanuatu; and Viet Nam. Source: International Monetary Fund, Coordinated Portfolio Investment Survey.
8. **International Logistics Performance** (index)	Weighted average of country scores on six key dimensions: (i) Efficiency of the clearance process (i.e., speed, simplicity, and predictability of formalities) by border control agencies, including customs; (ii) Quality of trade and transport related infrastructure (e.g., ports, railroads, roads, information technology); (iii) Ease of arranging competitively priced shipments; (iv) Competence and quality of logistics services (e.g., transport operators, customs brokers); (v) Ability to track and trace consignments; (vi) Timeliness of shipments in reaching destination within the scheduled or expected delivery time. Country scores range from 1 (worst) to 5 (best) and are derived from an online survey of logistics professionals at multinational freight forwarders and main express carriers, who rated the eight foreign countries their company serves most frequently. For a detailed methodology, see Connecting to Compete 2012, Trade Logistics in the Global Economy, The Logistics Performance Index and Its Indicators, The World Bank. http://siteresources

Standard Explanatory Data	Definition
	.worldbank.org/TRADE/Resources/23907013366549 66193/LPI_2012_final.pdf Aggregate value for the region or country grouping is unweighted average of country data. Source: World Bank. http://lpisurvey.worldbank.org/
9. **Decrease in the fragility in FCAS countries** (%)	Percentage change in average FCAS Country Performance Assessment Scores compared to the previous year. When determining the FCAS classification of countries based on country performance assessment ratings, the baseline period 2009−2011 will be used. Source: ADB Strategy and Policy Department.
10. **Terrestrial and marine areas protected** (% of total territorial area)	Total area of a country's terrestrial-protected areas and marine-protected areas in territorial waters, as a percentage of the total area of its land areas (including inland waters) and territorial waters. The units of measure in this indicator are terrestrial-protected areas as well as marine-protected areas in territorial waters (up to 12 nautical miles from the coast). The International Union for Conservation of Nature defines a protected area as "a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values." This indicator is calculated using all the nationally designated protected areas recorded in the World Database on Protected Areas whose location and extent is known. Regional and subregional aggregates are weighted averages of estimated country data, using total area of land (including inland waters) and territorial waters of countries as weights. Source: UN Statistics Division. MDG database. http://mdgs.un.org/unsd/mdg/default.aspx
11. **Carbon dioxide emissions** (thousand metric tons)[e]	Total amount of carbon dioxide (CO_2) emitted as a consequence of all relevant human (production and consumption) activities. Aggregate values for the region or country groupings are the sum totals of country observations.

Standard Explanatory Data	Definition
	Source: UN Statistics Division. MDG Indicators. http://mdgs.un.org/unsd/mdg/default.aspx
12. **Carbon dioxide intensity of GDP** (kilograms per $ GDP)[e]	Total CO_2 emitted as a consequence of all relevant human (production and consumption) activities, divided by the total value of GDP expressed in purchasing power parity. Aggregate values for the region or country groupings are weighted averages using GDP as weights. Source: UN Statistics Division. MDG Indicators. http://mdgs.un.org/unsd/mdg/default.aspx

Note: As the survey underlying the International Logistics Performance Index is not conducted annually, data will be reported as it becomes available.

[a] This SED is related to the results framework indicator (RFI) "Wage and salaried workers in total employment."
[b] This SED is related to the RFI "Ratio of girls to boys in secondary and tertiary education."
[c] This SED is related to the RFI "Gross lower secondary education graduation rate (%)."
[d] This SED is related to the RFI "Governance and public sector management assessment (index)."
[e] This SED is related to the RFI "Carbon dioxide emissions (metric tons per capita)."

LEVEL 2: ADB CONTRIBUTIONS TO DEVELOPMENT RESULTS

Standard Explanatory Data	Definition
Quality at Completion	
1. **Completed sovereign and nonsovereign operations rated *successful*** (%)[a] • **Completed on time** • **Completed on budget** • **Contributing to outcomes**	Number of projects that were rated *successful* and (i) completed on time, and (ii) completed on budget, as reported in project or program completion reports (PCRs) and extended annual review reports (XARRs) circulated in the last 3 years, as a percentage of the total number of projects with PCRs and XARRs circulated during the same period. Number of sector components of projects with PCRs and XARRs circulated in the last 3 years and rated *effective* in contributing to intended outcomes, as a percentage of the total number of sector components assessed during the same period. Effectiveness rating of PCRs and XARRs will be used as a proxy for assessing the project's contribution to outcomes. Sources: PCRs and XARRs.
2. **Completed sovereign operations satisfactorily delivering thematic results** (%)[b] • **Governance** • **Capacity development** • **Environmental sustainability** • **Regional cooperation and integration** • **Private sector development**	Number of sovereign operations with PCRs circulated in the last 3 years that reported target achieved and satisfactory results in (i) improving governance, (ii) enhancing capacity development, (iii) supporting environmental sustainability, (iv) promoting regional cooperation and integration, and (iv) expanding private sector development, as a percentage of the total number of sovereign operations with PCRs that targeted this specific outcome during the same period. Source: PCRs.
3. **Completed policy-based operations** (%)[c] • **Sector policies and regulatory and institutional frameworks improved** • **Public financial management improved** • **Service delivery improved or expanded** • **Private sector role improved or expanded** • **Transparency and public disclosure enhanced**	Number of policy-based operations with project or program completion reports (PCRs) circulated in the last 3 years that reported target achieved and satisfactory results in (i) improving sector policy and regulatory and institutional frameworks, (ii) improving public financial management, (iii) improving and expanding service delivery, (iv) improving and expanding private sector role, and (v) enhancing transparency and public disclosure, as a percentage of the total number of policy-based operations with PCRs that targeted this outcome during the same period. Operations financed by Countercyclical Support Facility are excluded.

Standard Explanatory Data	Definition
	Source: PCRs.
4. **Completed infrastructure operations satisfactorily delivering environmental sustainability results** (%)[c]	Number of infrastructure sovereign operations with PCRs in the last 3 years that reported target achieved and satisfactory results in (i) reducing CO_2 emissions, (ii) supporting clean energy, (iii) improving water supply and sanitation, (iv) improving environmental management, and/or (v) promoting environmental awareness as percentage of the total number of infrastructure sovereign operations with PCRs in the same period. Source: PCRs.
5. **Completed sovereign and nonsovereign operations** (%)[a] • **PCR quality ratings in PVRs**	Number of PCR validation reports (PVRs) circulated in the last 3 years with *satisfactory* rating of the quality of PCRs, as a percentage of the total number of PVRs circulated during the same period. PCR quality is based on an assessment of (i) quality and completeness of evidence and analysis to substantiate ratings; (ii) consistency with PCR guidelines (Project Administration Instruction 6.07) and relevant Independent Evaluation Department (IED) guidelines; (iii) internal consistency of the PCR; (iv) plausibility of the assumptions underlying the economic internal rate of return, financial internal rate of return, and financial analysis; (v) soundness of the methodology of surveys held; (vi) adequacy of the treatment of safeguard issues; (vii) identification of exogenous factors affecting results; (viii) clarity and conciseness of the report; (ix) quality of lessons and recommendations; (x) and adequacy of the evidence from the PCR and other data provided. Source: PVRs.
6. **Completed sovereign operations rated *likely* or *most likely sustainable* by IED** (%)	Number of sovereign operations rated likely or most likely sustainable in project performance evaluation reports (PPERs) and program performance evaluation reports circulated in the last 3 years, as a percentage of the total number circulated by IED during the same period.

Standard Explanatory Data	Definition
	Operations financed by the Countercyclical Support Facility are excluded. Source: PPERs.
7. **Success ratings by sector and type of technical assistance** (%)[d]	Number of TA projects rated *successful* or better according to sector and TA types by TA completion reports, as a percentage of the total number of TA completion reports produced in a particular year. Sectors include (i) core areas of ADB operations: infrastructure (energy; transport and communications; water, sanitation, and waste management; and other infrastructure); finance sector development; and education; and (ii) other areas of operations: agriculture, health, disaster and emergency, industry, and public sector management. TA types include advisory TA, policy advisory, and capacity development. Source: TA completion reports.
8. **Perceived ADB helpfulness in assisting countries to meet development goals** (%)	Number of respondents who believe that ADB is helpful in assisting countries to meet their development goals and objectives, as a percentage of the total number of respondents to ADB's Perceptions Survey. The indicator is based on responses of "very helpful" or "somewhat helpful" to questions in the triennial multinational survey of opinion leaders and stakeholders under the section on overall impression of ADB: helpfulness in meeting development goals and objectives. The figure is taken from responses to questions in the triennial multinational survey of opinion leaders and stakeholders under the section on overall impression of ADB: performance in helping development countries meet development goals. Source: ADB Perceptions Survey. http://www.adb.org/publications/series/perceptions-survey

Standard Explanatory Data	Definition
9. **Impact evaluations conducted** (number) • **Approaches** • **Key findings**	Number of impact evaluations undertaken in the last 3 years, distinguishing approaches, including experimental and nonexperimental, and their key findings. Experimental approaches typically evaluate impact through controlled trials, using ex-ante random assignment of the intervention to obtain comparable treatment and control groups. Impact estimates are calculated as the ex-post mean difference in outcomes between these two groups. Most ex-ante designed evaluations use experimental approaches. Nonexperimental approaches are based on econometric analysis to estimate impact and generally require more assumptions. As they mostly cannot control for unobservable characteristics on program assignment, impact estimates often suffer from an omitted variable bias, which means they must be accompanied with robustness checks. Other approaches of impact evaluations conducted will be reported on as well. For detailed information on impact evaluation types, see *A Review of Recent Developments in Impact Evaluation*. http://www.adb.org/sites/default/files/pub/2011/developments-impact-evaluation.pdf Sources: Economics and Research Department, Independent Evaluation Department, and regional departments.
Core Operational Results	
10. **Aggregate output and outcomes achieved through completed operations in the past 4 years** (number)[e]	Total number of outputs and outcomes achieved through completed operations for each of the core sector indicators, as reported in the PCRs circulated in the last 4 years. Source: PCRs.
11. **Aggregate output and outcomes programmed through new operations approved in the past 4 years** (number)[e]	Total number of outputs and outcomes programmed through approved operations for each of the core sector indicators, as reported in the reports and recommendation of the President (RRPs) during the last 4 years. Source: RRPs.

Standard Explanatory Data	Definition
Energy	
12. **Energy saved** (terawatt-hour equivalent per year)[f]	Annual energy savings is the sum of electricity and fuel savings, after converting fuel savings in terrajoules (TJ) to terawatt-hour equivalent per year. Fuel savings come from efficiency improvement due to the use of lesser fuel in terms of energy content (e.g., railway, district heating, and conversion of power plants from coal to combined-cycle gas turbine). Electricity savings result from efficiency improvements in supply (reduction of technical losses in generation and transmission) and demand (from industrial, commercial, and residential sectors). Energy saved is the energy savings resulting from a project or component of a project that involves efficiency improvement in energy use. Sources: PCRs and RRPs.
13. **New households connected to electricity** (number)[g] • **Rural** • **Urban**	Disaggregated number of new households provided with electricity connections, by rural and urban project classification. Only new household connections resulting from a project are counted. Households with electricity connection and receiving improved services through a project are not counted. The number of new household connections resulting from a project is counted in total and not proportional to the ADB funding component only. New connections may be reported as a straightforward number, i.e., the number of households that the project would connect to power. However, the indicator may also be measured in terms of population that would be served by the project. In this case, the population is divided by the average household size in the country or the locality. Thus, it is important that the RRP mention the average household size. Sources: PCRs and RRPs.

Standard Explanatory Data	Definition
Transport	
14. **Roads built or upgraded** (kilometers)[h] • **Expressways and national highways** • **Provincial, district, and rural roads**	Length of roads built or upgraded, expressed in kilometers, disaggregated into: (i) expressways and national highways (i.e., fully access-controlled roadways); and (ii) provincial, district, and rural road networks built or upgraded in kilometers (i.e., roads without full access control) Fully access-controlled implies (i) all cross traffic is fully grade separated (e.g., using overpasses); (ii) the use of a median crash barrier or wide median to physically separate both directions of travel; (iii) full segregation of motorized traffic from nonmotorized traffic, including pedestrians; (iv) prohibition of unsuitable vehicle classes and nonmotorized traffic from roadway use; and (v) use of roadside crash barriers or clear zones. Roads without full access control may include kilometers of nonpaved road (tracks), if investments in these have been made through the project. Upgrading includes all activity to restore a degraded road to its originally intended design capacity (repair or rehabilitation) and to improve on its design capacity (e.g., by widening). Upgrading of road signage only is excluded. This calculation is not affected by bidirectional travel or the number of lanes (i.e., corridor kilometers are utilized, not lane kilometers). Sources: PCRs and RRPs.
15. **Roads built or upgraded** (kilometers)[h] • **Rural** • **Urban**	Disaggregated length of road networks built or upgraded, by rural and urban project classification. The length of expressways and national highways (i.e., fully access-controlled roadways) and provincial, district, and rural road networks (i.e., roads without full access control) built or upgraded, is expressed in kilometers. Fully access-controlled implies (i) all cross traffic is fully grade separated (e.g., using overpasses); (ii) the use of a median crash barrier or wide median to physically separate both directions of travel; (iii) full segregation of motorized traffic from nonmotorized traffic, including pedestrians; (iv) prohibition of unsuitable vehicle classes and nonmotorized traffic

Standard Explanatory Data	Definition
	from roadway use; and (v) use of roadside crash barriers or clear zones. Roads without access control may include kilometers of nonpaved road (tracks), if investments in these have been made through the project. Upgrading includes all activity to restore a degraded road to its originally intended design capacity (repair or rehabilitation) and to improve on its design capacity (e.g., by widening). Upgrading of road signage only is excluded. This calculation is not affected by bidirectional travel or the number of lanes (i.e., corridor kilometers are utilized, not lane kilometers). Sources: PCRs and RRPs.
16. **Passengers on urban rail- and bus-based mass transit systems built or upgraded** (average daily number in the first full year of operation)[i]	Traffic benefiting from built or upgraded urban rail- and bus-based mass transit systems in the year after project completion. Passengers are defined to mean passenger trips. Each passenger trip is counted, regardless of whether it is the same passenger making multiple trips. Average daily number refers to an average work day (weekends and holidays are not to be used). Passenger trip numbers are collected from electronic fare system outputs or surveys. Sources: PCRs and RRPs.
Water	
17. **Households with new or improved water supply** (number)[j] • **Rural** • **Urban**	Disaggregated number of new households that benefit from new or improved water supply, by rural and urban project classification. All additional households that benefit from projects offering piped or non-piped water supply systems that are of a higher order than the system that the households used before (non-piped supply may include standpipes), and households that are already connected to a piped system but are provided with improved service, e.g., longer hours of service and/or increased pressure.

Standard Explanatory Data	Definition
	The situation at the end of the project is to be reflected. Sources: PCRs and RRPs.
18. **Households with reduced flood risk** (number)[k]	Number of rural and urban households protected from flood risks through (i) urban projects that include flood management components, (ii) irrigation and water resources development projects that include flood management components, and (iii) stand-alone flood management projects. Sources: PCRs and RRPs.
Education	
19. **Students receiving direct educational support** (number) • **Female** • **Male** • **Technical vocational education and training**	Students directly receiving one or more inputs. Students benefiting from direct support provided to their caregiver (parents or guardian) are included. Each student is counted once regardless of the number of inputs received. Students can be in private or public schools, colleges, vocational learning institutions, or universities covered under the project. Direct support can be cash (e.g., stipends, vouchers, and scholarships) or in kind (e.g., bicycles, uniforms, school feedings, laptops, hearing aids, wheelchairs, and textbooks). Cash can go to the school, the student, or the student's caregiver (parents or guardian). In addition to the total number of students, separate figures are reported for gender disaggregation and students receiving direct educational support for technical vocational education and training (TVET). TVET is comprised of formal, nonformal and informal learning related to the workplace. It includes the study of technologies and related sciences, and the acquisition of practical skills, attitudes, understanding and knowledge relating to occupations in various sectors of economic and social life. Through TVET, young people, women, and men learn knowledge and skills from basic to advanced levels across a wide range of institutional and work settings. Sources: PCRs and RRPs.

Standard Explanatory Data	Definition
20. **Students educated and trained under improved quality assurance systems** (number)[l] • **Technical vocational education and training**	Total number of students benefiting from improved quality assurance systems, as part of TVET, under the projects. Each student is counted only once, regardless of the number of years a student attends the education or training institution, or of the number of inputs associated with improved quality systems the education or training institution receives. All students benefiting from cofinanced projects are included. Students benefiting from minor infrastructure improvements are excluded. Students are counted cumulatively from the year the first input is completed to the subsequent years new inputs are added. Students are those enrolled in vocational training institutions. Quality assurance systems are country specific referring to developing member countries' own systems and include (i) standards for service delivery or learning outcomes, (ii) a means for verifying achievement of standards, and (iii) a mechanism for implementing standards directly in education or training institutions. Improved quality assurance systems include operations that: (i) invested in improved quality standards (e.g., minimum service delivery standards for education and training institutions, learning standards in the curriculum, competency-based teaching and learning systems, qualifications frameworks, and instructional staff qualifications) and a means for verifying progress toward achieving those standards (e.g., certification, compliance reviews, accreditation, institutional census surveys, learning assessments, and qualifying examinations); (ii) financed inputs that enable education or training institutions to meet particular quality standards (e.g., teacher training, reformed examination, facility improvement grants for inputs directed at meeting standards, and improved facilities); (iii) used a mechanism for verifying progress toward achievement of standards (e.g., institutional census, project surveys, learning assessments, and qualifying

Standard Explanatory Data	Definition
	examinations); and (iv) defined a finite number of project education or training institutions receiving such inputs. TVET is comprised of formal, nonformal and informal learning related to the workplace. It includes the study of technologies and related sciences, and the acquisition of practical skills, attitudes, understanding and knowledge relating to occupations in various sectors of economic and social life. Through TVET, young people, women, and men learn knowledge and skills from basic to advanced levels across a wide range of institutional and work settings. Sources: PCRs and RRPs.
21. **Teachers trained with quality or competency standards** (number)[m] • **Technical vocational education and training**	Number of teachers trained who are likely to improve teaching practices and support improvements in curriculum, textbooks, or pedagogy for TVET. This includes the following: (i) Teachers who are full time, part time, or government paid or contracted. Teachers, principals, instructors, lecturers, and professors covered by the project are included. (ii) Preservice: Candidate teachers enrolled in training programs that have been strengthened by the project and result in qualifications or certification. (iii) Upgrading: Teachers receiving in-service training that has been strengthened under the project and leads to certification or licensing. (iv) In Service: The number of teachers receiving in-service training in specific subject areas or specific pedagogies where the training program has defined competencies and means for assessing attainment of competencies. Each teacher is counted only once, regardless of how many times he/she participated in pre- and/or in-service programs. If a teacher training institution receives upgrading through civil works and/or equipment, enrolled trainees are not counted unless teacher quality standards are also strengthened under the project. The faculty of teacher training institutions is excluded from the count unless they directly teach in

Standard Explanatory Data	Definition
	classrooms. The number of teachers is counted cumulatively as follows: (i) Preservice: Number of teachers enrolled in the strengthened program. If the program is multiyear, add only the new intake for subsequent years; (ii) In-service leading to certification: Number of teachers receiving certificates or licenses under the strengthened program; and (iii) Short-course in-service: Teachers who participate in two or more short courses meeting quality standards are counted once. Teachers trained under cofinanced projects are included provided the training meets ADB's definition of quality standards. Teacher trainers, methodologists, administrators, supervisors, government officials, and principals without any direct teaching role or receiving training in administration only are excluded. If teacher trainers who are also working as teachers are trained, they are counted. Quality standards for teacher training are those defined in each project. These may include (i) definitions of teacher skills and/or competencies (skills and competencies can be subject specific and/or general good teaching practices), and (ii) a means of assessing whether trainees have achieved the competencies or met the standards. These can include portfolio assessment, observed teaching, examinations, and/or satisfactory completion of required courses or modules. Teachers participating in study tours, peer learning networks, and courses subsidized by the project but taken from unaccredited outside providers are not counted. TVET is comprised of formal, nonformal and informal learning related to the workplace. It includes the study of technologies and related sciences, and the acquisition of practical skills, attitudes, understanding and knowledge relating to occupations in various sectors of economic and social life. Through TVET, young people, women, and men learn knowledge and skills from basic to advanced levels across a wide range of institutional and work settings.

Standard Explanatory Data	Definition
	Sources: PCRs and RRPs.

[a] This SED is related to the results framework indicator (RFI) "Completed sovereign operations rated *successful* (%)" and "Completed nonsovereign operations rated *successful* (%)."
[b] This SED is related to the RFI "Completed sovereign operations rated *successful* (%)."
[c] This SED is related to the RFI "Completed sovereign operations rated *successful* (%) - policy-based operations."
[d] This SED is related to the RFI "Completed technical assistance projects rated *successful* (%)."
[e] This SED is related to all core operational results indicators.
[f] This SED is related to the RFI "Greenhouse gas emission reduction (tCO_2-equivalent per year)."
[g] This SED is related to the RFI "New households connected to electricity (number)."
[h] This SED is related to the RFI "Roads built or upgraded (kilometers)."
[i] This SED is related to the RFI "Urban rail- and bus-based mass transit systems built or upgraded (kilometers)."
[j] This SED is related to the RFI "Households with new or improved water supply (number)."
[k] This SED is related to the RFI "Land improved through irrigation, drainage, and/or flood management (hectares)."
[l] This SED is related to the RFI "Students educated and trained under improved quality assurance systems (number)."
[m] This SED is related to the RFI "Teachers trained with quality or competency standards (number)."

LEVEL 3: ADB OPERATIONAL MANAGEMENT

Standard Explanatory Data	Definition
Implementation Quality	
1. **Performance of sovereign operations at implementation rated *satisfactory* per sector** (%)[a]	Project performance ratings are presented according to the project classification system: (i) agriculture and natural resources, (ii) education, (iii) energy, (iv) finance, (v) health and social protection, (vi) industry and trade, (vii) multisector, (viii) public sector management, (ix) transport and information communication technology, and (x) water and other municipal infrastructure and services. Source: eOperations.
2. **Sovereign operations performance at implementation per rating criteria** (%)[a] • **Technical** • **Procurement** • **Disbursement** • **Financial management** • **Safeguards**	Satisfactory performance for the following five rating criteria underlying the average rating score of the results framework indicator (RFI) "performance of sovereign operations at implementation rated *satisfactory*": (i) technical, (ii) procurement, (iii) disbursement, (iv) financial management, and (v) safeguards. Satisfactory rating is measured by the sum of "on track" and "potential problem." Source: eOperations.
Quality at Entry	
3. **Quality at entry of country partnership strategies rated *satisfactory*** (%)[b] • **Country diagnostics** • **Identification of lessons** • **Country strategy** • **Country program** • **Results framework** • **Risk assessment and mitigation** • **Country partnership strategy preparation process**	Breakdown of the seven criteria that constitute quality at entry assessments of country partnership strategies (CPSs). Sources: CPS and report of working group on quality-at-entry (QAE) assessment.

Standard Explanatory Data	Definition
4. **Quality at entry of sovereign projects rated *satisfactory*** (%)[c] • **Development objectives, outcomes and impacts** • **Strategic relevance and approach** • **Technical and economic aspects** • **Poverty, social, and environmental aspects** • **Fiduciary aspects** • **Policy and institutional aspects** • **Implementation arrangements, monitoring, and evaluation** • **Risk assessment** • **Achievability and sustainability of development objectives**	Breakdown of the nine criteria that constitute quality at entry assessments of sovereign projects. Sources: RRPs and report of the working group on QAE assessment.
5. **Quality at entry of nonsovereign projects rated *satisfactory* (%)**[d] • **Development objectives** • **Enabling environment impact** • **Strategic alignment and project design** • **ADB additionality and complementarity** • **Market, financial, economic, and technical feasibility** • **Environmental and social responsibility** • **Implementation arrangements** • **ADB profitability and investment management** • **Risk assessment and management** • **Achievability of development objectives.**	Breakdown of the 10 criteria that constitute quality of entry of nonsovereign projects. Sources: RRPs and report of working group on QAE assessment.
6. **Quality at entry of country partnership strategies in integrating climate change concerns** (%)[b]	Percentage of CPSs rated *satisfactory* or better with respect to the integration of climate change concerns. Climate change integration will be assessed according to the following criteria: (i) analysis of climate risks, vulnerabilities, and mitigation opportunities for the country, specific regions within the

Standard Explanatory Data		Definition
		country, and key sectors, including future climate change risks; (ii) stakeholder consultations on climate change mitigation and adaptation, as appropriate; (iii) consistency between country's climate change strategy and ADB's approach to supporting climate change mitigation and adaptation; and (iv) identification of sectors and/or regions within the country that require climate proofing of ADB's investment program. Source: Regional and Sustainable Development Department.
7.	**Quality at entry of country partnership strategies in integrating gender equality concerns** (%)[b]	Percentage of CPSs over a 3-year period that (i) examine gender issues and include a clear gender strategy in the main text, (ii) analyze gender equality issues in sector road maps, and (iii) include gender indicators in the CPS and sector results frameworks. This indicator covers all CPSs, including the linked sector road maps and sector results frameworks. Source: CPS QAE assessment.
8.	**Quality at entry of country partnership strategies in integrating quality of knowledge plans** (%)[b]	Percentage of CPSs over a 3-year period that (i) have explicit plans to mainstream knowledge on the basis of guiding principles of a knowledge management framework for the DMC and in the context of the ADB operations cycle, and (ii) indicate specific knowledge products at different stages of the cycle. Source: CPS QAE assessment.
9.	**Sovereign project design and monitoring frameworks rated *satisfactory*** (%)[e]	Percentage of sovereign project design and monitoring frameworks (DMFs) rated *satisfactory* or better on seven dimensions.[f] Source: DMF quality review exercise statistics.
10.	**Nonsovereign project design and monitoring frameworks rated *satisfactory*** (%)[e]	Percentage of nonsovereign project level DMFs rated *satisfactory* or better on seven dimensions.[f] Equity investments and funds are excluded from this analysis. Source: DMF quality review exercise statistics.

Standard Explanatory Data	Definition
Development Finance	
11. **Disbursement ratio for policy-based loans** (age standardized, %)	For each age group of policy-based loans, the ratio of sovereign policy-based lending disbursement in a given year or period to the net amount available for disbursement at the beginning of the year or period plus amounts that have become effective during the year or period, less cancellations made during the year or period. The age-specific disbursement ratios are weighted according to the age structure of the standard portfolio derived from historical data to arrive at the age standardized disbursement ratio. Source: Controller's Department.
12. **Official direct value-added cofinancing** (% of ADB financing approved)[9] • **Loans** • **Investment grants**	Official cofinancing as a percentage of total OCR and ADF approvals in the last year. Flowing mainly from financing partnerships with multilateral and bilateral development assistance agencies, official cofinancing mobilizes (i) grants and loans for operations supported by ADB, and (ii) grants for ADB's TA operations. Such cofinancing is usually sourced from official development assistance. Consistent with ADB's strategic directions and resource allocations, official cofinancing focuses on strong partner and client coordination for (i) easy access and efficiencies in processing, (ii) low transaction costs, and (iii) harmonized and transparent mechanisms in reporting to financing partners on the development impact of their contributions. A breakdown of official direct value-added (DVA) cofinancing components will be reported as well. Source: Central Operations Services Office.
13. **Commercial direct value-added cofinancing** (% of ADB financing approved)[9] • **Parallel loans** • **B loans** • **Net DVA guarantees** • **Net DVA Trade Finance Program** • **Parallel equity** • **Risk transfer arrangements**	Commercial cofinancing as a percentage of total OCR and ADF approvals in the last year. Commercial cofinancing complements ADB's OCR lending mainly through the application of ADB's credit enhancement instruments. Such cofinancing is effected by both private and public sector institutions. It is usually sourced from financial markets and priced at commercial terms. Credit enhancements and risk-sharing arrangements are instrumental in

Standard Explanatory Data	Definition
	mobilizing financial flows, particularly for operations that, without ADB involvement, are perceived as risky by commercial partners. A breakdown of commercial DVA cofinancing components will be reported as well. Source: Private Sector Operations Department.
Strategy 2020 Development Agendas and Core Operations	
14. **Operations contributing to inclusive economic growth focusing on social protection**[h] • **Stand-alone social protection operations** (%) • **Focus on inclusive access to jobs and opportunities with integrated social protection components** (%) • **Focus on growth and creation of jobs and opportunities with integrated social protection components** (%)	Number of operations approved during the last 3 years that support inclusive economic growth by promoting social protection, as a percentage of total number of ADB operations approved during the same period, disaggregated by: (i) stand-alone social protection operations, (ii) inclusive access to jobs and opportunities combined with integrated social protection components, and (iii) growth and creation of jobs and opportunities combined with integrated social protection components. Social protection is a set policies and programs that reduce poverty and vulnerability by promoting efficient labor markets, reducing people's exposure to risks, and enhancing their capacity to protect themselves against hazards and interruption and/or loss of income. Social protection consists of three major components: (i) Social insurance programs cushion the risks associated with unemployment, health, disability, work injury, and old age. (ii) Social assistance assists the most vulnerable groups who have no other means of adequate support. (iii) Labor market policies and programs facilitate employment and promote efficient operation of the labor market. Operations that focus on inclusive access to jobs and opportunities are those that typically support improvements in basic services—such as education, health, water and sanitation,—especially for the disadvantaged; access to finance; urban development for the poor; rural infrastructure, and reforms that promote the participation of disadvantaged groups. Operations that focus on growth and creation of jobs and opportunities are those that typically support

Standard Explanatory Data	Definition
	robust infrastructure, a stable finance sector, effective public sector management, and sound regulatory regimes that allow the private sector to participate. The number of operations is based on RRPs and PFRs circulated during the same period. Sources: RRPs, PFRs, and eOperations.
15. **Financing for environmental sustainability** (%)[i]	Volume ($ amount) of operations with the thematic classification of environment sustainability in the last 3 years as a percentage of total volume ($ amount) of operations approved during the same period. Environmental sustainability may or may not be the primary theme. The thematic classification of projects is based on the RRPs or PFRs in the case of multitranche financing facilities (MFFs). Sources: RRPs, PFRs, and eOperations.
16. **Financing for climate change mitigation and/or adaptation** (%)[j]	Volume ($ amount) of operations that support climate change mitigation and/or adaptation in the last 3 years as a percentage of total volume ($ amount) of operations approved during the same period. Identification of the projects that support climate change mitigation and adaptation is based on the RRP or PFRs in the case of MFFs. Note: There is an ongoing multilateral development bank harmonization process to establish common climate change finance definitions. Joint multilateral development bank approaches for mitigation and adaptation finance reporting were finalized in December 2012. Based on the joint approach, activities should reflect at least one of the following categories to be classified as adaptation: (i) addressing current drivers of vulnerability; (ii) building resilience to current and future climate risks; (iii) incorporating climate risks into investments, and (iv) incorporating management of climate risk into plans, institutions and policies

Standard Explanatory Data	Definition
	Adaptation activities falling into these categories must in addition fulfill three design process criteria: (i) context of climate vulnerability, (ii) statement of purpose or intent to address or improve climate resilience, and (iii) link between project activities and the context of climate vulnerability. These criteria are necessary to differentiate between adaptation and development. Based on the joint approach, activities can be classified as contributing to climate change mitigation if it promotes "efforts to reduce or limit greenhouse gas emissions or enhance greenhouse gas sequestration".[k] Consistent guidelines for project classification will be developed. Sources: RRPs, PFRs, and eOperations.
17. **Operations supporting climate change** (%)[j] • **Mitigation** • **Adaptation** • **Mitigation and adaptation**	Number of operations that support climate change mitigation, adaptation, or both mitigation and adaptation in the last 3 years as a percentage of total number of climate change operations approved during the same period. Identification of the projects that support climate change mitigation and/or adaptation is based on the RRP or PFRs in the case of MFFs. Note: There is an ongoing multilateral development bank harmonization process to establish common climate change finance definitions. Joint multilateral development bank approaches for mitigation and adaptation finance reporting were finalized in December 2012. Based on the joint approach, activities should reflect at least one of the following categories to be classified as adaptation: (i) addressing current drivers of vulnerability; (ii) building resilience to current and future climate risks; (iii) incorporating climate risks into investments, and (iv) incorporating management of climate risk into plans, institutions and policies Adaptation activities falling into these categories must in addition fulfill three design process criteria: (i) context of climate vulnerability, (ii) statement of purpose or intent to address or improve climate

Standard Explanatory Data	Definition
	resilience, and (iii) link between project activities and the context of climate vulnerability. These criteria are necessary to differentiate between adaptation and development. Based on the joint approach, activities can be classified as contributing to climate change mitigation if it promotes "efforts to reduce or limit greenhouse gas emissions or enhance greenhouse gas sequestration".[k] Consistent guidelines for project classification will be developed. Sources: RRPs, PFRs, and eOperations.
18. **Operations supporting disaster risk reduction and management** (%)	Number of operations that support disaster risk reduction and management in the last 3 years as a percentage of the total number of operations approved during the same period. Sources: RRPs, PFRs, and eOperations.
19. **Financing for regional cooperation and integration** (%)[l]	Volume ($ amount) of operations with the thematic classification of regional cooperation and integration in the last 3 years as a percentage of total volume ($ amount) of operations approved during the same period. Regional cooperation and integration may or may not be the primary theme. The thematic classification of projects is based on the RRPs and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
20. **Operations supporting Strategy 2020 core operational areas** (%)[m]	Number of sovereign and nonsovereign operations (including guarantees, equity investments, and B-loans) approved in a year supporting Strategy 2020 core operational areas, as a percentage of total number of ADB operations approved during the year. Strategy 2020 core operational areas: infrastructure (transport, energy, water, and other infrastructure); environment; regional cooperation and integration; finance sector development; and education. Operations not classified as infrastructure, education, or finance sectors are included if they have environment or regional cooperation and integration as theme, irrespective of whether or not this is the

Standard Explanatory Data	Definition
	primary thematic classification. Sources: RRPs, PFRs, and eOperations.
21. **Operations supporting other operational areas** (%)	Number of sovereign and nonsovereign operations (including guarantees, equity investments, and B-loans) approved in a year supporting other operational areas, as a percentage of total number of ADB operations approved during the year. Other operational areas: agriculture, health, industry, and public sector management. Sources: RRPs, PFRs, and eOperations.
22. **Financing for other operational areas** (%)	Volume ($ amount) of sovereign and nonsovereign operations (including guarantees, equity investments, and B-loans) approved in a year supporting other operational areas as a percentage of total volume ($ amount) of ADB operations approved during the year. Other operational areas: agriculture, health, industry, and public sector management. Sources: RRPs, PFRs, and eOperations.
23. **Financing for food security** (%)	Volume ($ amount) of sovereign and nonsovereign operations (including guarantees, equity investments, and B-loans) approved in the last 3 years supporting food security as a percentage of total volume ($ amount) of operations approved during the same period. Food security investments can have three aspects: (i) productivity, (ii) connectivity, and (iii) resilience to natural and economic shocks. A detailed guideline to classify food security investments will be developed by early 2013 by the Agriculture, Rural Development and Food Security Community of Practice as part of the Food Security Operational Plan for 2013–2020. Sources: RRPs, PFRs, and eOperations.

Standard Explanatory Data	Definition
Strategy 2020 Drivers of Change	
24. **Financing for private sector development and private sector operations** (%)[n]	Volume ($ amount) of operations with the thematic classification of private sector development in the last 3 years as a percentage of total volume ($ amount) of operations approved during the same period. Private sector development may or may not be the primary theme. Private sector operations are generally classified as private sector development. The thematic classification of projects is based on the RRPs and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
25. **Total number of nonsovereign operations approvals in Asian Development Fund countries** (%)	Number of nonsovereign operations (including guarantees, equity investments, and B-loans) in ADF countries approved in the last 3 years, as a percentage of the total number of nonsovereign operations approved during the same period. The number of nonsovereign operations is based on the number of RRPs or PFRs in the case of MFFs circulated during the period. Sources: RRPs, PFRs, and eOperations.
26. **Financing for governance and/or capacity development** (%)[o]	Volume ($ amount) of operations with the thematic classification of either governance or capacity development in the last 3 years, as a percentage of total volume of operations approved during the same period. Governance or capacity development may or may not be the primary theme. The thematic classification of projects is based on the RRPs and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
27. **Operations supporting** (%)[o] • **Governance** • **Capacity development** • **Governance and capacity development**	Number of operations with the thematic classification of governance, capacity development or governance and capacity development in the last 3 years as a percentage of the total number of operations approved during the same period. Governance or capacity development may or may not be the primary theme.

Standard Explanatory Data	Definition
	The thematic classification of projects is based on the RRP and/or PFRs in the case of MFFs. Sources: RRPs, PFRs, and eOperations.
28. **Financing for gender mainstreaming** (%)[p]	Volume ($ amount) of sovereign operations that support gender mainstreaming in the last 3 years as a percentage of total volume ($ amount) of sovereign operations approved during the same period. All sovereign operations use a 4-tier system to measure the extent to which projects integrate gender issues in their design: (i) thematic classification of gender, (ii) effective gender mainstreaming (i.e., projects with specific design features that promote and facilitate women's access to and benefits from the project), (iii) some gender elements, and (iv) no gender elements. This gender mainstreaming indicator reports on the combined total of the first two categories. For the gender project classification system, see *Guidelines for Gender Mainstreaming Categories of ADB Projects*. http://www.adb.org/documents/guidelines-gender-mainstreaming-categories-adb-projects The thematic classification of projects is based on the RRPs, and/or PFRs in the case of MFFs. Sources: RRPs, and PFRs.
29. **ADB perceived externally as excellent source of knowledge on development issues** (% strongly agreeing)[q]	Number of respondents who believe that ADB is an excellent source of knowledge on development issues, as a percentage of the total number of respondents to ADB's Perceptions Survey. The indicator is based on responses of "strongly agreeing" to questions in the triennial multinational survey of opinion leaders and stakeholders under the section on ADB priorities and effectiveness. Source: ADB Perceptions Survey. http://www.adb.org/publications/series/perceptions-survey
30. **Pilot tests of innovations in ADB operations** (number)	Number of stand-alone projects or specific components of a larger project that formally tests and assesses the relevant outputs, outcomes, or impacts of a change in or a new technology or innovation, policy or procedure, or program design or business model for the creation and/or delivery of goods

Standard Explanatory Data	Definition
	and/or services in the public or private sector. Sources: RRPs and TA projects.
31. **Level of engagement on social media** (number) • **Subscribers and followers** • **Active engagement** • **Internet traffic to ADB website**	Level of ADB-related engagement on social media in the reporting year, measured by: (i) number of subscribers and followers of ADB on social media, including Twitter followers, Facebook "likes," and YouTube channel and Scribd subscribers. (ii) active engagement in terms of number of retweets, favorites on Twitter, "people talking about this"/"likes"/"shares"/ comments on Facebook, Youtube and Scribd; and (iii) internet traffic numbers to ADB.org via social media. Source: ADB website statistics, Twitter, Facebook, Youtube, Scribd analytics.
32. **External operational partnerships for knowledge solutions** (number)	Number of formal partnerships between ADB and one or more centers of excellence in a specific economic, sector, or thematic domain and is focused on cooperation and collaboration for knowledge creation, sharing and dissemination, application (including pilot-testing and innovation) and use, or development of professional skills. Source: Office of the Secretary.
33. **Civil society organization participation in sovereign operations** (% of approved operations)[r] • **Design stage** • **Implementation stage** • **Design and implementation stage**	Disaggregated data on approved sovereign operations in a year with elements of activity/participation by civil society organizations (CSOs) as reflected in the RRPs, as a percentage of the total number of sovereign operations approved during the year. Source: RRPs.
34. **Country partnership strategies with civil society organizations action plan approved** (number)	Number of CPSs completed with a civil society organizations action plan in a given year. The different approaches and depth of participation are defined in the *ADB Guide to Participation*, 2012. http://www.adb.org/sites/default/files/strengthening-participation-development-results.pdf Source: NGO and Civil Society Center.

Standard Explanatory Data	Definition
35. **Cofinancing of ADB operations and technical assistance projects with civil society organizations** (%)	Number of operations and TAs approved where civil society organizations are cofinanciers in a given year. The different approaches and depth of participation are defined in the *ADB Guide to Participation*, 2012. http://www.adb.org/sites/default/files/strengthening-participation-development-results.pdf Source: NGO and Civil Society Center.

Note: Cofinancing may also be provided by private foundations, private sector companies, and nongovernment organizations. Whether these types of contribution are classified as official or commercial cofinancing is generally determined on a case-by-case basis through interdepartmental consultation.

[a] This SED is related to the RFI "Performance of sovereign operations at implementation rated *satisfactory* (%)."
[b] This SED is related to the RFI "Quality at entry of country partnership strategies rated *satisfactory* (%)."
[c] This SED is related to the RFI "Quality at entry of sovereign operations rated *satisfactory (%)*."
[d] This SED is related to the RFI "Quality at entry of nonsovereign operations rated *satisfactory (%)*."
[e] This SED is related to the RFI "Project design and monitoring frameworks rated *satisfactory (%)*."
[f] These dimensions include impact, outcome, outputs, activities, indicators, data sources, and assumptions and risks.
[g] This SED is related to the RFI "Direct value-added cofinancing (% of ADB financing approved)."
[h] This SED is related to the RFIs "Operations contributing to inclusive economic growth focusing on growth and creation of jobs and opportunities (%), inclusive access to jobs and opportunities (%), and social protection (%)."
[i] This SED is related to the RFI "Operations supporting environmental sustainability (%)."
[j] This SED is related to the RFI "Operations supporting climate change mitigation and/or adaptation (%)."
[k] OECD DAC, Definition of the Rio Marker on climate change mitigation. http://bit.ly/RioMit
[l] This SED is related to the RFI "Operations supporting regional cooperation and integration (%)."
[m] This SED is related to the RFI "Financing for Strategy 2020 core operational areas (%)."
[n] This SED is related to the RFI "Operations supporting private sector development and private sector operations (%)."
[o] This SED is related to the RFI "Operations supporting governance and/or capacity development (%)."
[p] This SED is related to the RFI "Operations supporting gender mainstreaming (%)."
[q] This SED is related to the RFI "Perceived ADB performance in promoting knowledge sharing and best practices (%)."
[r] This SED is related to the RFI "Civil society organization participation in sovereign operations (% of approved operations)."

LEVEL 4: ADB ORGANIZATIONAL MANAGEMENT

Standard Explanatory Data	Definition
Human Resources	
1. **Representation of women international staff at senior level** (%)[a]	Senior-level women international staff at levels 7–10 as a percentage of the total number of senior-level international staff at the same levels in a budget year. Source: Institutional Gender Report.
2. **Staff engagement survey results** (index)[b]	Analysis by category of the overall staff engagement index, which is derived from combining average favorable response rates to each of the 24 ADB attributes identified in the staff engagement survey.[c] Source: Staff Engagement Survey.
Process Efficiency and Client Orientation	
3. **Sovereign operations administered by resident missions** (%)[d]	Projects for which administration is led by staff (including outposted staff) in resident missions; the Pacific Liaison and Coordination Office in Sydney, Australia; the Special Office in Timor-Leste; and the Pacific Subregional Office in Suva, Fiji, as a percentage of all projects administered with substantial resident mission involvement. Source: Human Resource Management Information System.
4. **Sovereign operations administered by headquarters staff with resident mission staff participation in review mission(s) in the year** (%)[d]	Projects for which administration is led by headquarters staff and for which resident mission staff participated in review mission(s) in the year, as a percentage of all projects administered with substantial resident mission involvement. Source: Human Resource Management Information System.
5. **Budgeted international and national staff in resident missions** (% of staff in regional departments)	Filled and vacant authorized international and national staff positions in resident missions as a percentage of the total number of such positions in regional departments in ADB in a budget year. The indicator includes regional department staff posted to resident missions. Source: Human Resource Management Information System.

Standard Explanatory Data	Definition
6. **Processing time for sovereign projects** (from start of loan fact-finding to Board approval, months)[e]	Average time, in months, from start of loan fact-finding to Board approval of sovereign projects during the year. Source: eOperations.
7. **Processing time for policy-based operations** (from start of loan fact-finding to Board approval, months)[e]	Average time, in months, from start of loan fact-finding to Board approval of policy-based loans during the year. Source: eOperations.
8. **Approval to effectiveness for sovereign operations** (months)	Average time, in months, from Board approval of sovereign operations to effectiveness of loan agreement during the year. Approval refers to the Board approval date of the RRP. The effectiveness date is the day on which the loan, grant, or guarantee agreement comes into force. The agreement becomes effective after its signing by all parties, upon the borrower's compliance with the effectiveness conditions. Source: eOperations.

[a] This SED is related to the results framework indicator (RFI) "Representation of women international staff at senior level (%)."
[b] This SED is related to the RFI "Staff engagement survey results (index)."
[c] The staff engagement survey is conducted by an independent organization every 2 years to assess the level of ADB staff motivation.
[d] This SED is related to the RFI "Sovereign operations administered with substantial resident mission involvement (%)."
[e] This SED is related to the RFI "Sovereign operations processing time (from start of loan fact-finding to Board approval, months)."

THE ASIAN DEVELOPMENT BANK'S DEVELOPING MEMBER COUNTRIES

Table A1: ADB's Developing Member Countries (as of December 2012)

Afghanistan[a]	India	Federated States of Micronesia[a]	Solomon Islands[a]
Armenia[a]	Indonesia	Mongolia[a]	Sri Lanka[a]
Azerbaijan	Kazakhstan	Myanmar	Tajikistan[a]
Bangladesh[a]	Kiribati[a]	Nauru[a]	Thailand
Bhutan[a]	Kyrgyz Republic[a]	Nepal[a]	Timor-Leste[a]
Cambodia[a]	Lao People's Democratic Republic[a]	Pakistan[a]	Tonga[a]
People's Republic of China	Malaysia	Palau[a]	Turkmenistan
Cook Islands	Maldives[a]	Papua New Guinea[a]	Tuvalu[a]
Fiji	Marshall Islands[a]	Philippines	Uzbekistan[a]
Georgia[a]		Samoa[a]	Vanuatu[a]
			Viet Nam[a]

ADB = Asian Development Bank.
Note: The Republic of Korea; Hong Kong, China; Taipei,China; and Singapore are graduate developing members and are not included in this table.
[a] Developing member countries with access to the Asian Development Fund in ADF X (2009–2012).
Source: ADB Strategy and Policy Department.

Table A2: Classification of ADB's Developing Member Countries (as of December 2012)

Group C (OCR-Only)	Group B (Blend Countries)[a,b]	Group A (ADF-Only)[b]
Cook Islands	Armenia	Afghanistan
People's Republic of China	Azerbaijan[c]	Bhutan
Fiji	Bangladesh	Cambodia
Indonesia	Georgia	Kiribati
Kazakhstan	India[c]	Kyrgyz Republic
Malaysia	Marshall Islands	Lao People's Democratic Republic
Philippines	Federated States of Micronesia	Maldives
Thailand	Mongolia	Myanmar[c]
Turkmenistan	Pakistan	Nauru
	Palau	Nepal
	Papua New Guinea	Samoa
	Sri Lanka	Solomon Islands
	Timor-Leste	Tajikistan
	Uzbekistan	Tonga
	Viet Nam	Tuvalu
		Vanuatu

ADB = Asian Development Bank, ADF = Asian Development Fund, OCR = ordinary capital resources.
[a] Countries that are eligible to borrow from ADF and have access to OCR.
[b] Countries with access to ADF in ADF X (2009–2012), except those noted below.
[c] Currently with no access to ADF.
Source: ADB Strategy and Policy Department.

Core Sector Indicators

Energy

- Greenhouse gas emission reduction (tCO2-equiv/year)
- New households connected to electricity (number)
- Installed energy generation capacity (megawatts)
  - Renewable
- Transmission lines installed or upgraded (kilometers)
- Distribution lines installed or upgraded (kilometers)

Transport

- Use of roads built or upgraded (average daily vehicle-kilometers in the first full year of operation)
- Use of railways built or upgraded (average daily ton-kilometers in the first full year of operation)
- Roads built or upgraded (kilometers)
- Railways constructed or upgraded (kilometers)
- Urban rail- and bus-based mass transit systems built or upgraded (kilometers)

Water

- Households with new or improved water supply (number)
- Households with new or improved sanitation (number)
- Wastewater treatment capacity added or improved (cubic meters per day)
- Water supply pipes installed or upgraded (length of network in kilometers)
- Land improved through irrigation, drainage, and/or flood management (hectares)

Finance

- Trade finance supported ($ million per year)
- Microfinance loan accounts opened or end borrowers reached (number)
  - Female
  - Male
- Small and medium-sized enterprise loan accounts opened or end borrowers reached (number)

Education

- Students benefiting from new or improved educational facilities (number)
  - Female
  - Male
- Students educated and trained under improved quality assurance systems (number)
  - Female
  - Male
- Teachers trained with quality or competency standards (number)
  - Female
  - Male

Regional Cooperation and Integration

- Cross-border transmission of electricity (gigawatt-hours per year)
- Cross-border cargo volume facilitated (tons per year)

Study on Results Frameworks – Volume II

for EuropeAid

IDB

- Bank's Results Framework 2012-2015

September 21st, 2013

II

Annex

Bank's Results Framework 2012-2015

TABLE 1

Lending Program Estimates to be Reached by End of 2015 for SG and NSG Operations

Lending program indicators	Percent of total lending	Column1
	Baseline	Estimated
	2006 - 2009	2015
1.1 Lending to small and vulnerable countries	27%	30%
1.2 Lending for poverty reduction and equity enhancement	40%	50%
1.3 Lending to support climate change initiatives, renewable energy and environmental sustainability	5%	25%
1.4 Lending to support regional cooperation and integration	10%	15%
Note: Since projects can qualify for more than one lending category the estimated percentages proposed do not add to 100%		

TABLE 2

Regional Development Goals

Goal	Baseline	Year
1 - Social policy for equity and productivity		
2.1.1 Extreme poverty rate	11.9	2007
2.1.2 Gini coefficient of per capita household income inequality	0.55	1999–2004
2.1.3 Share of youth ages 15 to 19 who complete ninth grade	0.47	2000–2007
2.1.4 Maternal mortality ratio	130	2005
2.1.5 Infant Mortality ratio	21	2007
2.1.6 Share of formal employment in total employment	46.3	2007
2 - Infrastructure for competitiveness and social welfare		
2.2.1 Incidence of waterborne diseases (per 100,000 inhabitants)	19	2002
2.2.2 Paved road coverage (Km/Km2)	0.038	2006
2.2.3 Percent of households with electricity	93	2007
2.2.4 Proportion of urban population living in dwellings with hard floor	30	2008
3 - Institutions for growth and social welfare		
2.3.1 Percent of firms using Banks to finance investments	19.6	2006
2.3.2 Ratio of actual to potential tax revenues	78	2007
2.3.3 Percent of children under five whose birth was registered	90.6	2008
2.3.4 Public expenditure managed at the decentralized level as % total public expenditure	20	2007
2.3.5 Homicides per 100,000 inhabitants	27.5	2008
4 - Competitive regional and global international integration		
2.4.1 Trade openness (trade as percent of GDP)	84.9	2004–2007
2.4.2 Intraregional trade in LAC as percent of total merchandise trade	24.2 exports	2004-2007
	33.1 imports	
2.4.3 Foreign direct investment net inflows as percent of GDP	4.2	2004–2007
5 - Protecting the environment, responding to climate change, promoting renewable energy, and enhancing food security		
2.5.1 Stabilization of CO2 equivalent emissions (metric tons per habitant)	2.4	2004
2.5.2 Countries with planning capacity in mitigation and adaptation of climate change	3	2009
2.5.3 Annual reported economic damages from natural disasters	$7.7 b	2007
2.5.4 Proportion of terrestrial and marine areas protected to total territorial area (%)	21	2009
2.5.5 Annual growth rate of agricultural GDP (%)	3.5	2007

TABLE 3

Lending Program Estimates to be Reached by End of 2015 for SG and NSG Operations

Expected results	Baseline[1]	Estimated outputs
	2005-2008	
1 - Social policy for equity and productivity		
3.1.1 Students benefited by education projects (girls, boys)	3,200,000	8,500,000
(a) girls (b) boys		
3.1.2 Teachers trained	175,000	530,000
3.1.3 Individuals (all, Indigenous, Afro-descendant) receiving a basic package of health services	2,000,000	23,000,000
(a) Indigenous; (b) Afro-descendants		
3.1.4 Individuals (all, Indigenous, Afro-descendant) receiving targeted anti-poverty program	n/a	16,000,000
(a) Indigenous; (b) Afro-descendants		
3.1.5 Individuals (all, men, women, youth) benefited from programs to promote higher labor market productivity	n/a	600,000
(a) men; (b) women		
2 - Infrastructure for competitiveness and social welfare		
3.2.1 Households with new or upgraded water supply	1,500,000	2,770,000
3.2.1.1 Percentage of households with new or upgraded water supply that are:		
(a) Indigenous; (b) Afro-descendants		
3.2.2 Households with new or upgraded sanitary connections	680,000	3,600,000
3.2.2.1 Percentage of households with new or upgraded sanitary connections that are:		
(a) Indigenous; (b) Afro-descendants		
3.2.3 Km of inter-urban roads built or maintained/upgraded	22,000	53,000
3.2.4 Km of electricity transmission and distribution lines installed or upgraded	2,000	1,000
3.2.5 # of Households with new or upgraded dwellings	n/a	25,000
3.2.5.1 Percentage of households that are: (a) Indigenous; (b) Afro-descendants		
3 - Institutions for growth and social welfare		
3.3.1 Micro/Small/Medium productive Enterprises financed	220,000	120,000

3.3.2 Public Financial systems implemented or upgraded (budget, treasury, accounting, debt, and revenues)	24	28
3.3.3 Persons incorporated into a civil or identification registry	n/a	3,000,000
3.3.3.1 Percentage who are: (a) women; (b) men; (c) Indigenous; (d) Afro-descendants		
3.3.4 Municipal and other sub-national governments supported	n/a	1000
3.3.5 Cities benefited with citizen security projects	n/a	32
4 - Competitive regional and global international integration		
3.4.1 # of public trade officials and private entrepreneurs trained in trade and investment	n/a	65,000
3.4.1.1 percentage that are women		
3.4.2 Regional and sub-regional integration agreements and cooperation initiatives supported	n/a	10
3.4.3 # of cross border and transnational projects supported (infrastructure, and customs, etc)	26	22
5 - Protecting the environment, responding to climate change, promoting renewable energy, and enhancing food security		
3.5.1 Percentage of power generation capacity from low-carbon sources over total generation capacity funded by IDB	91	93
3.5.2 Number of people given access to improved public low-carbon transportation systems	n/a	8,500,000
3.5.2.1 Percentage of people that are (a) Indigenous; (b) Afro-descendants		
3.5.3 National frameworks for climate change mitigation supported	n/a	5
3.5.4 Climate change pilot projects in agriculture, energy, health, water and sanitation, transport, and housing	n/a	10
3.5.5 Number of projects with components contributing to improved management of terrestrial and marine protected areas	15	30
3.5.6 Farmers given access to improved agricultural services and investments	n/a	5,000,000
3.5.6.1 Percentage that are (a) women; (b) men; (c) Indigenous; (d) Afro-descendants		

[1] Baseline numbers are collected from the information systems for the four-year period, where available. The Bank is committed to collecting baselines for indicators that will be disaggregated by gender and ethnicity.

TABLE 4

Operational Effectiveness and Efficiency

	Baseline	
	2006 - 2009 (*)	Estimated 2015
1- Effectiveness – country strategies		
4.1.1 Percent of country strategies with satisfactory scores in evaluability dimensions	27%	85%
Percent of country strategies that have satisfactory results that can be validated at completion for:		
4.1.2 - Sector outcomes	-	65%
4.1.3 - Financial outcomes	-	75%
4.1.4 - Progress on building and using country systems	-	55%
2- Effectiveness – loans		
For sovereign guaranteed (SG) operations (approvals)		
4.2.1 Percent of new operations with satisfactory scores on evaluability dimensions	26%	85%
4.2.2 Percent of projects with high environmental and social risks rated satisfactory in implementation of mitigation measures	-	85%
Project portfolio performance satisfactory from monitoring reports (execution) - SG		
4.2.3 Percent of projects that have satisfactory results	-	70%
4.2.4 Percent of projects with satisfactory rating on development results at completion	-	65%
For nonsovereign guaranteed (NSG) operations (approvals)		
4.2.5 Percent of new operations with satisfactory scores on evaluability dimensions	-	85%
4.2.6 Percent of projects with high environmental and social risks rated satisfactory in implementation of mitigation measures	-	85%
Project portfolio performance satisfactory from monitoring reports (execution) - NSG		
4.2.7 Percent of projects that have satisfactory results	-	80%
4.2.8 Percent of projects with satisfactory ratings on development outcomes at completion	60%	85%
3- Effectiveness – Knowledge and Capacity Building Products (KCPs)		
4.3.1 Percent of completed KCPs with results that can be validated	-	100%

4.3.2 Percent of completed KCPs with satisfactory results	-	65%
4- Effectiveness - Partner satisfaction		
4.4.1 Percent of external partners satisfied with Bank delivery of services for country strategies	-	70%
4.4.2 Percent of external partners satisfied with Bank delivery of services for loan operations	-	70%
4.4.3 Percent of external partners satisfied with Bank delivery of services for KCPs	-	70%
5- Efficiency	2006 - 2009	Estimated 2015
4.5.1 Cofinancing (percent of Regular Lending Program)	29%	30%
4.5.2 Trust Funds (percent of Regular Lending Program)	2%	3%
4.5.3 Total administrative expenses per US$1 million approved	$41,900	$34,000
4.5.4 Total administrative expenses per US$1 million disbursed	$50,150	$45,000
4.5.5 Percent of administrative expenses in operational programs	61%	68%
4.5.6 Cycle time: country strategy (Inauguration to delivery of Strategy to Government)	20 months	6 months
4.5.7 Cycle time: SG loan preparation time (Profile to approval)	9.5 months	8 months
4.5.8 Cycle time: SG loan disbursement period (eligibility to first disbursement)	19 days	19 days
Human Resources	2006 - 2009	Estimated 2015
4.5.9 Percentage of professional and executive staff who are women, grade 4 or above	28%	35%
4.5.10 Percentage of Professional staff based in COF	26%	40%
(*) Average of 2006 - 2009 period where information is available for all years.		

Study on Results Frameworks – Volume II

for EuropeAid

WB

- World Bank Corporate Scorecard, April 2013 (28 pages)
- Core Sectors Indicators and Definitions, Results Platform (105 pages)

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WORLD BANK CORPORATE SCORECARD APRIL 2013

Integrated Results and Performance Framework

THE WORLD BANK

What is the World Bank Corporate Scorecard?

The World Bank's mandate is to support countries in reducing poverty and boosting shared prosperity, while at the same time promoting sustainable development. The Bank's approach is country-driven: to achieve results, the Bank supports a country's programs, providing a combination of development finance, policy dialogue, and knowledge services tailored to each country's needs. The Bank manages itself and its activities to effectively and efficiently support countries to achieve results.

The Corporate Scorecard provides information on the Bank's overall performance and the results achieved by its clients, against the backdrop of progress on global development objectives. The Corporate Scorecard facilitates strategic dialogue between Management and the Board on progress made and areas that need attention.

The Corporate Scorecard uses an integrated results and performance framework, which is organized in a four-tier structure that groups indicators along the results chain (see "Summary of the Corporate Scorecard" on the next page). Two of the tiers track elements of development results **(Tiers I and II)**, and the other two capture elements of performance **(Tiers III and IV)**. As the Summary shows, the Corporate Scorecard monitors, at an aggregate level, whether the Bank is functioning efficiently and adapting itself successfully (Tier IV), and whether it is managing its operations and services effectively (Tier III) to support countries in achieving results (Tier II) in the context of global development progress and priorities (Tier I). It presents a high-level view and is not intended to provide country or activity-level information.

Tier I indicators show the long-term development outcomes that countries are achieving, and provide the context and direction for the Bank's work. These high-level outcomes cannot be attributed directly to the Bank, because countries and their development partners all contribute to these achievements over the long term through a combination of multi-sector interventions, actions, and policy decisions. These indicators are also affected by external factors such as global crises. **Tier II** highlights development results that countries have achieved with Bank support. **Tier III** indicators provide information on the effectiveness of the Bank's operations and services. **Tier IV** focuses on organizational effectiveness and modernization, and assesses how well the Bank is functioning and adapting to better support countries in achieving results.

The World Bank has comprehensive systems – which it continuously improves – for measuring and monitoring both development results and its own performance. These systems are complemented by independent evaluation. In 2002, through the Results Measurement System which was adopted for the 13th replenishment of the International Development Association (IDA), the World Bank became the first multilateral development institution to use a framework with quantitative indicators to monitor results and performance. The Corporate Scorecard, first released in September 2011, expanded this approach to the World Bank covering results and performance supported through financing from the International Bank for Reconstruction and Development (IBRD), IDA, and Trust Funds (TF).

The Corporate Scorecard is updated twice a year, and is discussed by the Board and Senior Management. Most indicators in Tier III and Tier IV are updated on a quarterly basis and reported to the Board regularly. Externally, fiscal year 2012 marked the first time the World Bank Annual Report showcased the Corporate Scorecard. In April 2012, the Bank launched its interactive, web-based electronic version of the Corporate Scorecard, giving online access to the Bank's shareholders and stakeholders. Internally, the Bank's use of the Corporate Scorecard has expanded rapidly: key performance indicators linked to the Corporate Scorecard were included in the Memoranda of Understanding between Senior Management and Vice Presidents; quarterly Scorecard Days led by Senior Management to discuss key priorities were organized; and in December 2012 the Board and Senior Management held a discussion on the Bank's results and performance based on the Corporate Scorecard.

The Corporate Scorecard is a "living document". In the year and a half since its launch, it has evolved and improved as the Bank's ability to report on results has expanded, and it will continue to do so. The current indicators are aligned with the availability of data. Going forward, the Corporate Scorecard will be reviewed and adjusted to ensure alignment with the new World Bank Group strategy.

In addition to this April 2013 update of the Corporate Scorecard, a web-based version is available, providing users with easy access to development indicators, results data, and the main dimensions of the Bank's performance (http://corporatescorecard.worldbank.org).

Summary of the Corporate Scorecard

RESULTS

TIER I
Development Context

What is the development progress in Bank client countries as a group

- Growth, Jobs and Poverty
- Institutions and Governance
- Human Development and Gender
- Sustainable Development
- Finance, Private Sector Development, and Trade

TIER II
Country Results Supported by the Bank

How is the Bank supporting countries in achieving results?

- Institutions and Governance
- Human Development and Gender
- Sustainable Development
- Finance, Private Sector Development, and Trade

PERFORMANCE

TIER III
Development Outcomes and Operational Effectiveness

Is the Bank managing the performance of its activities effectively to achieve results?

Development Outcomes	Y
Lending Operations	Y
Knowledge Activities	G
Use of Country Systems	G

TIER IV
Organizational Effectiveness and Modernization

Is the Bank managing skills, capacity, resources, and processes efficiently, and is business modernization on track?

Resources and Alignment	G
Capacity and Skills	Y
Business Modernization	Y
Sector Actions Related to Post-Crisis Directions	G

Legend for the Summary:

- G Majority of the indicators in the group show improvement or are on-track.
- Y No clear trend; while some indicators show improvement, others show decline or no change.
- R Majority of the indicators in the group show declines or are off-track.

*For **Tiers I and II,** color-coded traffic lights are not assigned since these tiers reflect country development results.*

How are the indicators linked and tracked?

How are the indicators linked to the Post-Crisis Directions, Modernization Agenda, IDA 16 Results Measurement System, and Millennium Development Goals?

Given the cross-cutting nature of development priorities and challenges, Corporate Scorecard indicators can be related to one or more key areas of the Bank's work. Each indicator is marked to show these linkages:

- Numbers from 1 to 5 indicate linkages to the **Post-Crisis Directions (PCD)**:

Target the poor and vulnerable:	**1**
Create opportunities for growth:	**2**
Promote global collective action:	**3**
Strengthen governance:	**4**
Manage risk and prepare for crisis:	**5**

- **M** indicates a link to **Modernization**.
- Indicators related to each of the eight **Millennium Development Goals (MDG)** are highlighted in Tier I.
- Indicators that are drawn from the **IDA16 Results Measurement System (RMS)** are marked with a (+) sign in all tiers.

How does the Corporate Scorecard track status?

For all four tiers, the Corporate Scorecard establishes a baseline value and year against which progress can be measured. The Summary table indicates the overall status using a color-coded traffic light system. For Tiers I and II, color-coded traffic lights are not assigned since Tier I provides overall development context and Tier II presents country results achieved with Bank support. For Tiers III and IV, which assess Bank performance, the color coded traffic lights indicate Management's rating of the current status based on changes from previous reporting periods or comparison against an established performance benchmark.

G **On-Track.** A meaningful increase from baseline, or for indicators with performance standards, achievement meets or exceeds performance standard.

Y **Watch.** No meaningful increase or decrease, or for indicators with performance standards, achievement is close to performance standard but does not meet performance standard.

R **Off-Track.** A meaningful decrease from baseline, or for indicators with performance standards, achievement is not close to performance standard.

NA **Not Applicable.** There is insufficient data to establish a trend, or there is no performance standard.

The rationale for the status rating for each Tier III and Tier IV indicator can be found in the definitions.

Where do the Corporate Scorecard data come from?

The World Bank engages in a variety of development activities. The results of some of these activities are not easily measured in the aggregate, while others, such as country engagements, are qualitative and do not lend themselves to quantitative measurement. The World Bank and others are working to develop better metrics for these activities. Corporate Scorecard indicators were largely selected from a broader set for which reliable data already exist, albeit with different frequencies. These indicators have standard definitions, and most data are available from existing reporting systems. The sources of data for the Corporate Scorecard indicators include the following, by tier:

Tier I. The MDGs and other global data are collected and reported through statistical databases and other reports by the World Bank (such as the World Development Indicators), the United Nations, and other reliable public sources. Because these indicators change gradually, it takes time (3–5 years) to observe aggregate movement.

Tier II. Country results supported by Bank operations are collected through a rigorous bottom-up process from the Bank's operational data systems and documents. Each Bank operation has a results framework with indicators. During the lifetime of an operation, progress in these indicators is tracked through Implementation Status and Results Reports (ISR), which are updated every 6–12 months and captured in the Bank's data systems for real-time reporting. While not all results indicators can be aggregated across operations, a subset now has standard definitions that allow corporate aggregation. Beginning in 2009, **standardized core sector indicators** were used in four sectors in IDA operations. These indicators were expanded to operations financed by IBRD and large Recipient Executed Trust Funds (RETF). By the end of fiscal year 2012, 24 sectors/themes had rolled out core sector indicators. Data also come from the Implementation Completion and Results Reports (ICR), which are prepared by staff and clients when an operation is completed. These reports are also reviewed by the Independent Evaluation Group (IEG).

Tier III and Tier IV. Most of the data come directly from the Bank's information systems. Data on the ratings of development outcomes of completed Country Assistance/Partnership Strategies (CAS/CPS) and Bank operations (Tier III-A) come from independent evaluations by IEG. Bank portfolio performance indicators are captured in Bank systems, along with disbursements (Tier III-B) lending volume, resources, trust funds, staffing, and diversity indicators (Tier IV). Indicators of quality (Tier III-B) are based on a corporate assessment that is currently carried out every two years. Retrospective desk reviews, undertaken annually, provide the data on a number of operational effectiveness indicators, such as results frameworks and gender mainstreaming. Three Paris Survey indicators are used for Use of Country Systems (Tier III-B): procurement, financial management, and collaborative analytical and advisory activities. Others are monitored by the Bank. The modernization program (Tier IV) is monitored by Management through a broader set of indicators, some of which are included in the Corporate Scorecard.

Baseline and Current Values. Where available, both baseline and current values are provided. For some new indicators, those whose methodology was refined, or those for which more data became available, the baselines were re-established.

Data Aggregation. The Corporate Scorecard follows the IDA16 RMS methodology to report on many Tier II indicators, using a three-year estimate based on 11 years of data aggregated by the year of approval of the Bank-financed operations. Simple aggregation is used for the indicators where limited historical annual data is available. The Bank will continue to review data aggregation methodologies for selected indicators and introduce improvements over time.

TIER I: DEVELOPMENT CONTEXT

What is the development progress in Bank client countries as a group?

Tier I indicators of the Corporate Scorecard show the long-term development outcomes that countries are achieving and provide the context and direction for the Bank's work. These high-level outcomes, such as those monitored as part of the MDGs, cannot be attributed directly to the Bank, because they reflect multi-sector interventions, actions, and policy decisions of countries and their development partners.

Growth and Poverty. Countries have continued to make progress on development priorities. Average annual GDP per capita in developing countries reached $2,081 (constant 2000 US$) in 2011. The percentage of the developing world's population living on less than $1.25 a day declined from 43 percent in 1990 to 20.9 percent in 2010, and the absolute number declined from 1.9 billion to 1.2 billion people during the same period. If there is no set-back, the first target of the MDGs—cutting the extreme poverty rate to half of its 1990 level—would have been already achieved on the global level before the 2015 target year, despite the food, fuel, and financial crises.

Progress on the MDGs. Over the past decade, sizeable global progress has been made on the MDGs, even though the global financial crisis that hit in 2008, and again in 2011, disrupted those trends. The proportion of people without access to improved drinking water sources declined by more than half, falling from 28 percent in 1990 to 13.6 percent in 2010, reaching the global target. However, progress has been uneven, and large disparities remain across and within countries. The danger of slippage against the MDG target is real unless countries improve their maintenance of existing assets to sustain services. Gender parity in primary and secondary education reached 96.9 percent in 2011, even though 60 million primary school-age children are still out of school.

Progress has been slower in reducing child and maternal mortality, reducing malnutrition and improving access to sanitation facilities. The under-five mortality rate has been reduced from 67 per 1,000 live births in 2006 to 57 in 2011, but this is an insufficient pace to attain the goal to reduce the under-5 mortality rate by two thirds by 2015. Between 2005 and 2010, the maternal mortality ratio dropped from 290 maternal deaths per 100,000 live births to 230. The prevalence of children under age five who are underweight declined from 20.4 percent in 2005 to 16.6 percent in 2011. Progress on improving sanitation is lagging and the MDG target is unlikely to be met, with only 56.4 percent of people accessing improved sanitation facilities in 2010.

Progress in Institutions and Governance. Effective institutions and good governance are essential for efficient, adequate, and sustainable provision of public services, while checks and balances help ensure that governments are held accountable to the public. The three databases used in the Corporate Scorecard to assess progress in this area show little change over the past two years, but may conceal changes that have materialized at the country level.

As part of its diagnostics on institutions and governance, the Bank also monitors progress in building statistical capacity as a step for greater transparency and evidence-based decision making. Availability of reliable data is a condition for more open societies and more effective governments. Statistics provide the evidence needed to improve decision making, document results, and heighten public accountability. The indicator on Level of Statistical Capacity—assessing countries' capacity in areas such as institutional frameworks for statistics, statistical methodologies and data sources, periodicity and timeliness —improved marginally from 67 in 2005 to 68 in 2012.

Progress in Other Areas. Improved communications and transport infrastructure have improved connectivity. The number of mobile subscriptions in developing countries increased from 33 per 100 inhabitants in 2006 to 80 in 2011. In developing countries, the average days it takes to start a business fell from 50 days in 2007 to 34 days in 2012. Evidence from several studies shows that reforms making it easier to start a formal business are associated with increases in the number of newly registered firms and sustained gains in economic performance, including improvements in employment and productivity.

Despite better connectivity and simpler regulations, inadequate trade logistics continue to be a significant barrier for greater trade in the developing world. The overall perception of a country's logistics, as measured by the Logistics Performance Index, improved from 2.4 to 2.6 between 2007 and 2012, but the quality and availability of trade-related infrastructure such as roads for which between 2005 and 2009 only 50.6 percent were paved in developing countries, remains one of the barriers to sustained improvements.

On employment, the employment to population ratio declined slightly from 62.1 percent in 2005 to 61.2 percent in 2010. Youth unemployment remains a chronic issue in several regions.

On natural resource management, deforestation rates have declined, but there has been no increase in protected areas, and oceans are under increasing pressure.

TIER I: DEVELOPMENT CONTEXT

INDICATORS		BASELINE		CURRENT		LINKAGES		MDG TARGETS 1990–2015
		Value	Year	Value	Year	PCD	MDG	
GROWTH, JOBS AND POVERTY								
Population below US$ 1.25 (PPP) a day+#	(%)	31.1	2002	20.9	2010	1	MDG1	Halve from the baseline of 42.3%, 1990
GDP per capita+	(constant 2000 US$)	1,656	2006	2,081	2011	1 2		
Domestic credit to private sector	(% of GDP)	55.1	2005	75.3	2011	1 2		
Employment to population ratio (15+)	(%)	62.1	2005	61.2	2010	1 2	MDG1	
Ratio of female to male labor force participation+	(%)	68.4	2006	67.5	2010	1 2	MDG3	
INSTITUTIONS AND GOVERNANCE								
State institutions with adequately established/ differentiated power structure	(scale: 1–10)	6.2	2006	6.3	2012	4		
Effective and accountable government	(scale: 0–7)	2.79	2006/07	2.9	2012	4		
Public access to information	(scale: 0–100)	50.01	2006/07	56.94	2010/11	4		
Level of statistical capacity	(scale: 0–100)	67	2005	68	2012	4		
HUMAN DEVELOPMENT AND GENDER								
Under 5 mortality rate+	(per 1,000 live births)	67	2006	57	2011	1 5	MDG4	Reduce by 2/3 from the baseline of 100, 1990
Prevalence of HIV, female	(% ages 15–24)	0.80	2009	0.80	2009	1 5	MDG6	Halt by 2015 and begun to reverse
Maternal mortality ratio+	(per 100,000 live births)	290	2005	230	2010	1 5	MDG5	Reduce by 3/4 from the baseline of 440, 1990
Prevalence of underweight children+	(% children under 5yrs)	20.4	2005	16.6	2011	1 5	MDG1	
Primary school completion rate+	(% of relevant age group)	85.1	2005	89.2	2011	1 2	MDG2	100% (baseline 69%, 1991)
Secondary school enrollment rate	(%, gross)	60.7	2005	66.5	2011	1 2		
Gender parity index in primary and secondary education+	(%)	94.4	2005	96.9	2011	1 2	MDG3	100% (baseline 84% 1991)
SUSTAINABLE DEVELOPMENT								
Infrastructure								
Paved roads	(% of total roads)	31.6	1999-03	50.6	2005-09	1 2		
Access to an improved water source+	(% of population)	83.4	2005	86.4	2010	1 2	MDG7	Halve proportion of people w/o access (baseline 28% 1990)
Access to an improved sanitation facility+	(% of population)	53.2	2005	56.4	2010	1 2	MDG7	Halve proportion of people w/o access (baseline 57% 1990)
Household electrification rate+	(% of households)	[56.3]	2004	[61.0]	2008	1 2		
Mobile cellular telephone subscriptions+	(per 100 people)	33	2006	80	2011	1 2	MDG8	
Agriculture Productivity and Food Security								
Cereal yield	(kg per hectare)	2,894	2006	3,110	2010	1 2 5		
Agriculture value added per worker	(constant 2000 US$)	685	2006	761	2010	1 2 5		
Climate Change and Environment								
CO_2 emissions+	(kg per 2005 US$ of GDP)	0.65	2005	0.61	2009	3	MDG7	
Protected terrestrial areas	(% of total land area)	12.0	2006	12.1	2010	1 3	MDG7	
Average annual deforestation	(%)	0.3	1990-00	0.2	2000-10	1 3	MDG7	
FINANCE, PRIVATE SECTOR DEVELOPMENT AND TRADE								
Male-female gap in the population with an account at a formal financial institution	(% of population 15+)	9.7	2011	9.7	2011	1 2		
Trade logistics performance index: Overall+	(scale: 1=low, 5=high)	2.4	2007	2.6	2012	1 2 3	MDG8	
Trade diversification						1 2 3	MDG8	
• Product export diversification	(index: 0–1)	0.24	2005	0.21	2011			
• Market diversification	(index: 0–1)	0.23	2005	0.20	2011			
Time required for business start-up+	(days)	50	2007	34	2012	2		

LEGEND

LINKAGES	**PCD 1-5**	Linkages to Post Crisis Directions: 1. Target the Poor and Vulnerable; 2. Create Opportunities for Growth; 3. Promote Global Collective Action; 4. Strengthen Governance; 5. Manage Risk and Prepare for Crisis.
	MDG	Linkage to the Millennium Development Goals.
DATA	**[ ]**	IDA only
	+	Indicators used in proposed IDA16 Results Measurement System.
	#	2010 data became available after the discussion of the Corporate Scorecard at the Committee of the Whole.

For Tier I, color-coded traffic lights are not assigned because Tier I provides the overall development context in IBRD/IDA eligible countries.

TIER II: COUNTRY RESULTS SUPPORTED BY THE BANK

How is the Bank supporting countries in achieving results?

The Bank provides financial resources, shares knowledge and analysis, supports institutions and country capacity, and facilitates partnerships and knowledge exchanges among developing countries to help them address development challenges. It supports countries' national development priorities, which evolve as country circumstances change.

Almost all the indicators in Tier II show increases in country development results achieved with Bank support. Some increases are also due in part to strengthened data monitoring in Bank-supported operations.

Support to Institutions and Governance

The Bank supports the establishment of effective institutions, recognizing that they are essential to achieving sustainable development outcomes. The new outcome indicators replacing the previous output indicators measure the number of countries that have shown to have strengthened the performance of their public sector management systems with the Bank's support. According to these measures, during fiscal years 2010 to 2012, with Bank support, 28 countries strengthened civil service and public administration systems, 27 countries strengthened tax policy and administration systems, 57 countries strengthened public financial management systems, and 11 countries strengthened procurement systems. In addition, in fiscal years 2008 to 2012 the Bank helped 13 countries strengthen national statistical systems. In fiscal year 2012, it provided support to 85 countries in the areas of asset, liability and risk management, including services and transactions to preserve or enhance the value of national financial assets and strengthen the capacity of official sector asset managers to manage such assets; strengthen sovereign and sub-sovereign government's debt management capacity; and mitigate financial and other exogenous risks such as interest rate and currency risks, natural disasters, and food price volatility. The Bank also supported 72 countries in their efforts to improve transparency and access to information in fiscal years 2006 to 2012.

Support to Human Development and Gender

Education. With the success achieved globally in terms of providing access to education for both boys and girls, in 2011, the Bank stepped up its focus on the development of quality education systems that result in improved learning for all, as described in the Education Strategy 2020. It also paid increasing attention to the poorest countries, to help them reach universal primary completion and gender parity in primary and secondary education by 2015. To achieve these objectives, data analysis done in 2012 shows a three-year estimate of 1.1 million teachers recruited and/or trained. The Bank has also supported learning assessment efforts in 40 countries during fiscal years 2008 to 2012 to improve the effectiveness of national education systems. Efforts are underway to develop an indicator measuring the number of students who have benefitted from such assessments. In addition, in 2012, the Bank financed 21 projects (including those in other sectors but with education components) supporting disadvantaged children, including girls and children with disabilities, and introduced the Systems Approach for Better Education Results (SABER), a new suite of analytic tools used in a growing number of developing countries.

Health. The Bank remains committed to helping countries improve the health and nutrition of their people, especially women and children, by strengthening health systems, expanding access and quality, and controlling disease. Recent analysis of three-year estimates shows that about 19.5 million people were provided with basic packages of health services, 128 million children were immunized, and about 50 million pregnant women were offered antenatal care.

TIER II: COUNTRY RESULTS SUPPORTED BY THE BANK

INDICATORS		TYPE	BASELINE		CURRENT		PCD LINKAGE
			Value	Year	Value	Year	
SUPPORT TO INSTITUTIONS AND GOVERNANCE							
Countries with strengthened national statistical systems	(number)	Outcome	6	FY07	13	FY12	2 4
Countries with Bank supported programs on asset, liability and risk management	(number)	Output	64	FY10	85	FY12	2 4 5
Countries with Bank supported programs on transparency and access to information	(number)	Output	61	FY11	72	FY12	2 4
Countries with strengthened Public Management Systems in:							
• Civil service and public administration	(number)	Outcome	28	FY12	28	FY12	2 4
• Tax policy and administration	(number)	Outcome	27	FY12	27	FY12	2 4
• Public financial management	(number)	Outcome	57	FY12	57	FY12	2 4
• Procurement	(number)	Outcome	11	FY12	11	FY12	2 4
SUPPORT TO HUMAN DEVELOPMENT AND GENDER							
Teachers recruited and/or trained+	(millions)	Outcome	0.95	FY11	1.1	FY12	1 2
Countries with Bank-supported learning assessments	(number)	Output	26	FY10	40	FY12	1 2
People with access to a basic package of health services+	(millions)	Outcome	18.2	FY11	19.5	FY12	1 5
Children immunized+	(millions)	Outcome	78	FY11	128	FY12	1 5
Beneficiaries covered by social safety net programs	(millions)	Outcome	114.6	FY09	114.1	FY11	1 5
Gender							
Pregnant women receiving antenatal care+	(millions)	Outcome	17	FY11	50	FY12	1 5
Women and girls benefiting from social protection programs and other targeted schemes	(millions)	Outcome	78	FY12	78	FY12	1 2
SUPPORT TO SUSTAINABLE DEVELOPMENT							
Infrastructure							
Roads constructed or rehabilitated+	(kilometers)	Output	56,504	FY11	57,252	FY12	1 2
People provided with access to improved water sources+	(millions)	Outcome	39.6	FY12	39.6	FY12	1 2 5
People provided with access to improved sanitation+	(millions)	Outcome	3.1	FY12	3.1	FY12	1 2 5
Transmission and distribution lines constructed or rehabilitated	(kilometers)	Output	10,740	FY11	36,354	FY12	2
Generation capacity of conventional and renewable energy	(megawatts)	Output	3,719	FY11	5,040	FY12	2
People provided with access to electricity	(millions)	Outcome	Data to be reported in 2013				1 2
Agriculture Productivity and Food Security							
Area provided with irrigation services	(hectares, millions)	Output	0.7	FY11	1.1	FY12	1 2 5
Farmers adopting improved agricultural technology	(number)	Outcome	531,868	FY12	531,868	FY12	1 2 5
Nutrition services for vulnerable groups	(millions)	Outcome	14.3	FY12	14.3	FY12	1 2 5
Climate Change and Environment							
Emission reduction with support of special climate finance instruments	(annual, million tons CO_2 equivalent)	Outcome	315	FY12	315	FY12	3 5
Countries supported on natural disaster management	(number)	Output	76	FY10	74	FY12	1 2 3 5
SUPPORT TO FINANCE, PRIVATE SECTOR DEVELOPMENT AND TRADE							
Active number of microfinance loan accounts	(millions)	Outcome	31	FY12	31	FY12	1 2 5
Countries that have applied trade-related diagnostic tools	(number)	Outcome	15	FY12	15	FY12	1 2 3

LEGEND

LINKAGES	**PCD 1-5**	Linkages to Post Crisis Directions: 1. Target the Poor and Vulnerable; 2. Create Opportunities for Growth; 3. Promote Global Collective Action; 4. Strengthen Governance; 5. Manage Risk and Prepare for Crisis.
TYPE		Output indicators will be replaced by outcome indicators as country-level data become available.
DATA	**YEAR**	Represents the fiscal or calendar year when most recent data were available.
	+	Indicators used in proposed IDA16 Results Measurement System.

For Tier II, color-coded traffic lights are not assigned for individual indicators because they represent country results achieved with Bank support and are demand-driven. The Bank first started data aggregation using Core Sector Indicators in IDA projects in FY10, and in FY11 it also included IBRD; therefore, the baseline and current values of some indicators are revised and have the same values.

Social Protection. Social protection and labor policies and programs are designed to improve resilience for the vulnerable through insuring against the impact of drops in well-being from a range of shocks, equity for the poor through protecting against destitution and poverty, and opportunity for all through promoting human capital in children and adults and "connecting" men and women to more productive employment. Based on the review of the most recent project exit data, the three-year estimates of coverage of social safety nets beneficiaries have remained stable at about 114 million beneficiaries.

Gender. Over the past decade, the data show that Bank support is enabling countries to reach women and girls. Three-year estimates show that as noted earlier 50 million women received antenatal care, and 78 million women and girls benefitted from social protection programs and other targeted schemes.

The Bank's approach to gender has evolved from a primary focus on human development to a more comprehensive framework encompassing women's economic opportunities, and women's voice and agency. The Bank's operations and analytic work focus on a wide range of gender-related topics, including: enhancing economic opportunity; jobs; social status; gender-based violence; agriculture and rural development, infrastructure and extractive industries; entrepreneurship; and inclusion, voice, and leadership. There has been accelerated progress on gender equality, but it has been uneven; changing the norms associated with gender is a long-term proposition. On women's economic empowerment, efforts are underway to review the data availability for an indicator on the percentage of women participating in Bank-supported labor market programs.

Support to Sustainable Development

Infrastructure. The Bank's support to infrastructure focuses on helping countries get on a more sustainable development path by refocusing Bank engagement on access to basic infrastructure services and delivering transformational investments that optimize spatial, low-carbon, inclusive growth, and co-benefits. Such projects can be regional, or can connect countries with power grids, broadband, transportation corridors, and large-scale renewable energy. A second focus is on mobilizing additional private capital through expanded public–private partnership arrangements and greater use of guarantee instruments.

In the **Transport** sector, the Bank emphasizes integrated transport solutions and safe, clean, and affordable transport to support expanded trade and enhanced human development. Based on the 2012 review of the Bank's ongoing and recently closed projects, three-year estimates show that Bank-supported projects constructed or rehabilitated 57,252 kilometers of roads. In the **Energy** sector, based on the 2012 review of projects aided by the Bank, three-year estimates show that Bank-supported projects constructed or rehabilitated 36,354 kilometers of transmission and distribution lines, and 5,040 megawatts of generating capacity to improve access to reliable energy. In the **Water** sector, the Bank supported countries' efforts to improve governance and management of the water supply and sanitation infrastructure. Based on the 2012 data review, three-year estimates show that Bank-supported projects have provided an estimated 39.6 million people with improved access to water and 3.1 million people with improved access to sanitation.

Agriculture and Food Security. With 75 percent of the world's poor living in rural areas and most involved in farming, supporting agriculture remains a fundamental instrument for achieving economic growth, poverty reduction, economic transformation, and food security, especially in Africa. In response to the 2008 food crisis, the Bank increased its support to agriculture, focusing on raising agricultural productivity, reducing risk and vulnerability, improving non-farm rural incomes, and strengthening the governance of natural resources use. According to the 2012 data analysis of key elements of agricultural productivity and food security (improvements in irrigated land, adoption of agricultural technologies, and nutrition), three-year estimates show that the Bank has supported provision of irrigation services in over 1.1 million hectare of arable lands, helped 531,868 farmers adopt improved agricultural technologies, and reached 14.3 million pregnant/lactating women, adolescent girls and/or children under age five with basic nutrition services. Also, operations funded under the Global Food Crisis Response Program (GFRP) since 2008 have reached an estimated 66 million people in 49 countries through food-for-work programs, school feeding programs, nutritional interventions, cash transfer programs, and the provision of agricultural inputs.

Climate Change and the Environment. The Bank seeks to help the global community and countries increase

resilience to the impacts of climate change; develop clean energy solutions; adopt climate-smart plans in land use, agriculture, and infrastructure; and protect vulnerable groups from environment-related health risks such as air and water pollution. The climate change agenda has been integrated as a priority across the World Bank, and the Bank is supporting adaptation and/or mitigation programs in 130 countries. The Bank is working with clients to mobilize and leverage resources to advance climate-smart development with the Climate Investment Funds (CIF) and other financing instruments. Forty-nine countries are tapping CIF resources of $7.6 billion to plan and implement innovative country led strategies to accelerate low carbon, climate resilient development. CIF-funded investments are aligned with national strategies on climate change and national development objectives. The Bank also supports market-based mechanisms for mitigation in 63 countries. Data reported in 2012 on emission reduction with support of special climate financing instruments shows about 315 metric-tones reduction in CO_2 equivalent over a three-year period.

Through the Global Facility for Disaster Reduction and Recovery (GFDRR), a trust fund established in 2006, and other mechanisms, the Bank helps countries recover after natural disasters, and develop institutions, programs, and instruments to better withstand future shocks. Between 2006 and 2012, the Bank and GFDRR have supported 102 countries. Efforts are underway to develop an indicator to measure whether countries are ensuring that disaster risk reduction is a national priority.

Support to Finance, Private Sector Development, and Trade

In more than 50 countries, the Bank continues to support the broadening and deepening of financial markets to better serve underserved populations through the expansion of micro, small, and medium enterprises; the development of payment and remittance systems, collateral registries, and credit bureaus; and the creation of supportive regulatory environments. During fiscal years 2009 to 2012, microfinance and financial institutions benefiting from Bank support had an average of 31 million active microfinance loan accounts per year in the developing world. The Bank continues to participate in the global dialogue on reforming the international financial system and helping countries conduct evaluations that measure their performance against international standards in order to identify and implement needed changes. Also, its trade logistics advisory program continues to advise governments on how to reduce the time and costs involved in trade and to rationalize trade logistics systems and services. These systems include border clearance processes; electronic payment systems; and interagency coordination on a variety of issues, including customs, product standards, phytosanitary veterinary standards, health standards, and “green” supply chains. During fiscal years 2011 and 2012, the Bank has supported 15 countries in successfully applying trade-related diagnostic tools. These tools allow for a comprehensive assessment of the constraints to competitiveness and trade facilitation.

TIER III: DEVELOPMENT OUTCOMES AND OPERATIONAL EFFECTIVENESS

Is the Bank managing the performance of its activities effectively to achieve results?

The Bank's policies, systems, and processes reinforce its emphasis on results. They include quality assurance, real-time monitoring of results and performance, and systematic self-evaluation, complemented by ex-post independent evaluation of strategies and activities by IEG. Tier III reviews the overall success of Bank activities in achieving their development goals. It also examines the effectiveness of Bank operations, including the quality and results orientation of its operations and knowledge activities, the performance of its lending portfolio, the mainstreaming of gender in its operational work, client feedback on its operations and knowledge work, and the use of country systems.

Development Outcomes

Countries own and implement the operations supported by the Bank. Country factors, external events, risks (anticipated and unanticipated), and the quality of design and implementation affect the outcome of these operations. IEG's evaluations of projects exiting the portfolio in fiscal year 2010 (which were approved about five to seven years prior) indicate that the share of operations that achieved their development objectives was 69.1 percent reflecting: country and global characteristics and circumstances including the impact of the food, fuel and financial crises which focused attention on short-term crisis response and management; increased operational complexity; and developments in the internal enabling environment for quality assurance. (Only half the fiscal year 2011 cohort of exits have been evaluated by IEG, and the findings are not used since they may not be representative of the entire cohort).

To improve outcomes, the Bank has revamped its quality assurance system to strengthen the quality processes governing Bank-financed operations, and thus help ensure that these operations will most likely deliver the expected development results. The immediate actions focus on clarifying and harmonizing accountabilities and processes in operations, improving the mechanisms for technical support to teams, improving operational learning and certification for task team leaders, and putting in place checks and balances for strategic and timely quality monitoring and reporting to Senior Management. For fragile and conflict-affected situations, the Bank is implementing the recommendations of the *World Development Report 2011: Conflict, Security, and Development* by introducing new approaches that align its engagement more closely with realities on the ground.

The four-year rolling average (fiscal years 2009 to 2012) of IEG's satisfactory outcome ratings for results-based CAS/CPSs was 63 percent, an improvement from the fiscal year 2010 baseline of 59 percent but still below the performance standard of 70 percent. This may reflect the fact that many of these CASs/CPSs were first-generation results-based strategies, some of which set ambitious objectives, and that country priorities often change during the implementation period of strategies—as they did during the recent crises—requiring the Bank to reorient its support to new priorities. Management is redoubling efforts to strengthen the focus and realism of CASs/CPSs.

In the country-level surveys carried out in fiscal year 2012, respondents from 29 client countries rated the Bank 6.4 on a ten point scale on their impression of the Bank's effectiveness.

Operational Effectiveness

The Bank's revamped quality assurance system is being rolled out, with improved monitoring of its operational effectiveness. In managing its portfolio performance, the Bank emphasizes implementation support and risk management. Overall portfolio performance in fiscal year 2012 slightly declined with 85.5 percent of active projects rated satisfactory in terms of the likelihood of meeting their development objectives; experience has shown that problems are often resolved within a year. The Bank continues to focus on making its portfolio ratings more realistic.

TIER III: DEVELOPMENT OUTCOMES AND OPERATIONAL EFFECTIVENESS

INDICATORS		BASELINE Value	BASELINE Year	CURRENT Value	CURRENT Year	PCD LINKAGE	PERFORMANCE STANDARD	STATUS
III-A: Development Outcome Ratings								
Satisfactory CAS/CPS completion+	(% IEG rating)	59.0	FY10	63.0	FY12		70	R
Satisfactory (IBRD/IDA) operations outcomes at completion	(% IEG rating)	76.8	FY08	69.1	FY10		Monitored	Y
• IBRD countries	(% IEG rating)	81.0	FY08	69.7	FY10		80	R
• IDA countries	(% IEG rating)	68.0	FY08	66.0	FY10		75	Y
• Fragile situations (IBRD/IDA)*	(% IEG rating)	74.0	FY08	72.4	FY10		70	G
Analytic and advisory activities objectives accomplished+	(%)	72.0	FY08	76.0	FY12		80	Y
Clients' impression of Bank effectiveness	(scale: 1–10)	6.9	FY08	6.4	FY12		7	Y
III-B: Operational Effectiveness								
LENDING OPERATIONS								
Ensuring Sound Quality and Portfolio Performance								
Quality of design for investment operations+	(%)	76	FY09	83	FY11		90	Y
Quality of implementation support for investment operations	(%)	83	FY09	78	FY11		90	Y
Satisfactory implementation of active operations	(%)	88	FY08	85.5	FY12		Monitored	G
Gross disbursements	(US$ billions)	19.6	FY08	30.8	FY12		Monitored	G
Disbursement ratio+	(%)	21.3	FY08	20.0	FY12		20	G
Average time from approval to first disbursement	(months)	12	FY08	5.9	FY12		Monitored	G
Recipient executed trust fund disbursements	(US$ billions)	2.9	FY08	3.6	FY12		Monitored	G
Managing Operations for Results, Monitoring, and Evaluation								
Projects with indicators capturing all aspects of development objective+	(%)	83	FY09	91	FY12		100	Y
Implementation Completion and Results Reports reporting key results+	(%)	95	FY12	95	FY12		100	G
Bank operations with beneficiary feedback	(%)	22	FY11	44	FY12		Monitored	G
Gender Mainstreaming								
Projects with gender-informed design+	(%)	60	FY10	80	FY12	1 2	55	Y
CAS/CPS that draw on and discuss gender assessment findings+	(%)	60	FY08	100	FY12	1 2	100	G
KNOWLEDGE ACTIVITIES								
Data freely accessed by global users	(million visits)	1.7	2008	9.9	2012		Monitored	G
Publications including research cited in professional journals	(number)	18,000	2010	18,000	2010		Monitored	G
Clients' impression of contribution of Bank knowledge work	(scale: 1-10)	6.7	FY12	6.7	FY12		Monitored	NA
USE OF COUNTRY SYSTEMS								
Use of country systems for procurement (PD survey)+	(%)	40	2006	55	2011		55	G
Use of country systems for financial management (PD survey)+	(%)	42	2006	71	2011		65	G
Use of country monitoring and evaluation systems+	(%)	72	FY09	77	FY12		Monitored	G
Collaborative analytical and advisory activities (PD survey)+	(%)	49	2006	59	2011		66	Y

LEGEND

LINKAGES	**PCD 1-5**	Linkages to Post Crisis Directions: 1. Target the Poor and Vulnerable; 2. Create Opportunities for Growth; 3. Promote Global Collective Action; 4. Strengthen Governance; 5. Manage Risk and Prepare for Crisis.
DATA	*	List of countries designated as "fragile situations" changes every year.
	+	Indicators used in proposed IDA16 Results Measurement System.
	YEAR	Represents the fiscal or calendar year when data were reviewed.
PERFORMANCE STANDARDS		Performance standards/targets are provided where available. Indicators are "monitored" where performance standard or target is not relevant.
G	**On-Track.** A meaningful increase from baseline, or for indicators with performance standards, achievement meets or exceeds performance standard.	
Y	**Watch.** No meaningful increase or decrease, or for indicators with performance standards, achievement is close to performance standard but does not meet performance standard.	
R	**Off-Track.** A meaningful decrease from baseline, or for indicators with performance standard, achievement is not close to performance standard.	
NA	**Not Applicable.** There is insufficient data to establish a trend, or there is no performance standard.	

Note: CAS=Country Assistance Strategy; CPS=Country Partnership Strategy; PD=Paris Declaration.

Among others, it is taking steps to ensure that staff pay more attention to realism and candor about problems and risks during implementation. Disbursement levels are linked to implementation performance. During and immediately after the global financial crisis, disbursements more than doubled, rising from $19.6 billion in fiscal year 2008 to $40.3 billion in fiscal year 2010, and then declined moderately in fiscal year 2012 to a still robust $30.8 billion. The disbursement ratio for investment lending projects, which typically disburse over a period of four to six years, declined from 21.3 percent in fiscal year 2008 to 20 percent in fiscal year 2012, still in line with the Bank's performance standard of 20 percent. In an effort to be more responsive to clients, the average time from approval to first disbursement fell to 5.9 months in fiscal year 2012, from twelve months in fiscal year 2008.

A well-articulated results framework linking project activities to results on the ground is a key design element for project success, and enables project managers to use evidence in managing for development results. Among projects approved in fiscal year 2012, 91 percent clearly formulated their development objectives and included measureable outcome indicators to track the achievement of these development objectives—an improvement of 8 percentage points over fiscal year 2009. Recent analysis shows that of the projects approved in fiscal year 2012, 44 percent anticipate incorporating beneficiary feedback mechanisms in the project.

Gender Mainstreaming. The focus on gender sharpened in the last fiscal year, as the Bank incorporated the findings of the *World Development Report 2012: Gender Equality and Development* into its activities. In both fiscal years 2011 and 2012, all CAS/CPS drew on and discussed the findings of a gender assessment, meeting the Corporate Scorecard performance standard of 100 percent. Management continues to highlight the importance of integrating gender into the Bank's operations as a corporate priority. Training, seminars, and communities of practice have been established to help staff better integrate gender into their work, and a wide network of gender focal points is helping country teams advance the gender equality agenda. In fiscal year 2012, 80 percent of Bank operations were considered gender-informed. Knowledge and data gaps are being addressed through country and global efforts to enhance capacity to produce and use gender statistics, and the World Bank's Gender Data Portal serves as a one-stop shop for up-to-date gender data and statistics from a variety of sources.

Knowledge Services

To measure quality and likely impact of knowledge activities, the Bank is implementing a multi-pronged approach: it is using self-assessments and client feedback, and it will also be using independent evaluations. In terms of self-assessment, knowledge teams indicate that about 76 percent of the Bank's knowledge services (Economic and Sector Work (ESW) and Technical Assistance (TA)) largely accomplished their objectives in fiscal year 2012. Feedback in country surveys shows that respondents rate the Bank 6.7 out of 10 on their impression of the Bank's knowledge work and its contribution to development results in their country.

In addition, the Bank has made major advances in sharing knowledge and data globally and with its clients. Under the Open Data Initiative, its data website received nearly 9.9 million visits during 2012. The Bank's new Open Access Policy for Research and Knowledge went into effect July 1, 2012. The centerpiece of the policy is the Open Knowledge Repository, which places all of the Bank's research and knowledge products under a Creative Commons attribution copyright license, making them accessible to a wide audience. The Bank also completed geo-mapping of all Bank supported projects in 2012, providing an easy-to-understand database of expected project locations. The Bank is increasingly conducting analytic and technical assistance services in collaboration with clients and partners. The 2011 Paris Declaration Survey found that the Bank conducted 59 percent of its work collaboratively, a figure the Bank aims to continue raising closer to its performance standard of 66 percent

Use of Country Systems

By using country systems, the Bank places a high priority on helping countries strengthen their country institutions and systems. It does this in collaboration with other development partners (multilateral development banks, other multilateral organizations, and bilateral donors). The use of country systems in Bank operations has improved over time. The Bank has surpassed the Paris Declaration Survey targets for procurement (50 percent) by 5 percentage points and for financial management (51 percent) by 20 percentage points in 2010.

Strong systems for monitoring and evaluation enable better assessments of development results and evidence-based decision making. In fiscal year 2012, 77 percent of IBRD/IDA projects used country monitoring and evaluation systems. The Bank increased its support for efforts to build country statistical capacity through financing and partnerships such as the Partnership for Statistics in Development in the 21st Century. But challenges remain: timely and relevant statistics and basic development data are not always available or used, and capacity for monitoring and evaluation varies significantly across countries and sectors within countries, affecting the quality, frequency, and reliability of data. Moving forward, the Bank will continue efforts to build statistical capacity.

TIER IV: ORGANIZATIONAL EFFECTIVENESS AND MODERNIZATION

Is the Bank managing skills, capacity, resources, and processes efficiently, and is business modernization on track?

The Bank continues to work to improve its organizational effectiveness, to better align the skills and capacity of its staff with its strategic priorities, and to implement its modernization agenda in order to become more responsive and accountable to its stakeholders.

Resources and Alignment

The Bank has been steadily improving its organizational effectiveness. The Bank has increased client services as a percentage of total costs to 63.2 percent in fiscal year 2012 and these services are increasingly delivered by staff based in client countries, with the percentage of tasks being managed from the field rising from 40.6 percent in fiscal year 2008 to 44.4 percent in fiscal year 2012.

Working with a flat annual administrative budget in real terms since fiscal year 2006, the Bank has made continuous improvements in the way it allocates and uses its resources. The Bank is rebuilding its budget flexibility, now at 3.2 percent, reflecting the rollback of the pre-programming of the +2 percent band earlier allocated to support the crisis response, in order to remain prepared for unexpected developments and demands in the future. The use of Bank-Executed Trust Funds provided by donors for the Bank's knowledge services for clients has increased from 31.6 percent in fiscal year 2008 to 45.1 percent in fiscal year 2012, complementing the institution's own administrative budget and augmenting its delivery capability to clients in this area. To ensure effective management of this category of trust funds, the Bank is implementing reforms to integrate them into its budget and business-planning processes.

The Bank has accelerated resource transfer to its clients. It significantly scaled up its response to the recent crises by increasing lending from US$24.7 billion in fiscal year 2008 to US$35.3 billion in fiscal year 2012. RETFs—which provide additional finance to developing countries, and are now integrated into CASs/CPSs—increased commitments from $3 billion in fiscal year 2008 to $4.1 billion in fiscal year 2012. The Bank has also accelerated preparation of investment lending projects from 16 months in fiscal year 2008 to 14 months in fiscal year 2012, and shifted resources to support project implementation by increasing the average supervision expenses from $115,000 per project in fiscal year 2008 to $132,000 in fiscal year 2012.

Capacity and Skills

Through its business modernization program, the Bank is working to better align the skills and capacity of its staff with its strategic priorities. To maximize the use of its global knowledge and ensure it is made widely available across its client countries, the Bank is increasing the share of time staff allocate to activities outside their units or regions. In fiscal year 2012, this share has been at 6.8 percent, below the Bank's goal of 10 percent, and efforts are underway to further enhance staff connectivity across the matrix.

The staff diversity index rose from 0.85 in fiscal year 2008 to 0.89 in fiscal year 2012, and the share of women in management marginally grew from 36.1 percent in 2011 to 36.8 percent in 2012, as the Bank moved toward its goal of achieving gender parity in management.

Complementing ongoing efforts to bring services closer to clients and improve field presence, reforms are underway to ensure that Bank systems for knowledge, accountability, decision making, human resources, and information technology are agile and effective.

Business Modernization

Strengthening the focus on results, transparency, and accountability represents the three overarching aspects of business modernization at the Bank. This effort aims to improve the institution's ability to measure, report on, and learn from results; share data, knowledge, and expertise effectively and generate knowledge with others; and respond to countries with agility. A results-

TIER IV: ORGANIZATIONAL EFFECTIVENESS AND MODERNIZATION

INDICATORS		BASELINE Value	BASELINE Year	CURRENT Value	CURRENT Year	PCD/M LINKAGES	PERFORMANCE STANDARD	STATUS
IV-A. Resources, Skills, and Business Modernization								
RESOURCES AND ALIGNMENT								
Client services as % of total cost	(%)	62.6	FY08	63.2	FY12		Monitored	G
Client services in fragile and conflict affected areas	(% of total cost)	4.9	FY08	5.9	FY12		Monitored	Y
Lending commitments (IBRD/IDA)	(US$ billions)	24.7	FY08	35.3	FY12		Monitored	G
Financial intermediary funds commitments	(US$ billions)	4.80	FY08	5.81	FY12		Monitored	NA
Recipient executed trust fund commitments	(US$ billions)	3.0	FY08	4.1	FY12		Monitored	G
Share of knowledge services funded by trust funds	(%)	31.6	FY08	45.1	FY12		Monitored	Y
Use of trust funds to support IBRD/IDA lending preparation and implementation support	(%)	10.3	FY08	14.9	FY12		Monitored	Y
CAPACITY AND SKILLS								
Staff diversity	(index)	0.85	FY08	0.89	FY12		1.00	Y
Staff mobility	(%)	4.39	FY08	4.39	FY12		Monitored	Y
Staff engagement	(%)	78	FY08	80	FY10		Monitored	Y
BUSINESS MODERNIZATION								
Products and Services for Results								
Lending for program results	(number)	0	FY12-Q3	5	FY13-Q2	M	Monitored	G
IBRD/IDA results stories and briefs	(number on web)	131	2008	646	FY12		Monitored	G
Sectors/themes with core indicators for both IDA and IBRD	(number)	0	FY09	24	FY12		7	G
Organization								
Openness: Access to Information requests with timely completion	(%)	78	FY11	78	FY12	M	Monitored	G
Sector Board Connectivity: Professional staff time spent on tasks in other Bank units	(%)	7.5	FY08	6.8	FY12	M	10	R
Decentralization: Services for clients managed by staff based in client countries+	(%)	40.6	FY08	44.4	FY12	M	Monitored	Y
Processes and Systems for Flexibility and Efficiency								
Projects with new risk framework with fast processing	(%)	45	FY11	38	FY12	M	Monitored	Y
Speed of preparation from Concept Note to Approval+	(months)	16	FY08	14	FY12	M	12 months	Y
Average cost of preparing a lending project+	(average, US$)	359,000	FY08	357,000	FY12	M	Monitored	G
Average annual cost supporting project implementation+	(average, US$)	115,000	FY08	132,000	FY12	M	Monitored	G
Budget flexibility at the start of the fiscal year	(%)	3.3	FY08	3.2	FY13		5	R
IV-B. Sector Actions Related to Post-Crisis Directions							**PROJECTIONS**	
Support to agriculture and related sectors (IBRD, IDA, SPF)	(average, US$ billions/year)	2.9	FY06-08	4.3	FY10-12	1 2 5	4.5–6.4 (2010–12)	Y
Support to sustainable infrastructure (IBRD, IDA, GEF, RETF, SPF)	(average, US$ billions/year)	8.2	FY04-07	19.5	FY09-12	1 2 3	Monitored	G
Support to health, nutrition, and population (IBRD, IDA)	(average, US$ billions/year)	1.5	FY04-07	2.4	FY11-12	1 4	2.0–3.0 (2011–12)	G
Support to education sector (IDA)	(average, US$ billions/year)	1.0	FY95-09	1.7	FY10-12	1 2	1.1 (2010–15)	G

LEGEND

LINKAGES	**PCD 1-5**	Linkages to Post-Crisis Directions: 1. Target the Poor and Vulnerable; 2. Create Opportunities for Growth; 3. Promote Global Collective Action; 4. Strengthen Governance; 5. Manage Risk and Prepare for Crisis.
	M	Business Modernization
DATA	**+**	Indicators used in proposed IDA16 Results Measurement System.
	YEAR	Represents the fiscal or calendar year when data were reviewed.
PERFORMANCE STANDARDS		Performance standards/targets are provided where available. Indicators are "monitored" where performance standard or target is not relevant.
PROJECTIONS		Projections are based on current estimation of future client demands.
G	**On-Track.** A meaningful increase from baseline, or for indicators with performance standards, achievement meets or exceeds performance standard.	
Y	**Watch.** No meaningful increase or decrease, or for indicators with performance standards, achievement is close to performance standard but does not meet performance standard.	
R	**Off-Track.** A meaningful decrease from baseline, or for indicators with performance standard, achievement is not close to performance standard.	
NA	**Not Applicable.** There is insufficient data to establish a trend, or there is no performance standard.	

focused and open institution also strengthens accountability to shareholders, partners, and citizens. In each of these areas, the Bank has achieved several milestones.

Since the approval of the Program-for-Results (PforR) policy on January 24, 2012, six operations have been approved in a variety of sectors, totaling $981 million in commitments and leveraging about $2.1 billion in governments and partners funding.

Under PforR, the Bank supports countries to improve the design and implementation of their own development programs, financing a portion of the program expenditures. This instrument is helping the Bank to strengthen partnerships with governments and development partners, and strengthen country systems.

In the results measurement area, the Bank significantly expanded the number of sectors and themes in which it has Core Sector Indicators to measure results, covering 24 sectors and 135 indicators. All of these indicators' data are collected at the project level and then aggregated for reporting purposes. Complementing quantitative tracking of results, almost 650 results stories have been written to document the results achieved by Bank projects. Additionally, knowledge products are now systematically captured in Bank systems.

Building on the 2010 Access to Information Policy and Open Data Initiative, the Bank has continued to seek opportunities to further open itself and increase the development return of being open, through Open Data, Open Operations, Open Knowledge, and Open Development.

Support to Sector Actions Related to Post-Crisis Directions

The Bank lending commitments to support post-crisis initiatives in the agriculture, infrastructure, health and education sectors increased, averaging: $4.3 billion per year (including special financing) for agriculture during fiscal years 2010 to 2012; $2.4 billion per year for health during fiscal years 2011 and 2012; $19.5 billion for infrastructure (including special financing) during fiscal years 2009 to 2012; and $1.7 billion per year during fiscal years 2010 to 2012 in education for IDA countries. The Bank continues to monitor investments in these sectors.

NEXT STEPS IN THE RESULTS AGENDA

Using the Corporate Scorecard to track the Bank's performance and its ability to contribute to country results is making the Bank more accountable to its shareholders and stakeholders. It also contributes to the Bank's ability to communicate results to a wider audience, making information available to all. In the next year, the Bank will focus on the following priorities:

- Aligning the Corporate Scorecard to the new World Bank Group Strategy, and deepening formal and informal incentives and accountability for results throughout the organization using the Corporate Scorecard.
- Continuing the preparation of new Program-for-Results operations. The Bank will closely monitor progress and document lessons learned from the preparation and implementation of the initial operations.
- Continuing efforts to ensure that the results supported through TF operations are better integrated into the Bank's results management system, as part of overall TF reforms.
- Supporting client countries and international partnerships' development results by further developing country statistical capacity and scaling up Bank support to countries in assessing the capacity of their main government institutions to carry out their mandate with a focus on development results.
- Continuing to improve metrics and measurement and developing new relevant results indicators.

DEFINITIONS OF THE WORLD BANK CORPORATE SCORECARD INDICATORS

TIER I: DEVELOPMENT CONTEXT

What is the development progress in Bank client countries as a group?

Population below US$ 1.25 (PPP) a day (%): Percentage of the population living on less than $1.25 a day at 2005 international prices. As a result of revisions in PPP exchange rates, poverty rates for individual countries cannot be compared with poverty rates reported in earlier editions. Average, weighted by the total population *(Data Source: World Bank staff estimates using PovcalNet tool. Data are based on primary household survey data obtained from government statistical agencies and World Bank country departments, February 2013).*

GDP per capita (constant 2000 US$): Gross domestic product divided by midyear population. GDP is the sum of gross value added by all resident producers in the economy plus any product taxes and minus any subsidies not included in the value of the products. It is calculated without making deductions for depreciation of fabricated assets or for depletion and degradation of natural resources. Data are in constant 2000 U.S. dollars *(Data Source: World Bank staff estimates based on data from World Bank and OECD National Accounts, February 2013).*

Domestic credit to private sector (% of GDP): Financial resources provided to the private sector, such as through loans, purchases of non equity securities, and trade credits and other accounts receivable, that establish a claim for repayment. For some countries these claims include credit to public enterprises. Average, weighted by GDP *(Data Source: World Bank staff estimates based on data from International Monetary Fund, International Financial Statistics, February 2013).*

Employment to population ratio (15+, %): Proportion of a country's population (age 15 and above) that is employed. Average, weighted by the population of age 15 and above *(Data Source: World Bank staff estimates based on data from International Labour Organization, Key Indicators of the Labour Market, February 2013).*

Ratio of female to male labor force participation (%): Ratio of the female labor force participation rate to the male labor force participation rate, multiplied by 100. Labor force participation rate is the proportion of the population ages 15 and older that engages actively in the labor market, either by working or looking for work. Average, weighted by size of total labor force ages 15 and older *(Data Source: World Bank staff estimates based on International Labour Organization, Key Indicators of the Labour Market database, February 2013).*

State institutions with adequately established and differentiated power structure (on a scale from 1 to 10): A composite indicator (Bertelsmann Transformation Index) that combines stateness and rule of law categories - about 8 indicators aggregated. Stateness focuses on the existence of adequately established and differentiated power structures in the country, while rule of law focuses on the existence of check and balance mechanisms that can monitor each other and ensure enforcement of civil rights. Unweighted average *(Data Source: World Bank staff estimates based on data from Bertelsmann Transformation Index, February 2013).*

Effective and accountable government (on a scale from 0 to 7): The Freedom House indicator attempts to capture how resources are managed using the following questions: (1) Are the executive, legislative, and judicial branches of government able to oversee the actions of one another and hold each other accountable for any excessive exercise of power? (2) Does the state system ensure that people's political choices are free from domination by the specific interests of power groups (e.g., the military, foreign powers, totalitarian parties, regional hierarchies, and/or economic oligarchies)? (3) Is the civil service selected, promoted, and dismissed on the basis of open competition and by merit? Unweighted average *(Data Source: World Bank staff estimates based on data from Freedom House data, February 2013).*

Public access to information (on a scale from 0 to 100): The Global Integrity indicator captures the in law and in practice status of access to information in a country. Unweighted average *(Data Source: World Bank staff estimates based on data from Global Integrity data, February 2013).*

Level of statistical capacity (on a scale from 0 to 100): Statistical Capacity Indicator provides an overview of the statistical capacity of developing countries. It is based on a diagnostic framework developed with a view to assessing the capacity of national statistical systems using metadata information generally available for most countries, and monitoring progress in statistical capacity building over time. The framework has three dimensions: statistical methodology; source data; and data periodicity and timeliness. For each dimension, a country is scored against specific criteria, using information available from the World Bank and other international agencies. A composite score for each dimension and an overall score combining all three dimensions are derived for each country on a scale of 0-100. A higher score indicates a higher level of capacity. Unweighted average *(Data Source: World Bank staff estimates based on data from Board on Statistical Capacity (BBSC), The World Bank, February 2013).*

Under 5 mortality rate (per 1,000 live births): Probability per 1,000 that a newborn baby will die before reaching age five, if subject to current age-specific mortality rates. Average, weighted by the number of live births *(Data Source: World Bank staff estimates based on data from Inter-agency Group for Child Mortality Estimation, February 2013).*

Prevalence of HIV, female (% of ages 15-24): Percentage of people ages 15-24 who are infected with HIV. Average, weighted by the female population of ages 15-24 *(Data Source: World Bank staff estimates based on data from UNAIDS and the WHO's Report on the Global AIDS Epidemic, February 2013).*

Maternal mortality ratio (modeled estimate, per 100,000 live births): Number of women who die during pregnancy and childbirth, per 100,000 live births. The data are estimated with a multilevel regression model using available national mortality data and socio-economic information including fertility, birth attendants, and HIV prevalence. Average, weighted by the number of live births *(Data Source: World Bank staff estimates based on data from Inter-agency Group for Maternal Mortality Estimation, February 2013).*

Prevalence of underweight children (% of children under 5): Percentage of children under age 5 whose weight for age is more than two standard deviations below the median for the international reference population ages 0-59 months. Data are defined based on WHO's new child growth standards released in 2006. Aggregation is based on country data in the WHO/UNICEF Global Database on Child Growth and Malnutrition. The World Bank has recently adopted the linear mixed-effect models developed by WHO for data aggregation. Due to the change in aggregation methodology, the estimates in the September 2012 edition and thereafter cannot be compared with those in earlier editions *(Data Source: World Bank staff estimates based on data from WHO/UNICEF, February 2013).*

Primary school completion rate (%): Percentage of students completing the last year of primary school. It is the total number of new entrants in the last grade of primary education, regardless of age, expressed as a percentage of the population at the entrance age to the last grade of primary. The ratio can exceed 100% due to over-aged and under-aged children who enter primary school late/early and/or repeat grades. Average, weighted by the number of official primary school graduation age children *(Data Source: World Bank staff estimates based on data from United Nations Educational, Scientific, and Cultural Organization (UNESCO) Institute for Statistics, February 2013).*

Secondary school enrollment rate (% gross): Gross enrollment ratio is the total enrollment in secondary education, regardless of age, expressed as a percentage of the population of official secondary education age. Gross enrollment ratio can exceed 100% due to the inclusion of over-aged and under-aged students because of early or late school entrance and grade repetition. Secondary education completes the provision of basic education that began at the primary level, and aims at laying the foundations for lifelong learning and human development, by offering more subject- or skill-oriented instruction using more specialized teachers. Average, weighted by the number of children of official secondary school ages *(Data Source: World Bank staff estimates based on data from United Nations Educational, Scientific, and Cultural Organization (UNESCO) Institute for Statistics, February 2013).*

Gender parity index in primary and secondary education (%): Ratio of the female gross enrollment ratio to the male gross enrollment ratio in primary and secondary education. Gross enrollment ratio in primary and secondary education is the total enrollment in primary and secondary education, regardless of age, expressed as a percentage of the population of official primary and secondary education age. Gross enrollment ratio can exceed 100% due to the inclusion of over-aged and under-aged students because of early or late school entrance and grade repetition *(Data Source: World Bank staff estimates based on data from United Nations Educational, Scientific, and Cultural Organization (UNESCO) Institute for Statistics, February 2013).*

Paved roads (% of total roads): Paved roads are those surfaced with crushed stone (macadam) and hydrocarbon binder or bituminized agents, with concrete, or with cobblestones, as a percentage of all the country's roads, measured in length. Median, based on the most recent estimates available within the last 5 years *(Data Source: World Bank staff estimates based on data from International Road Federation, World Road Statistics and electronic files, except where noted, February 2013).*

Access to an improved water source (% of population): Indicator refers to the percentage of the population with reasonable access to an adequate amount of water from an improved source, such as a household connection, public standpipe, borehole, protected well or spring, and rainwater collection. Unimproved sources include vendors, tanker trucks, and unprotected wells and springs. Reasonable access is defined as the availability of at least 20 liters a person a day from a source within one kilometer of the dwelling. Average, weighted by the total population *(Data Source: World Bank staff estimates based on data from World Health Organization and United Nations Children's Fund, Joint Measurement Programme, February 2013).*

Access to an improved sanitation facility (% of population): Indicator refers to the percentage of the population with at least adequate access to excreta disposal facilities that can effectively prevent human, animal, and insect contact with excreta. Improved facilities range from simple but protected pit latrines to flush toilets with a sewerage connection. To be effective, facilities must be correctly constructed and properly maintained. Average, weighted by the total population *(Data Source: World Bank staff estimates based on data from World Health Organization and United Nations Children's Fund, Joint Measurement Programme, February 2013).*

Household electrification rate (% of households): Defined as the percentage of households with an electricity connection and measured using household surveys (e.g. Demographic and Health Surveys, Living Standard Measurement Surveys). Household surveys provide better measurement than the data provided by national power utilities. In addition, utilities employ different definitions of electrification making it difficult for accurate cross-country comparison. Average, weighted by the total population. Based on gap-filled data and may differ from other sources *(Data Source: World Bank staff estimates based on data from household surveys, February 2013).*

Mobile cellular telephone subscriptions (per 100 people): Mobile cellular telephone subscriptions are subscriptions to a public mobile telephone service using cellular technology, which provide access to the public switched telephone network. Post-paid and prepaid subscriptions are included. Average, weighted by the total population *(Data Source: World Bank staff estimates based on data from International Telecommunication Union, February 2013).*

Cereal yield (kg per hectare): Measured in kilograms per hectare of harvested land, includes wheat, rice, maize, barley, oats, rye, millet, sorghum, buckwheat, and mixed grains. Production data on cereals refer to crops harvested for dry grain only. Cereal crops harvested for hay or harvested green for food, feed, or silage and those used for grazing are excluded. Average, weighted by land under cereal production *(Data Source: World Bank staff estimates based on data from Food and Agriculture Organization web site, February 2013).*

Agriculture value added per worker (constant 2000 US$): A measure of agricultural productivity. Value added in agriculture measures the output of the agricultural sector (ISIC divisions 1-5) less the value of intermediate inputs. Agriculture comprises value added from forestry, hunting, and fishing as well as cultivation of crops and livestock production. Data are in constant 2000 U.S. dollars. Average, weighted by agricultural employment

(Data Source: World Bank staff estimates based on data from World Bank national accounts and Food and Agriculture Organization, Production Yearbook and data files, February 2013).

CO_2 emissions (kg per 2005 PPP$ of GDP): Carbon dioxide emissions are those stemming from the burning of fossil fuels and the manufacture of cement. They include carbon dioxide produced during consumption of solid, liquid, and gas fuels and gas flaring. CO_2 emissions measured as kilograms per 2005 PPP$ of GDP show how clean production processes are. This indicator is often criticized for being used to claim reductions in CO_2 emissions that are more rightly attributable to unrelated gains in economic efficiency. Average, weighted by 2005 PPP$ of GDP *(Data Source: World Bank staff estimates based on data from Carbon Dioxide Information Analysis Center, Environmental Sciences Division, Oak Ridge National Laboratory, Tennessee, United States and the World Bank National Account, February 2013).*

Protected terrestrial areas (% of total land area): Terrestrial protected areas are totally or partially protected areas of at least 1,000 hectares that are designated by national authorities as scientific reserves with limited public access, national parks, natural monuments, nature reserves or wildlife sanctuaries, protected landscapes, and areas managed mainly for sustainable use. Marine areas, unclassified areas, littoral (intertidal) areas, and sites protected under local or provincial law are excluded. Average, weighted by total land area *(Data Source: World Bank staff estimates based on data from United Nations Environmental Program and the World Conservation Monitoring Centre, February 2013).*

Average annual deforestation (%): Permanent conversion of natural forest area to other uses, including agriculture, ranching, settlements, and infrastructure. Deforested areas do not include areas logged but intended for regeneration or areas degraded by fuel-wood gathering, acid precipitation, or forest fires. Average, weighted by forest area *(Data Source: World Bank staff estimates based on data from Food and Agriculture Organization, February 2013).*

Male-female gap in the population with an account at a formal financial institution (% of population 15+): This indicator measures the difference between the percentage of males and the percentage of females of ages 15 and above who have an account (self or together with someone else) at a formal financial institutions, such as bank, credit union, another financial institution (e.g., cooperative, microfinance institution), or the post office (if applicable) including respondents who reported having a debit card *(Data Source: World Bank staff estimates based on data from The Global Findex Database, the World Bank, February 2013).*

Trade logistics performance index: Overall (1=low to 5=high): Logistics Performance Index overall score reflects perceptions of a country's logistics based on efficiency of customs clearance process, quality of trade- and transport-related infrastructure, ease of arranging competitively priced shipments, quality of logistics services, ability to track and trace consignments, and frequency with which shipments reach the consignee within the scheduled time. The index ranges from 1 to 5, with a higher score representing better performance. Unweighted average *(Data Source: Arvis et al. (2012), Connecting to Compete 2012: Trade Logistics in the Global Economy, February 2013).*

Trade diversification (index 0-1): The index is a flow-weighted concentration index. The index is normalized to range between 0 and 1 – one being more concentrated. Due to lack of some country's export data, "mirror data" is used (partner's import from that country). For the index on product concentration the HS 6 digit product classification is used. For the index on market concentration, share in total export of 220 potential partners for each destination is used. Unweighted average *(Data Source: World Bank staff estimates based on data from UN Comtrade, February 2013).*

Time required for business start-up (days): Number of calendar days needed to complete the procedures to legally operate a business. If a procedure can be speeded up at additional cost, the fastest procedure, independent of cost, is chosen. Unweighted average *(Data Source: World Bank staff estimates based on data from Doing Business project, February 2013).*

TIER II: COUNTRY RESULTS SUPPORTED BY THE BANK
How is the Bank supporting countries in achieving results?

Countries with strengthened national statistical systems (number): Number of countries which have been supported by IBRD/IDA and Trust Fund operations over $1 million whose primary aim is to strengthen national statistical systems *(Data Source: the World Bank Bulletin Board on Statistical Capacity, July 2012).*

Countries with Bank-supported programs on asset, liability and risk management (number): Number of countries supported by the Bank with financial solutions, risk management products and/or advisory services on asset and liability management *(Data Source: World Bank staff estimates based on ongoing engagements in fiscal year 2012, July 2012).*

Countries with Bank-supported programs on transparency and access to information (number): Number of countries supported by the Bank on transparency and access to information *(Data Source: World Bank staff estimates based on IBRD/IDA operations approved in FY06-FY12, July 2012).*

Countries with strengthened Public Management Systems (number): Number of countries in which a particular public management system has been strengthened through IBRD/IDA operations. "Indicators of the Strength of Public Management Systems" (ISPMS) are used to measure whether a country's PSM system has been 'strengthened' (Data Source: World Bank staff estimates based on active operations in FY10 to FY12, July 2012): (**a) Countries with strengthened civil service and**

public administration systems would have improved relevant (ISPMS) performance measures, such as increasing the "share of merit-based appointments", reducing the "time for key services and administrative processes" or increasing the "percentage of the population reporting satisfaction with central government services" etc. **(b) Countries with strengthened tax policy and administration systems** would have improved relevant (ISPMS) performance measures, such as increasing "tax collection as a percent of GDP", increasing "the number of registered taxpayers", reducing "custom clearance times" or improving "client perception of tax administration" etc. **(c) Countries with strengthened public financial management systems** would have improved relevant (ISPMS) performance measures, such as reducing the "average difference between legislated budget allocation and expenditure outturns", increasing the "budget execution rate", reducing "domestic payment arrears" establishing a "functioning Treasury Single Account (TSA) system" or improving the "timeliness of the release of semi-annual budget reports on available media" etc. **(d) Countries with strengthened procurement systems** would have improved relevant (ISPMS) performance measures, such as reducing "average procurement processing times", publishing "financial and procurement documents on various media sources" or improving "transparency and reduced transaction costs (i.e. time) for public procurement" etc.

Teachers recruited and/or trained (number, million): Number of additional teachers recruited and/or trained by the Bank-supported programs to reduce the shortfall of qualified teachers at primary level *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Countries with Bank-supported learning assessments (number): Number of countries with Bank-supported learning assessments. *(Data Source: World Bank staff estimates based on operations approved in fiscal years 2008-2012, February 2013).*

People with access to a basic package of health services (number, million): Number of people with access to a basic package of health, nutrition or population services supported through Bank-financed projects *(Data source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Children immunized (number, million): Number of children receiving vaccines purchased with Bank financing or other resources that are distributed through a Bank-supported program. Included are any of the recommended vaccines, as individual vaccines if purchased or administered separately or as a combination vaccination when several vaccines have been combined *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Beneficiaries covered by social safety net programs (number, million): Number of individual beneficiaries from Bank-supported social safety net programs *(Data Source: World Bank staff estimates based on operations closed between FY05-11, last 3 years aggregate estimate, July 2012).*

Pregnant women receiving antenatal care (number, million): Number of pregnant women receiving antenatal care during a visit to a skilled health provider as a result of Bank-financed projects *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Women and girls benefiting from social protection programs and other targeted schemes (number, million): Number of women and girls benefiting from support for agricultural production and agri-business, grants to female students, pregnant women, women's employment schemes, female-headed households, microfinance loans for women, and immunization for girls *(Data Source: World Bank staff estimates based on projects approved between FY06-12, last 3 years aggregate estimate, July 2012).*

Roads constructed or rehabilitated (km): Number of kilometers of all roads constructed, reopened, to motorized traffic, rehabilitated, or upgraded under Bank-supported programs *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

People provided with access to improved water sources (number, million): Number of people who benefitted from improved water supply services (following the UNICEF-WHO Joint Monitoring Program definition) that have been constructed under Bank-supported programs *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

People provided with access to improved sanitation (number, million): Number of people who benefitted from improved sanitation facilities constructed under Bank-supported programs *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Transmission and distribution lines constructed or rehabilitated (km): Kilometers of transmission and distribution lines constructed or rehabilitated under Bank-supported programs *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Generation capacity of conventional and renewable energy (megawatts): Megawatts of generation capacity of conventional generation and renewable energy constructed or rehabilitated under Bank-supported programs *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

People provided with access to electricity (number, million): Number of people provided with access to electricity under Bank-supported programs. *Data to be reported in 2013.*

Area provided with irrigation services (hectares, million): Area provided with new and/or improved irrigation services under Bank-supported programs *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Farmers adopting improved agricultural technology (number): Number of farmers adopting improved agricultural technology, where the term technology includes a change in practices compared to currently used practices or technologies (seed preparation, planting time, feeding schedule, feeding ingredients, post-harvest, storage, processing, etc.). If the project introduced or promotes a technology package in which the benefit depends on the application of the entire package (e.g., a combination of inputs such as a new variety and advice on

agronomic practices such as soil preparation, changes in seeding time, fertilizer schedule, plant protection, etc) – this will count as one technology *(Data Source: World Bank staff estimates based on data of FY01-FY12 approved projects, last 3 years aggregate estimate, July 2012).*

Nutrition services for vulnerable groups (number, million): Number of pregnant/lactating women, adolescent girls and/or children under age five reached by basic nutrition services *(Data Source: World Bank staff estimates based on data of FY02-FY12 approved projects, last 3 years aggregate estimate, February 2013).*

Emission reduction with support of special climate finance instruments (annual, million tons CO_2 equivalent): The data is calculated as sum of estimated annual emission reduction with support of special climate finance instruments i.e. Global Environment Facility (GEF), Carbon Finance (CF), Montreal Protocol (MP), and Climate Investment Funds (CIFs). The numbers are calculated as follows: For GEF, MP and CIF projects the annual equivalent figure for projects closed during the fiscal year is the expected GHG emission reductions over the lifetime of the investments supported by these projects, divided by the lifetime of the respective investments. In the case of MP, the GHG emission reduction is achieved through the elimination of ozone-depleting substances. For CF projects the annual equivalent figure for Emission Reduction Purchase Agreements (ERPAs) approved during the FY is the expected GHG emission reductions over the time-period of the ERPA contract, divided by the time-period of the ERPA contract *(Data Source: World Bank staff estimates for reporting period FY09-11, July 2012).*

Countries supported on natural disaster management (number): Number of countries supported on natural disaster management under Bank-supported operations; includes lending and AAA *(Data Source: World Bank staff estimates based on closed operations, last 3 years aggregate, July 2012).*

Active number of microfinance loan accounts (number, million): Active microfinance loan accounts of financial institutions supported by the Bank *(Data Source: World Bank staff estimates based on 2009-2012 reported data, annual average, July 2012).*

Countries that have applied trade related diagnostic tools (number): Number of developing countries that have applied trade related diagnostic tools,including Transport and Trade Facilitation Audits, Competitiveness Diagnostics, World Bank-led Diagnostic Trade Integration Studies and Diagnostic Trade Integration Study Updates supported by Bank operations *(Data Source: World Bank staff estimates, FY11-12 aggregate, July 2012).*

TIER III: DEVELOPMENT OUTCOMES AND OPERATIONAL EFFECTIVENESS

Is the Bank managing the performance of its activities effectively to achieve results?

Satisfactory CAS/CPS completion (IEG ratings, %): Percentage of Country Assistance Strategy and/or Country Partnership Strategy Completion Reports (CASCR) rated moderately satisfactory, satisfactory or highly satisfactory by Independent Evaluation Group (IEG) *(Data Source: World Bank data system, last four year period, July 2012).*

Status: R *Performance standard: 70*

Satisfactory (IBRD/IDA) operations outcomes at completion (IEG Ratings, %): Percentage of projects at Exit rated moderately satisfactory or satisfactory or highly satisfactory on achievement of outcomes by Independent Evaluation Group (IEG) for IBRD Countries, IDA Countries, and in Fragile Situations - list of countries in Fragile Situation changes every year and includes both IDA and IBRD *(Data Source: World Bank data system, based on partial data, March 2013).*

Status: Y *Overall improvement required; IBRD and IDA ratings are below performance standards; Fragile Situations rating meets its performance standard.*

Analytic and advisory activities objectives accomplished (%): ESW and TA tasks delivered for which Activity Completion Summary (ACS) was submitted and development objectives were largely accomplished (comprises fully and largely achieved ratings) *(Data Source: World Bank data system, February 2013).*

Status: Y *Performance standard: 80*

Clients' impression of Bank effectiveness (scale 1-10): Results from Country Survey for question: Overall, please rate your impression of the World Bank's effectiveness in ___ on a ten point scale? (1-Not effective at all, 10-Very effective). In FY 12 the Country Opinion Survey Program was scaled up, so from that time forward, a representative sample of countries will be surveyed and ratings can be tracked now, from year to year. Prior to that, the ratings represent a small number of countries, and any year to year comparisons, up to FY 12, would not be methodologically sound *(Data Source: Country Survey Reviews FY08-12, February 2013).*

Status: Y *Performance standard: 7*

Quality of design for investment operations (%): Percentage of projects in sample rated moderately satisfactory, satisfactory or highly satisfactory on quality of design. New quality assurance system will be rolled out in the current fiscal year *(Data Source: World Bank review of Quality Assessment of Lending Portfolio 2011).*

Status: Y *Performance standard: 90*

Quality of implementation support for investment operations (%): Percentage of projects rated moderately satisfactory, satisfactory or highly satisfactory on quality of supervision. New quality assurance system will be rolled out in the current fiscal year (Data Source: World Bank review of Quality Assessment of Lending Portfolio 2011).

Status: Y Performance standard: 90

Satisfactory implementation of active operations (%): Percentage of active operations rated satisfactory on implementation progress and likelihood of achieving development objectives. Operations include: IBRD, IDA, Global Environment Facility (GEF), Special Financing (SF) and Montreal Protocol (MT), and large Recipient-Executed (RE) *(Data Source: World Bank data system, July 2012).*

Status: G *Trend is stable and candor is encouraged in rating progress.*

Gross disbursements (US$ billion): Dollar value of the amount of the loan, credit or grant transferred to a client during the accounting period funded from IBRD/IDA sources *(Data Source: World Bank data system, July 2012).*

Status: G *Disbursements in line with projections.*

Disbursement ratio (%): Disbursed amount for lending operations as a ratio of undisbursed balance in a Fiscal Year *(Data Source: World Bank data system, July 2012).*

Status: G *Performance standard: 20*

Average time from approval to first disbursement (months): Number of months between approval to first disbursement for IBRD/IDA operations including investment lending (IL) and development policy lending (DPL) – all IL and DPL that have started disbursing are included *(Data Source: World Bank data system, March 2013).*

Status: G *Improving trend, at a desirable level for investment operations.*

Recipient executed trust fund disbursements (US$ billion): Dollar value of payments to a recipient made from a recipient-executed trust fund, which is a type of fund where the Bank passes on the funds to a third party and for which it plays an operational role, i.e., the Bank normally appraises and supervises activities financed by these funds *(Data Source: World Bank data system, July 2012).*

Status: G *Stable trend.*

Projects with indicators capturing all aspects of development objective (%): All aspects of the development objectives are captured by relevant indicators in the results frameworks of IBRD/IDA IL operations *(Data Source: World Bank review– annual reviews, July 2012).*

Status: Y *Performance standard: 100*

Implementation Completion and Results Reports (ICR) reporting key results (%): Percentage of Implementation Completion Reports reporting any data related directly to the achievement of the Project Development Objective (output/outcome for IL; key results for DPO) *(Data Source: World Bank review based on FY10-FY12 ICRs, July 2012).*

Status: G *Performance standard: 100*

Bank operations with beneficiary feedback (%): Investment lending operations that provide support to develop or use community-based monitoring systems/processes, community scorecards, or citizen scorecards to improve social accountability *(Data Source: World Bank reviews, March 2013).*

Status: G *Bank operations with beneficiary feedback have increased significantly.*

Projects with gender-informed design (%): IBRD/IDA Investment Lending approvals with gender-informed design. Project is considered gender-informed if it addresses any of the following aspects: a) analysis and/or consultation on gender related issues; b) specific actions to address the distinct needs of women and girls, or men and boys, and/or positive impacts on gender gaps; and c) mechanisms to monitor gender impact to facilitate gender-disaggregated analysis *(Data Source: World Bank review, July 2012).*

Status: Y *Performance standard: 55*

CAS/CPS that draw on and discuss gender assessment findings (%): Percentage of Country Assistance Strategies and/or Country Partnership Strategies that analyze gender issues and propose subsequent actions in at least one sector or provides explanations as to why actions is not needed *(Source: World Bank Staff estimates based on reviews, July 2012).*

Status: G *Performance standard at 100, based on OP4.20.*

Data freely accessed by global users (million visits): Number of visits to the Bank data website *(Data Source: World Bank data system, February 2013).*

Status: G *Number of visits under Open Data policy has increased significantly.*

Publications including research cited in professional journals (number): Cumulative value since start date of database in question (the 3 databases have different start dates and different coverage) - Analysis presented in "The World Bank's Publication Record", Martin Ravallion and Adam Wagstaff, policy research working paper No. 5374, 2010 *(Data Source: SCOPUS since 1965, SSCI/WoS since 1982, and GS).*

Status: G *Bank performance strong compared to referenced peer organizations.*

Clients' impression of contribution of Bank knowledge work (scale 1-10): Results from Country Survey for question: Overall, how significant a contribution do you believe the World Bank's knowledge work and activities make to development results in your country on a ten point scale? (1-Not significant at all, 10-Very significant) *(Data Source: Country Survey Reviews FY12, February 2013).*

Status: NA *Insufficient data to establish trend.*

Use of country systems for procurement (% of aid disbursed for government sector): Aid flows that use partner country procurement systems which either (a) adhere to broadly accepted good practices or (b) have a reform program in place to achieve these *(Data Source: Paris Declaration survey).*

Status: G *Performance standard: 55*

Use of country systems for financial management (% of aid disbursed for government sector): Aid flows that use public financial management (PFM) systems in partner countries which either (a) adhere to broadly accepted good practices or (b) have a reform program in place to achieve these *(Data Source: Paris Declaration survey).*

Status: G *Performance standard: 65*

Use of country monitoring and evaluation systems (%): Investment lending operations that use existing country routine information system including surveys to report data *(Data Source: World Bank Staff estimates, annual reviews, July 2012).*

Status: G *Increased use of country monitoring systems, including third-party monitoring.*

Collaborative analytical and advisory activities (% of country analyses): Country analytic work (CAW), including diagnostic reviews that are joint. To be considered coordinated, analytical work must be undertaken jointly with another donor, undertaken by one donor on behalf of another or undertaken with substantive involvement from the government *(Data Source: Paris Declaration survey).*

Status: Y *Performance standard: 66*

TIER IV: ORGANIZATIONAL EFFECTIVENESS AND MODERNIZATION

Is the Bank managing skills, capacity, resources, and processes efficiently, and is business modernization on track?

Client services as % of total cost (%): Spending on client services from all funding sources (Bank Budget including reimbursables and Bank Executed Trust Funds) expressed as a share of total spending. Client services include all business activities that are either specific to client countries (e.g. preparation and supervision of projects and knowledge products & services) or global and sector-wide (e.g. knowledge management, sector strategy, research, and external partnership) *(Data Source: World Bank data system, July 2012).*

Status: G *Positive trend while absorbing decentralization costs.*

Client services in fragile and conflict-affected areas (% of total cost): Spending on client services in Fragile and Conflict-affected Situations expressed as a share of total spending. Includes spending from all funding sources (Bank Budget including reimbursables and Bank Executed Trust Funds) *(Data Source: World Bank data system, July 2012).*

Status: Y *Although spending has increased, it still requires management attention, with the operationalization of WDR 2011.*

Lending commitments (IBRD/IDA) (US$ billion): Dollar value of the sum approved by the Board to be extended to the client in loan, credit or grant terms from IBRD/IDA sources *(Data Source: World Bank data system, July 2012).*

Status: G *Lending commitments responsive to client demand during and subsequent to crises in line with projections.*

Financial intermediary funds commitments (US$ billion): Financial Intermediary Fund Commitment represents a financial liability created on behalf of the FIF governing body based on its decision-making processes *(Data Source: World Bank data system, February 2013).*

Status: NA *Status light is not applicable.*

Recipient executed trust fund commitments (US$ billion): Dollar value of the funds approved for a recipient-executed trust fund, which is a type of fund where the Bank passes on the funds to a third party and for which it plays an operational role, i.e., the Bank normally appraises and supervises activities financed by these funds *(Data Source: World Bank data system, February 2013).*

Status: G *Significant increase in RETF commitments with major allocation to high priority clients.*

Share of knowledge services funded by trust funds (%): Spending on core knowledge products funded by Bank Executed Trust Funds (BETF) expressed as a share of total spending on core knowledge products from all funding sources (Bank Budget including reimbursables and BETF). Core knowledge products include: (1) Knowledge for external clients (Economic & Sector work, Impact Evaluation, Non-lending TA and External Training), (2) Knowledge as a public good (Research Services, Global Monitoring and Data and WDR) and (3) Knowledge for internal use (Knowledge Management, and New Product Development) *(Data Source: World Bank staff estimates, July 2012).*

Status: Y *Status signals close management attention to trust fund reforms. Enabling the Bank to expand services to clients also has value to the donor community providing these funds.*

Use of trust funds to support IBRD/IDA lending preparation and implementation support (%): Total cost of lending and supervision business processes for IBRD/IDA loans and credits that are funded by Bank Executed Trust Funds (BETF) expressed as a share of total cost of lending and supervision business processes for IBRD/IDA loans and credits from all funding sources (Bank Budget including reimbursables and BETF) *(Data Source: World Bank staff estimates, July 2012).*

Status: Y *Status signals close management attention to trust fund reforms. Enabling the Bank to expand services to clients also has value to the donor community providing these funds.*

Staff diversity (index): A weighted composite index made up of the 4 institutional diversity indicators (SSA/CR, GF/GG Women, Part II Managers, and Female Managers) measuring their aggregate difference from the target, which is 1. It is calculated by adding the ratio of each indicator to the target (1 if above target) with 0.4 factor for SSA/CR (to convey the relative difficulty historically of identifying qualified candidates) and 0.2 factor for the other three indicators *(Data Source: World Bank staff estimates, July 2012).*

Status: Y *Performance standard: 1.00*

Staff mobility (%): A measure of organizational agility and knowledge transfer. Equally weighted between staff change in location and staff change in PMU. Only for net open and term staff *(Data Source: World Bank staff estimates, July 2012).*

Status: Y *Ongoing actions to improve staff rotation as part of modernization.*

Staff engagement (%): An index calculated as the average percent of favorable responses to the four relevant questions in the Staff Survey (Questions 1, 4, 6, 29) *(Data Source: World Bank staff estimates, June 2011).*

Status: Y *Staff satisfaction high in last staff survey. Will require continued monitoring.*

Lending for program results (number): IBRD/IDA operations supporting programs using results-focused approaches *(Data Source: World Bank staff estimates, approved operations, February 2013).*

Status: G *Large number of operations has been approved since the approval of the new Program-for-Results instrument.*

IBRD/IDA results stories and briefs (number on web): Number of IBRD/IDA results stories and briefs available on the web *(Data Source: World Bank website, July 2012).*

Status: G *Large increase in available information in short time.*

Sectors/themes with core indicators for both IDA and IBRD (number): Number of sectors/themes with core indicators for both IDA and IBRD *(Data Source: World Bank data system, July 2012).*

Status: G *Performance standard: 7*

Openness: Access to Information requests with timely completion (%): Percent of public access requests that received comprehensive responses within 20 working days. Includes public access to information cases that were closed in the fiscal year. The Bank "endeavors to provide a more comprehensive response within 20 working days. Additional time may be needed in special circumstances, including, for example, those involving complex or voluminous requests, or requests requiring review by or consultations with internal Bank units, external parties, the Access to Information Committee, or the Board." (AI Policy at para. 25.) *(Data Source: World Bank staff estimates, July 2012).*

Status: G *Effective oversight, governance, and procedures have enabled timely responses to date.*

Sector Board Connectivity: Professional staff time spent on tasks in other Bank units (%): Cost of time spent by all professional staff (in grades GF to GI, excluding managers and ETCs) in operational units on tasks managed outside their unit as a percentage of total cost of time recorded by such staff, using all funding sources (Bank Budget including reimbursables and Bank Executed Trust Funds) *(Data Source: World Bank staff estimates, July 2012).*

Status: R *Significantly below the performance standard 10.*

Decentralization: Services for clients managed by staff based in client countries (%): Tasks managed by staff in the field *(Data Source: World Bank system, July 2012).*

Status: Y *Moving in the right direction and management is seeking further shift of responsibilities to the field.*

Projects with new risk framework with fast processing (%): Percentage of all projects with an ORAF approved in a fiscal year which processed fast (track 1, AF and ERL) *(Data Source: World Bank system, July 2012).*

Status: Y *Includes new risk management approach.*

Speed of preparation from Concept Note to Approval (months): Number of months between Concept Note review and Board approval for investment lending operations *(Data Source: World Bank staff estimate, July 2012).*

Status: Y *Performance standard: 12 months*

Average cost of preparing a lending project (average, US$): The total accumulated cost from all funding sources (Bank Budget including reimbursables and Bank Executed Trust Funds) for preparing IBRD/IDA projects delivered in each fiscal year divided by the number of projects delivered in the same year *(Data Source: World Bank staff estimates, July 2012).*

Status: G *Faster and more cost effective delivery during crisis.*

Average annual cost supporting project implementation (average, US$): The total cost from all funding sources (Bank Budget including reimbursables and Bank Executed Trust Funds) for supervision of IBRD/IDA portfolio in a fiscal year divided by the number of projects in the portfolio in the same year *(Data Source: World Bank staff estimates, July 2012).*

Status: G *Increase in line with increased attention to implementation support.*

Budget flexibility at the start of the fiscal year (%): Total resources available for re-allocation at the start of the fiscal year expressed as a share of the net administrative budget for the same year. Includes amounts reserved in central contingency accounts and set-aside funds in addition to the +2% flexibility band *(Data Source: World Bank staff estimates, February 2013).*

Status: R *Performance standard: 5*

Support to agriculture and related sectors (average, US$ billion per year): Includes lending commitments of IBRD/IDA and Special Financing only *(Data Source: World Bank data system, July 2012).*

Status: Y *Current 3-year average marginally below the projection.*

Support to sustainable infrastructure (average,US$ billion per year): Lending commitments, including IBRD, IDA, GEF, Recipient Executed Trust Funds and Special Financing *(Data Source: World Bank data system, July 2012).*

Status: G *PCD projections met in fiscal 2011 – see April 2012 Scorecard. Projection estimate is replaced with 'monitored'.*

Support to health, nutrition and population (average, US$ billion per year): Lending commitments of IBRD/IDA only (*Data Source: World Bank data System, July 2012).*

Status: G *PCD projections met.*

Support to education sector (average, US$ billion per year): Lending commitments of IDA only *(Data Source: World Bank data system, July 2012).*

Status: G *PCD projections met.*

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THE WORLD BANK

CORE SECTOR INDICATORS AND DEFINITIONS

PROJECT BENEFICIARIES
ACCESS TO URBAN SERVICES AND HOUSING FOR THE POOR
AGRICULTURE RESEARCH AND EXTENSION
BIODIVERSITY
CONFLICT PREVENTION AND POST-CONFLICT RECONSTRUCTION
EDUCATION
FORESTRY
HEALTH
HYDROPOWER
INFORMATION, COMMUNICATIONS AND TECHNOLOGY (ICT)
IRRIGATION AND DRAINAGE
LAND ADMINISTRATION AND MANAGEMENT
MICRO-AND SMALL/MEDIUM ENTERPRISE FINANCING (MSME)
OTHER RENEWABLE ENERGY
PARTICIPATION AND CIVIC ENGAGEMENT
POLLUTION MANAGEMENT AND ENVIRONMENTAL HEALTH
ROADS AND HIGHWAYS
SANITATION
SOCIAL INCLUSION
SOCIAL PROTECTION
THERMAL POWER GENERATION
TRANSMISSION AND DISTRIBUTION OF ELECTRICITY
WASTEWATER COLLECTION AND TRANSPORTATION
WASTEWATER TREATMENT AND DISPOSAL
WATER SUPPLY

The World Bank
Updated: August 2012

CORE SECTOR INDICATORS AND DEFINITIONS

PROJECT BENEFICIARIES

1. Direct project beneficiaries (number), of which female (percentage)

ACCESS TO URBAN SERVICES AND HOUSING FOR THE POOR

1. People in urban areas provided with access to "Improved Water Sources" under the project (number).
2. People in urban areas provided with access to "Improved Sanitation" under the project (number).
3. People in urban areas provided with access to all-season roads within a 500 meter range under the project (number).
4. People in urban areas provided with access to regular solid waste collection under the project (number).
5. People in urban areas provided with access to electricity under the project by household connections (number).

AGRICULTURE EXTENSION & RESEARCH

1. Technologies demonstrated in the project areas (number)
2. Targeted clients satisfied with agricultural services (percentage)
3. Collaborative research or extension sub-projects under implementation or completed (number)
4. Clients who have adopted an improved agricultural technology promoted by the project (number)
5. Targeted clients who are members of an association (percentage)
6. Client days of training provided (number)

BIODIVERSITY

1. Areas brought under enhanced biodiversity protection (ha)
2. New areas outside protected areas managed as biodiversity-friendly (ha)
3. Marine areas brought under biodiversity protection (ha)
4. Coastline and freshwater under biodiversity protection (km)

CONFLICT PREVENTION AND POST-CONFLICT RECONSTRUCTION

1. People in the project area aware of the project's beneficiary targeting criteria (percentage)
2. Grievances registered related to delivery of project benefits that are actually addressed (percentage)
3. Conflict affected people to whom benefits have been delivered within the first year of project effectiveness (number)
4. Beneficiaries who experience a feeling of greater security attributable to the project in the project areas (percentage)

EDUCATION

1. Primary completion rate (PCR) (MDG2) (Tier 1)
2. Gender parity index (GPI) (MDG3) (Tier 1)
3. Number of additional qualified primary teachers resulting from project interventions (Tier 2)

4. Number of additional classrooms built or rehabilitated at the primary level resulting from project interventions (Tier 2)
5. System for learning assessment at the primary level (rating scale)

FORESTRY

1. Area restored or re/afforested (ha)
2. Forest area brought under management plans (ha)
3. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests (#)
4. People employed in production and processing of forest products (#)
5. Forest users trained (#)
6. Reforms in forest policy, legislation or other regulations supported (Yes/No)
7. Government institutions provided with capacity building support to improve management of forest resources (#)

HEALTH

1. People with access to a basic package of health, nutrition, or reproductive health services (number)
2. Health personnel receiving training (number)
3. Health facilities constructed, renovated, and/or equipped (number)
4. Children immunized (number)
5. Pregnant women receiving antenatal care during a visit to a health provider (number)
6. Births (deliveries) attended by skilled health personnel (number)
7. Pregnant/lactating women, adolescent girls and/or children under age five reached by basic nutrition services (number)
8. Long-lasting insecticide-treated malaria bed nets purchased and/or distributed (number)
9. Total number of condoms purchased and/or distributed (number)
10. People receiving tuberculosis treatment in accordance to the WHO-recommended "Directly Observed Treatment Short Course" (DOTS) (number)

HYDROPOWER

1. Generation Capacity of Hydropower constructed or rehabilitated under the project (MW)

INFORMATION, COMMUNICATIONS AND TECHNOLOGY (ICT)

BM: PUBLIC ADMINISTRATION, INFORMATION AND COMMUNICATIONS

1. Electronic transactions of public services (%)
2. Average processing time for public services (hours)
3. User perception of quality of public services (%)
4. Costs to user for public services (US$)
5. Ratio of public services government revenues over costs (%)

CA: INFORMATION TECHNOLOGY

1. IT/ITES employment (number of people)
2. IT/ITES revenue (US$)
3. Number of manpower trained under the project (number of people)
4. Impact on IT/ITES sector of World Bank technical assistance (composite score: 1 – low impact to 5 – high impact)

CT: TELECOMMUNICATIONS

1. Impact on Telecom sector of World Bank technical assistance (composite score: 1-low impact to 5 –high impact)
2. Access to telephone services (fixed mainlines plus cellular phones per 100 people)
3. Access to internet services (number of subscribers per 100 people)
4. Retail price of internet services (per Mbit/s per Month, in US$)
5. Length of fiber optic network built (km)

IRRIGATION AND DRAINAGE

1. Area provided with irrigation and drainage services (ha)
2. Water users provided with new/improved irrigation and drainage services (number)
3. Operational water user associations created and/or strengthened (number)

LAND ADMINISTRATION AND MANAGEMENT)

1. Target population with use or ownership rights recorded as a result of the project (#)
2. Land parcels with use or ownership rights recorded as a result of the project (#)
3. Target land area with use or ownership rights recorded as a result of the project (ha)
4. Average number of days to complete the recordation of a purchase/sale of a property in the land administration system
5. Land area where sustainable land management practices have been adopted as a result of the project (ha)
6. Land users adopting sustainable land management practices as a result of the project (#).
7. Land area brought under a catchment system as a result of the project (ha)

MICRO-AND SMALL/MEDIUM ENTERPRISE FINANCE (MSME)

VOLUME OF BANK FUNDING FOR MSME FINANCE

1. Volume of Bank Funding: Lines of Credit - Microfinance (amount US$)
2. Volume of Bank Funding: Lines of Credit - SME (amount US$)
3. Volume of Bank Funding: Institutional Development - Microfinance (amount US$)
4. Volume of Bank Funding: Institutional Development – SME (amount US$)
5. Volume of Bank Funding: Enabling Environment – Microfinance (amount US$)
6. Volume of Bank Funding: Enabling Environment – SME (amount US$)

OUTREACH

1. Outstanding Microfinance Loan Portfolio (amount US$)
2. Outstanding SME Loan Portfolio (amount US$)
3. Number of active loan accounts - Microfinance
4. Percentage of active loans to women - Microfinance
5. Number of active loan accounts - SME
6. Number of active micro-savings accounts
7. Percentage of active micro-savings accounts held by women
8. Number of active micro-insurance accounts
9. Percentage of active micro-insurance accounts held by women

PORTFOLIO QUALITY

1. Portfolio at Risk - Microfinance (%)

2. Portfolio at Risk - SME (%)
3. Loans at Risk - Microfinance (%)
4. Annual Loan-loss Rate - Microfinance (%)

FINANCIAL SUSTAINABILITY

1. Return on Assets/Equity (%)
2. Adjusted Return on Assets/Equity (%)
3. Financial Self-Sufficiency (%)

OTHER RENEWABLE ENERGY

1. Generation Capacity of Renewable Energy (other than hydropower) constructed under the project (MW)
2. Generation Capacity of Renewable Energy (other than hydropower) rehabilitated under the project (MW)
3. People provided with access to electricity under the project by household connections- Other Renewable Energy – Off-grid (#)
4. Community electricity connections under the project –Other Renewable Energy – Off-grid (#)

PARTICIPATION AND CIVIC ENGAGEMENT

1. Participants in consultation activities during project implementation (number)
2. Intended beneficiaries that are aware of project information and project supported investments (percentage)
3. Grievances registered related to delivery of project benefits that are actually addressed (percentage)
4. Community contributions in the total project cost (percentage)
5. Sub-projects or investments for which arrangements for community engagement in post-project sustainability and/or operations and maintenance are established (percentage)
6. Beneficiaries that feel project investments reflected their needs (percentage)

POLLUTION MANAGEMENT AND ENVIRONMENTAL HEALTH

1. Particulate matter reduction achieved under the project (microgram/m3)
2. Nutrient load reduction (nitrogen (N)) achieved under the project (tons/year)
3. Volume (mass) of COD pollution load reduction achieved under the project (tons/year)
4. Industrial and municipal waste disposal capacity created under the project (tons)
5. Industrial or municipal solid waste reduced or recycled under the project (tons/year)
6. Contaminated land managed or dump sites closed under the project (ha)
7. Persistent organic pollutants (POPs) and POPs waste destroyed, disposed of or contained in an environmentally sound manner (tons)

ROADS AND HIGHWAYS

1. Roads constructed (km)
   (i) Rural
   (ii) Non-rural

2. Roads rehabilitated (km)
   (i) Rural
   (ii) Non-rural

3. Roads in good and fair condition as a share of total classified roads (percentage)
   (i) Size of the total classified network

4. Share of rural population with access to an all-season road (proportion)
   (i) Number of people with access to an all-season road
5. Average time from ship readiness to unload to final destination for an imported container, on the corridor(s) targeted by the project (days)
   (i) Freight volume measured in TEU in targeted corridor

SANITATION

1. People provided with access to "improved sanitation facilities" under the project (#)
2. Improved latrines constructed under the project (#)
3. People trained to improve hygiene behavior or sanitation practices under the project (#)

SOCIAL INCLUSION

1. Vulnerable and marginalized people in the project area that are aware of project investments and benefits (percentage)
2. Share of vulnerable and marginalized people of the total project beneficiaries (percentage)
3. Representatives in community based decision making and management structures that are from the vulnerable or marginalized beneficiary population (percentage)
4. Vulnerable and marginalized beneficiary population who participate in non-project consultations and decision making forums (percentage)

SOCIAL PROTECTION

1. Beneficiaries of Safety Nets programs (number)
2. Beneficiaries of Labor Market programs (number)

THERMAL POWER GENERATION

1. Generation Capacity of Conventional Generation constructed under the project (MW)

TRANSMISSION AND DISTRIBUTION OF ELECTRICITY

1. Transmission lines constructed or rehabilitated under the project (km)
2. Distribution lines constructed or rehabilitated under the project (km)
3. Average interruption frequency per year in the project area (#)

4. People provided with access to electricity under the project by household connections (#)
5. Community electricity connections under the project -Conventional (#)
6. Electricity losses per year in the project area (%)

WASTEWATER COLLECTION AND TRANSPORTATION

1. People provided with access to "improved sanitation facilities" under the project (#)
2. New household sewer connections constructed under the project (#)

WASTEWATER TREATMENT AND DISPOSAL)

1. Volume (mass) of BOD pollution loads removed by the treatment plant supported under the project (tons/year)

WATER SUPPLY

1. People provided with access to "Improved Water Sources" under the project (number)
2. Improved community water points constructed or rehabilitated under the project (number)
3. New piped household water connections that are resulting from the project intervention (number)
4. Piped household water connections affected by rehabilitation works undertaken under the project (number)
5. Water utilities that the project is supporting (number)
6. Other water service providers that the project is supporting (number)

PROJECT BENEFICIARIES

All projects are encouraged to identify and measure the number of project beneficiaries. The adoption and reporting on this indicator is required for investment projects which have an approval date of July 1, 2009 or later, and projects which have been formally restructured as of July 1, 2009. Such projects should report on the baseline, targets, and actual cumulative total number of project beneficiaries by gender, using the definition laid out below:

1. Direct project beneficiaries (number), of which female (percentage)

DEFINITIONS AND SUPPLEMENTAL DATA

Direct project beneficiaries (number), of which female (percentage)

A 'beneficiary' in the broadest sense is anyone who is benefiting from a project/program. In particular in the context of World Bank-financed operations, direct project beneficiaries are people or groups who directly derive benefits from an intervention (i.e., children who benefit from an immunization program; families that have a new piped water connection).

Based on the assessment and definition of direct project beneficiaries, specify what percentage of the beneficiaries are female.

Guidance Notes

In order to ensure that the interventions are appropriately targeted, the Project Concept Note (PCN) review meeting should discuss the scope of the project, and the intended likely direct beneficiaries of the project/program activities. Task Teams and their counterparts will then be able to refine the beneficiary estimates during project preparation and to define the baseline, annual and end-of-project targets. The design of the monitoring and evaluation system and arrangements should include the collection of data on this indicator. During implementation, data should be provided on the estimated actual number of project direct beneficiaries (and what percentage are female).

ACCESS TO URBAN SERVICES AND HOUSING FOR THE POOR

World Bank interventions in this subsector aim at improving the living conditions of the urban poor. These interventions are expected to contribute to improved health outcomes as a result of better access to improved water and sanitation services and better solid waste collection, improved access to transport, jobs, and income generating activities through roads and road improvements which allow vehicles to access to low income communities, and improved electrification and affordability through electricity connections.

Data for the reporting of core indicators is expected to come from TTL estimates based on project monitoring data on outputs. To determine the number of people receiving a service, there may be some estimation required. Details on the definitions are included below. For all estimates, TTLs are requested to include some documentation on the approach used and any assumptions used to calculate estimates in the comments section of the indicator when data is entered in the ISR.

Projects that have Access to Urban Services and Housing for the Poor (Theme 71) among their sector and theme codes should report data on the following Core Indicators, with the definitions laid out below:

1. People in urban areas provided with access to "Improved Water Sources" under the project (number).
2. People in urban areas provided with access to "Improved Sanitation" under the project (number).
3. People in urban areas provided with access to all-season roads within a 500 meter range under the project (number).
4. People in urban areas provided with access to regular solid waste collection under the project (number).
5. People in urban areas provided with access to electricity under the project by household connections (number).

Definitions and Supplemental Requirements

1. People in urban areas provided with access to "Improved Water Sources" under the project (number)

Access to water is consistent with the definition used in the World Bank water supply sector. This indicator measures the actual cumulative number of people in urban areas who benefited from improved water supply services that have been constructed under the project. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people in urban areas provided with access to 'Improved Water Sources' under the project.

Guidance on "Improved Water Sources": "Improved Water Sources" include piped household connections (house or yard connections), public standpipe, boreholes, protected dug well, protected spring and rainwater collection. Hence, "Improved Water Sources" do not include, inter alia, water provided through tanker truck, or vendor, unprotected well, unprotected spring, surface water (river, pond, dam, lake, stream, irrigation channel), or bottled water. The definition of what is considered an 'improved water source'

follows the UNICEF-WHO Joint Monitoring Program definition. Note that "Improved Water Sources" does not refer to the question of new versus rehabilitated water sources, but is the standard definition used to track progress on the Millennium Development Goals.

Guidance on people with access: The data on the number of people provided with access can be estimated by TTLs by multiplying i) the actual number of piped connections with an estimate of the number of people per household connection; and/or ii) the actual number of community water points with an estimate of the number of people per community water point. The assumptions made regarding number of people per connection made should be carefully documented in the 'comments' section of the indicator when data is entered in the ISR.

Guidance on urban classification: The classification of urban areas should follow the official definition used in the country.

2. People in urban areas provided with access to "Improved Sanitation" under the project (number)

Access to sanitation is consistent with the definition used in the World Bank sanitation/sewerage sector. This indicator measures the actual cumulative number of people in urban areas who benefited from improved sanitation facilities that have been constructed under the project. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people in urban areas provided with access to 'Improved Sanitation' under the project.

Guidance on "Improved Sanitation Facilities": Improved sanitation facilities include flush/pour-flush into a piped sewer system, septic tank or pit latrine, VIP latrine, pit latrine with slab, composting toilet. Hence, "improved sanitation facilities" do not include, inter alia, flush/pour-flush toilets to elsewhere (i.e., not to a sewer network, septic tank or pit latrine), bucket, hanging toilet/latrine, public facility, a shared improved facility, or no facilities, bush or field (i.e. open defecation).The definition of what is considered an 'improved sanitation facility' follows the UNICEF-WHO Joint Monitoring Program definition. Note that "improved sanitation facilities" do not refer to the question of new versus rehabilitated sanitation facilities, but is the standard definition used to track progress on the Millennium Development Goals.

Guidance on people with access: The data about the number of people with access can be estimated by TTLs by multiplying the actual number of improved sanitation facilities with an estimate of the number of people per household using the improved sanitation facility. The assumptions made regarding number of people per sanitation facility should be carefully documented in the 'comments' section of the indicator when data is entered in the ISR.

Guidance on urban classification: The classification of urban areas should follow the official definition used in the country.

3. People in urban areas provided with access to all-season roads within a 500 meter range under the project (number).

All-season road is defined as a road that is motorable all year by the prevailing means of transport (e.g. a car, fire truck or ambulance which may not have four-wheel-drive). Predictable interruptions of short duration during inclement weather (e.g. heavy rainfall) are acceptable, particularly on low volume roads. Road access in slums often does not exist and presents additional risks to residents in the case of emergencies as ambulances or fire trucks cannot enter. It also reduces ability for home based income generating activity as it is difficult to bring goods and supplies in and out without road access.

Guidance on people with access: The data on the cumulative number of people provided with access will come from estimates by TTLs, and can be measured by assessing the kilometers of roads constructed or rehabilitated, and estimates of the population in the project area within a 500 meter range that will access these roads (based on population density estimates). 500 meters is roughly equivalent to 5-10 minutes walking time. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people in urban areas provided with access to all-season road within a 500 meter range under the project.

Guidance on urban classification: The classification of urban areas should follow the official definition used in the country.

4. People in urban areas provided with access to regular solid waste collection under the project (number)

Collection of solid waste (household and commercial) includes not only the gathering of solid waste and recyclable materials, but also the transport of these materials, after collection, to the location where the collection vehicle is emptied. This location may be a materials processing facility, a transfer station or a landfill disposal site. Industrial hazardous waste is not included. **Regular** collection refers to periodic intervals, in most cases weekly, but this could be more frequent depending on the volume and weather conditions.

Guidance on people with access: The data on the cumulative number of people provided with access to solid waste collection will come from estimates by TTLs based on improvements made within the project related to solid waste collection. Where service collection is introduced, estimates on the number of people using these services will be made. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people in urban areas provided with access to regular solid waste collection under the project.
Guidance on urban classification: The classification of urban areas should follow the official definition used in the country.

5. People in urban areas provided with access to electricity under the project by household connections (number)

Access to electricity is consistent with the definition used in the World Bank energy sector. This indicator measures the cumulative number of people in urban areas that have received an electricity connection under the project via new connections aimed at connecting households. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people in urban areas provided with access to electricity under the project.

Guidance on people with electricity connection: The data on the number of people provided with electricity connections can be approximated by multiplying the actual number of household connections with an estimate of the average household size.

Guidance on type of connection: In urban areas access will be provided through grid connections. A grid connection is when electricity is being supplied by a distribution network served by the country or region's interconnected transmission system.

Guidance on urban classification: The classification of urban areas should follow the official definition used in the country.

AGRICULTURE EXTENSION AND RESEARCH

Projects that have Agriculture Research and Extension (AB) among their sector codes should report data on the following indicators, with the definitions laid out below:

1. Technologies demonstrated in the project areas (number)
2. Targeted clients satisfied with agricultural and rural advisory services (percentage)
3. Collaborative research or extension sub-projects under implementation or completed (number)
4. Clients who have adopted an improved agricultural technology promoted by the project (number)
5. Targeted clients who are members of a formal association (percentage)
6. Client days of training provided (number)

Definitions and Supplemental Requirements

1. Technologies demonstrated in project areas (number)

This indicator measures the number of unique technologies demonstrated by the project. It is expected that the baseline value for this indicator will be zero.

Guidance on "technologies": The term technology includes a change in practices compared to currently used practices or technologies (seed preparation, planting time, feeding schedule, feeding ingredients, post-harvest, storage, processing, etc). If one specific technology is demonstrated in more than one location in the project area, it will count as one technology. If the project introduced or promotes a technology package in which the benefit depends on the application of the entire package (e.g., a combination of inputs such as a new variety and advice on agronomic practices such as soil preparation, changes in seeding time, fertilizer schedule, plant protection, etc) – this will count as one technology.

Guidance on "demonstrated": Includes advice given or demonstrated by producer organizations, cooperatives, extension service, innovative farmers, research organizations, community organizations, etc. Technologies can be demonstrated during field days, farmer to farmer learning events, at formal or informal training courses, as part of vocational or academic training etc. The demonstrations can be targeted at farmers or at extension agents, community representatives, researchers, etc.

2. Targeted clients satisfied with agricultural and rural advisory services (percentage)

This indicator measures the percentage of clients who expressed satisfaction with the agricultural and rural advisory services (including agribusiness services) provided in the project areas based on formal or informal surveys. It is expected that a survey to measure this indicator is carried out at appropriate intervals throughout the project, as well as at the end of the project. The sample size should be representative of the total number of clients.

It is expected that the baseline value for this indicator will be zero.

Guidance on "clients": farmers or members of a business (disaggregated by men and women) targeted by the project.

Guidance on "agricultural services": includes services provided under the project by producer organizations, cooperatives, extension service, agro dealers, NGOs, CBOs

Supplemental data required (mandatory)

- Targeted clients satisfied with agricultural services – male (number)
- Targeted clients satisfied with agricultural services –female (number)
- Targeted clients of agriculture services - male (number)
- Targeted clients of agriculture services – female (number)

3. Collaborative research or extension sub-projects under implementation or completed (number)

This indicator measures the number of formal collaborative research or extension sub-projects under implementation or completed. This data aggregated across projects and over time will show the growth in formal collaboration between the public sector/government driven research and/or extension systems, with the private sector and/or other non-governmental providers of extension services and/or of agricultural research. This does not include informal partnership agreements between the project and partner organizations.

It is expected that the baseline value for this indicator will be zero.

Guidance on "collaborative sub-projects": Individual projects on research or extension, funded by matching grants, research grant scheme or other contractual arrangements as part of project activities. This does not include informal partnership agreements between the project and partner organizations.

Guidance on "under implementation": A collaborative sub-project for which a contractual arrangement has been established. To avoid the risk of double counting, once projects have been completed, they should be reflected as completed and not under implementation.

Breakdown data required (mandatory):

- Grant funded research or extension sub-projects - under implementation (number)
- Grant funded research or extension sub-projects - completed (number)

4. Clients who have adopted an improved agricultural technology promoted by the project (number)

This indicator measures the number of clients of the project who have adopted an improved agricultural technology promoted by the project.

It is expected that the baseline value for this indicator will be zero.

Guidance on adoption: a change of practice or change in use of a technology that was introduced/promoted by the project

Guidance on "technologies": The term technology includes a change in practices compared to currently used practices or technologies (seed preparation, planting time, feeding schedule, feeding ingredients, post-harvest, storage, processing, etc). If the project introduced or promotes a technology package in which the benefit depends on the application of the entire package (e.g., a combination of inputs such as a new variety and advice on agronomic practices such as soil preparation, changes in seeding time, fertilizer schedule, plant protection, etc) – this will count as one technology.

Guidance on "clients" - farmers or members of a business (disaggregated by men and women) targeted by the project.

Breakdown data required (mandatory):

- Clients who have adopted an improved agricultural technology promoted by the project - female (number)

5. Targeted clients who are members of an association (percentage)

This indicator measures the share of clients (may include farmers or members of a business) who have become members of a relevant association as a result of project activities.

In case of a new association, the baseline value will be zero. In case of an existing association, the baseline will be the share of clients who are already members of the association.

Guidance on "association": Includes formal producer associations, cooperatives, water user associations, business associations, etc, which either existed in the project area before the project started, or were created under the project.

Guidance on 'formal' association: a formal association is defined as keeping a list of its members, requires the payment of member fees or member contributions.

Guidance on "members": A client who is formally registered as a member of a formal association.

Supplemental data required (mandatory)

- Targeted clients who are members of an association – male (number)
- Targeted clients who are members of an association –female (number)
- Targeted clients - male (number)
- Targeted clients – female (number)

6. Client days of training provided (number)

This indicator measures the number of client days of training provided i.e. the number of clients who completed training multiplied by the duration of training expressed in days.

It is expected that the baseline value for this indicator will be zero.

Guidance on "clients": Includes scientists, extension agents, agro-dealers, farmers, community members, business owners, etc, to be defined by the project.

Guidance on "trained": Any training organized or provided by the project (formal or informal training degree and non-degree courses, vocational, on the job training, field demonstrations, study tours, etc), completed by a client.

Guidance on 'days": may include aggregating partial days/hours to full client days

Breakdown data required (mandatory)

- Client days of training provided – female (number)

BIODIVERSITY

Projects that have Biodiversity (Theme 80) among their theme codes should report data on the following Core Indicators, with the definitions laid out below:

1. Areas brought under enhanced biodiversity protection (ha)
2. New areas outside protected areas managed as biodiversity-friendly (ha)
3. Marine areas brought under biodiversity protection (ha)
4. Coastline and freshwater under biodiversity protection (km)

Definitions and Supplemental Requirements

1. Areas brought under enhanced biodiversity protection (ha)

This is a proxy indicator that measures biodiversity protection as a result of the World Bank operation through formally converting an area into a protected area and establishing a functioning management system; or, improving the management system of an existing protected area.

The baseline for this indicator is zero. When reporting on this indicator the progress is equal to the cumulative number of hectares with enhanced protection since the beginning of the operation.

Guidance on "enhanced biodiversity protection": Enhanced biodiversity protection results from the establishment or upgrading of a functioning management system in protected areas. A functioning management system includes a management plan and the capacity and resources to implement the plan to achieve the area's biodiversity protection goals. A functioning management system can operate at a basic and a highly functioning level.

- In a *basic functioning management system* the management plan, resources and capacities are established at a minimal level to achieve the area's biodiversity protection goals.

- In a *highly functioning management system* the management plan, resources and capacities available in a protected area are beyond the minimal level to achieve the area's biodiversity protection goals.

To verify the existence of a management system and the functioning level thereof, the score that results from completing the Assessment Form of *Section II: Management Effectiveness Tracking Tool for Protected Areas* of *Objective 1: Catalyzing Sustainability of Protected Area Systems* in the GEF's *Tracking Tool for Biodiversity Projects*[1] is used, as follows:

- If the actual total score for a protected area represents 35% or less of the total possible score, the protected area *does not have a functioning management system*;

[1] http://www.thegef.org/gef/node/4465

- If the actual total score is in between 35% and 75% of the total possible score, the protected area has an *basic functioning management system*; and,

- If the actual total score represents 75% or more of the total possible score, the protected area has a *highly functioning management system.*

The *total possible score* is calculated by answering the Assessment Form that comprises 30 questions. However, not all the questions will be applicable to every protected area because only those questions about actual threats to biodiversity in a particular protected area should be included in the Form. Questions about threats to biodiversity that are not present or applicable to an area should be excluded from the Form. Consequently, the *total possible score* is specific to a protected area. It is calculated by adding the highest score corresponding to each question of all applicable questions of the Form.

For the purposes of this indicator the number of hectares recorded under enhanced biodiversity protection is calculated as follows:

- The *number of gazette hectares* when

    - The World Bank operation gazettes a new protected area or expands an existing protected area and the protected area includes a functioning management system.
    - The World Bank operation that supports an existing protected area moves the score of the tracking tool to a higher level (from not having a functioning management system to having a basic or a highly functioning system; or, from a basic to a highly functioning system).

- The *aggregated number of gazette hectares across all protected areas* where biodiversity protection was enhanced (as defined above) in more than one protected area with the support of the World Bank operation.

Guidance on "protected area": What constitutes a 'protected area' follows the International Union for Conservation of Nature (IUCN) definition of *"A clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values".* For the purposes of this indicator, a protected area can also include a *community conservation area* that is an area of community land designated as a protected area.

2. New areas outside protected areas managed as biodiversity-friendly (ha)

This indicator measures the number of terrestrial hectares outside protected areas where, as a result of the World Bank operation, the site is managed at least in part to obtain biodiversity gains.

The baseline for this indicator is zero. When reporting on this indicator the progress is equal to the cumulative number of hectares of new areas outside protected areas managed as biodiversity-friendly since the beginning of the operation.

Guidance on "biodiversity-friendly management": An area defined as biodiversity-friendly complies with social and environmental standards in a way that respects civil and indigenous rights, maintains or enhances social and environmental conservation values, prohibits highly hazardous pesticides and invasive planting, and harvesting must meet national laws and international treaties on biodiversity signed by the country in which the site is located.

There are two alternative ways to identify biodiversity-friendly areas:

(i) *Areas under a sustainable Natural Resource Management (NRM) Agreement*. A sustainable NRM agreement is a signed, witnessed and disclosed document that explicitly articulates the environmental and/or conservation land management practices that will be applied at a particular site which is not a protected area (production landscape). These practices can be site-based or can be targeted at a threat (e.g. grazing management practices to diminish the impact of grazing on biodiversity). Sustainable NRM agreements are entered into between the public sector and civil society/community groups on public land, between the private sector and civil society/community groups on private land, or between civil society and community groups on community land (e.g., forest or mining concessions).
(ii) *Areas under Certification.* Certification, for timber, non-timber forest products, agriculture or livestock, is possible through both international schemes and national/sub-national programs[2]. Any program, under which hectares are certified must be credible, independently verified and developed using a multi-stakeholder dialogue.

3. Marine areas brought under biodiversity protection (ha)

This is a proxy indicator that measures marine biodiversity protection as a result of the World Bank operation through either formally gazetting an area as a marine protected area or limiting access to an area for fishing either through the introduction of a quota or licensing system or by introducing seasonal or species closures. The baseline for this indicator is zero. When reporting on this indicator the progress is equal to the cumulative number of hectares of marine areas brought under biodiversity protection since the beginning of the operation.

Guidance on "marine protected area": What constitutes a 'marine protected area' follows the International Union for Conservation of Nature (IUCN) definition of *" Any area of intertidal or sub-tidal terrain, together with its overlying water and associated flora, fauna, historical and cultural features, which has been reserved by law or other effective means to protect part or all of the enclosed environment".* For the purposes of this indicator, a marine protected area can also include a *community conservation area* that is an area of community seascape that is designated as a protected area.

Guidance on "limited-access fisheries": In limited-access fisheries, fishing is limited to individuals or groups through licenses or quotas, or an area is closed to fishing for a particular time-bound period or a particular species. A license gives its holder the right to harvest fish in a fishery. A quota is a system that assigns rights to harvest a limited amount of fish from a fishery. License and quota holders can be individuals, companies, cooperatives or associations. Licenses and quotas should be registered in a registry established by law or by a regulatory instrument. An area temporarily or permanently closed for a period or to fishing for a particular species must also be officially registered by law or other regulatory instrument.

4. Coastline and freshwater brought under biodiversity protection (km)

This indicator measures the kilometers of coastline, river or other freshwater resource that, because of the World Bank operation, are under a conservation agreement or a zoning restriction that includes biodiversity objectives.

[2] Among other sources, a non-exhaustive list of international certification programs can be found at http://bankofnaturalcapital.com/2010/10/23/certification-and-businesses ; http://www.isealalliance.org/code ; or, http://www.yale.edu/forestcertification/links.html

If the coastline, river or other freshwater resource are included in a terrestrial or marine protected area that are covered by indicators 'areas brought under enhanced biodiversity protection' or 'marine areas brought under biodiversity protection', this indicator should not be used to avoid double counting.

The baseline for this indicator is zero. When reporting on this indicator the progress is equal to the cumulative number of kilometers of coastline and freshwater brought under biodiversity protection since the beginning of the operation.

Guidance on "conservation agreement": A conservation agreement to protect a coastline, river or freshwater resource is a signed, witnessed, disclosed document that explicitly articulates the biodiversity-friendly land conservation and water management practices that will be applied along a coastline, section of a river or freshwater body such as a lake. Formal conservation agreements are entered into between public sector and civil society/community groups on public land, between the private sector and civil society/community groups on private land, or between civil society and community groups on community land.

Guidance on "zoning restriction": This refers to any site subject to a zoning plan or law that includes, at least in part, restrictions based on avoiding biodiversity loss.

Guidance on "kilometers of coastline, river or freshwater ": This should reflect the straight line between the end-points of the coastline, river or freshwater resource under protection, or the straight line between the geographical center points of the areas referred to in the conservation agreement.

CONFLICT PREVENTION AND POST-CONFLICT RECONSTRUCTION

Projects that have Conflict Prevention and Post-Conflict Reconstruction (Theme 58) among their theme codes should report data on the following indicators, with the definitions laid out below:

1. People in the project area aware of the project's beneficiary targeting criteria (percentage)
2. Grievances registered related to delivery of project benefits that are actually addressed (percentage)
3. Conflict affected people to whom benefits have been delivered within the first year of project effectiveness (number)
4. Beneficiaries who experience a feeling of greater security attributable to the project in the project areas (percentage)

Definitions and Supplemental Requirements

1. People in the project area aware of the project's beneficiary targeting criteria (percentage)

This indicator measures the degree to which the project has been effective in communicating targeting criteria to men and women in the project area.
It is expected that the baseline value for this indicator will be zero.

Guidance:
Full understanding of targeting strategies and eligibility criteria is important in post-conflict environments where social tensions exist and perceptions of unfair exclusion can undermine fragile peace. Different projects will adopt different techniques for communicating eligibility and targeting strategies (information campaigns, public meetings, public address systems, community consultations etc). This indicator may be measured regardless of the kinds of information dissemination activities that have taken place.

- Survey techniques will be needed to assess the percentage of the male and female population in the project area that demonstrates meaningful knowledge of project targeting criteria. The survey would be designed to distinguish those who have simply heard something about the project from those who have received sufficient information to adequately understand who is eligible and who is not. An effective survey is likely to require several questions to give a full picture of awareness levels, but should include one question that allows the task team to make the statement: "*x percent of the local male and female population in the project area was able to correctly identify eligibility criteria".*
- It is assumed that it is desirable for both intended beneficiaries and non-beneficiaries understand eligibility criteria correctly and that both should be included in the sample**.**
- To calculate the percentage, TTLs will be expected to use available data sources to estimate the total population (denominator) understanding that, in conflict affected areas, these estimates may have significant errors.
- Surveys conducted to monitor community awareness of project benefits should be sampled to be representative of the local population in the project area, including both intended beneficiaries and non-

beneficiaries. Larger samples might be needed if project management needs to track the awareness levels by gender, by ethnicity/language group, geography etc. The TTL should report on the results of the latest survey to reflect the cumulative number of people aware of the project's beneficiary targeting criteria.

- Aggregation across projects requires that project level surveys contain some identical questions, though the targeting criteria may differ across projects. These questions might include:
    - *are you eligible for benefits under [name] activity?[yes/no]*
    - *if yes, why are you eligible? [respondent gives unprompted response against pre-coded list of different possible eligibility criteria]*
    - *if no, why are you excluded? [respondent gives unprompted response against pre-coded list of different possible exclusion criteria]*
    - *note: the survey should gather information that allows cross-checking of whether or not respondent is eligible or ineligible.*

Supplemental data required (Mandatory):

Please provide the following supplemental information for aggregation across projects/ countries. Kindly note that the information requested is for the total number of intended beneficiaries and non-beneficiaries in the project area, and not just the people surveyed.

- People in project area that are aware of the project's beneficiary targeting criteria – female (number)
- People in project area that are aware of the project's beneficiary targeting criteria – male (number)
- Intended beneficiaries and non-beneficiaries in the projects area - female (number)
- Intended beneficiaries and non-beneficiaries in the projects area - male (number)

2. Grievances registered related to delivery of project benefits that are actually addressed (percentage)

This indicator measures the transparency and accountability mechanisms established by the project so the target beneficiaries have trust in the process and are willing to participate, and feel that their grievances are attended to promptly. It is understood that local sensitivities and tensions will not allow grievance or redress mechanisms to be established in all projects.
It is expected that the baseline value for this indicator will be zero.

Guidance:
Communities have information about the project and are fully aware of the project processes, are aware of the grievance redress mechanisms put in place including the response time; as that any conflict or disputes they take to the mechanisms is resolved within the appropriate time.

- It is expected that there will be a project-level definition of a grievance mechanism in situations where this indicator is relevant.
- Where grievance or redress mechanisms have been established, project monitoring systems should usefully provide information on (a) the number of complaints made and (b) the number of these complaints that are resolved. This indicator will be a simple percentage of these two numbers, allowing projects to make a statement such as *"x percent of complaints received through project redress mechanisms were resolved".* This means that if 100 people complain about the same single project defect, and then this one defect gets repaired then the numerator value is 100 and indicator value will be 100 percent.
- Further information, for example that captures the nature of complaints, or complainants' satisfaction with the outcome, or the ease with which complaints may be filed, will also be of use to project management. These measures are beyond the scope of this indicator.

- This measure should be easily aggregated within a project. It can also be aggregated across projects, recognizing that different redress mechanisms may be in place in different projects.

Supplemental data required (Mandatory):

Please provide the value of the numerator for aggregation across projects/ countries

- Grievances related to delivery of project benefits that are addressed-(number)

3. Conflict affected people to whom benefits have been delivered within the first year of project effectiveness (number)

This indicator measures the number of men and women reached through investments within the first year of the projects implementation cycle in different communities. This reflects the conflict-responsiveness and participatory nature of the project.
It is expected that the baseline value for this indicator will be zero.

Guidance:

This indicator recognizes the need for quick delivery of benefits in post-conflict and conflict-reconstruction activities. It is understood that this is important in instilling hope and faith in communities that have experienced conflict. The indicator captures the ability of the project staff to mobilize the community, to facilitate a planning process that brings together all the social groups and delivers benefits to them. This indicator should only be measured at the end of first year of the project. Projects for post-conflict reconstruction and conflict prevention are likely to be highly context-specific. Criteria for defining "conflict affected" people will vary between countries and within countries. This indicator assumes there is a project-level definition of people who are conflict affected and measures the effectiveness of project outreach to those people using the project definition.

- The number of male and female beneficiaries from project investments will be tracked through project management information systems.
- The indicator would include men and women both using project outputs and men and women with access to these outputs (even if they have not used the services so far).
- Monitoring systems will need to include relevant information or identifiers about project beneficiaries that allow analysts to identify which beneficiaries are "conflict affected" using project definitions. It will also require information about the gender of beneficiaries. A more meaningful analysis at project level will require identifiers for ethnicity, language group, location, religion, social group, age, administrative/registration status or other categories.
- This should be straightforward to aggregate within a project. It should also be possible to aggregate across projects though the definition of who is "conflict affected" may vary across projects.

Breakdown data required (Mandatory)

- Conflict affected people to whom benefits have been delivered within the first year of project effectiveness –female (number)

4. Beneficiaries who experience a feeling of greater security attributable to the project in the project areas (percentage)

This indicator is considered a useful outcome indicator and will measure the projects contribution to the stabilization of the environment in which people live.
It is expected that the baseline value for this indicator will be zero.

Guidance:
This indicator is intended to measure the project's contribution to a reduction in the sense of fear, to a reduction in the incidents of conflict and violence and to an improvement in social cohesion.

- Survey techniques will be needed to establish perceptions of security levels before the project, during implementation and after the end of the project. Attribution to project activities will be complicated and may require randomized trials for resettled populations to establish a counterfactual and to exclude the possibility that non-project factors are leading to an improvement (or deterioration) in perceptions of security levels. The survey would need to be adjusted to the context, but should seek to provide estimates that can substantiate the following statement: *"x percent of the local male and female populations expressed an improvement in the sense of security after y years of project activity".* It is expected that the survey will be conducted towards the end of the project.
- A post-intervention survey would include a question that allows respondents' own analysis of change, for example, "*compared with the situation [x] years ago, how would you assess the level of physical security? [much worse, worse, same, better, much better].*
- Additional questions in the survey *could include questions that measure increased mobility, reintegration of displaced people and access to reconstruction benefits.*
- A project beneficiary is anyone who is benefiting from a project/program.

Supplemental data required (Mandatory)

Please provide the following information for aggregation across projects/ countries. Kindly note that the information requested is for the total number of beneficiaries who experience a feeling of greater security in the project area, and not just the people surveyed.

- Beneficiaries who experience a feeling of greater security attributable to the project in the project areas – female (number)
- Beneficiaries who experience a feeling of greater security attributable to the project in the project areas – male (number)
- Total beneficiaries – female (number)
- Total beneficiaries – male (number)

EDUCATION

Projects that have Primary Education (EP) and/or General Education (EZ) among their sector codes should report data on the following Core Indicators, with the definitions laid out below:

1. Primary completion rate (PCR) (MDG2) (Tier 1)
2. Gender parity index (GPI) (MDG3) (Tier 1)
3. Number of additional qualified primary teachers resulting from project interventions (Tier 2)
4. Number of additional classrooms built or rehabilitated at the primary level resulting from project interventions (Tier 2)
5. System for learning assessment at the primary level (rating scale)

TTLs are urged before entering the ISR form to input the data, to:

(i) Review the FAQs
(ii) Read the Guidelines and think through the inputs

Table 1. Education Core Indicators for IDA Results Monitoring - Revised, July 22, 2009

	Objective	Indicator	Indicator definition	IDA[3]
1	**Access**	Primary completion rate (PCR) (MDG2)	Primary completion rate is the total number of students regardless of age in the last grade of primary school, minus the number of repeaters in that grade, divided by the number of children of official age for completing primary level **Note: Data for this indicator is not captured in the ISR**	Tier 1
2	**Equity**	Gender parity index (GPI) (MDG3)	Gender parity index (GPI) is the ratio of female enrollment to male enrollment at the selected educational level, primary or secondary **Note: Data for this indicator is not captured in the ISR**	Tier 1
3	**Learning**	**Number of additional qualified primary teachers resulting from project interventions**	The number of additional qualified primary teachers through the Bank-funded program.	Tier 2
4	**Access**	**Number of additional classrooms built or rehabilitated at the primary level resulting from project interventions**	The number of additional classrooms constructed or rehabilitated at the primary level through the Bank-funded program.	Tier 2

[3] In the IDA Results framework, "Tier 1" refers to country-level results, while "Tier 2" refers to project-related results, intended to capture Bank contribution to country results.

5	**Learning**	System for learning assessment at the primary level (rating scale)	Whether or not the basic elements of a system for learning assessment exist	Tier 1-like

Definitions and Supplemental Requirements

1. Primary completion rate (PCR) (MDG2) (Tier 1)

Task teams do NOT need to input this data into ISRs.

This data may however be viewed by clicking on the following link "PCR EdStats data" and selecting the desired country. This indicator is a "Tier 1" indicator.

For information only: In line with the MDG2 definition, the primary completion rate is defined as the total number of students regardless of age in the last grade of primary school, minus the number of repeaters in that grade, divided by the number of children of official age for completing primary level.

2. Gender parity index (GPI) (MDG3) (Tier 1)

Task teams do NOT need to input this data into ISRs.

This data may however be viewed by clicking on the following link "GPI EdStats data" and selecting the desired country. This indicator is a "Tier 1" indicator.

For information only: In line with the MDG3 definition, the gender parity index of gross enrollment ratio in primary is defined as the ratio of the female-to-male values of the gross enrollment rate in primary education. A GPI of 1 indicates parity between sexes. The gross enrollment rate is defined as the number of pupils (total, male, female) enrolled in primary, regardless of age, expressed as a percentage of the population (total, male, female) in the theoretical age group for primary education.

3. Number of additional qualified primary teachers resulting from project interventions (number)

This indicator measures the number of additional qualified primary teachers through the Bank-funded program. In most cases, it is expected that the baseline value for this indicator will be zero ('0'). The baseline might not be zero, for example, for an additional financing IL operation.
TTLs should report on the progress of this indicator only if it is relevant to the project, that is, if the project aims to reduce the shortfall of qualified teachers at the primary level. If the project includes a primary training component that is not targeted to reduce the number of unqualified teachers, they should not fill out this information.
Please visit the EdStats database to view the shortfall of qualified primary teachers by country.

4. Number of additional classrooms built or rehabilitated at the primary level resulting from project interventions (number)

This indicator measures the number of additional classrooms constructed or rehabilitated at the primary level through the Bank-funded program. In most cases, it is expected that the baseline value for this indicator will be zero ('0'). The baseline might not be zero, for example, for an additional financing IL operation.

TTLs should report on the progress of this indicator only if it is relevant to the project, that is, if the project aims to reduce the shortfall of classrooms at the primary level. Please visit the EdStats database to view the shortfall of classrooms at the primary level by country.

5. System for learning assessment at the primary level

Task teams DO need to input the data into ISRs - see guidance below on how to fill in value and supplemental value fields.

This indicator measures whether the basic elements of a learning assessment system exist at the primary level, and the degree to which that assessment is able to provide useful information for education policy and practice.

This indicator is in "spirit" a Tier 1 indicator, that is, its intent is to capture information for the country as a whole. **As such, TTLs should provide information on this indicator even if their project is *not* funding assessment work.** Insofar as country situations will vary, TTLs are encouraged to use their judgment in providing information that captures learning assessment policy in the country overall; information for an isolated assessment that does not reflect the country's overall approach to learning measurement is not appropriate. Where nationwide information on assessment does not exist, TTLs should use state-level or provincial information if there is a national policy to conduct learning assessment at sub-national levels. **The data for this indicator will come from you, the TTL**. We suggest using Annex 3 in the EFA Global Monitoring Report 2008 by UNESCO[4] as a starting point for identifying assessment exercises that have taken place in your country over the past few years. This annex can be accessed by clicking the following link "National learning assessments by region and country." Please note that this annex contains inaccuracies and should only be used as a rough guide for orienting you to this task. We strongly advise that you check all data with your country counterparts. Data used to establish the baseline for this indicator should be for the most recent relevant assessment activity that took place prior to project approval.

Please follow this two-stage approach in filling out the ISR form:

First stage: You need to determine whether the assessment activity in question meets the minimum criteria for a learning assessment system. At a minimum, an assessment activity should have both of the following characteristics if it is to qualify as a learning assessment:

- The official purpose of the assessment is to measure overall student progress toward agreed system learning goals;
- The assessment is given to a representative sample or census of the target grades or age levels.

If the answer to either of the above criteria is NO, you must enter NO in the Value field for this indicator and 0 as the Supplemental Value. If the answer to both of the above criteria is YES, you must enter YES in the Value field and proceed to the second stage to determine the Supplemental Value.

Second stage: You need to determine the utility of the assessment system. In order for a learning assessment to provide useful information for enhancing student learning in the system, it should possess the following characteristics:

- Data are analyzed and results are reported to education policymakers and/or the public;
- Results are reported for at least one of the following student subgroups: gender, urban/rural, geographic region;

[4]EFA Global Monitoring Report 2008: http://www.unesco.org/en/efareport/reports/2008-mid-term-review/

- The assessment exercise is repeated at least once every 5 years for the same subject area(s) and grade(s).

If the answer to all three of the above criteria is YES, please enter 4 as your Supplemental Value. If the answer to two of the above is YES, please enter 3 as your Supplemental Value. If the answer to only one of the above criteria is YES, please enter 2 as the Supplemental Value. If the answer to each of the above three criteria is NO, please enter 1 as the Supplemental Value.

If you are unsure of the correct response to any of the above statements, please contact your counterparts in the country or **Marguerite Clarke**, HDNED's learning assessment expert, who is the point person for this indicator.

Stage 1

Criteria			
STAGE 1			
• Official purpose of the assessment is to measure overall student progress toward agreed system learning goals	YES	NO on either one of the two criteria	NO
• Assessment is given to a representative sample or census of the target grades or age levels	YES		NO
Value	**YES**	**NO**	**NO**
Supplemental Value		**0**	**0**

Stage 2

Criteria				
STAGE 2				
• Data are analyzed and results are reported to education policymakers and/or the public	NO	YES on any one of the three criteria	YES on any two of the three criteria	YES
• Results are reported for at least one of the following student subgroups: gender, urban/rural, geographic region	NO			YES
• The assessment exercise is repeated at least once every 5 years for the same subject area(s) and grade(s)	NO			YES
Value	**YES**			
Supplemental Value	**1**	**2**	**3**	**4**

FORESTRY

Projects that have "AT – Forestry" among their sector codes should report data on the following Core Sector Indicators, with the definitions laid out below.

1. **Area restored or re/afforested (ha)**
   i. Area restored (ha)
   ii. Area re/afforested (ha)
2. **Forest area brought under management plans (ha)**
3. **People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests (number)**
   i. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests - Female (number)
   ii. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests - Ethnic minority/indigenous people (number)
4. **People employed in production and processing of forest products (number)**
   i. People employed in production and processing of forest products - Female (number)
5. **Forest users trained (number)**
   i. Forest users trained - Female (number)
   ii. Forest users trained - Ethnic minority/indigenous people (number)
6. **Reforms in forest policy, legislation or other regulations supported (Yes/No)**
7. **Government institutions provided with capacity building support to improve management of forest resources (number)**

Definitions and Supplemental Requirements

1. Area restored or re/afforestated (ha)

This indicator measures the land area targeted by the Bank project that has been restored or reforested/afforested.

The baseline value for this indicator is expected to be zero.

Guidance on "Area restored (ha)": This refers to restoration of degraded land where the objective is to have permanent improvement in the capacity of the forestland area to provide environmental, social and economic services, expressed in hectare (ha).[5]

Guidance on "Area re/afforested (ha)": This refers to "establishment of forest through planting, and/or deliberate seeding on land that, until then, was not classified as forest" or "re-establishment of forest through planting and/or deliberate seeding on land classified as forest" [6] expressed in hectare (ha). This can include also assisted natural regeneration, coppicing or other locally appropriate methods.

This indicator does not include areas, which have been cleared during or in anticipation of the project[7]. There are overlaps in definitions and different stages of a project. It is essential that area forested is reported only once.

Breakdown data required (choose at least one)

i. Area restored (ha)
ii. Area re/afforested (ha)

2. Forest brought under management plans (ha)

This indicator measures the forest land area, which, as a result of Bank project, has been brought under a management plan. This indicator includes production and protection forests as well as other forests under sustainable management.[8] To the extent, the area under the management plan is a protected area, please also consider using the indicator 'Areas brought under enhanced biodiversity protection' under the Biodiversity theme (Theme 80).

The baseline value for this indicator is expected to be zero.

Guidance on "forests brought under management plans": total production, protection and other forest areas – but not designated protected areas – for which management plans[9] have been prepared, endorsed and are also in process of implementation¸ expressed in hectare (ha).[10]

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[5] There are several definitions for land restoration: e.g., "Ecological Restoration is the process of assisting the recovery of resilience and adaptive capacity of ecosystems that have been degraded, damaged, or destroyed. Restoration focuses on establishing the composition, structure, pattern, and ecological processes necessary to make terrestrial and aquatic ecosystems sustainable, resilient, and healthy under current and future conditions." (http://www.fs.fed.us/restoration/QandAs.shtml) or "Restoring forest landscapes: Forest landscape restoration aims to re-establish ecological integrity and human well-being in the degraded forest landscapes." (http://cmsdata.iucn.org/downloads/restoring_forest_landscapes.pdf).

[6] As defined by FAO in Forest Resource Assessment 2010.

[7] Ref. OP 4.36 para. 5–7

[8] Forestland classification is based on national definitions.

[9] In the case of management plans for production forests this can be demonstrated, for example by certification of sustainable forest management (for reference, see OP 4.36 para 9 or WWF/World Bank Global Forest Alliance, 2006: Forest Certification Assessment Guide (FCAG): a framework for assessing credible forest certification systems/schemes), or by following relevant FAO guidelines (e.g. FAO, 1998: Guidelines for the management of tropical forests 1. The production of wood, FAO forestry paper 135); for protected areas, IUCN World Commission on Protected Areas Best Practice Guidelines can be used as a reference (e.g. Dudley, Nigel (ed.), 2008: Guidelines for applying protected area management categories, and Thomas, Lee and Middleton, Julie, 2003: Guidelines for Management Planning of Protected Areas.)

[10] If the main objective is to *improve the Forest Department's (or other agencies') capacity to prepare management plans* in general a decision has to be made if this falls under capacity building (Indicator #7: Government institutions

3. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests (number)

Many Bank projects aim at improving the access to forest resources by local forest users. This indicator measures the extent to which local people have seen improved livelihood as a result of the intervention. This may cover both monetary income and non-monetary benefits such as improved and easier access to fuel wood and cultural and spiritual services.

The baseline value for this indicator is expected to be zero. Data must be disaggregated by ethnicity[11] and gender.

Guidance on "People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests (number)": this measure covers the number of people in those targeted forest and adjacent communities that have increased monetary or non-monetary benefits from forests.

This indicator is expected to be monitored through surveys.[12]

Breakdown data required (mandatory)

i. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests - Female (number)
ii. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests - Ethnic minority/indigenous people (number)

4. People employed in production and processing of forest products(number)

Forest product-based value chains provide notable rural employment. This indicator aims at capturing the employment generated by the Bank's forest sector interventions.[13]

The baseline value for this indicator is expected to be zero. Data must be disaggregated by gender.

Guidance on "people employed in production and processing of forest products (number)": This indicator counts the increase in the number of self-employed or employees in enterprises of all sizes that have been established or which have received direct support from the project. This indicator also includes wood production for energy and wood processing further in the forest-based value chains.

This indicator includes both production and processing of forest products, and includes only employees employed for more than 2 months per year (incl. part time amounting to two months total per year)

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provided with capacity building support to improve management of forest resources). This includes also large investments in management planning (e.g. forest inventories). If needed and appropriate, both indicators can be used.

[11] Using national definition in the client country; if not available, definition is to be based on OP 4.10. In exceptional cases, breakdown by ethnicity can be left out if not relevant or nationally identified.

[12] If surveys data is available at *household level*, the number is converted to estimated number of people. This is used by using TTL judgment. If that is not available, WDI estimates are to be used or – as the last resort – an average number of five members per household can be used. It is essential that surveys be designed such that it captures the number of beneficiaries appropriately.

[13] If there is formal employment in Non Timber Forest Product (NTFP) value chains, it should be included. If, on the other hand, NTFP revenues are part of subsistence income, they should be mentioned under CSI #3.

Breakdown data required (mandatory)

i. People employed in production and processing of forest products- Female (number)

5. Forest users trained (number)

Often World Bank projects do not directly invest in the management of specific land or forest areas. Instead, these capacity-building projects aim at strengthening communities to improve forest management and their livelihood.

The expected baseline value for this indicator is zero. Data must be disaggregated by ethnicity[14] and gender.

Guidance on "Forest users trained (number)": This refers to the number of forest users and community members that have received capacity building through training as a result of the project. The concept may need to be adjusted according to local practice or national legislation. Training needs to be targeted to specific audience. General media or public awareness campaigns are not included.

When estimating the number of people trained, it is essential to avoid double counting if same individuals have participated in a series of training events.

The baseline value for this indicator is expected to be zero. Data must be disaggregated by ethnicity and gender.

Breakdown data required (mandatory)

i. Forest users trained - Female (number)
ii. Forest users trained - Ethnic minority/indigenous people[15] (number)

6. Reforms in forest policy, legislation or other regulations supported (Yes/ No)

Some Bank projects aim at supporting reforms of forest policies, forest products trade policies as well as legal and institutional frameworks in client countries. In some federal states, the Bank support to reforms may be delivered at lower, sub-sovereign level[16].

This indicator measures whether a project has supported forest sector reforms. This includes support to revised policies or legal and institutional reforms that have been adopted by the client. It also includes well-defined, time-bound phased action plans that have been launched with the objective of achieving such forest sector reforms. The processes have to be formalized through documented official endorsement. Adoption of reforms can be indicated by approving new legislation or by issuing implementing regulations or decrees. They also have to inclusive and consultative.[17]

[14] Using national definition in the client country, if not available, definition is to be based on OP 4.10.
[15] Using national definition in the client country; if not available, definition is to be based on OP 4.10. In exceptional cases, breakdown by ethnicity can be left out if not relevant or nationally identified.
[16] As defined nationally by countries based on their legislation and institutional structure.
[17] Interpretation needs to be based on national legislation and institutional structure. For an ongoing reform, it is essential that it based on official decision and it has clear mandate to prepare for policy, legislative or institutional changes. General ongoing policy dialogue with stakeholders should not be included. Indicator needs to be aligned with project targets.

The expected baseline value for this indicator is 'No'.

Guidance to TTLs: If the project has launched an action plan to achieve forest sector reforms, TTLs are expected to document the "official endorsement" and the "consultative" and "inclusive" nature of the process in the comments section.

7. Government institutions provided with capacity building support to improve management of forest resources (number)

This indicator covers capacity-building projects aiming at strengthening forest administration institutions and other institutions to deliver services to the forest sector. The targeted institutions may also be outside the forest sector (*sensu stricto*) and they may cover other public institutions or service delivery and law enforcement organizations in the rural landscape. This could include support to the implementation of trade policies during Voluntary Partnership Agreement (VPA) implementation.

The baseline value for this indicator is expected to be zero.

Guidance on "Government institutions provided with capacity building support to improve management of forest resources": This refers to the number of national or sub-national institutions (e.g. forest or environmental departments at national, state or province-level) that have received capacity building as a result of the project. This includes support to training of officials, support to operations, information management or investments in physical infrastructure or other facilities.

If sub-sovereign units[18] are counted separately, it is essential that they have "independence" of each other. As a comparison, if forest policy implementation is piloted in two districts, but they are effectively field organizations for one agency or department, this counts as one institution supported.

[18] As defined nationally by countries based on their legislation and institutional structure.

HEALTH

Projects that have Health (JA) among their sector codes should report data on the following Core Indicators, with the definitions laid out below:

1. People with access to a basic package of health, nutrition, or reproductive health services (number)
2. Health personnel receiving training (number)
3. Health facilities constructed, renovated, and/or equipped (number)
4. Children immunized (number)
5. Pregnant women receiving antenatal care during a visit to a health provider (number)
6. Births (deliveries) attended by skilled health personnel (number)
7. Pregnant/lactating women, adolescent girls and/or children under age five reached by basic nutrition services (number)
8. Long-lasting insecticide-treated malaria bed nets purchased and/or distributed (number)
9. Total number of condoms purchased and/or distributed (number)
10. People receiving tuberculosis treatment in accordance to the WHO-recommended "Directly Observed Treatment Short Course" (DOTS) (number)

Definitions and Supplemental Requirements

1. People with access to a basic package of health, nutrition, or reproductive health services (number)

This indicator measures the cumulative number of people with access to a basic package of health, nutrition and/or reproductive health services under the project. Where multi-function services are provided, health, nutrition, and/or reproductive health services, access should not be counted as separate numbers of people with access to a basic package of services, but one aggregate figure should be estimated to avoid double counting. Access could include physical access (e.g. the creation of new service delivery capacity) as well as financial access. Financial access can be assessed as increased coverage with an organized financing mechanism such as health insurance or removal of financial barrier, such as removal of user fees.

The contents of basic packages of health, nutrition, or reproductive health services are defined by countries, and are therefore not identical, depending on epidemiological contexts, resource capacities, and country priorities. The indicator is the cumulative number of people with access to a defined basic package of health, nutrition, or reproductive health services as a result of, or associated with, World Bank investment. For example, in a specific area or region where Bank-financed activities were creating new access to service delivery, gains in the number of people with access could be attributed to the Bank-financed activities. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required. The baseline for this indicator should be the number having access before the beginning of a Bank-financed project. A "blank" in the baseline means that it is not currently available – in this case, write a comment in the first ISR providing a date by which the baseline will be available. A "zero" in the baseline means that currently no one has access to the basic package, and it would only improve through the Bank project. A value (other than zero and blank) shows the current number of people with access to the basic

package of services. Subsequently, the yearly number of people with access to the basic package through a Bank-financed project will be recorded in the ISR.

2. Health personnel receiving training (number)

This indicator measures the cumulative number of health personnel receiving training through a Bank-financed project.

All types of health workers (including doctors, nurses, midwives, pharmacy staff, and laboratory staff) and health administrators/managers who receive either pre-service or in-service training are included in this indicator. Most training provided through Bank funds will be in-service short to medium duration (e.g., upgrading skills and refresher training). Thus, the aggregate will include training of any duration as long as it involves some type of formal knowledge and skill transfer activity. This could include courses and workshops, e-learning participation, and formal in-service knowledge transfer of short to long term duration. The baseline value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of health personnel receiving training through a Bank-financed project. The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

3. Health facilities constructed, renovated, and/or equipped (number)

This indicator measures the cumulative number of health facilities constructed, renovated and/or equipped through a Bank-financed project.

Countries classify health facilities in many different ways, using criteria such as the type of services provided, the number of different types of interventions, the number of patients served, human resource availability, and others. A standard classification of health facilities is therefore not feasible, and construction, renovation, or equipment of all types of facilities should be included in this indicator. Thus, included are large central hospitals, district hospitals, health centers, dispensaries, or health posts, for inpatient and outpatient care, maternity services, preventive and curative interventions. Equipment of facilities consists of provision of durable goods, thus excluding medical products that are exhausted in the delivery of services, such as medicines, commodities, or vaccines. Medical equipment used in the delivery of diagnostic and treatment services, administration, and record keeping is included. Health facilities should only be counted once when reporting on this indicator (i.e., construction and equipment of a health facility would be counted as one facility being constructed and equipped). The baseline value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of health facilities constructed, renovated and/or equipped through a Bank-financed project. The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

4. Children immunized (number)

This indicator measures the cumulative number of children receiving vaccines purchased through a Bank-financed project, as well as the cumulative number of children immunized with vaccines purchased with other resources (i.e. GAVI or government funds) that are delivered through a Bank-supported program. It captures the number of children immunized and not the number of vaccinations. The Baseline Value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of children immunized through Bank-supported activities. The

cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

The value of the number of children immunized recorded in the ISR will be the larger of the two breakdown indicators described below.

Breakdown indicators:
Breakdown indicators are those that measure a sub-level of an indicator. At least one of the two breakdown indicators below should be chosen.

1. Children immunized - under 12 months against DTP3 (number)
If the Bank financing supports the routine immunization program through health system strengthening activities (e.g. logistics, surveillance, outreach, training of health workers in providing immunization) or the procurement of vaccines, the number of children under one year who have been immunized against DTP3 (ie the third dose of DPT) will be recorded. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required.

2. Children immunized - under 5 years against Polio (number)
If the Bank financing supports the procurement of polio vaccines through the 'buy-down' mechanism, the number of children receiving at least one dose of polio vaccine will be recorded in the ISR.

5. Pregnant women receiving antenatal care during a visit to a health provider (number)

This indicator measures the cumulative number of pregnant women receiving at least one antenatal care visit to a health provider as a result of Bank-financed activities.

This indicator includes at least one visit to a skilled health provider (specialist or non-specialist doctor, midwife, nurse or other health personnel with midwifery skills) for reasons related to pregnancy. Visits to a trained or untrained traditional birth attendant are excluded. In a given calendar year (or any given period) women could have several antenatal care visits. If a pregnant woman has several antenatal care visits, she will be counted only once. Simply tallying the monthly totals of the number of pregnant women receiving antenatal care as recorded in antenatal registers or health management information systems (HMIS), will lead to double counting. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required. The baseline value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of pregnant women receiving antenatal care through a Bank-financed project. The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.
(Note: The terms antenatal care and prenatal care are used interchangeably)

6. Births (deliveries) attended by skilled health personnel (number)

This indicator measures the cumulative number of women who delivered with the assistance of a health provider as a result of Bank-financed activities.

This indicator includes deliveries by a skilled health provider (specialist or non-specialist doctor, midwife, nurse or other health personnel with midwifery skills). Deliveries by trained or untrained traditional birth attendants are excluded. It captures deliveries by skilled health providers either in health facilities or homes of pregnant women. If the Bank-financed activities are mainly at health facilities, the data for this indicator

can be obtained from delivery records or health management information systems (HMIS). If the Bank-financed activities includes supporting skilled health providers to provide home deliveries, efforts should be made to accurately record such home deliveries in addition to the institutional deliveries. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required. The Baseline Value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of pregnant women delivered with the assistance of a health provider through a Bank-financed project. The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

7. Pregnant/lactating women, adolescent girls and/or children under age five-reached by basic nutrition services (number)

This indicator includes total beneficiaries reached by any of the following services: direct feeding programs (supplementary feeding for pregnant and lactating women and infants and young children under age 5 years); programs promoting appropriate infant and young child feeding (e.g., promotion/support for exclusive breastfeeding, adequate and timely introduction of complementary foods); nutrition programs for adolescent girls including nutrition education, micronutrient supplements, etc. delivered through school health/nutrition programs or other programs reaching adolescent girls; provision of micronutrient supplements to pregnant/lactating women and children under five including vitamin A, iodine, iron/iron folic acid, supplemental zinc and multiple micronutrient powders; food fortification (e.g., iodized salt); deworming; monitoring of nutritional status; nutrition and food hygiene education; nutrition components of early childhood development programs, home gardens and small livestock production for improved dietary diversity; targeted emergency food aid and treatment of severe acute and moderate acute malnutrition.

Given that the same individuals could receive more than one of the above services (e.g., vitamin A and deworming), they should be counted once to avoid double counting. Data should be collected on an annual basis.

The baseline value for this indicator will be zero ('0'). Subsequently, the yearly number of people receiving basic nutrition services through a Bank-financed project will be recorded in the ISR.

Breakdown indicators:
Breakdown indicators are those that measure a sub-level of an indicator. At least one of the indicators below should be chosen. "Pregnant/lactating women, adolescent girls and/or children under age five reached by basic nutrition services (numbers)" will be the highest number (value) of the five breakdown indicators described below. For instance, if the number of children getting the dose of vitamin A is the highest among the five breakdown indicators then the main indicator would be equal to the number of children getting the dose of vitamin A. The main indicator should not be the sum of the breakdown indicators since that may lead to duplicate counting. If a project supports nutrition services for any of the breakdown indicators, baselines and targets are required.

1-Children between the age of 6 and 59 months receiving Vitamin A supplementation (number)
The Vitamin A indicator measures the cumulative number of children (between the ages of 6 and 59 months) receiving a dose of vitamin A within a six month period, purchased with Bank-financed project funds, as well as the number of children who receive a dose of vitamin A purchased with other resources that are distributed through a Bank-supported program in the previous six months. This indicator is collected once annually.

2-Pregnant women receiving iron and folic acid (IFA) supplements (number)
This indicator measures the cumulative number of pregnant women receiving IFA supplements through a Bank-supported point of service contact (for example, during antenatal care services) or with Bank-funded IFA commodities distributed in a Bank-funded or non-Bank funded program over a 12 month period.

3-Children under the age of 24 months benefiting from improved infant and young child feeding (IYCF) practices (number)
This indicator measures the cumulative number of children under the age of 24 months reached by Bank-supported programs designed to change/improve infant and young child feeding practices (e.g., counseling of pregnant women on optimal infant feeding during antenatal care contacts; Child Health Day education sessions for improved complementary feeding; mother-to-mother support groups for breastfeeding; food preparation demonstration for complementary feeding at early childhood development centers, etc.) over a 12 month period.

4-Children under age five treated for moderate or severe acute malnutrition (number)
This indicator measures the number of children under age five receiving treatment, including ready-to-use therapeutic food (RUTF), ready-to-use supplementary food (RUSF), ready-to-use food (RUF) and improved dry rations, for moderate acute malnutrition (MAM) or severe acute malnutrition (SAM) through Bank-supported programs and/or with Bank-purchased commodities over a 12 month period.

5-Pregnant/lactating women, adolescent girls and/or children under age five- reached by basic nutrition services – Others (specify)
This indicator would measure any other nutrition services that are not captured in the four choices above, including those services that target prevention and treatment of overweight or obesity. A description of the type of nutrition services reported on is required and should be entered under the comments in the ISR when reporting on the indicator

8. Long-lasting insecticide-treated malaria bed nets purchased and/or distributed (number)

This indicator measures the cumulative number of long-lasting insecticidal nets (LLINs) effective against local malaria transmitting mosquitoes that have been purchased with Bank-financed project funds, as well as the number of LLINs purchased with other resources that are distributed through a Bank-supported program. When LLINs are both purchased and distributed with Bank funding, they should be counted only once.

Distribution of nets to users takes place primarily in four ways: (1) Mass campaigns: LLINs are distributed either to target populations (usually children under age 5) or to households for free. When targeted to children under age 5, the allowance is 1 net per child; for household distribution, the allowance is 2 or 3 nets per household, depending on average household size. Distribution often happens in the context of an immunization campaign (i.e. measles catch-up). Campaign distribution is the easiest to assess as campaign managers can usually report accurately how many nets were distributed and to which population; (2) Routine distribution through antenatal care (ANC): LLINs are frequently part of the basic antenatal care package in malarious areas, and are ideally provided to women, either free or for a nominal fee, at the first ANC visit. In this case we count a net as distributed when it arrives at the clinic, where they are distributed to the clients over a period of time by an ANC provider. Stock outs have been a common problem with ANC distribution; (3) Routine distribution through Well Child/EPI clinics: In an increasing number of countries LLINs are provided to young children, either free or for a nominal fee, upon completion of the immunization schedule. In this case, as with routine ANC distribution, we count a net as distributed when it arrives at the clinic where they are distributed to clients by health services providers over a period of time. Stock outs have also been a common problem with well child distribution; and (4) Social marketing of nets through

commercial/private sector or community distribution channels. In this form of distribution, LLINs are sold either at a subsidized or full cost rate. Given the heterogeneity of generally small scale projects that take this approach, it is difficult to track what happens to the nets. We count nets as distributed when they are provided to the supplier, retailer, or community agent/NGO. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required. The baseline value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of LLINs purchased and/or distributed through a Bank-financed project. The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

9. Total number of condoms purchased and/or distributed (number)

This indicator measures the cumulative number of male or female condoms for the prevention of sexually transmitted infections such as HIV/AIDS or pregnancy, that have been purchased with Bank-financed project funds, as well as the number of condoms purchased with other resources that are distributed through a Bank-supported program. When condoms are both purchased and distributed with Bank funding, they should be counted only once. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required. Source of Data: This indicator is compiled from procurement data which records the number of condoms bought as a proxy for number distributed. The total number can be generated by counting the number of condoms that were in national stocks ready for distribution. Reporting in ISR: This indicator captures the total number of male and female condoms for the prevention of HIV/AIDS or pregnancy that have been purchased with Bank-financed project funds, as well as the number of condoms purchased with other resources that are distributed through a Bank-supported program. The baseline value for this indicator will be zero ('0') at the beginning of the Bank's project. Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of condoms purchased and/or distributed through a Bank-financed project. The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

10. People receiving tuberculosis treatment in accordance with the WHO-recommended "Directly Observed Treatment Short Course" (DOTS) (number)

This indicator applies to IDA operations only. This indicator measures the cumulative number of people with tuberculosis receiving the national program-recommended treatment following WHO norms, in accordance with the DOTS strategy through a Bank-financed project. This includes people who are starting treatment and/or continuing previous treatment at the end of 12 months. It will be compiled from program data, patient registers and facility registers.

Guidance on treatment: The WHO-recommended treatment for tuberculosis includes the use of standardized, short-course regimens and fixed-dose drug combinations. The most common medicines used for active tuberculosis treatment are Isoniazid (INH), Rifampin (RIF), Ethambutol, and Pyrazinamide. Treatment is provided following the DOTS strategy. Since contribution rather than attribution is to be measured, pro-rating based on proportion of Bank financing is not required. The baseline value for this indicator will be zero ('0'). Subsequently, the data should be cumulative – meaning that the data in the ISR should represent the cumulative number of people receiving tuberculosis treatment in accordance to the WHO-recommended "Directly Observed Treatment Short Course" (DOTS). The cumulative value will be added year after year, that is, for Year 1 the value for Year 1 is reported, and for Year 2, Year 1 + Year 2 is reported.

HYDROPOWER

Projects that have "Hydropower (LH)" among their sector codes should report data on the following Core Indicators, with the definitions laid out below.

1. **Generation Capacity of Hydropower constructed or rehabilitated under the project (MW)**
   (i) Generation Capacity of Hydropower constructed under the project (MW)
   (ii) Generation Capacity of Hydropower rehabilitated under the project (MW)

Definitions and Supplemental Requirements

1. Generation Capacity of Hydropower constructed or rehabilitated under the project (MW)

This indicator measures the capacity (in MW) of hydropower constructed or rehabilitated under the project. The baseline value for this indicator is expected to be zero.

Breakdown data required (choose at least one)

- Generation Capacity of Hydropower constructed under the project (MW)
- Generation Capacity of Hydropower rehabilitated under the project (MW)

Note on access indicators: For indicators measuring access provided to households or through community connections, refer to "Transmission and Distribution" (LT) sector code.

INFORMATION, COMMUNICATIONS AND TECHNOLOGY (ICT)

BM: Public Administration, Information and Communications

World Bank interventions in this subsector aim to support public administration of Information and Communication sector. These interventions are expected to contribute to outcomes such as improved efficiency of transactions processed through e-government services, reduced transaction costs for users through electronic services, improved user perception of services through electronic application, and increased government revenues or lower costs. The indicators listed below refer to the use of ICT for government services. Under the Bank's project coding system as of October 2009, such services are captured by the BM sector code in case they take place at public administrations responsible for the ICT sector. If a more comprehensive e-government sector or theme code will be introduced in future, the indicators listed below could be extended to the future sector/theme code.
Projects that have BM among their sector codes should report data on the following Core Indicators, with the definitions laid out below:

1. Electronic transactions of public services (%)
2. Average processing time for public services (hours)
3. User perception of quality of public services (%)
4. Costs to user for public services (US$)
5. Ratio of public services government revenues over costs (%)

Definitions and Supplemental Requirements

1. Electronic transactions of public services (%)

This indicator measures electronic transactions as a percentage of total transactions (electronic and manual) for the main public service targeted by the project over a period of 6 months.
Required Supplemental data:
In addition to the percentage, the TTL should provide the total number of transactions of the main public service targeted by the project in order to make aggregation across projects feasible.

Guidance:
A transaction is a deal of goods or services whether between businesses, households, individuals, governments, and other public or private organizations.[19] An electronic transaction is defined as an "end-to-end" electronic delivery of a given public service to citizens or businesses. It may include multiple processing steps, but need to be all handled electronically. Examples of public service transactions include issuance of business registration, payment for public utility services, registration of driver's license, etc. The

[19] OECD website: http://stats.oecd.org/glossary/detail.asp?ID=758

main service targeted by the project should be chosen based on the allocated project costs. The category of this service should be specified in the comments.
With baseline data, this indicator shows improved efficiency in terms of increased volume of electronic transactions during the same period of time. Such data are usually documented by the service provider. Reports should be automated in electronic services.

2. Average processing time for public services (hours)

This indicator measures the average time it takes to process transactions for the main public service targeted by the project over a period of 6 months.
Required Supplemental data:
In addition to the processing time, the TTL should provide the total number of transactions for the main public service targeted by the project in order to make aggregation across projects feasible.
Guidance:
This indicator should be calculated as the sum of hours to process transactions for the main public service targeted by the project divided by the number of transactions processed during a 6 months period.
A transaction is a deal of goods or services whether between businesses, households, individuals, governments, and other public or private organizations. Examples of public service transactions include issuance of business registration, payment for public utility services, registration of driver's license, etc. The main service targeted by the project should be chosen based on the allocated project costs. The category of this service should be specified in the comments.
With baseline data, this indicator shows improved efficiency in terms of reduced processing time of transactions during the same period of time. Such data are usually documented by the service provider. Reports can be automated in electronic services.

3. User perception of quality of public services (%)

This indicator measures the degree of users' satisfaction with the overall quality of transaction processing for the main public service targeted by the project.
Required Supplemental data:
In addition to the percentage, the TTL should provide the total number of transactions of the main public service targeted by the project in order to make aggregation across projects feasible.
Guidance:
This indicator should be calculated as the average score among transactions, divided by the number of digits in the scale. For example, if a survey after each vehicle registration transaction asks users to rank from 1= unsatisfied, to 5= highly satisfied, then the indicator will be the average score divided by 5 and multiplied by 100. Surveys asking whether the user is satisfied (yes/no) cannot be used to calculate this indicators as these do not indicate the "degree" of satisfaction.
Examples of public service transactions include issuance of business registration, payment for public utility services, registration of driver's license, etc. The main service targeted by the project should be chosen based on the allocated project costs. The category of this service should be specified in the comments.
With baseline data, this indicator shows improvements in the user perception of quality of public service targeted by the project. Data is collected through user survey. A user survey can be included at the end of each transaction or conducted periodically.

4. Costs to user for public services (US$)

This indicator measures the user's costs of receiving the main public service targeted by the project in monetary terms.
Guidance:

Costs are defined as the monetary equivalent in US dollars of efforts and payments incurred to receive a public service. Examples of public service transactions include issuance of business registration, payment for public utility services, registration of driver's license, etc. The main service targeted by the project should be chosen based on the allocated project costs. The category of this service should be specified in the comments.
With baseline data, this indicator indicates cost savings to users as a result of the electronic delivery of the public services targeted by the project. Typically, such savings may arise due to reduction in travel cost, avoidance of repeated visits, faster service, shorter waiting time and reduction in rent-seeking.
Data is collected through user survey. A user survey can be included at the end of each transaction or conducted periodically.
For aggregation across projects, the average percentage reduction in costs will be used, calculated as the average of the percentage change between baseline and progress values. For each project, the percentage change in costs will be calculated as the difference between the baseline and progress value divided by the baseline value.

5. Ratio of public services government revenues over costs (%)

This indicator measures the ratio of government revenues over costs of the main public service targeted by the project.

Required Supplemental data:

In addition to the percentage, the TTL should provide the government revenues from the main public service targeted by the project in US$ in order to make aggregation across projects feasible.

Guidance:

Government revenues are the income that a government agency receives from providing the main public service targeted by the project.
Government costs include direct operating and capital costs (e.g. the IT investment costs) of providing the main public service targeted by the project.
Examples of public service transactions include issuance of business registration, payment for public utility services, registration of driver's license, etc. The main service targeted by the project should be chosen based on the allocated project costs. The category of this service should be specified in the comments.
With baseline, this indicator shows improvements in efficiency after the introduction of electronic services. Increased government revenues and/or cost savings will increase the ratio. They may result from better compliance, reduced leakage of service revenues, reduced wasteful expenditure, and increased transaction volume. Such data is usually documented by the relevant government agency.

CA: Information Technology

World Bank interventions in this subsector aim to help governments in client countries to develop their Information Technology (IT) and IT-enabled services (ITES) industry. They can result in increased direct and indirect employment. The IT/ITES industry can offer better avenues for productive employment of youth and women in the industry itself. In addition, indirect employment may be created in industries such as construction, retail, transport, and telecommunications, as well as induced employment due to higher spending on goods and services such as food, transportation, entertainment, health and medical services. The growth of the IT/ITES industry also generates higher revenues for the private sector, and increased export earnings. Since availability of skills for the IT/ITES industry is a key precondition for its growth, increasing the talent pool can have positive impact on sector investments and growth.
Projects that have Information Technology (CA) among their sector codes should report data on the following Core Indicators, with the definitions laid out below:

1. IT/ITES employment (number of people)
2. IT/ITES revenue (US$)
3. Manpower trained under the project (number of people)
4. Impact on IT/ITES sector of World Bank technical assistance (composite score: 1 – low impact to 5 – high impact)

Definitions and Supplemental Requirements

1. IT/ITES employment (number of people)

This indicator measures the total number of people employed in the IT/ITES industry in the project area.
Guidance:
IT services typically comprise of remote infrastructure management, custom application development, systems integration, package software implementation and support, IT consulting, embedded systems, design, plant engineering and products. ITES are business services that include basic voice, specialized voice, basic data, rules-based decisioning, research and analytics and knowledge services[20].
Employment is defined as persons who during a specified brief period performed some work for wage or salary in cash or in kind.[21] If breakdown data is available, the TTL can opt to include data (using optional breakdowns in the ISR system) for male, female, and youth.[22]
With baseline data, this indicator shows the increase in IT/ITES employment in the project area. Since IT/ITES projects are usually targeted at states, provinces, countries or regions, this indicator is a good proxy of the direct contribution of the Bank projects to changes in employment in the IT/ITES industry. Project level employment data is collected through labor survey. Also such data is usually documented by National Industry Associations, by government agencies administering incentives for the industry and by the Department of Labor.

2. IT/ITES Revenue (US$)

This indicator measures the gross revenues of IT/ITES companies in the Bank project area.
Guidance:
IT services typically comprise of remote infrastructure management, custom application development, systems integration, package software implementation and support, IT consulting, embedded systems,

[20] NASSCOM, 2009. "Perspective 2020: Transform Business, Transform India."
[21] ILO/OECD website: http://stats.oecd.org/glossary/detail.asp?ID=778
[22] The "youth" is defined as those persons between the age of 15 and 24 years old (United Nations). Website: http://www.un.org/esa/socdev/unyin/qanda.htm

design, plant engineering and products. ITES are business services that include basic voice, specialized voice, basic data, rules-based decisioning, research and analytics and knowledge services.
Gross revenues consist of goods and service earnings of IT/ITES companies during the financial year under review. Revenues should not include monies received in respect of revenue earned during previous financial years, neither do they include monies received by way of loans from governments, or external investors. Revenues should be net of royalties.
With baseline data, this indicator shows increase in the gross revenues of IT/ITES companies in the project area. Since IT/ITES projects are usually targeted at states, provinces, countries or regions, this indicator is a good proxy of the direct contribution of the Bank projects to changes in the IT/ITES revenues.
Such data is usually documented by National Industry Associations, by government agencies administering promotion and incentives for the industry, or by the Departments of Trade and Industry.

3. Manpower trained under the project (number of people)

This indicator measures the cumulative total number of people trained for the IT/ITES industry under the project.

Guidance:

IT services typically comprise of remote infrastructure management, custom application development, systems integration, package software implementation and support, IT consulting, embedded systems, design, plant engineering and products. ITES are business services that include basic voice, specialized voice, basic data, rules-based decisioning, research and analytics and knowledge services. "Trained manpower" mean s people who obtained sufficient training in order to work as skilled-labor in the IT/ITES industry
This indicator shows increase in availability and quality of skilled manpower for the IT/ITES industry under a Bank project. It is expected that the baseline for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people trained for the IT/ITES industry under the project.
Data will be tracked by training providers engaged by the Bank project.

4. Impact on IT/ITES sector of World Bank technical assistance (composite score: 1 – low impact to 5 – high impact)

This indicator measures the extent of the impact of World Bank technical assistance (TA) on the sector. It is a composite measure comprising five key impact areas of our work (with no special weighting among them):

a) Improving policy environment for IT/ITES industry (e.g. policies on incentives for the IT/ITES industry including policies on tax exemptions, deferments, employment linked incentives, differential rates for electric supply etc.)
b) Improving legal environment for IT/ITES investments (e.g. IP protections and ICT laws such as inclusion of IT/ITES under the Essential Services Maintenance Act, exemptions under the Industrial Relations Act, relaxations under the Shops and Establishment Act, exemptions under the Environmental Protection Act etc.)
c) Reducing regulatory burden for IT/ITES companies (e.g. fast track clearances for IT/ITES investments including deemed clearances, self declarations for compliance with statutes like the Minimum Wages Act etc.)
d) Improving capacity of the Government for IT/ITES investment promotion (e.g. establishment of CRM systems, strengthening capacity for market intelligence, linkages with external partners for networking with potential investors etc.)
e) Improving the quality of infrastructure for IT/ITES industry (e.g. alternative feeders for electricity supply, broadband networks with redundant connectivity and self healing loops, plug and play infrastructure in IT Parks etc.)

Guidance:

The score is a measure of impact. It therefore includes both the objective of the project and the impact. Each component is given a score of n.a. (not applicable in the project), 1 (low impact) to 5 (high impact). The table (Annex 1) illustrates an example of impact assessment. Scores 2 and 4 are intended as intermediates scores.

It is expected that the baseline value for this indicator will be zero. The aggregate score is calculated by taking the average of the individual scores where applicable to the project.

Example of Impact on IT/ITES Sector of World Bank Technical Assistance Indicator Scaling (CA #4)

CT: Telecommunications

In the telecommunications sector, the Bank finances the following activities:

a) Technical assistance to support opening up the telecommunications market to competition, improving policies and regulatory frameworks, , licensing new operators, privatization and building regulatory capacity which result in extended and more affordable access to ICT services by individuals, households, businesses and government.
b) Investment in rural access to ICT services and infrastructure (e.g., basic voice services, public internet access points)
c) Investment in core broadband infrastructure. These projects result directly in the development of infrastructure (e.g. fiber-optic backbone networks). They also have a secondary impact on the market through reducing the cost of broadband services and making them more accessible.

Projects that have Telecommunications (CT) among their sector codes should report data on the following Core Sector Indicators, with the definitions laid out below:

1. Impact on telecom sector of World Bank technical assistance (composite score: 1-low impact to 5 –high impact)
2. Access to telephone services (fixed mainlines plus cellular phones per 100 people)
3. Access to internet services (number of subscribers per 100 people)
4. Retail price of internet services (per Mbit/s per Month, in US$)
5. Length of fiber optic network built (km)

Definitions and Supplemental Requirements

1. Impact on telecom sector of World Bank technical assistance (composite score: 1- low impact to 5- high impact)

This indicator measures the extent of the impact of World Bank TA on the sector. It is a qualitative measure since a quantitative attribution of World Bank TA on sector performance is unlikely to be possible. World Bank TA covers a range of areas and it is difficult to capture them all. It is intended as a meta-indicator to guide whether to include the sector-level indicators or only project-level ones.

This measure is a composite measure comprising five key areas of our work (with no special weighting among them). These show the impact of the project on:

a) Making the legal and regulatory framework more effective at delivering sector performance.
b) Improving the capacity of the regulatory institution(s) to deliver on their mandate(s).
c) Increasing the level of competition in the ICT sector.
d) Improving the ICT policy environment in the country.
e) Reforming state-owned assets in the ICT sector.

Guidance:

The score is a measure of impact. It therefore includes both the objective of the project (e.g. was there a privatization component in the project?) and the impact (e.g. was the SOE successfully reformed?).

Each component is given a score of n.a. (not applicable in the project), 1 (low impact) to 5 (high impact). The table (Annex 2) illustrates an example of impact assessment. Scores 2 and 4 are intended as intermediates scores.

It is expected that the baseline value for this indicator will be zero. The aggregate score is calculated by taking the average of the individual scores where applicable to the project.

If the composite impact score is above 3, then the TTLs should include applicable sector-level indicators (i.e. indicators #2, #3 and #4) to show the contribution of the project to sector performance.

Example of Impact on Telecom sector of World Bank Technical Assistance Indicator Scaling (CT#1)

2. Access to telephone services (fixed mainlines plus cellular phones per 100 people)

This indicator measures the total number of fixed telephone lines and mobile cellular phone subscriptions per 100 people in a given country.

Guidance:

Fixed telephone lines refer to telephone lines connecting a subscriber's terminal equipment to the public switched telephone network (PSTN) and which have a dedicated port on a telephone exchange. This term is synonymous with the terms "main station" and "Direct Exchange Line" (DEL) that are commonly used in telecommunication documents. It may not be the same as an access line or a subscriber. The number of ISDN channels and fixed wireless subscribers are included.

Mobile cellular telephone subscriptions refer to the number of subscriptions to a public mobile telephone service using cellular technology, which provide access to the Public Switched Telephone Network. Post-paid and prepaid subscriptions are included.

If breakdown data is available, the TTL can opt to include data (using optional breakdowns in the ISR system) for rural and urban areas (as per the government's definition), with public/shared or household access, or female/male subscribers.

This indicator is applicable for projects targeted at the national level. With baseline data, the indicator shows improvements in access to telecom services in the country as a result of the Bank's technical assistance or investment. Since this indicator is applicable to projects targeted to the whole country, it is a good proxy for the contribution of the project to improvements in access. The penetration data ("per 100 people") is readily available from telecommunications operators, regulators and ITU.

3. Access to internet services (number of subscribers per 100 people)

This indicator measures the number of people who pay for access to the Internet per 100 people in a given country.

Guidance:

Access to the internet includes: dial-up, leased line, and fixed broadband. It also includes the so-called "free Internet" used by those who pay via the cost of their telephone call, those who pay in advance for a given amount of time (prepaid), and those who pay for a subscription (either flat-rate or volume-per usage based).

It should include wireless Internet users that have a specific subscription covering Internet access (e.g., WiMAX users, or 3G data card subscribers).

The number of people who pay for access to the internet (i.e. subscribers) is different from the number of users which is always larger than the number of subscribers.

If breakdown data is available, the TTL can opt to include data (using optional breakdowns in the ISR system) by access modes (dial-up, leased line or fixed broadband), rural or urban areas (as per the government's definition), public/shared or household access, or female/male subscribers.

This indicator is applicable for projects targeted at the national level. With baseline data, this indicator shows the additional number of people who subscribe to Internet in a country as a result of the Bank's technical assistance or investment. Because this indicator is applicable to projects targeted to the whole country, it is a good proxy for the contribution of the project to improvements in access. Data is readily available from telecommunications operators, regulators and ITU.

4. Retail price of internet services (per Mbit/s per Month, in US$)

This indicator measures the price for access to the Internet at an equivalent rate of 1 Mbit/s per month in a given country.

Guidance

The rate would include monthly line rental, line usage charge plus any tax that may be levied. Rates could be compared at the start and end of the period. It is assumed that improvements in the supply of international bandwidth (e.g., as a result of a new submarine cable facility) or improvements arising from a more competitive marketplace (e.g., new market entry or liberalization of the international gateway facility) would be passed on to consumers in the form of lower prices, improved quality of service and greater choice.
This requires conversion of the advertised speed to the standardized unit (e.g., a 256 kbit/s connection would be multiplied by 4 whereas a 4 Mbit/s connection would be divided by four).
This measures the *retail* price available to consumers rather than the *wholesale* price (e.g., price of an E1 leased line). It can be applied equally to fixed or mobile connections and is expressed in US$ for cross-country comparisons.
This indicator is applicable for projects targeted at the national level. With baseline data, the indicator shows the reduction in the unit price of connectivity (for instance as a result of greater market competition, or an increase in the supply of bandwidth), in a country as a result of the Bank's technical assistance or investment. Since this indicator is applicable to projects targeted to the whole country, it is a good proxy for the contribution of the project to reductions in the unit price. Data is available from ITU (for cross-country comparisons), from OECD (for trends over time) and locally from operators.

5. Length of fiber optic network built (km)

This indicator measures the cumulative number of kilometers of fiber-optic network built under the project (i.e. with project funds).

Guidance:

Fiber optic network refers to the network constructed with fiber optic cables.
The definition of "built" means the condition that the fiber optic cables are physically laid regardless lit or in use.
The measure would be in terms of "route kilometers" not in actual length of fiber (i.e. the number of individual fibers carried in a duct, or their transmission capacity, would not be factored into the indicator). This would allow for the fact that many of the fibers will be initially "dark" but will be illuminated as they are needed, and also that the transmission capacity may rise due to technological change. Thus, measuring route kilometers of fiber is a more neutral measure than counting individual fibers or their transmission capacity.
As backbone projects will be built primarily through PPP, project funds will therefore typically not finance 100% of the project.
The data will be available from the operators under the project. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of kilometers of fiber-optic network built under the project (i.e. with project funds).

IRRIGATION AND DRAINAGE

Projects that have Irrigation and Drainage (AI) among their sector codes should report data on the following Core Indicators, with the definitions laid out below.

1. **Area provided with irrigation and drainage services (ha)**
   (i) Area provided with irrigation and drainage services – New (ha)
   (ii) Area provided with irrigation and drainage services – Improved (ha)

2. **Water users provided with new/improved irrigation and drainage services (number)**
   (i) Water users provided with irrigation and drainage services - female (number)
   (ii) Water users provided with irrigation and drainage services – male (number)

3. **Operational water user associations created and/or strengthened (number)**

Data on the Core Indicators are expected to come from TTL estimates based on project monitoring data on outputs. The data can be supplemented with data available from the irrigation agency responsible for providing irrigation and drainage services in the respective project. Where possible, these data can be supplemented by surveys.

Definitions and Supplemental Requirements

1. Area provided with irrigation and drainage services (ha)

This indicator measures the total area of land provided with irrigation and drainage services under the project, including in (i) the area provided with new irrigation and drainage services, and (ii) the area provided with improved irrigation and drainage services, expressed in hectare (ha). It is expected that the baseline value for this indicator will be zero.

Guidance on "irrigation and drainage services": This refers to the better delivery of water to, and drainage of water from, arable land, including better timing, quantity, quality, and cost-effectiveness for the water users.
Guidance on "new irrigation and drainage services": This refers to the provision of irrigation and drainage services in an area that has not had these services before. The area is not necessarily newly cropped or newly productive land, but is newly provided with irrigation and drainage services, and may have been rainfed land before.

Guidance on "improved irrigation and drainage services": This refers to the upgrading, rehabilitation, and/or modernization of irrigation and drainage services in an area with existing irrigation and drainage services.

Breakdown data required (mandatory)

- Area provided with irrigation and drainage services – New (ha)

- Area provided with irrigation and drainage services – Improved (ha)

2. Water users provided with new/improved irrigation and drainage services (number)

This indicator measures the number of water users who are provided with irrigation and drainage services under the project.
It is expected that the baseline value for this indicator will be zero.

Guidance on "water users": This refers to the recipients of irrigation and drainage services, i.e. the owners or, in case the land is leased, the lessees of the land provided with irrigation and drainage services.

Guidance on "irrigation and drainage services": This refers to the better delivery of water to, and drain water from, arable land, including better timing, quantity, quality, and cost-effectiveness for the water users.

Guidance on "new irrigation and drainage services": This refers to the provision of irrigation and drainage services in an area that has not had these services before. The area is not necessarily newly cropped or newly productive land, but is newly provided with irrigation and drainage services, and may have been rainfed land before.

Guidance on "improved irrigation and drainage services": This refers to the upgrading, rehabilitation, and/or modernization of irrigation and drainage services in an area with existing irrigation and drainage services.

Breakdown data required (mandatory):

- Water users provided with irrigation and drainage services - female (number)

3. Operational water user associations created and/or strengthened (number)

This indicator measures the number of water user associations created and/or strengthened under the project that are operational.

It is expected that that baseline value for this indicator will be zero.

Guidance on "water user associations": This refers to groups of water users receiving irrigation and drainage services. The associations may have different names according to local practice or national legislation.

Guidance on "water users": This refers to the recipients of irrigation and drainage services, i.e. the owners or, in case the land is leased, the lessees of the land provided with irrigation and drainage services.

Guidance on "irrigation and drainage services": This refers to the better delivery of water to, and drain water from, arable land, including better timing, quantity, quality, and cost-effectiveness for the water users.

Guidance on "operational water user associations": This refers to the number of water user associations that regularly meet; collect and retain membership fees; use their resources to carry out, or have carried out, operation and maintenance works; and have a decisive voice in water allocations.

LAND ADMINISTRATION AND MANAGEMENT

Projects that have Land Administration and Management (Theme 83) should report data on the following Core Indicators, with the definitions laid out below:

Land Administration (rural and/or urban)

1. Target population with use or ownership rights recorded as a result of the project (number)
2. Land parcels with use or ownership rights recorded as a result of the project (number)
    i. Land parcels with use or ownership rights of females recorded as a result of the project– (number)
3. Target land area with use or ownership rights recorded as a result of the project (ha)
4. Average number of days to complete the recordation of a purchase/sale of a property in the land administration system
    i. Average number of days to complete the recordation of a purchase/sale of a property in the land administration system – Urban (number)
    ii. Average number of days to complete the recordation of a purchase/sale of a property in the land administration system – Rural (number)

Land Management

5. Land area where sustainable land management practices have been adopted as a result of the project (ha)
6. Land users adopting sustainable land management practices as a result of the project (number).
7. Land area brought under a catchment system as a result of the project (ha)

Definitions and Supplemental Requirements

1. Target population with use or ownership rights recorded as a result of the project– (number)

This indicator measures the population targeted by the project whose land tenure rights (use or ownership) are recorded in the land administration system (whether in a register/registry, a cadastre, or any relevant organization where the information on land tenure rights is held).

The baseline value for this indicator is expected to be zero. When reporting on this indicator, the progress is equal to the cumulative number of people with land tenure rights recorded since the beginning of the operation

- **Guidance on "target population":** Target population refers to the population of a particular geographic area (national, province, region, district, municipality, indigenous area, etc.) targeted by the project, or any other population group targeted by the program. Population is expressed in number of individuals. For reporting purposes, any other type of data (for instance the number of households) will have to be explicitly converted in number of individuals. In case of a household, the number of people per household should be provided by the TTL based on the official estimates used in the project area. In case the data on number of people per household is not available, the TTL should use the data on household size from the most current version of the World Development Indicators (WDI). Where the

WDI does not provide data, a household size of 5 persons should be used. The assumptions made and the relevant source regarding number of people per household should be documented in the comments section of the indicator when the data is entered in the ISR.

- **Guidance on "use or ownership rights":** The terms "use or ownership rights" cover the full continuum of land tenure situations, customary or statutory, individual or collective, on private or public lands, and can accommodate any land tenure system.

- **Guidance on "recorded":** The term "recorded" should be interpreted as a means to unambiguously record land tenure information in the land administration system (whether in a registry/register, a cadastre, or other land information system) that reflects the current situation, whether graphically, textually or numerically. It covers a wide range of mechanisms, including mapping, surveying, titling, registering, or computerizing land tenure rights. It is not restricted solely to registration / recordation of land property rights.

2. Land parcels with use or ownership rights recorded as a result of the project –(number)

This indicator measures the number of land parcels with use or ownership rights recorded in the land administration system as a result of the project. The TTL should also indicate the number of land parcels with women as a record holder, either jointly or individually.

The baseline value for this indicator is expected to be zero. When reporting on this indicator, the progress is equal to the cumulative number of parcels over which use or ownership rights have been recorded since the beginning of the operation.

- **Guidance on "use or ownership rights":** The terms "use or ownership rights" cover the full continuum of land tenure situations, customary or statutory, individual or collective, on private or public lands, and can accommodate any land tenure system.

- **Guidance on "recorded":** The term "recorded" should be interpreted as a means to unambiguously record land tenure information in the land administration system (whether in a registry/register, a cadastre, or other land information system) that reflects the current situation, whether graphically, textually or numerically. It covers a wide range of mechanisms, including mapping, surveying, titling, registering, or computerizing land tenure rights. It is not restricted solely to registration / recordation of land property rights.

- **Guidance on "joint and individual":** "Joint" refers to situations where a land parcel is recorded in the name of adult males and females in the same household, as appropriate in the specific project context, either as joint owners of the whole parcel or in shares, as applicable. "Individual" means either the woman's name appears as a single individual or as a head of household.

Breakdown data required (Mandatory)

- Land parcels with use or ownership rights of females recorded as a result of the project– (number)

3. Target land area with use or ownership rights recorded as a result of the project (hectares)

This indicator measures the area (in hectares) over which use or ownership rights have been recorded as a result of the project.

The baseline value for this indicator is expected to be zero. When reporting on this indicator, the progress is equal to the cumulative number of hectares over which use or ownership rights have been recorded since the beginning of the operation.

- **Guidance on "target land area":** the target land area may be the entire country, a province/state, or other geographically defined area such as a city or a neighborhood.

- **Guidance on "use or ownership rights":** The terms "use or ownership rights" cover the full continuum of land tenure situations, customary or statutory, individual or collective, on private or public lands, and can accommodate any land tenure system.

- **Guidance on "recorded":** The term "recorded" should be interpreted as a means to unambiguously record land tenure information in the land administration system (whether in a registry/register, a cadastre, or other land information system) that reflects the current situation, whether graphically, textually or numerically. It covers a wide range of mechanisms, including mapping, surveying, titling, registering, or computerizing land tenure rights. It is not restricted solely to registration / recordation of land property rights.

4. Average number of days to complete the recordation of a purchase/sale of a property in the land administration system – (number)

When compared to a baseline, this indicator measures the improvements in the timeliness of recordation of property purchases or sales, distinguishing between rural or urban, applicable to the project.

The baseline value will be the average number of days required to complete the recordation of a purchase/sale of a property in the land administration system at the start of the project.

Guidance on urban and rural classification:
- The classification should follow the official definition used in the country.

Breakdown data required (at least one)

- Average number of days to complete the recordation of a purchase/sale of a property in the land administration system – Urban (number)
- Average number of days to complete the recordation of a purchase/sale of a property in the land administration system – Rural (number)

5. Land area where sustainable land management practices have been adopted as a result of the project (ha)

This indicator measures the land area that as a result of the Bank project incorporated and/or improved sustainable land management (SLM) practices.

This indicator can track progress toward sustainability at farm scale and at landscape scales within agroecological zones, watersheds, or basins. While impact indicators (e.g. reduction in soil erosion) are also available they can be more difficult to measure and aggregate across projects and more costly to apply.

Proxy indicators such as increase in land area that is sustainably managed are operationally effective for reporting the scaling up of sustainable land management.

The baseline for this indicator is expected to be zero. When reporting on this indicator, the progress is equal to the cumulative number of hectares where SLM has been adopted since the beginning of the project.

- **Guidance on Land:** Land refers to the terrestrial biologically productive system comprising soil, vegetation and the associated ecological and hydrological processes.
- **Guidance on sustainable land management practices:** SLM practices include technologies and approaches to increase land quality. The practice must be site-specific because different areas will require different interventions. For example, tree planting may be an SLM practice in one area but not in another because the practice may negatively affect downstream water availability. The TTLs are expected to identify in conjunction with stakeholders the most appropriate practice in a given context.
    - ***Sustainable land management technologies*** include agronomic, vegetative, structural, and management measures for example, new seed variety, terracing, forestation, reduced tillage, micro-irrigation, fertilizer placement, livestock feeding schedule, feeding ingredients, etc.
    - ***Sustainable land management approaches*** include ways and means of support that help to introduce, implement, adapt, and apply technologies in the field. In case of a watershed or community land use plan, land area should be counted only if the plan is under implementation.

A list of SLM practices can be found in the Table below.

Table: SLM approaches and technologies

SLM practices		
Sustainable land management approaches	**Sustainable land management technologies**	
Land use regimes	***Agronomic & vegetative measures***	***Structural measures***
•Watershed plans •Community land use plans •Grazing agreements, closures, etc. •Soil and water conservation zones •Vegetation corridors	•Intercropping •Natural regeneration of trees or other vegetation •Agroforestry •Afforestation and reforestation •No tillage •Mulching and crop residue •Crop rotation •Fallowing •Composting/green manure •Integrated pest management •Vegetative strip cover •Contour planting •Re-vegetation of rangelands •Integrated crop-livestock systems •Woodlots •Live fencing •Alternatives to wood fuel •Sand dune stabilization	•Terraces and other physical measures (e.g. soil bunds, stone bunds, bench terraces, etc.) •Flood control and drainage measures (e.g. rock catchments' water harvesting, cut-off drains, vegetative waterways, stone-paved waterways, flood water diversion, etc.) •Water harvesting, runoff management, and small-scale irrigation (shallow wells / boreholes, micro ponds, underground cisterns, percolation pits, ponds, spring development, roof water harvesting, river bed dams, stream diversion weir, farm dam, tie ridges, inter-row water harvesting, half-moon structures, etc.) •Gully control measures (e.g. stone checkdams, brushwood checkdams, gully cut/reshaping and filling, gully re-vegetation, etc)

Guidance on adoption: Adoption refers to change of practice or change in the use of a technology promoted or introduced by the project.

6. Land users adopting sustainable land management practices as a result of the project (number)

This indicator measures the number of users adopting sustainable land management practices in the project areas. To measure this indicator, Formal survey should be carried out at regular intervals, as well as at the end of the project.

The baseline for this indicator is expected to be zero. When reporting on this indicator the progress is equal to the cumulative number of land users adopting SLM technologies since the beginning of the project.

- **Guidance on land user:** land users are the recipients of sustainable land management interventions. They may be farmers, households, farmer organizations, communities, land owners, lessees, or customary holders of the land that benefited from such interventions. Where land users' associations or cooperatives exist in a project area or community, care must be taken to ensure that only the land users specifically reached by the SLM interventions are recorded.

- **Guidance on sustainable land management practices:** SLM practices include technologies and approaches to increase land quality. The practice must be site-specific because different areas will require different interventions. For example, tree planting may be an SLM practice in one area but not in another because the practice may negatively affect downstream water availability. The TTLs are expected to identify in conjunction with stakeholders the most appropriate practice in a given context.
  - ***Sustainable land management technologies*** include agronomic, vegetative, structural, and management measures for example, new seed variety, terracing, forestation, reduced tillage, micro-irrigation, fertilizer placement, livestock feeding schedule, feeding ingredients, etc.
  - ***Sustainable land management approaches*** include ways and means of support that help to introduce, implement, adapt, and apply technologies in the field.

A list of SLM practices can be found in the Table overleaf.

Table: SLM approaches and technologies

SLM practices		
Sustainable land management approaches	**Sustainable land management technologies**	
Land use regimes	***Agronomic and vegetative measures***	***Structural measures***
•Watershed plans •Community land use plans •Grazing agreements, closures, etc. •Soil and water conservation zones •Vegetation corridors	•Intercropping •Natural regeneration of trees or other vegetation •Agroforestry •Afforestation and reforestation •No tillage •Mulching and crop residue •Crop rotation •Fallowing •Composting/green manure •Integrated pest management •Vegetative strip cover •Contour planting •Re-vegetation of rangelands •Integrated crop-livestock systems •Woodlots •Live fencing •Alternatives to wood fuel •Sand dune stabilization	•Terraces and other physical measures (e.g. soil bunds, stone bunds, bench terraces, etc.) •Flood control and drainage measures (e.g. rock catchments' water harvesting, cut-off drains, vegetative waterways, stone-paved waterways, flood water diversion, etc.) •Water harvesting, runoff management, and small-scale irrigation (shallow wells / boreholes, micro ponds, underground cisterns, percolation pits, ponds, spring development, roof water harvesting, river bed dams, stream diversion weir, farm dam, tie ridges, inter-row water harvesting, half-moon structures, etc.) •Gully control measures (e.g. stone checkdams, brushwood checkdams, gully cut/reshaping and filling, gully re-vegetation, etc)

7. Land area brought under a catchment system as a result of the project(ha)

This indicator measures the land area under newly established or improved catchment system as a result of the Bank project. Land area under a catchment system should include a catchment management plan that is under implementation,

The baseline for this indicator is expected to be zero. When reporting on this indicator the progress is equal to the cumulative number of land area brought under a catchment system as a result of the project.

- **Guidance on Catchment**: The terms watershed, catchment and basin are often used interchangeably. **Watershed** is the area that drains to a common outlet, usually a stream, lake or wetland. It is the basic unit for land and water planning. Watershed can vary from a few hectares to thousands of square kilometers. **Catchment** is the land area bounded by watersheds. Water is held or collected by catchment. A **drainage basin** is the land area where water converges to a single point. Each drainage basin is separated topographically from adjacent basins by a geographical barrier such as a hill or mountain. **Basin management** typically refers to macro-management at the level of the entire watershed, sometimes across country boundaries and with a focus on institutional and policy issues. **Watershed management** typically refers to management at the level of the micro or sub-watershed. Classification of watershed characteristics at different levels is presented in the Table overleaf.

Table: Classification of watershed management units

Watershed management unit	*Typical area (km2)*	*Influence of impervious cover*	*Planning authority*	*Management focus*
Micro-watershed	0.05 – 0.50	Very strong	Property owner (local)	Best management practice and site design
Sub-watershed	1 – 10	Strong	Local government	Stream classification and management
Watershed	10 – 100	Moderate	Local or multiple local government	Watershed-based zoning
Sub-basin	100 – 1000	Weak	Local, regional or state	Basin planning
Basin	1000 – 10000	Very weak	State, multistate or federal	Basin planning

- **Guidance on Catchment plan under implementation:** A catchment plan integrates the management of land and water resources to achieve their sustainable and balanced use. An enhanced plan refers to a local catchment system improved as a result of Bank operations. A catchment management plan is under implementation when capacity and resources identified in the plan are being applied to achievee the project area's SLM goals.The approval of an established or enhanced catchment plan is done by the relevant planning authority. The plan typically identifies the ecological, social and economic values within the catchment, and the necessary scheme for coordinated management and rehabilitation practices.

MICRO-AND SMALL/MEDIUM ENTERPRISE FINANCE (MSME)

MSME finance core indicators should be reported for all operations in which World Bank funds are used to support financial institutions that provide financing for micro, small and medium enterprises. These operations may be in the form of lines of credit, institutional development, and/or enabling environment. Supported financial institutions include community managed loan funds (CMLF) and participating financial institutions (PFI). For full definitions of these operations and financial institutions please read the Guidance Note on the MSME Finance core indicators webpage (Financial and Private Sector Development - Micro, Small and Medium Enterprise (MSME) Finance Core Indicators).

These core indicators are required for all investment loans funded through IBRD and IDA. They do not apply for Development Policy Loans, fully GEF funded projects, and other forms of budget support. The ISR reporting system will automatically alert all MSME finance projects tagged to Sector code FE (Micro and SME finance), FZ (General finance), and/or Theme 41 (Small and medium enterprise support). If a project is not coded to any of these sectors but has a significant MSME finance component, the project team will need to pull relevant MSME finance core indicators from the tab listing all core indicators.

If a project was approved before July 1, 2009, and it is still active, it has to report on Volume of Bank Funding and Outreach indicators in all upcoming ISRs and in the ICR. If Portfolio Quality and/or Financial Sustainability are available, they should be included as well, but are not mandatory.

If a project has been approved/ restructured on or after July 1, 2009, it is necessary to report on all relevant core indicators in the PAD, in each ISR, as well as in the ICR.

Volume of Bank Funding for MSME Finance

1. Volume of Bank Funding: Lines of Credit - Microfinance (amount US$)
2. Volume of Bank Funding: Lines of Credit - SME (amount US$)
3. Volume of Bank Funding: Institutional Development - Microfinance (amount US$)
4. Volume of Bank Funding: Institutional Development – SME (amount US$)
5. Volume of Bank Funding: Enabling Environment – Microfinance (amount US$)
6. Volume of Bank Funding: Enabling Environment – SME (amount US$)

Outreach

1. Outstanding Microfinance Loan Portfolio (amount US$)
2. Outstanding SME Loan Portfolio (amount US$)
3. Number of active loan accounts - Microfinance
4. Percentage of active loans to women - Microfinance
5. Number of active loan accounts - SME
6. Number of active micro-savings accounts
7. Percentage of active micro-savings accounts held by women

8. Number of active micro-insurance accounts
9. Percentage of active micro-insurance accounts held by women

Portfolio Quality
1. Portfolio at Risk - Microfinance (%)
2. Portfolio at Risk - SME (%)
3. Loans at Risk - Microfinance (%)
4. Annual Loan-loss Rate - Microfinance (%)

Financial Sustainability
1. Return on Assets/Equity (%)
2. Adjusted Return on Assets/Equity (%)
3. Financial Self-Sufficiency (%)

Definitions and Supplemental Requirements

VOLUME OF BANK FUNDING FOR MSME FINANCE

The Volume of Bank Funding indicators should include the cumulative amounts disbursed by the Bank to the client as of the most recent date available for each type of operation, and broken down by Micro and SME where relevant.

1. Volume of Bank Funding: Lines of Credit - Microfinance (amount US$)

A line of credit is classified "microfinance" if supporting sub loans a) Have an average outstanding balance (gross loan portfolio ÷ number of active borrowers) < 300% of the latest per capita GNI, OR b) Have an average original loan amount less than $1,000. EITHER circumstance triggers classification as microfinance. Report on the cumulative amounts disbursed as of most recent date available. If split by micro and SME is not available or possible, please use 50% for each as proxy.

2. Volume of Bank Funding: Lines of Credit – SME (amount US$)

A project is considered "SME finance" if supporting sub-loan portfolios have original loan amounts above the cut-off for microfinance as noted above but no more than US $1 million for most countries.[23] Report on the cumulative amounts disbursed as of most recent date available. If split by micro and SME is not available or possible, please use 50% for each as proxy.

3. Volume of Bank Funding: Institutional Development – Microfinance (amount US$)

Institutional development funding relates to capacity building at institutions including technical assistance, training, fixed assets etc. Report the cumulative amounts disbursed as of most recent date available. If split by micro and SME is not available or possible, please use 50% for each as proxy.

4. Volume of Bank Funding: Institutional Development – SME (amount US$)

[23] A limit of the original loan size of up to US $2 million applies for the following countries: Argentina, Brazil, Chile, China, Colombia, India, Korea, Mexico, Morocco, Peru, Russia, South Africa, Thailand, Tunisia, Turkey, and EU countries — Poland, Hungary, Czech Republic, Slovakia, the Baltics, and Slovenia.

Institutional development funding relates to capacity building at institutions including technical assistance, training, fixed assets etc. Report the cumulative amounts disbursed as of most recent date available. If split by micro and SME is not available or possible, please use 50% for each as proxy.

5. Volume of Bank Funding: Enabling Environment– Microfinance (amount US$)

Enabling environment funding involves support at the wholesale level for Microfinance, as opposed to support for specific institutions. This includes support for financial infrastructure (such as training programs, industry networks, credit registries), and direct policy support (such as reform of laws/regulations). Report the cumulative amounts disbursed as of most recent date available. If split by micro and SME is not available or possible, please use 50% for each as proxy.

6. Volume of Bank Funding: Enabling Environment– SME (amount US$)

Enabling environment funding involves support at the wholesale level for SME Finance, as opposed to support for specific institutions. This includes support for financial infrastructure (such as training programs, industry networks) and direct policy support (such as reform of laws/regulations). Report the cumulative amounts disbursed as of most recent date available. If split by micro and SME is not available or possible, please use 50% for each as proxy.

OUTREACH

Required for projects where the Bank is funding sub-loans or supporting institutional development of MSME finance institutions or institutions directly linked to MSME finance. Not required for enabling environment operations.

1. Outstanding Microfinance Loan Portfolio (amount US$)

Provide the total outstanding (i.e., not yet repaid or written off) amount of the micro-finance loan portfolio for all PFIs and CMLF promoters receiving Bank support. Report the entire portfolio of the institution as of a reasonably recent date, not just the Bank-financed portion. The optional breakdown tab can be used to report by institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

2. Outstanding SME Loan Portfolio (amount US$)

Provide the outstanding (i.e., not yet repaid or written off) amount of the SME loan portfolio for all PFIs and CMLF promoters receiving Bank support. Report the entire portfolio of the institution as of a reasonably recent date, not just the Bank-financed portion. The optional breakdown tab can be used to report by institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

3. Number of active loan accounts – Microfinance

Report on the total number of active microfinance loan accounts for all institutions supported by the project. Do not report the cumulative number of loans over the life of the project. Report on the entire microfinance portfolio of the PFI/CMLF, not just the Bank-financed portion. If number of loan accounts is not available, use number of borrowers as a proxy. The optional breakdown tab can be used to report by institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

4. Percentage of active loans to women – Microfinance

Report percentage of the total number of active loan accounts noted above that are held by women.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

5. Number of active loan accounts – SME

Report on the total number of active SME loan accounts for all institutions supported by the project. Do not report the cumulative number of loans over the life of the project. Report on the entire SME portfolio of the PFI/CMLF, not just the Bank-financed portion. If number of loan accounts is not available, use number of borrowers as a proxy. The optional breakdown tab can be used to report by institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

6. Number of active micro-savings accounts

Micro-savings means savings products whose average outstanding balance (total deposit amounts ÷ number of open accounts) is ≤ 150 percent of the latest GNI per capita. Report on the entire Micro-savings portfolio of the supported institutions, not just the Bank-financed portion. The optional breakdown tab can be used to report by institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

7. Percentage of active micro-savings accounts held by women

Report on the percentage of the total active savings accounts noted above that are held by women.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

8. Number of active micro-insurance accounts

For operations that support insurance or payment/remittance services, "microfinance" means services designed for poor and low-income clients. Report on the entire Micro-insurance portfolio of the supported institutions, not just the Bank-financed portion. The optional breakdown tab can be used to report by institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

9. Percentage of active micro-insurance accounts held by women

Report the percentage of total micro-insurance policies noted above that are held by women.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

PORTFOLIO QUALITY

Portfolio at Risk (PAR) is the PREFERRED Core Indicator. For microfinance support, if the PAR is not available, the project must choose one of two specified alternatives - Loans at Risk or Annual Loan Loss Rate. ONE of these three indicators is required for each PFI and CMLF that receives greater than $100,000 in aggregate Bank funding for sub-loan funding and/or institutional development. Not required for enabling environment operations.
See the Guidance Note for further explanation.

1. Portfolio at Risk - Microfinance (%)

Portfolio at Risk = Outstanding (or not yet repaid) balance of all loans where payment is late by > 30 days / Gross outstanding loan portfolio.

Provide the PAR for PFI's entire microfinance portfolio. Do not report on the PAR for just the Bank-funded portion. Loans that have been rescheduled or renegotiated should also be included in the numerator for the PAR. Weight each institution's PAR by its outstanding Microfinance portfolio to calculate the average PAR for the project. The optional "breakdown" tab can be used to report institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

2. Portfolio at Risk - SME (%)

Portfolio at Risk = Outstanding (or not yet repaid) balance of all loans where payment is late by > 90 days / Gross outstanding loan portfolio

Report the Portfolio at Risk (PAR) for the institutions' entire SME portfolio. Do not report the PAR on just the Bank-funded portion. Loans that have been rescheduled or renegotiated should also be included in the numerator of the PAR. Weight each institution's PAR by its outstanding SME portfolio to calculate the average PAR for the project. The optional "breakdown" tab can be used to report institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

3. Loans at Risk - Microfinance (%)

Loans At risk (LAR) = Number of loans > 30 days late / Total number of outstanding loans.

Loans At Risk (LAR) is a simplified version of the PAR and counts the number of loans instead of their amounts. As long as repayment is roughly the same for small loans, LAR will not differ much from PAR. Report the LAR for the entire portfolio of the institution, not just the Bank-financed portion. Weight each institution's LAR by its outstanding Microfinance balance to calculate the average LAR for the project. The optional "breakdown" tab can be used to report institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

4. Annual Loan-loss Rate - Microfinance (%)

Annual Loan Loss Rate = 2 × [(1- Current Recovery Rate)/ Average term of loan in years]

Current Recovery Rate = Cash collected during the period from borrowers/ Cash falling due for the first time during the period under the original loan contract.

Report on the Annual Loan Loss Rate (ALR) for the entire portfolio of the institution, not just the Bank-financed portion. Weight each institution's ALR by its outstanding Microfinance balance to calculate the average ALR for the project. The optional "breakdown" tab can be used to report institution.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

FINANCIAL SUSTAINABILITY

Report on ONE of the three financial sustainability indicators noted below. This is required for each PFI receiving over $100,000 in aggregate Bank support for sub-loan finding and/or institutional development. This is encouraged but not mandatory for CMLFs and for PFIs not meeting the above criterion. Not required for enabling environment operations.

1. Return on Assets /Equity (%)

Return on Assets/Equity reflects that organization's ability to deploy its assets/equity profitably. This indicator may be used for commercial institutions that do not receive subsidies. The optional "breakdown" tab can be used to report institution.

ROA/ROE = Annual After Tax Profits / Average Assets (Equity) over the Period.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

2. Adjusted Return on Assets/Equity (%)

AROA/AROE measures an institution's net profit (including adjustments) relative to its total assets/equity. The optional "breakdown" tab can be used to report institution.

AROA/AROE = [Accounting profit/loss (excluding grants) – Inflation Adjustment – Cost of Funds Adjustment – In-Kind Subsidy Adjustment] / Period average total assets (equity).

Cost of Funds Adjustment = (Period Avg Borrowings × Market Rate) - Actual Interest Paid by Institution.

Inflation Adjustment = [Currency-denominated Assets - Currency-denominated Liabilities] × Inflation Rate.

In-kind Subsidy Adjustment = Estimated Market Cost of Goods and Services - Actual cost paid for the same goods or services.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

3. Financial Self-Sufficiency (%)

Financial Self-Sufficiency (FSS) measures how much of the PFI's cost is being covered by operating revenue. The optional "breakdown" tab can be used to report institution.
FSS = [Accounting Costs + Inflation Adjustment + Cost of Funds Adjustment + In-kind Services Adjustment] / Accounting revenue (excluding grants).

Cost of Funds Adjustment = (Period Avg Borrowings × Market Rate) - Actual Interest Paid by Institution.

Inflation Adjustment = [Currency-denominated Assets - Currency-denominated Liabilities] × Inflation Rate.

In-kind Subsidy Adjustment = Estimated Market Cost of Goods and Services - Actual cost paid for the same goods or services.

Supplemental information: Percentage of project-supported institutions that are reporting on this indicator.

OTHER RENEWABLE ENERGY

Projects that have "Other Renewable Energy (LR)" among their sector codes should report data on the following Core Indicators, with the definitions laid out below.

1. **Generation Capacity of Renewable Energy (other than hydropower) constructed under the project (MW)**
   - (i) Generation Capacity of Renewable Energy constructed – Wind (MW)
   - (ii) Generation Capacity of Renewable Energy constructed – Geo-thermal (MW)
   - (iii) Generation Capacity of Renewable Energy constructed – Solar (MW)
   - (iv) Generation Capacity of Renewable Energy constructed – Other (MW)

2. **Generation Capacity of Renewable Energy (other than hydropower) rehabilitated under the project (MW)**
   - (i) Generation Capacity of Renewable Energy rehabilitated – Wind (MW)
   - (ii) Generation Capacity of Renewable Energy rehabilitated – Geo-thermal (MW)
   - (iii) Generation Capacity of Renewable Energy rehabilitated – Solar (MW)
   - (iv) Generation Capacity of Renewable Energy rehabilitated – Other (MW)

3. **People provided with access to electricity under the project by household connections- Other Renewable Energy – Off-grid (Number)**

4. **Community electricity connections under the project –Other Renewable Energy – Off-grid (Number)**

Definitions and Supplemental Requirements

1. **Generation Capacity of Renewable Energy (other than hydropower) constructed under the project (MW)**

This indicator measures the capacity of renewable energy (other than hydropower) constructed under the project. The TTL should specify the type of renewable power (i) wind; (ii) geothermal; (iii) solar; or (iv) other. For hydropower, refer to the guidance for the Hydropower (LH) code.

The baseline value for this indicator is expected to be zero.

Breakdown data required (choose at least one)

(i) Generation Capacity of Renewable Energy constructed – Wind (MW)
(ii) Generation Capacity of Renewable Energy constructed – Geo-thermal (MW)
(iii) Generation Capacity of Renewable Energy constructed – Solar (MW)
(iv) Generation Capacity of Renewable Energy constructed – Other (MW)

2. Generation Capacity of Renewable Energy (other than hydropower) rehabilitated under the project (MW)

This indicator measures the capacity (in MW) of renewable energy (other than hydropower) rehabilitated under the project. The TTL should specify the type of renewable power (i) wind; (ii) geothermal; (iii) solar; or (iv) other. For hydropower, refer to guidance for the Hydropower (LH) code.

The baseline value for this indicator is expected to be zero.

Breakdown data required (choose at least one)

(i) Generation Capacity of Renewable Energy rehabilitated – Wind (MW)
(ii) Generation Capacity of Renewable Energy rehabilitated – Geo-thermal (MW)
(iii) Generation Capacity of Renewable Energy rehabilitated – Solar (MW)
(iv) Generation Capacity of Renewable Energy rehabilitated – Other (MW)

3. People provided with access to electricity under the project by household connections- Other Renewable Energy – Off-grid (Number)

This indicator measures the number of people provided with access to electricity through off-grid household connections, when the source of power is renewable energy, other than Hydropower. This indicator should be used only when off-grid connections are from stand-alone systems that are not connected to interconnected transmission system(s). For other off-grid, mini-grid or grid connections, refer to 'Transmission and Distribution of Electricity" (LT) code.

The baseline value for this indicator is expected to be zero.

Guidance on people with electricity connection: Data on the number of people with electricity connections can be estimated by multiplying the actual number of household connections with an estimate of the average household size. The number of people per household should be provided by the TTL based on the official estimates used in the project area. In case this data is not available, the data on household size should be used from the most current version of the World Development Indicators (WDI). Where the WDI does not provide data, a household size of 5 should be used. For other types of connections— such as community connections that serve a larger pool of people— please use "Number of community electricity connections under the project" as the appropriate indicator.

Guidance on type of connection: A grid connection is when electricity is being supplied by a distribution network served by the country's or region's interconnected transmission system. Access provided should be reported under this indicator when household access is provided through a stand-alone system, based on a renewable energy source other than Hydropower, *and* the system is not connected to an interconnected transmission or distribution system. For other forms of access, including mini-grid or grid connections, refer to the guidance for the "Transmission and Distribution of Electricity" (LT) code.

4. Community electricity connections under the project –Other Renewable Energy – Off-grid (Number)

This indicator measures the number of new off-grid community connections under the project when the source of power is renewable energy, other than Hydropower. This indicator should be used only when off-

grid connections are from stand-alone systems that are not connected to the interconnected transmission system. "Community connections" are electricity services provided to hospital, schools, community centers, or other establishments that provide services to a larger pool of people in remote areas.

The baseline value for this indicator is expected to be zero.

Guidance: Access provided should be reported under this indicator when community access is provided through a stand-alone system, based on a renewable energy source other than Hydropower, *and* the system is not connected to an interconnected transmission or distribution system. For other forms of access, including mini-grid or grid connections, refer to the guidance for the 'Transmission and Distribution of Electricity" (LT) code.

PARTICIPATION AND CIVIC ENGAGEMENT

Projects that have Participation and Civic Engagement (Theme 57) among their theme codes should report data on the following indicators, with the definitions laid out below:

1. Participants in consultation activities during project implementation (number)
2. Intended beneficiaries that are aware of project information and project supported investments (percentage)
3. Grievances registered related to delivery of project benefits that are actually addressed (percentage)
4. Community contributions in the total project cost (percentage)
5. Sub-projects or investments for which arrangements for community engagement in post-project sustainability and/or operations and maintenance are established (percentage)
6. Beneficiaries that feel project investments reflected their needs (percentage)

Definitions and Supplemental Requirements

1. Participants in consultation activities during project implementation (number)

This indicator measures the level of community engagement in project implementation.

It is expected that the baseline value for this indicator will be zero.

Guidance:

- Different projects will be using different mechanisms to engage communities in project implementation. Often this will be in the form of open meetings, which may specify minimum levels of representation by specific groups considered vulnerable. This indicator will adopt the project definition of community consultation activities, and provide a simple count of how many men and women have participated in a range of consultation activities over a certain timeframe. The TTL should consider the meeting which is attended by highest number of participants per community to reflect the highest number of participants in each community. The TTL should then report on the sum of the 'highest number of participants' for all communities.
- Monitoring will capture participation in the period between project effectiveness and project completion, excluding pre-implementation or post-completion consultations.
- This should be relatively simple to aggregate within a project. Aggregating across projects requires understanding that consultation methods may vary from project to project. Country-level and cross-country aggregation will therefore capture a range of consultation mechanisms.
- This information should normally be available from project administrative records. The accuracy of these records can be verified during supervision. Sound project management would require additional information (not considered a core indicator) that tracks the quality and outcomes of community consultation exercises.

***Breakdown data required (mandatory)*:**

- Participants in consultation activities during project implementation – female (number)

2. Intended beneficiaries that are aware of project information and project supported investments (percentage)

This indicator intends to measure the effectiveness of consultation and communication mechanisms in terms of ensuring that information about the project and project supported investments have been communicated effectively.

It is expected that the baseline value for this indicator will be zero.

Guidance:

- Survey techniques will be needed to assess the percentage of intended male and female project beneficiary population that demonstrates meaningful knowledge of intended project benefits. The survey would be designed to distinguish those who have simply heard something about the project from those who have received sufficient information to understand the intended scope and scale of project benefits. An effective survey is likely to require several questions to give a full picture of awareness levels, but should include one question that allows the task team to make the statement: "*x percent of intended male and female project beneficiaries were able to describe the range of project outputs that they should be able to access".* "Reasonable accuracy" means that respondents would show knowledge of the range of project outputs that they should be able to access according to project objectives
- Surveys conducted to monitor community awareness of project benefits should be sampled to be representative of the beneficiary population. Larger samples might be needed if project management needs to track the impact of communication and consultation strategies by gender, by ethnicity/language group, geography etc.
- Aggregation within a country would require that project level surveys contain some identical questions.
- "Intended beneficiaries" are those people or groups who are expected/targeted to benefit from the project.

***Supplemental data required (mandatory)*:**

Please provide the following information to aggregate across projects/ countries. Kindly note that the information requested is for the total number of intended beneficiaries in the project area, and not just the people surveyed.

- Intended beneficiaries that are aware of project information and project supported investments – female (number)
- Intended beneficiaries that are aware of project information and project supported investments – male (number)
- Intended beneficiaries – female (number)
- Intended beneficiaries – male (number)

3. Grievances registered related to delivery of project benefits that are actually addressed (percentage)

This indicator measures the transparency and accountability mechanisms established by the project so the target beneficiaries have trust in the process and are willing to participate, and feel that their grievances are attended to promptly. It is understood that local sensitivities and tensions will not allow grievance or redress mechanisms to be established in all projects.

It is expected that the baseline value for this indicator will be zero.
Guidance:

Grievance mechanisms are required to ensure beneficiaries can act on their entitlements to project benefits, can query decision-making processes within the project that may exclude them from benefits and register complaints about negative impacts of the project. Projects may want to measure indicators that show whether communities have information about the project and are fully aware of the project processes, whether they are aware of the grievance redress mechanisms put in place including the response time and whether any conflict or disputes taken to the mechanisms is resolved within the appropriate time.

- It is expected that there will be a project-level definition of a grievance mechanism where this indicator is relevant.
- Where grievance or redress mechanisms have been established, project monitoring systems should usefully provide information on (a) the number of complaints made and (b) the number of these complaints that are resolved. This indicator will be a simple percentage of these two numbers, allowing projects to make a statement such as *"x percent of complaints received through project redress mechanisms were resolved".* This means that if 100 people complain about the same single project defect, and then this one defect gets repaired then the numerator value is 100 and indicator value will be 100 percent.
- Further information, for example that captures the nature of complaints, or plaintiffs' satisfaction with the outcome, or the ease with which complaints may be filed, will also be of use to project management. These measures are beyond the scope of this indicator.
- This measure should be easily aggregated within a project. It can also be aggregated across projects, recognizing that different redress mechanisms may be in place in different projects.

Supplemental data required (Mandatory):

Please provide the value of the numerator for aggregation across projects/ countries

- Grievances related to delivery of project benefits that are addressed-(number)

4. Community contribution in the total project costs (percentage)

This indicator measures the degree to which project beneficiaries are contributing in cash or in kind towards project investments. It is acknowledged that there is debate about the role and impact of community contributions in project investments. However, this indicator is chosen understanding that this is the norm in many Bank projects and that it is important to track the level of community contributions for a number of possible reasons.

It is expected that the baseline value for this indicator will be zero.

Guidance:

- The indicator will measure the cash contributions and cash values of non-cash contributions (such as labor, land and materials) as a proportion of total direct project expenditures. This information should be available from project cost and financing information systems. The methodology to convert in-kind contribution to cash value is usually included in the project operations manual.
- This indicator will reflect cumulative cash values from the project to date as a proportion of expenditures to date.
- Aggregation should be relatively straightforward both within projects and across projects. Interpreting results across projects within a country would need to acknowledge that different standards and norms may apply for different investments, for different groups or for different parts of the country.

Supplemental data required (Mandatory):

Please provide the value of the numerator for aggregation across countries/ projects

- Total community contribution -(US$)

5. Sub-projects or investments for which arrangements for community engagement in post-project sustainability and/or operations and maintenance are established (percentage)

This indicator is likely to be most relevant for CDD-type projects and measures the existence of specific arrangements created under the project to ensure ownership by project beneficiaries.
It is expected that the baseline value for this indicator will be zero.

Guidance:

- It is expected that the project management has its own definition of sub-project and investments that are required to be sustained by communities post-completion.
- Project management information systems should record the establishment of arrangements for community management in the post-project period. These arrangements may entail investments in enhancing community capacity to own and manage project investments through various cost sharing mechanisms or ensuring that communities are able to establish linkages and contracts with private/public providers and markets for various goods, services and technical assistance. This indicator will measure the proportion of sub-projects or investments that have these arrangements in place.
- Arrangements for post-project management may vary from project to project. A score that aggregates across projects will show the percentage of project activities with post-project community management arrangements, but these may involve a range of different arrangements.

Supplemental data required (Mandatory):

Please provide the value of the denominator for aggregation across projects/ countries

- Sub-projects or investments that are expected to have a mechanism for post-completion operation – (number)

6. Beneficiaries that feel project investments reflected their needs (percentage)

This will measure the extent to which decisions about the project reflected community preferences in a consistent manner.
It is expected that the baseline value for this indicator will be zero.

Guidance:

- Survey techniques will be used to document male and female beneficiary priorities at project outset. Surveys during and at the close of the project may identify respondents' satisfaction with project investments, including a specific question about the degree to which respondents felt project activities reflected their preferences (ex post).
- This indicator will draw on one question from a survey that sampled to be representative of beneficiaries. It is understood that a meaningful analysis of satisfaction with project outputs will require analysis of more than one question. Larger samples might be needed if project management needs to track the impact by gender, by ethnicity/language group, geography etc.

- Cross-project aggregation will require that the survey includes the following question: "*How satisfied are you that the project activity [name] is useful to you? [scale 1-5 representing very unsatisfied to very satisfied, with a score of "3" representing neither satisfied nor dissatisfied.]".* The indicator will record the percentage of men and women reporting scores of 4 or 5 in response to this question.
- A project beneficiary is anyone who is benefiting from a project/program.

Supplemental data required (Mandatory):

Please provide the following information to aggregate across projects/ countries. Kindly note that the information requested is for the total number of beneficiaries that feel project investments reflected their needs, and not just the people surveyed.

- Beneficiaries that feel project investments reflected their needs – female (number)
- Beneficiaries that feel project investments reflected their needs– male (number)
- Total beneficiaries – female (number)
- Total beneficiaries – male (number)

POLLUTION MANAGEMENT AND ENVIRONEMNTAL HEALTH

Projects that have **Pollution Management and Environmental Health (Theme 84)** among their theme codes should report data on the following core sector indicators where applicable, with the definitions are laid out below.

1. Particulate matter reduction achieved under the project (microgram/m^3)
2. Nutrient load reduction (nitrogen (N)) achieved under the project (tons/year)
3. Volume (mass) of COD pollution load reduction achieved under the project (tons/year)
4. Industrial and municipal waste disposal capacity created under the project (tons)
5. Industrial or municipal solid waste reduced or recycled under the project (tons/year)
6. Contaminated land managed or dump sites closed under the project (ha)
7. Persistent organic pollutants (POPs) and POPs waste destroyed, disposed of or contained in an environmentally sound manner (tons)

Other relevant core sector indicators related to pollution management and environmental health that are available (or expected to become available) through other sector codes[24] are:

- New household sewer connections constructed under the project (number) (WA Sanitation CSI)
- People trained to improve hygiene behavior or sanitation practices under the project (number) (WA Sanitation CSI)
- Volume (mass) of BOD pollution loads removed by the treatment plant supported under the project (tons/year) (WV Wastewater Treatment and Disposal CSI)
- People in urban areas provided with access to regular solid waste collection under the project (number) (Access to Urban Services and Housing for the Poor CSI)
- People that gained access to improved cooking and heating facilities under the project (number)[25] (LA Energy Efficiency in Heat and Power)
- Increase in ridership by public transport facilitated by the project[26] (number) (TC Urban Transport)

Definitions and Supplemental Requirements

1. Particulate matter reduction achieved under the project (microgram/m^3)

This indicator measures the reduction in concentration of particulate matter (PM_{10}) achieved as a results of the Bank project. Reductions in PM_{10} concentration may originate in energy use efficiency; process modifications; selection of fuels or other materials, the processing of which may result in less polluting emissions; and / or application of emissions control techniques.

[24] Please refer to the relevant sector guidance documents for the guidance and definitions for these core sector indicators.
[25] Guidance for this indicator is under preparation by the Energy Sector.
[26] Based on consultation with theTransport Anchor. Pending approval by the Sector Board. Guidance for this indicator is under preparation by the Transport Sector.

The baseline for this indicator is the actual ambient particulate matter concentration at the start of the project implementation.

Guidance on airborne particulate matter (PM_{10}): Particulate matter is the term for a mixture of solid particles and liquid droplets found in the air. The physical attributes of airborne particulates include their size distribution measured in aerodynamic diameter. PM_{10} is the particulate matter that is smaller than 10 micrometers in diameter, it includes: "inhalable coarse particles," with diameters larger than 2.5 micrometers and smaller than 10 micrometers (Pm_{10}) and "fine particles," with diameters that are 2.5 micrometers and smaller ($PM_{2.5}$).

Guidance on PM_{10} concentration measurement: Measurement of concentration can be based on monitoring and/or estimation. Monitoring should apply national or international methods for sample collection and analysis, such as those published by the International Organization for Standardization, the European Committee for Standardization, or the U.S. Environmental Protection Agency. Sampling should be conducted by, or under, the supervision of trained individuals. Analysis should be conducted by entities permitted or certified for this purpose. Monitoring type and frequency should be representative of the PM_{10} concentration over time. Estimation of ground level concentrations should rely on internationally recognized, or comparable, emission estimation and dispersion model: examples of air emissions estimation and dispersion modeling approaches are provided in Annex 1.1.1 of WBG 2007[27].

Supplemental data required (mandatory)

- Number of people with exposure to PM_{10} in the area of the project.

Guidance on people exposed to PM_{10}: Exposure to PM_{10} requires mapping the areas where PM_{10} concentrations have been reduced by the project and estimating the population living in these areas. Internationally recognized, or comparable, air quality management (AQM) models, including dispersion models, can be used to map the areas impacted by the project.

2. Nutrient load reduction (nitrogen (N)) achieved under the project (tons/year)

This indicator measures nitrogen load reduction due to investments or efficiency gains (e.g. manure management in livestock farms, optimization of use of fertilizer) financed under the Bank project.

The baseline for this indicator is the nitrogen load at the start of project implementation.

Guidance on nitrogen (N) load: The nitrogen load refers to the total amount of nitrogen entering the water during a year.

Guidance on load estimation: Load estimation is carried out through monitoring (water discharge and pollutant concentration) and calculation techniques. Monitoring should apply national or international methods for sample collection and analysis, such as those published by the International Organization for Standardization, the European Committee for Standardization, or the U.S. Environmental Protection Agency. Sampling should be conducted by, or under, the supervision of trained individuals. Analysis should be conducted by entities permitted or certified for this purpose.[28] A number of studies provide information on

[27] Available online: http://www1.ifc.org/wps/wcm/connect/532ff4804886583ab4d6f66a6515bb18/1-1%2BAir%2BEmissions%2Band%2BAmbient%2BAir%2BQuality.pdf?MOD=AJPERES

[28] World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/environmental%2C+health%2C+and+safety+guidelines/ehsguidelines

methods for estimating pollutant loads such as Richards 1997[29]. Load estimation may also rely on modeling[30].

3. Volume (mass) of COD pollution load reduction achieved under the project (tons/year)

This indicator measures the volume (mass) of Chemical Oxygen Demand (COD) pollution load reduction achieved through process modification to reduce the load of pollutants requiring treatment, and / or through application of wastewater treatment techniques to reduce the load of contaminants prior to discharge.

The baseline for this indicator is the actual COD load at the start of project implementation.

Guidance on Chemical Oxygen Demand (COD): COD is a measure of the oxygen required to oxidize all compounds in water, both organic and inorganic.

Guidance on load estimation: load estimation is carried out through monitoring (water discharge and pollutant concentration) and calculation techniques. Monitoring should apply national or international methods for sample collection and analysis, such as those published by the International Organization for Standardization, the European Committee for Standardization, or the U.S. Environmental Protection Agency. Sampling should be conducted by, or under, the supervision of trained individuals. Analysis should be conducted by entities permitted or certified for this purpose.[31]

4. Industrial and municipal waste disposal capacity created under the project (tons)

This indicator measures the municipal or industrial solid waste disposal capacity created as a result of the Bank project.

The baseline for this indicator is expected to be zero.

Guidance on industrial solid waste: A waste is any solid, liquid, or contained gaseous material that is being discarded by disposal, recycling, burning or incineration. It can be a byproduct of a manufacturing process or an obsolete commercial product that can no longer be used for intended purpose and requires disposal. Solid (non-hazardous) wastes generally include any garbage, refuse. Examples of such waste include domestic trash and garbage; inert construction / demolition materials; refuse, such as metal scrap and empty containers (except those previously used to contain hazardous materials); and residual waste from industrial operations, such as boiler slag, clinker, and fly ash[32].

Guidance on municipal solid waste: Municipal solid waste includes everyday items such as product packaging, grass clippings, furniture, clothing, bottles and cans, food scraps, newspapers, appliances, consumer electronics, and batteries. These wastes come from homes, institutions such as schools, and commercial sources such as restaurants and small businesses. Industrial hazardous waste is excluded.

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[29] Richards, R.P. 1997. Estimation of Pollutant Loads in Rivers and Streams: A Guidance Document for NPS Programs. DRAFT. Water Quality Laboratory, Heidelberg College, Tiffin, OH. 80 pp.

[30] Examples of models are available in Chapter 7 (Load Estimation Techniques) in: EPA. 2003. National Management Measures to Control Nonpoint Source Pollution from Agriculture 841-B-03-004. Available online: http://water.epa.gov/polwaste/nps/agriculture/agmm_index.cfm.

[31] World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/environmental%2C+health%2C+and+safety+guidelines/ehsguidelines

[32] World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/environmental%2C+health%2C+and+safety+guidelines/ehsguidelines

Guidance on disposal of solid waste: Treatment or disposal at permitted facilities specially designed to receive the waste. Examples include: composting operations for organic non-hazardous wastes; properly designed, permitted and operated landfills or incinerators designed for the respective type of waste; or other methods known to be effective in the safe, final disposal of waste materials[33].

Guidance on disposal capacity: this is capacity of waste disposal installations including sanitary landfill sites, incineration plants, and other final treatment plants that are financed by the project.

5. Industrial or municipal solid waste reduced or recycled under the project (tons/year)

This indicator measures the volume of municipal or industrial solid waste that is not generated and / or that is recycled as a result of the Bank project. The indicator is the addition of the following components:

- The differential of the projected waste generation and the waste generated by entities and households addressed under the project (tons/year)
- Waste newly recycled under the project (tons/year)

The baseline for this indicator is expected to be zero.

Guidance on industrial solid waste: A waste is any solid, liquid, or contained gaseous material that is being discarded by disposal, recycling, burning or incineration. It can be a byproduct of a manufacturing process or an obsolete commercial product that can no longer be used for intended purpose and requires disposal. Solid (non-hazardous) wastes generally include any garbage, refuse. Examples of such waste include domestic trash and garbage; inert construction / demolition materials; refuse, such as metal scrap and empty containers (except those previously used to contain hazardous materials); and residual waste from industrial operations, such as boiler slag, clinker, and fly ash[34].

Guidance on municipal solid waste: Municipal solid waste includes everyday items such as product packaging, grass clippings, furniture, clothing, bottles and cans, food scraps, newspapers, appliances, consumer electronics, and batteries. These wastes come from homes, institutions such as schools, and commercial sources such as restaurants and small businesses. Industrial hazardous waste is excluded.

Guidance on projected waste generation: Municipal solid waste generation is calculated based on a per capita generation factor - which is related to the urbanization rate and the economic development level – multiplied by the population size. Benchmarks - using adjusted GDP based reference - can be used to make projections for the sector. Projections for other types of waste, such as industrial waste, can be done using industrial benchmarks.

Guidance on recycling: Different categories of waste can be recycled or reused, the most common being plastics, paper, aluminum, glass, as well as organic waste. The waste can be recycled directly by its producer without entering the waste collection chain, or it can be collected through a system entailed to source separation, or together with Municipal Solid Waste and sorted at the transfer station or at the landfill, from where it is shipped to the recycling facility. It can also be collected by the informal sector directly at the source and sold to intermediaries.

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[33] World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/environmental%2C+health%2C+and+safety+guidelines/ehsguidelines

[34] World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/environmental%2C+health%2C+and+safety+guidelines/ehsguidelines

6. Contaminated land managed or dump sites closed under the project (ha)

This indicator measures the cumulative size of industrial or municipal dump sites that are closed or contaminated land that is managed as a result of the Bank project.

The baseline for this indicator is expected to be zero. When reporting on this indicator the progress is equal to the cumulative size of dumpsites closed or contaminated land managed under the project since the beginning of the project.

Guidance on dumpsites: Dump is a site used to dispose of solid wastes without environmental controls to minimize environmental pollution or limit slope instability.[35]

Guidance on closing dump site: The closure of an open dumpsite aims at reducing the pollution impact on the environment and health and improving the life space quality for neighboring population. It may be achieved through: closing by covering the waste and controlling water pollution, closing by removing the waste from the site, and closing by upgrading the dump to a controlled dumping site or sanitary landfill.

Guidance on contaminated land: Land is considered contaminated when it contains hazardous materials or oil concentrations above background or naturally occurring levels. Contaminated lands may involve superficial soils or subsurface soils that, through leaching and transport, may affect groundwater, surface water, and adjacent sites. Where subsurface contaminant sources include volatile substances, soil vapor may also become a transport and exposure medium, and create potential for contaminant infiltration of indoor air spaces of buildings[36].

Guidance on managing contaminated land: Contaminated land management is reducing to acceptable levels or eliminating risk to human health and/or ecological receptors. Acceptable levels are determined by the site specific contamination, future land use and avoidance of public health risks37. Managing contaminated land may include emergency measures, containment of pollution, or cleanup and remediation. The choice of specific management measures depends on the associated risks and is determined through a risk-based approach, which balances the potential harm that a polluted area poses to the population and environment with the resources required. It is assumed that World Bank projects comply with the applicable World Bank Operational Policies, which are designed to ensure that Bank project and activities are economically, financially, socially and environmentally sound.

7. Persistent organic pollutants (POPs) and pops waste destroyed, disposed of or contained in an environmentally sound manner (tons)

This indicator measures the amount of persistent organic pollutants (pops) and pops waste disposed of or contained in environmentally sound manner (tons) under the Bank project.

The baseline for this indicator is expected to be zero. When reporting on this indicator the progress is equal to the cumulative amount of pops and pops waste disposed of or contained in environmentally sound manner (tons) under the project since the beginning of the operation.

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[35] World Bank Group. 1998. Pollution Prevention and Abatement Handbook – Toward Cleaner Production.

[36] World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/environmental%2C+health%2C+and+safety+guidelines/ehsguidelines

[37] Refer to World Bank Group. 2007. Environmental Health and Safety Guidelines. Available online: http://www1.ifc.org/wps/wcm/connect/554e8d80488658e4b76af76a6515bb18/Final%2B-%2BGeneral%2BEHS%2BGuidelines.pdf?MOD=AJPERES

Guidance on POPs: Persistent Organic Pollutants (POPs) are organic chemical substances, i.e. they are carbon-based, that possess a particular combination of physical and chemical properties such that, once released into the environment, they: remain intact for exceptionally long periods of time; become widely distributed throughout the environment as a result of natural processes involving soil, water and, most notably, air; accumulate in the fatty tissue of living organisms including humans, and are found at higher concentrations at higher levels in the food chain; and are toxic to both humans and wildlife[38]. The persistent organic pollutants include the specific chemicals that are listed in Annexes A (elimination), B (restriction), and C (unintentional production) of the Stockholm Convention.
http://chm.pops.int/Convention/ThePOPs/ListingofPOPs/tabid/2509/Default.aspx.

Guidance on destruction or disposal of POPs in environmentally sound manner: what constitutes environmentally sound disposal is set forth in paragraph 1 (d) of Article 6 of Stockholm Convention, which states: "*take appropriate measures so that such wastes, including products and articles upon becoming wastes, are: (i) Handled, collected, transported and stored in an environmentally sound manner; (ii) Disposed of in such a way that the persistent organic pollutant content is destroyed or irreversibly transformed so that they do not exhibit the characteristics of persistent organic pollutants or otherwise disposed of in an environmentally sound manner when destruction or irreversible transformation does not represent the environmentally preferable option or the persistent organic pollutant content is low, taking into account international rules, standards, and guidelines, including those that may be developed pursuant to paragraph 2, and relevant global and regional regimes governing the management of hazardous wastes; (iii) Not permitted to be subjected to disposal operations that may lead to recovery, recycling, reclamation, direct reuse or alternative uses of persistent organic pollutants; and (iv) Not transported across international boundaries without taking into account relevant international rules, standards and guidelines."*, and is consistent with international good practice prepared in line with the Stockholm Convention as, for example, the "Updated general technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants (POPs)". It is assumed that World Bank projects comply with the applicable World Bank Operational Policies, which are designed to ensure that Bank project and activities are economically, financially, socially and environmentally sound.

Guidance on containment in environmentally sound manner: Capture and containment involves securely packaging or containerizing POPs containing material as required at their current locations, characterization via an itemized inventory, and protection against release during handling and storage, as per international good practice such as published guidance referenced in the Basel Guidelines, and guidance and training materials published by the United Nations Food and Agriculture Organization (FAO).[39] It is assumed that Bank projects comply with the applicable World Bank Operational Policies, which are designed to ensure that Bank project and activities are economically, financially, socially and environmentally sound.

[38] Stockholm Convention Website: http://chm.pops.int/Convention/ThePOPs/tabid/673/Default.aspx
[39] Examples of good practice include:
- STAP (The Scientific and Technical Advisory Panel of the Global Environment Facility). (2011). Selection of Persistent Organic Pollutant Disposal Technology for the Global Environment Facility. A STAP advisory document. Global Environment Facility, Washington, DC.
- Basel Convention (2011). Technical Guidelines (multiple). Available at: http://basel.int/meetings/sbc/workdoc/techdocs.html
- Food and Agriculture Organization (2009). Prevention and Disposal of Obsolete Patricides. Available at: http://www.fao.org/waicent/faoinfo/agricult/agp/AGPP/Pesticid/Disposal/en/103194/index.html

ROADS AND HIGHWAYS

Projects that have Roads and Highways (TA) among their sector codes should report data on the following Core Indicators, with the definitions laid out below:

1. Roads constructed (km)
   (i) Rural
   (ii) Non-rural

2. Roads rehabilitated (km)
   (i) Rural
   (ii) Non-rural

3. Roads in good and fair condition as a share of total classified roads (percentage)
   (ii) Size of the total classified network

4. Share of rural population with access to an all-season road (proportion)
   (ii) Number of people with access to an all-season road

5. Average time from ship readiness to unload to final destination for an imported container, on the corridor(s) targeted by the project (days)
   (i) Freight volume measured in TEU in targeted corridor

Definitions and Supplementation Information

1. Roads constructed (km)

This indicator measures the cumulative number of kilometers of all roads constructed under the project. It is expected that the baseline value for this indicator will be zero.

Supplemental information: The TTL should specify separately the **cumulative total of *rural* roads constructed and the cumulative total of *non-rural* roads constructed**. [Note that non-rural is not equivalent to "urban".]

Guidance on rural and non-rural road classification:

- *Rural roads* are roads functionally classified in various countries below Trunk or Primary, Secondary or Link roads, or sometimes Tertiary roads. Such roads are often described as rural access, feeder, market, agricultural, irrigation, forestry or community roads. Typically, rural roads connect small urban centers/towns/settlements of less than 2,000 to 5,000 inhabitants to each other or to higher classes of road, market towns and urban centers.

- *Non-rural roads* are roads functionally classified in various countries as Trunk or Primary, Secondary or Link roads, or sometimes Tertiary roads. Typically, non-rural roads connect urban centers/towns/settlements

of more than 5,000 inhabitants to each other or to higher classes of road, market towns and urban centers. Urban roads are included in non-rural roads.

- To define rural and non-rural roads, the functionality of the classified road network must be first considered. In the absence of the availability of such classification the size of the settlements connected by the studied road should be used as the basis for the definition – specifically the road would be defined as non-rural if the settlements connected have more than 5,000 inhabitants, and the road would be defined as rural if the settlements connected have less than 2,000 to 5,000 inhabitants.

2. Roads rehabilitated (km)

This indicator measures the cumulative number of kilometers of all roads reopened to motorized traffic, rehabilitated, or upgraded under the project. It is expected that the baseline value for this indicator will be zero.

Supplemental information: The TTL should also specify the **cumulative total of *rural* roads rehabilitated and the cumulative total of *non-rural* roads rehabilitated**. [Note that non-rural is not equivalent to "urban".]

Guidance on rural and non-rural road classification:

- *Rural roads* are roads functionally classified in various countries below Trunk or Primary, Secondary or Link roads, or sometimes Tertiary roads. Such roads are often described as rural access, feeder, market, agricultural, irrigation, forestry or community roads. Typically, rural roads connect small urban centers/towns/settlements of less than 2,000 to 5,000 inhabitants to each other or to higher classes of road, market towns and urban centers.

- *Non-rural roads* are roads functionally classified in various countries as Trunk or Primary, Secondary or Link roads, or sometimes Tertiary roads. Typically, non-rural roads connect urban centers/towns/settlements of more than 5,000 inhabitants to each other or to higher classes of road, market towns and urban centers. Urban roads are included in non-rural roads.

- To define rural and non-rural roads, the functionality of the classified road network must be first considered. In the absence of the availability of such classification the size of the settlements connected by the studied road should be used as the basis for the definition – specifically the road would be defined as non-rural if the settlements connected have more than 5,000 inhabitants, and the road would be defined as rural if the settlements connected have less than 2,000 to 5,000 inhabitants.

3. Roads in good and fair condition as a share of total classified roads (percentage)

This indicator measures the percentage of the total classified road network in the project area that is in good and fair condition depending on the road surface and the level of roughness.

Supplemental information:

(i) Size of the total classified network
The TTL should indicate also the size of the total classified network in the project area as supplemental data. *(Note: From the indicator and this supplemental data on its denominator, the km of roads in good and fair condition can also be calculated.)* If the shares get aggregated across several project areas, or several countries, the size of the classified networks serves as the weight.

Guidance on classified road network: Classified roads are the roads that have been included in the roads legislation as public roads.

Guidance on good and fair condition of roads:

Table 1: Indicative link between surface type/road condition and roughness

Surface type	Condition category[40]	Roughness (IRI[41] m/km)	
		Minimum	Maximum
Concrete	Good	1.0	3.5
	Fair	3.5	6.0
	Poor	6.0	16.0
Asphalt	Good	1.0	3.5
	Fair	3.5	5.5
	Poor	5.5	16.0
Surface treatment	Good	1.0	4.5
	Fair	4.5	6.5
	Poor	6.5	16.0
Gravel	Good	1.0	9.0
	Fair	9.0	13.5
	Poor	13.5	25.0
Earth	Good	1.0	11.0
	Fair	11.0	15.5
	Poor	15.5	25.0

Note: A minimum distinction needs to be made by the authorities to show *concrete and bitumen paved* (asphalt concrete, surface treatment) and *unpaved* (gravel, earth) roads for the purpose of compiling data for these core indicators. Any other details may be relevant only to any country's road inventory and management purposes.

Source: Conditions identified by RONET (Road Networks Evaluation Tools).

4. Share of rural population with access to an all-season road (proportion)

This indicator is measured as the proportion of rural people in the project area who live within 2 kilometers (typically equivalent to a 20-minute walk) of an all-season road. This indicator is also known as Rural Access Index (RAI).

***Supplemental information**:*

(i) Number of rural people with access to an all-season road

The TTL should indicate also the absolute number of rural people with access to an all-season road, i.e. the numerator of the share, as supplemental data. *Note: From the indicator and this supplemental information, the size of the rural population (i.e. the denominator of the share) can be calculated as well.* If the shares get aggregated across several project areas, or several countries, the size of the rural population serves as the weight. The supplemental information also allows one to aggregate the absolute number of rural people with access to an all-season road.

[40] Good classification includes Very Good and Poor classification includes Very Poor.
[41] International Roughness Index (IRI).

Guidance on rural population: "Rural" should follow the definition officially used in the country.

Guidance on all-season road: An all-season road is a road that is motorable all year by the prevailing means of rural transport (often a pick-up or a truck which does not have four-wheel-drive). Predictable interruptions of short duration during inclement weather (e.g. heavy rainfall) are acceptable, particularly on low volume roads.

Guidance on living within 2 kilometers: There are three main approaches to measure this indicator:

- Using mapping geo-referenced population to determine how many people live within 2 kilometers of the classified road network. Limitations relate to assumptions on the passability of the classified network as well as the absence of a non-classified network. The level of confidence is rated as good.

- Extrapolating based on sampling: physical data on population and road length (km) generated in formal surveys are used to extrapolate the index. The level of confidence is rated as fair.

- Using partial spatial estimation: the index is physically measured in a sample of rural areas through geo-referencing of all roads and villages. Limitations come from possible lack of robustness of the sampling process. The level of confidence is rated as fair.

5. Average time from ship readiness to unload to final destination for an imported container, on the corridor targeted by the project (days)

This indicator measures the average total time from time at origin to time at the end in days for an imported container, on the corridor(s) targeted by the project.

***Supplemental information**:*

(i) Freight volume measured in TEU in targeted corridor
The TTL should indicate also the freight volume measured in TEU (Twenty-foot Equivalent Unit) in the targeted corridor, as supplemental data. If the times get aggregated across several project corridors, or several countries, the freight volume on the respective corridor serves as the weight.

Guidance on average time from ship readiness to unload to final destination for an imported container: The time at the origin is the moment when the ship is available for unloading at the berth or off the shore (when origin is the port) otherwise, it is when the container exits the origin city. The time at the end is the moment when the content of the container is made available to the final customer at the destination in the selected economic center. Time at port to unload container (if a port is the origin) should be included in the time calculation. Container refers to a standard 20-foot TEU.

Guidance on corridor targeted by the project: The corridor targeted by the project typically goes from a major city to a close port. (When calculated as a country-level indicator, the indicator refers to the corridor from the country capital or most important commercial city to the closest port.) If the major city and the port city are the same, the indicator measures the time to get a container out of the port.

SANITATION

Projects that have Sanitation (WA) among their sector codes should report data on the following Core Sector Indicators, with the definitions laid out below:

1. People provided with access to "improved sanitation facilities" under the project (number)
    i. People provided with access to "improved sanitation facilities" under the project - urban (number)
    ii. People provided with access to "improved sanitation facilities" under the project - rural (number)
2. Improved latrines constructed under the project (number)
3. People trained to improve hygiene behavior or sanitation practices under the project (number)
    i. People trained to improve hygiene behavior or sanitation practices under the project - female (number)

Definitions and Supplemental Requirements

1. People provided with access to 'improved sanitation facilities" under the project - (number)

This indicator measures the cumulative number of people who benefited from improved sanitation facilities that have been constructed under the project. This includes people newly provided with access to "improved sanitation facilities" and does not include people benefiting from rehabilitation works. The number of people provided with access in (i) **urban areas**, and (ii) **rural areas** should be specified separately. It is expected that the baseline value for this indicator will be zero.

Guidance on "improved sanitation facilities": "Improved sanitation facilities" include flush or pour-flush to a piped sewer system, septic tank or pit latrine; ventilated improved pit (VIP) latrine; pit latrine with slab; and composting toilet. Hence, "improved sanitation facilities" do not include, inter alia, flush or pour-flush to elsewhere (i.e. not to a piped sewer system, septic tank or pit latrine); pit latrine without slab/open pit; bucket; hanging toilet or hanging latrine; shared facilities of any type; or no facilities, bush or field. The definition of 'improved sanitation facilities' follows the UNICEF-WHO Joint Monitoring Program definition.[42]

Guidance on people provided with access: The number of people provided with access can be estimated by multiplying the actual number of improved sanitation facilities with an estimate of the number of people per household using the improved sanitation facility. The number of people per household should be provided by the TTL based on the official estimate used in the project area. In case this is not available, data on household size should be used from the most current version of the World Development Indicators (WDI). Where the WDI does not provide data, a household size of 5 persons should be used. The assumptions made regarding the number of people per sanitation facility should be documented in the 'comments' section of the indicator when the data are entered in the ISR.

[42] http://www.wssinfo.org/definitions-methods/watsan-categories/

Since the indicator follows the standard definition used to track progress on the Millennium Development Goals, people who as a result of the project are provided with access to a higher level of "improved sanitation facility" from a lower level of "improved sanitation facility" should not be counted under this indicator. For example, a pit latrine with slab already constitutes an "improved sanitation facility"; if a service to collect waste from this pit is newly introduced, or the facility gets upgraded and connected to a sewer, the number of people newly provided with access to "improved sanitation facilities" is zero.

Guidance on urban and rural classification: The classification should follow the official definition used in the country.

Breakdown data required (at least one)

- People provided with access to "improved sanitation facilities" under the project – urban (number)
- People provided with access to "improved sanitation facilities" under the project- rural (number)

2. Improved latrines constructed under the project – (number)

This indicator is measured as the cumulative number of improved latrines constructed under the project. It is expected that the baseline value for this indicator will be zero.

Guidance on improved latrines: Based on the UNICEF-WHO Joint Monitoring Program definition of "improved sanitation facilities"[43], improved latrines are defined as toilets linked to septic tanks or pit latrines, VIP latrines, pit latrines with slab, and composting toilets.

3. People trained to improve hygiene behavior or sanitation practices under the project – (number)

This indicator measures the cumulative number of people who have participated in a training activity to conduct improved hygiene behavior or sanitation practices. This does not include people who have been educated and/or informed through public information or mass publication campaigns. The specific hygiene behavior and sanitation practices can vary between projects. If people attend more than one training activity under the project, they should be counted only once to avoid double counting. It is expected that the baseline value for this indicator will be zero.

Breakdown data required (mandatory)

- People trained to improve hygiene behavior or sanitation practices under the project - female (number)

[43] http://www.wssinfo.org/definitions-methods/watsan-categories/

SOCIAL INCLUSION

Projects that have Social Inclusion (Theme 100) among their theme codes should report data on the following indicators, with the definitions laid out below:

1. Vulnerable and marginalized people in the project area that are aware of project investments and benefits (percentage)
2. Share of vulnerable and marginalized people of the total project beneficiaries (percentage)
3. Representatives in community based decision making and management structures that are from the vulnerable or marginalized beneficiary population (percentage)
4. Vulnerable and marginalized beneficiary population who participate in non-project consultations and decision making forums (percentage)

Definitions and Supplemental Requirements

1. Vulnerable and marginalized people in the project area that are aware of project investments and benefits (percentage)

This indicator measures the efficacy of the project's targeting and communication strategy.
It is expected that the baseline value for this indicator will be zero.

Guidance:
A project that prioritizes social inclusion would need a strategy that clearly identifies the characteristics of the vulnerable and marginalized communities and provides an estimate of the vulnerable/marginalized population. This strategy would also need to provide a good understanding of the diversity and heterogeneity of beneficiaries to design targeting and outreach activities to include the socially excluded. Appropriate tools need to be part of the communication strategy to enable effective dissemination of project information to the socially excluded communities.

- Marginalized and vulnerable population include groups that are socially and economically marginalized and include inter alia religious and/or ethnic minorities, scheduled castes, indigenous peoples including schedules tribes, people with disability, women (when not specifically targeted), migrants, very poor groups, etc.
- Survey techniques will be needed to assess the percentage of the intended beneficiary population that demonstrates meaningful knowledge of intended project benefits. The survey would be designed to distinguish those who have simply heard something about the project from those who have received sufficient information to understand the intended scope and scale of project benefits. An effective survey is likely to require several questions to give a full picture of awareness levels, but should include one question that allows the task team to make the statement: "x percent of target beneficiaries from marginalized groups were able to describe project benefits accurately".
- Surveys conducted to monitor community awareness of project benefits should be sampled to be representative of the target population from marginalized groups. The understanding is that marginalized people will be prioritized to receive project benefits. If non-marginalized people will also benefit great

care needs to be taken when choosing the sample to make sure that it is representative of the distribution between marginalized and non-marginalized and that the results can be separated by marginalized and non-marginalized.

- Aggregation within a country would require that project level surveys contain some identical questions and may capture inclusion of different groups where target beneficiaries differ by project. Possible survey questions might include:
    - Please describe the benefits of [activity x]. [Check against pre-coded list of possible benefits]
    - Project-customized questions that illustrate knowledge of particular, identified aspects of the activity that are particularly relevant to targeted beneficiaries.

Supplemental data required (Mandatory):

Please provide the following information to aggregate across projects/ countries. Kindly note that the information requested is for the total number of vulnerable and marginalized people estimated to be aware of project investments and benefits in the project area, and not just the people surveyed.

- Vulnerable and marginalized people in the project area that are aware of projects investments and benefits– female (number)
- Vulnerable and marginalized people in the project area that are aware of projects investments and benefits– male (number)
- People in the project area – female (number)
- People in the project area – male (number)

2. Share of vulnerable and marginalized people under the project area that are project beneficiaries (percentage)

This measures the efforts by the project to ensure that project benefits reach vulnerable and marginalized groups.

It is expected that the baseline value for this indicator will be zero.

Guidance:

This will reflect the effectiveness of targeting and outreach activities.

- Marginalized and vulnerable population include groups that are socially and economically marginalized and include inter alia religious and/or ethnic minorities, scheduled castes, indigenous peoples including schedules tribes, people with disability, women (when not specifically targeted), migrants, very poor groups, etc.
- This information should be available from project management information system that track the population reached by project benefits. Monitoring systems will need to include relevant information or identifiers about project beneficiaries that allow analysts to identify which beneficiaries are from marginalized or vulnerable groups. This may require identifiers for gender, ethnicity, language group, location, religion, social group, age or administrative/registration status.

Supplemental data required (Mandatory):

Please provide the following information to aggregate across projects/ countries.

- Vulnerable and marginalized people under the project area that are project beneficiaries– female (number)
- Vulnerable and marginalized people in the project area that are project beneficiaries – male (number)
- Vulnerable and marginalized people in the project area – female (number)
- Vulnerable and marginalized people in the project area – male (number)

3. Representatives in community based decision making and management structures that are from the vulnerable or marginalized beneficiary population (percentage)

This indicator measures the space created and the effectiveness of mechanisms established by the project to include vulnerable and marginalized groups in decision-making processes. This indicator may be more useful for CDD-type projects.

It is expected that the baseline value for this indicator will be zero.

Guidance:
This indicator is suitable in projects that have a stated objective of including marginalized groups in project decision-making. This is likely to include the establishment of clear protocols for organizing consultations that are sensitive to issues of place, time, language etc and that are convenient and/or conducive to participation by all social groups. Project-supported organizations in such projects would generally ensure the membership of the excluded and their representation in leadership and decision making bodies.

- Marginalized and vulnerable population include groups that are socially and economically marginalized and include inter alia religious and/or ethnic minorities, scheduled castes, indigenous peoples including schedules tribes, people with disability, women (when not specifically targeted), migrants, very poor groups, etc.
- Different projects will be using different mechanisms to engage communities in project design, implementation and decision-making. This indicator will adopt the project definition of community consultation activities, and provide a simple percentage of the number of people from defined vulnerable and marginalized groups that participate in these activities relative to total participation. For example, if an irrigation project aims to ensure that particular ethnic groups are adequately represented on decision-making bodies, and if decision-making occurs through water users' groups, then the indicator will calculate the percentage of people from these ethnic groups that are members of water users groups. If project decision-making takes place through public meetings, the project will monitor attendance by target ethnic groups in these meetings.
- This should be relatively simple to aggregate within a project. Aggregating across projects requires understanding that decision-making processes may vary from project to project, as might the definition of vulnerable or marginalized groups. Country-level and cross-country aggregation will therefore capture a range of consultation mechanisms and a diversity of excluded groups.
- This information should normally be available from project administrative records. The accuracy of these records can be verified during supervision. Sound project management would require additional information (not considered a core indicator) that tracks the quality and outcomes of these decision-making processes and the functional level of "voice" given to excluded groups within these processes.

Supplemental data required (Mandatory):

Please provide the following information for aggregation across countries/ projects

- Representatives in community based decision making and management structures that are from the vulnerable or marginalized beneficiary population – female (number) Representatives in community based decision making and management structures that are from the vulnerable or marginalized beneficiary population – male (number)
- People participating in community based decision making and management structure – female (number)
- People participating in community based decision making and management structure – male (number)

4. Vulnerable and marginalized beneficiary population who participate in non-project consultations and decision making forums (percentage)

This will measure the empowerment of the vulnerable beneficiary population as a result of project processes. It is expected that the baseline value for this indicator will be zero.

Guidance:
Inclusion of this indicator reflects the intentions of several projects to empower marginalized and vulnerable groups to participate more in public processes for decision making and social accountability. This will provide an insight into the sense of empowerment both at the individual beneficiary level as well as at the community level - social capital, reflected in the ability of the vulnerable beneficiary population to engage with other local level institutions and organizations, with increased mobility and voice.

- Marginalized and vulnerable population include groups that are socially and economically marginalized and include inter alia religious and/or ethnic minorities, scheduled castes, indigenous peoples including schedules tribes, people with disability, women (when not specifically targeted), migrants, very poor groups, etc.
- Measurement of empowerment and attribution of changes to project activities will require a budget that is adequate to fund a baseline and follow-up surveys. This is likely to require specialized input from experts experienced in impact evaluation work. Randomized samples with control groups may be needed. Within the Bank, there are funds available for such work.
- The survey would be designed to explore changes in the levels of participation in decision-making processes and changes in perceptions about the impact that such participation has on outcomes. The indicator, measured through repeat surveys, would provide the following information: "x percent of project-defined vulnerable and excluded groups reported actual participation in non-project decision-making processes before the project and y percent reported actual participation in non-project decision-making processes after t years of project activity"
- Survey questions that might deliver this indicator include:
    - Do you routinely participate in any of the following decision making processes [locally-appropriate list of possible processes prepared, which respondent replies never, rarely, sometimes, often]?
    - How much are you able to alter decision-making processes by attending and participating in these activities? [not at all, a little, a lot]

Supplemental data required (Mandatory):
Please provide the following information to aggregate across projects/ countries. Kindly note that the information requested is for the total number of vulnerable and marginalized estimated to participate in non-project consultations and decision making forums, and not just the people surveyed.

- Vulnerable and marginalized people who participate in non-project consultations and decision making forums – female (number)
- Vulnerable and marginalized people who participate in non-project consultations and decision making forums – male (number)
- People who participate in non-project consultations and decision making forums – female (number)
- People who participate in non-project consultations and decision making forums – male (number)

SOCIAL PROTECTION

Projects that have the Social Protection codes: Social Protection thematic codes: Improving Labor Markets (51), Social Safety Nets (54), Vulnerability Assessment and Monitoring (55), Other Social Protection and Risk management (56), Social Risk Mitigation (87) should report data on the following Core Sector Indicators, with the definitions laid out below:

3. Beneficiaries of Safety Nets programs (number)
4. Beneficiaries of Labor Market programs (number)

Definitions and Supplemental Requirements

1. Beneficiaries of Safety Nets programs (number)

This indicator measures the number of individual beneficiaries covered by safety nets programs supported by the Bank. Safety nets programs intend to provide social assistance (in kind or cash) to poor and vulnerable individuals or families, including those to help cope with consequences of economic or other shock). It includes: benefits in-cash to vulnerable groups; benefits in-kind to vulnerable groups; subsidies for goods to vulnerable groups[44]. Aggregation across projects would provide an approximate measure of coverage of safety nets programs supported by Bank operations.

Measurement: Absolute number of direct beneficiaries (individual count).
Context: The indicator applies to both IDA and IBRD contexts.
Project/Program level: Program level.

Guidance:

- *The scope of the indicator (what is included in the indicator and what is not).*

The conceptual definition – which sometimes does not correspond to the Bank's internal coding system – includes: cash transfers programs, conditional cash transfers, food transfers, in kind transfers (including basic needs, fertilizers tools..), school feeding programs, family allowances, social pensions, fee waivers for health, fee waivers for other services, housing, public works.

- *Frequently used sources of data for this indicator*

This data should normally be available from program/project administrative records. The accuracy of these records can be verified during supervision.

- *Baseline*

The baseline value would cover the pre-project number of beneficiaries covered by the program at the project level. If there is no pre-project baseline value (in case the Bank is supporting the implementation of a new program or a pilot), the TTL will record the baseline value in the ISR as zero. If the baseline is not available but it is non-zero, the TTL will record the baseline value in the ISR as blank.

[44] Thematic code 54 definition, "Guidelines for Using World Bank Theme Codes", World Bank 2006.

Note that the WB system won't allow changing baseline and target values in ISRs, once they have been entered.

- *Agreed upon calculation methods to compute the indicator*

Individual direct beneficiaries are the unit of measurements. If administrative data are available at the household level, the number of beneficiaries at individual level should be computed by multiplying the household level value by the average household size appropriately for the context[45]. Data sources for "average household size" should ideally rely on national household surveys to allow the computation "average household size" by locations. In those countries where household composition data are not available, TTLs are encouraged to use the latest current value of WDI country-level estimates of "average household size"[46].

- *Agreed upon reporting method*

Annual point estimates of beneficiaries reached are reported for every update between project effectiveness and project completion.

Breakdown indicator 1 (mandatory)

"Beneficiaries of Safety Nets programs - female (number)".

Breakdown indicator 1 measures female participation in SSN programs. It has the same definition as the CSI-1 but applies only to female. Breakdown indicator 1 will yield a measure of coverage of SSN projects disaggregated by gender.
The measurement is counting the absolute number of individual females.
Baselines are mandatory and targets are recommended for each breakdown indicator.

Breakdown indicators 2 (choose at least one)

2.1 Beneficiaries of Safety Nets programs - Unconditional cash transfers (number)
2.2 Beneficiaries of Safety Nets programs - Social Pensions (number)
2.3 Beneficiaries of Safety Nets programs - Other cash transfers programs (number)
2.4 Beneficiaries of Safety Nets programs - Conditional cash transfers (number)
2.5 Beneficiaries of Safety Nets programs - In-kind transfers (number)
2.6 Beneficiaries of Safety Nets programs - Cash-for-work, food-for-work and public works (number)
2.7 Beneficiaries of Safety Nets programs – School feeding programs (number)
2.8 Beneficiaries of Safety Nets programs - Other social assistance programs (number)

Baselines are mandatory and targets are recommended for each breakdown indicator.

Breakdown 2 indicators follow the safety nets programs' classification used in SP Atlas. A seventh category has been added to separate out cash-for-work, food-for-work and public works programs given their relative contribution in the SSN portfolio[47].
Breakdown indicator 2.3 includes: family, child and disability allowances.
Breakdown indicator 2.5 includes in-kind food and basic transfers such as food stamps and vouchers, food rations, supplementary feeding, emergency food distribution, in kind basics.
Breakdown indicator 2.8 includes other social assistance programs: housing allowances, scholarships/educational credit, fee waivers, health subsidies, community based nutrition programs, grants for asset restoration.

[45] When data are available only at the household level, the indicator would count both direct and indirect beneficiaries.
[46] Available in the printed version under "environment/urban".
[47] Social Protection & Labor at the World Bank, 2000-2008, chapter 5.

Breakdown indicators measure coverage by type of intervention given that some SPL investment loans cover one or multiple safety nets activities. TTL should report only on breakdown indicators applicable to the project. For example, if the project supports one safety net activity, only one breakdown indicator applies and the value of CSI-1 is equal to the breakdown indicator. If the project supports more than one safety net activity, then multiple breakdown indicators apply. Breakdown indicators will be counted independently even if there are beneficiaries that are benefitting from more than one SSN intervention (i.e. the focus will be on getting the data on each of the breakdowns, not on aligning them so that they exactly add up to CSI-1). In this case the overall CSI-1 does not have to be the sum of the breakdown indicators. However, TTLs are encouraged to avoid double-counting of beneficiaries while reporting on CSI-1 when same beneficiaries benefit from more than one SSN intervention.

Example 1: the Maldives Post Tsunami Emergency Relief and Reconstruction Project (P094193) supports two safety nets programs: a one-time cash transfer to families seriously affected by the tsunami and the Restoration of Livelihoods Program which provides compensation grants for the restoration of assets to farmers, micro and small scale enterprises whose assets were damaged or lost from the tsunami, and which were not insured. For this project, CSI-1 ("Beneficiaries of Safety Nets programs") would be the sum of breakdown indicator 2.1 ("Beneficiaries of unconditional cash transfers programs") and breakdown indicator 2.7.

Example 2: the Mexico Support to Oportunidades Project (P115067) supports the continuation of a well established CCT program (Oportunidades) by financing the cash transfers and by providing technical assistance to increase the quality and access of Oportunidades beneficiaries to other social programs and services (scholarships programs, non-contributory health insurance schemes). Even though the project aims at strengthening the links between Oportunidades and other social programs, only breakdown indicator 2.4 would apply and the TTL would report only on it. For this project, the CSI-1 ("Beneficiaries of Safety Nets programs") would have same value as breakdown indicator 2.4 ("Beneficiaries of conditional cash transfers programs"= 5,049,206*average HH size). Similarly, "the number of Oportunidades beneficiaries with PRONABES scholarship" would be a *custom* indicator.

2 Beneficiaries of Labor Market programs (number)

This indicator measures the number of individual beneficiaries covered by passive and active labor market programs (ALMPs) – including entrepreneurship programs - supported by the Bank. Passive labor market programs include severance pay, unemployment insurance and benefits, savings services, and unemployment insurance savings accounts programs. ALMPs include a wide range of interventions, intended to foster the quality of labor supply (e.g., training programs), increase labor demand (e.g., wage subsidies and job vouchers, entrepreneurship and microenterprise development), or improve the matching of individuals and jobs (e.g., job search assistance, employment services). They usually target specific sets of disadvantaged individuals that range from unskilled/skilled youth who drop out of school or are transitioning from school to work, unskilled/skilled adults that are unemployed, welfare recipients, displaced and low productivity workers.

Measurement: Absolute number of individuals.
Context: The indicator applies to both IDA and IBRD contexts.
Project/Program level: Program level.

Guidance:

- *The scope of the indicator (what is included in the indicator and what is not).*

The indicator measures the coverage of LM programs including: severance pay, unemployment insurance and benefits, savings services, unemployment insurance savings accounts programs, training programs (technical and vocational training, on-the-job training during internship or apprenticeships and training related with ALMPs including business development, entrepreneurial and life skills), wage subsidies, job vouchers**, entrepreneurship and microenterprise development** programs, employment services and job search assistance programs.

- *Frequently used sources of data for this indicator:*

National administrative databases (unemployed registries), project/program administrative data, survey data.

- *Baseline*

The baseline value would cover the pre-project number of beneficiaries covered by the program at the project level. If there is no pre-project baseline value (in case the Bank is supporting the implementation of a new program or a pilot), the TTL will record the baseline value in the ISR as zero. If the baseline is not available but it is non-zero, the TTL will record the baseline value in the ISR as blank. Note that the system won't allow changing baseline and target values in ISRs once they have been entered.

- *Agreed upon calculation methods to compute the indicator*

Individual recipients of LM programs are the unit of measurements.

- *Agreed upon reporting method*

Annual point estimates of beneficiaries reached are reported for every update between project effectiveness and project completion.

Breakdown indicator 1 (mandatory)

"Beneficiaries of Labor Market programs - female (number)"

Breakdown indicator 1 measures females' participation in ALMPS. It has the same definition as the CSI-2 but applies only to women. Breakdown indicator 1 will yield a measure of coverage of ALMPs disaggregated by gender. The measurement is counting the absolute number of individual females. Baselines are required and targets are recommended for each breakdown indicator.

Breakdown indicators 2 (choose at least one)

2.1 Beneficiaries of Labor Market programs - Unemployment insurance and benefits (number)
2.2 Beneficiaries of Labor Market programs - Training and re-training (number)
2.3 Beneficiaries of Labor Market programs –supporting **Entrepreneurship** (number)
2.4 Beneficiaries of Labor Market programs - Wage subsidies programs (number)
2.5 Beneficiaries of Labor Market programs - Employment services agencies (number)
2.6 Beneficiaries of Labor Market programs - Other (number)

Baselines are required and targets are recommended for each breakdown indicator.

Breakdown indicator 2.1 includes: severance pay, unemployment insurance and benefits, savings services, unemployment savings accounts programs.
Breakdown indicator 2.2 includes vocational and life skills training, re-training for workers, internships and apprenticeships.
Breakdown indicator 2.3 includes programs promoting entrepreneurship and aiming at creating income generation opportunities such as microcredit, start-up incentives, small business grants, micro-franchising, value chain integration programs, training to support self-employment and entrepreneurship, mentoring, counseling and networking.
Breakdown indicator 2.4 includes wage subsidies and job voucher programs.
Breakdown indicator 2.5 measures the number of people enrolled in employment service agencies.

TTL should report only on breakdown indicators applicable to the project. If the project supports one LM intervention, only one breakdown indicator applies and the value of CSI-2 is equal to the breakdown indicator. If the project supports more than one LM intervention, then multiple breakdown indicators apply.

Breakdown indicators will be counted independently even if there are beneficiaries that are benefitting from more than one LM intervention (i.e. the focus will be on getting the data on each of the breakdowns, not on aligning them so that they exactly add up to CSI-2). In this case the overall CSI-2 does not have to be the sum of the breakdown indicators. However, TTLs are encouraged to avoid double-counting of beneficiaries while reporting on CSI-2 when same beneficiaries benefit from more than one LM intervention.

THERMAL POWER GENERATION

Projects that have "Thermal Power Generation (LG)" among their sector codes should report data on the following Core Indicators, with the definitions laid out below.

1. Generation Capacity of Conventional Generation constructed under the project (MW)

Definitions and Supplemental Requirements

1. Generation Capacity of Conventional Generation constructed under the project (MW)
This indicator measures the capacity (in MW) of conventional power generation facilities constructed under the project.
The baseline value for this indicator is expected to be zero.

Guidance on Conventional Generation: "Conventional power generation" is all types of generation that is not renewable. The following are considered "renewable power generation": biomass co-generation; wind; geothermal; solar; wave and tidal; and hydro power generation of any capacity. New high-efficiency power plants (including supercritical and ultra-supercritical plants) are considered conventional generation.

Guidance on Capacity: "Capacity" refers to the name-plate or rated capacity measured in MWs.

Note on access indicators: For indicators measuring access provided to households or through community connections, refer to "Transmission and Distribution" (LT) sector code.

TRANSMISSION AND DISTRIBUTION OF ELECTRICITY

Projects that have "Transmission and Distribution of Electricity (LT)" among their sector codes should report data on the following Core Indicators, with the definitions laid out below.

1. Transmission lines constructed or rehabilitated under the project (Km)
   i. Transmission lines constructed under the project– (Km)
   ii. Transmission lines rehabilitated under the project– (Km)

2. Distribution lines constructed or rehabilitated under the project (Km)
   i. Distribution lines constructed under the project– (Km)
   ii. Distribution lines rehabilitated under the project– (Km)

3. Average interruption frequency per year in the project area (number)

4. People provided with access to electricity under the project by household connections- (Number)
   i. People provided with access to electricity under the project by household connections – Grid (number)
   ii. People provided with access to electricity under the project by household connections – Off-grid/mini-grid – Only renewable sources (number)
   iii. People provided with access to electricity under the project by household connections –Off-grid/ mini-grid: Any sources except only renewable (number)

5. Community electricity connections under the project -Conventional (Number)
   (i) Community electricity connections under the project– Grid (number)
   (ii) Community electricity connections under the project – Off-grid/mini-grid – Only renewable sources (number)
   (iii) Community electricity connections under the project – Off-grid/mini-grid – Any sources except only renewable (number)

6. Electricity losses per year in the project area – (percentage)

Definitions and Supplemental Requirements

1. Transmission lines constructed or rehabilitated under the project (Km)

This indicator measures the length of the transmission lines constructed or rehabilitated/upgraded under the project.
The baseline value for this indicator is expected to be zero.

Guidance on Transmission lines: Transmission, distribution, and sub-transmission are typical categories for power transmission infrastructure at different voltage levels. Given the diversity of client countries' power systems, "sub-transmission" in one country could be called "transmission" in another country. For this reason, the indicator should be reported only as transmission. Power transmission infrastructure is considered "distribution" if the lines connect transformers that directly supply households. Any line with a higher voltage than these distribution lines should be considered transmission[48], regardless of whether it is called "sub-transmission" in the country in question.

Guidance on rehabilitation: For the purposes of this indicator, rehabilitation should be defined as any work directed to sustain or extend the usable life of existing transmission, or to increase the rated capacity of such lines (i.e., by increasing conductor size or adding more conductors or circuits).

Breakdown data required (choose at least one)

(i) Transmission lines constructed under the project– (Km)
(ii) Transmission lines rehabilitated under the project– (Km)

2. Distribution lines constructed or rehabilitated under the project (Km)

This indicator measures the length of the distribution lines constructed or rehabilitated/upgraded under the project.
The baseline value for this indicator is expected to be zero.

Guidance on Distribution lines: Transmission, distribution, and sub-transmission are typical categories for power transmission infrastructure at different voltage levels. Power transmission infrastructure is considered "distribution" if the lines connect transformers that directly supply households. Any line with a higher voltage than these distribution lines should be considered transmission[49], regardless of whether it is called "sub-transmission" in the country in question.

Guidance on rehabilitation: For the purposes of this indicator, rehabilitation should be defined as any work directed to sustain or extend the usable life of existing distribution lines, or to increase the rated capacity of such lines (i.e., by increasing conductor size or adding more conductors or circuits).

Breakdown data required (choose at least one)

(i) Distribution lines constructed under the project– (Km)
(ii) Distribution lines rehabilitated under the project– (Km)

3. Average interruption frequency per year in the project area (number)

This indicator measures the average number of interruptions per year in the project area. The index, widely known as the System Average Interruption Frequency Index (SAIFI), is used to measure reliability for a given distribution area or sub-area. The indicator is computed by dividing the total number of customer interruptions in a year by the total number of customers in the project area.

[48] These categories are sometimes clearly defined in some countries; i.e., transmission typically at and above 230 kilo-volts; sub-transmission between 138 and 69 kilo-volts; and distribution below 34.5 kilo-volts.
[49] These categories are sometimes clearly defined in some countries; i.e., transmission typically at and above 230 kilo-volts; sub-transmission between 138 and 69 kilo-volts; and distribution below 34.5 kilo-volts.

The baseline value for this indicator is expected to be the actual average interruption frequency per year in the project area at the beginning of the project.

Guidance on SAIFI: SAIFI is an indicator focused on the frequency of interruptions at the system-wide level; it is a reliability-oriented indicator. The system boundaries are traditionally defined as the range of a distribution company or a sub-division of the distribution company on which the Bank project is focused. "Customer" means an individual electricity service connection – residential, commercial, or industrial. SAIFI is an indicator with the lowest information requirements for its computation; see the annex for an example. There are other customer-level indicators[50] that should be tracked if the distribution company has the capacity and technical management systems to do so. Only sustained interruptions should be considered for the computation of SAIFI. Sustained interruptions are those with durations above five minutes, which corresponds to the time traditionally required for an automatic response to restore service[51].

Supplementary data required (Mandatory)

- Customers served in the project area (number)

4. People provided with access to electricity under the project by household connections- (Number)

This indicator measures the number of people that have received an electricity connection under the project via new connections aimed at connecting households. The TTL should specify the number of people provided with access to electricity through grid and off-grid or mini-grid connections. In the case of off-grid or mini-grid connections, the TTL should specify whether access is provided through (i) only renewable energy sources; or (ii) any other source except only renewable

The baseline value for this indicator is expected to be zero.

Guidance on people with electricity connection: Data on the number of people with electricity connections is estimated by multiplying the actual number of household connections with an estimate of the average household size. The number of people per household size should be provided by the TTL based on the official estimates used in the project area. In case such information is not available, the data on household size should be used from the most current version of the World Development Indicators (WDI). Where the WDI does not provide data, a household size of 5 should be used. For other types of connections— such as community connections that serve a larger pool of people— please use "Number of community electricity connections under the project" as the appropriate indicator.

Guidance on type of connection: A grid connection is when electricity is being supplied by a distribution network served by the country or region's interconnected transmission system. Off-grid connections are from

[50] Indicators measuring customer-level frequency and duration of interruptions are the Customer Average Interruption Frequency Index (CAIFI) and the Customer Average Interruption Duration Index (CAIDI), respectively. Customer oriented indicators, especially CAIDI, can better guide utilities in their efforts to improve quality of service when engaged in programs to improve collections from customers as part of loss-reduction efforts. However, customer-oriented indices require more institutional capacity and more technical management systems for their computation.

[51] Standards for interruption and other reliability- and quality-oriented indicators are available. The following standard, widely accepted by the industry, could be used by teams for additional guidance: "IEEE Std 1366™-2003. IEEE Guide for Electric Power Distribution Reliability Indices" by The Institute of Electrical and Electronics Engineers, Inc.

mini-grid or stand-alone systems in small communities or villages (usually with peak demands below 500 KW) that are not connected to the interconnected transmission system.

Breakdown data required (choose at least one)

(i) People provided with access to electricity under the project by household connections – Grid (number)
(ii) People provided with access to electricity under the project by household connections – Off-grid/mini-grid – Only renewable sources (number)
(iii) People provided with access to electricity under the project by household connections –Off-grid/ mini-grid: Any sources except only renewable (number)

5. Community electricity connections under the project (Number)

This indicator measures the number of new community connections under the project. "Community connections" are electricity services provided to hospital, schools, community centers, or other establishments that provide services to a larger pool of people in remote areas.

The baseline value for this indicator is expected to be zero.

Guidance: The TTL should specify whether the number of community electricity connections constructed is grid, off-grid or mini-grid connections. In the case of off-grid/mini-grid connections, the TTL should specify whether the connection is supplied electricity through (i) only renewable energy sources; or (ii) any other source except only renewable.

Breakdown data required (choose at least one)

(i) Community electricity connections under the project– Grid (number)
(ii) Community electricity connections under the project – Off-grid/mini-grid – Only renewable sources (number)
(iii) Community electricity connections under the project – Off-grid/mini-grid – Any sources except only renewable (number)

6. Electricity losses per year in the project area – (percentage)

This indicator is calculated by dividing total electricity losses (i.e., the sum of technical and non-technical losses) by the total net injected generation in the project area.

The baseline is expected to be the actual electricity losses in the project area at the beginning of the project.

Guidance on net injected generation, technical losses, and non-technical losses: "Total net injected generation" is the sum of all local power generation in the project area plus any power generation imports or purchases to the project area, subtracting any generation that is used by local generation facilities or exported. It is the value used to compute the total losses as a percentage. "Total losses" are the sum of technical and non-technical losses. "Technical losses" are natural losses from the resistive characteristics of all system components, especially conductors, as well as from hysteresis losses from transformers. "Non-

technical losses," or commercial losses, are losses from electricity theft, unmetered electricity, unbilled electricity, or any other electricity quantities whose corresponding revenues are not collected by the utility. The share of total losses that are technical or non-technical should be specified in a percentage, and the shares should add up to 100 percent.

Guidance on project area: The project area should be identified as part of the project design. The project could target losses at the whole distribution company concession or territory level, in which case the project area is the whole distribution company. Alternatively, loss reduction could be focused on a specific subdivision within the distribution company—such as a highly concentrated urban area or slum— in which case, the project area is limited to the specific, targeted subdivision.

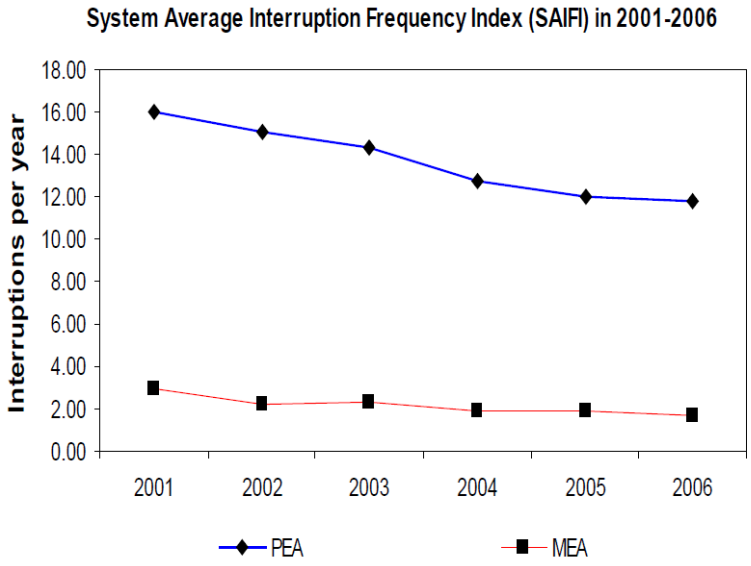
Supplemental data required (Mandatory)

(i) Total net injected generation (MWH)
(ii) Electricity losses per year in the project area- Technical (%)
(iii) Electricity losses per year in the project area- Non-technical (%)

Annex

Computing SAIFI (example and typical values): Assume the project area is a distribution utility that serves 100,000 customers. These customers are served by five distribution substations. For simplicity assume that each substation serves 20,000 customers. Consider that the utility experiences four sustained failure events in a given year. The first event causes the tripping of all the transformers in one substation, leaving its 20,000 customers without service. Similarly, the second event causes the disconnection of all customers connected to two substations. The third and fourth events, which are more severe, lead to the disconnection of all customers connected to three substations. The System Average Interruption Frequency Index (SAIFI) for the year is obtained as follows. Total number of customers in the area = 100, 000. Total number of customers interrupted = 20,000 + 2 X 20,000 + 3 X 20, 000 + 3 X 20, 000 = 180,000. SAIFI = 180,000/100,000 = 1.8. This indicates that customers in this utility experienced, in average, 1.8 interruptions in the year.

The indicator is thus an estimation of the number of interruptions to the average customer. The indicator does not provide information about the interruptions actually experienced by individual customers. Computing the indicator only requires tracking the failure events that lead to sustained interruptions. The utility needs to monitor such events and know the approximate number of customers connected to the affected section of the project area. Any reliability indicator requires tracking failure events, which can be done manually by the utility personnel. The project area could be a single substation, a distribution company, or the whole country's electricity system. Selecting the project area depends on the objectives and scope of the intervention, as well as the availability of information. In summary, the indicator is simple and flexible; it serves as a solid starting point for consistently tracking the performance of electricity services at the local, regional, or national level. SAIFI values for well-performing utilities in developing countries traditionally vary from 0.2 to 2 interruptions per customer per year. The graph shows the actual evolution of SAIFI in Thailand's metropolitan distribution area (MEA) and in the provinces (PEA). The higher values—16 to 10 interruptions a year—are typical for areas with low reliability (and can be expected in IDA countries).



WASTEWATER COLLECTION AND TRANSPORTATION

Projects that have Wastewater Collection and Transportation (WT) among their sector codes should report data on the following Core Sector Indicators, with the definitions laid out below:

1. People provided with access to "improved sanitation facilities" under the project (number)
    i. People provided with access to "improved sanitation facilities" under the project - urban (number)
    ii. People provided with access to "improved sanitation facilities" under the project - rural (number)
2. New household sewer connections constructed under the project - (number)

Definitions and Supplemental Requirements

1. People provided with access to 'improved sanitation facilities" under the project

This indicator measures the cumulative number of people who benefited from improved sanitation facilities that have been constructed under the project. This includes people newly provided with access to "improved sanitation facilities" and does not include people benefiting from rehabilitation works. The number of people provided with access in (i) **urban areas**, and (ii) **rural areas** should be specified separately. It is expected that the baseline value for this indicator will be zero.

Guidance on "improved sanitation facilities": "Improved sanitation facilities" include flush or pour-flush to a piped sewer system, septic tank or pit latrine; ventilated improved pit (VIP) latrine; pit latrine with slab; and composting toilet. Hence, "improved sanitation facilities" do not include, inter alia, flush or pour-flush to elsewhere (i.e. not to a piped sewer system, septic tank or pit latrine); pit latrine without slab/open pit; bucket; hanging toilet or hanging latrine; shared facilities of any type; or no facilities, bush or field. The definition of 'improved sanitation facilities' follows the UNICEF-WHO Joint Monitoring Program definition.[52]

Guidance on people provided with access: The number of people provided with access can be estimated by multiplying the actual number of improved sanitation facilities with an estimate of the number of people per household using the improved sanitation facility. The number of people per household should be provided by the TTL based on the official estimate used in the project area. In case this is not available, data on household size should be used from the most current version of the World Development Indicators (WDI). Where the WDI does not provide data, a household size of 5 persons should be used. The assumptions made regarding the number of people per sanitation facility should be documented in the 'comments' section of the indicator when the data are entered in the ISR.

Since the indicator follows the standard definition used to track progress on the Millennium Development Goals, people who as a result of the project are provided with access to a higher level of "improved

[52] http://www.wssinfo.org/definitions-methods/watsan-categories/

sanitation facility" from a lower level of "improved sanitation facility" should not be counted under this indicator. For example, a pit latrine with slab already constitutes an "improved sanitation facility"; if a service to collect waste from this pit is newly introduced, or the facility gets upgraded and connected to a sewer, the number of people newly provided with access to "improved sanitation facilities" is zero.

Guidance on urban and rural classification: The classification should follow the official definition used in the country.

Breakdown data required (at least one)

- People provided with access to "improved sanitation facilities" under the project – urban (number)
- People provided with access to "improved sanitation facilities" under the project- rural (number)

2. New household sewer connections constructed under the project - (number)

This indicator is measured as the cumulative number of new sewer connections constructed under the project. It is expected that the baseline value for this indicator will be zero.

Guidance on sewer connections: Based on the UNICEF-WHO Joint Monitoring Program definition of "improved sanitation facilities"[53], sewer connections are defined as connections that take wastewater from the house to a piped sewer system. Thus it does not include toilets connected to septic tanks or latrines.

[53] http://www.wssinfo.org/definitions-methods/watsan-categories/

WASTEWATER TREATMENT AND DISPOSAL

Projects that have Wastewater Treatment and Disposal (WV) among their sector codes should report data on the following Core Sector Indicator, with the definition laid out below:

1. Volume (mass) of BOD pollution loads removed by the treatment plant supported under the project – (tons/year)

Definitions and Supplemental Requirements

1. Volume (mass) of BOD pollution loads removed by the treatment plant supported under the project – (tons/year)

This indicator measures the cumulative volume (mass) of Biological Oxygen Demand (BOD) pollution loads removed by the treatment plant supported under the project. Project support can include construction, expansion or rehabilitation of the treatment plant.

It is expected that the baseline value for this indicator will be zero in the case where wastewater treatment has not yet been available. In the case where wastewater treatment has already been available but is to be improved under the project, either with higher levels of treatment or rehabilitation of the existing treatment capacity, the baseline value will not be zero.

WATER SUPPLY

Projects that have Water Supply (WC) among their sector codes should report data on the following Core Indicators, with the definitions laid out below:

1. People provided with access to "Improved Water Sources" under the project (number)
2. Improved community water points constructed or rehabilitated under the project (number)
3. New piped household water connections that are resulting from the project intervention (number)
4. Piped household water connections affected by rehabilitation works undertaken under the project (number)
5. Water utilities that the project is supporting (number)
6. Other water service providers that the project is supporting (number)

Definitions and Supplemental Requirements

1. People provided with access to "Improved Water Sources" under the project (number)

This indicator measures the cumulative actual number of people who benefited from improved water supply services that have been constructed under the project. The TTL should specify separately the number of people provided with access in **(i) urban areas;** and **(ii) rural areas.** It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of people provided with access to 'Improved Water Sources' under the project.

Guidance on "Improved Water Sources": "Improved Water Sources" include piped household connections (house or yard connections), public standpipe, boreholes, protected dug well, protected spring and rainwater collection. Hence, "Improved Water Sources" do not include, inter alia, water provided through tanker truck, or vendor, unprotected well, unprotected spring, surface water (river, pond, dam, lake, stream, irrigation channel), or bottled water. The definition of what is considered an 'improved water source' follows the UNICEF-WHO Joint Monitoring Program definition. Note that "Improved Water Sources" does not refer to the question of new versus rehabilitated water sources, but is the standard definition used to track progress on the Millennium Development Goals.

Guidance on people with access: The data on the number of people provided with access can be estimated by TTLs by multiplying i) the actual number of piped connections with an estimate of the number of people per household connection; and/or ii) the actual number of community water points with an estimate of the number of people per community water point. The assumptions made regarding number of people per connection made should be carefully documented in the 'comments' section of the indicator when data is entered in the ISR.

Guidance on urban and rural classification: The classification should follow the official definition used in the country.

2. Improved community water points constructed or rehabilitated under the project (number)

This indicator is measured as the cumulative number of improved community water points constructed or rehabilitated under the project in rural and urban areas. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of improved community water points constructed or rehabilitated under the project.

Guidance on improved community water points: A *community water point* is defined as a public outlet for the provision of water supply to a number of households. *Improved* community water points refer to standpipes, protected dug well, borehole, or protected spring. Hence, improved community water points do not include, inter alia, unprotected wells or unprotected springs.

3. New piped household water connections that are resulting from the project intervention (number)

This indicator is measured as the cumulative number of new piped household water connections which result from the project intervention. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of new piped household water connections that results from the project intervention.

Guidance on piped household water connections: A *piped household water connection* is defined as a connection that provides piped water to the consumer through either a house or yard connection. Hence, they do not include, inter alia, standpipes, protected well, borehole, protected spring, piped water provided through tanker trucks, or vendors, unprotected wells, unprotected spring, rivers, ponds and other surface water bodies, or bottled water.

Guidance on *new* piped household water connections: New piped household water connections are those connections that measure connections that are new (not rehabilitated) because of the project intervention. It should be noted that these connections could have been constructed by the project, or financed by the project (either directly through Bank funds, or indirectly through counterpart funds such as household contributions). Even though these connections may not be constructed or financed by the Bank funding itself, they are supposedly a result of the Bank-funded project. If households could have connected without the interventions of the Bank-funded project anyway, then they are not a result of the project.

4. Piped household water connections that are benefiting from rehabilitation works undertaken by the project (number)

This indicator is measured as the cumulative number of piped household water connections benefiting from rehabilitation works. Rehabilitation works are undertaken so that existing customers see the quantity and/or quality of their water supply services enhanced. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of piped household water connections that are benefiting from rehabilitation works undertaken by the project.

Guidance on connections from rehabilitation works that enhance the quality of service from enhanced water supply services: Rehabilitation results in better functioning systems that increase either the quantity and /or quality of water. The enhancements in water supply can be many-fold: more hours of water supply, improved drinking water quality, higher water consumption, less interruptions in water service delivery, closer proximity of water, upgrade of service levels, or a combination of these enhancements.

This indicator measures the cumulative number of connections that benefit from these service enhancements.

When consumers benefit from a combination of these benefits, they are only measured once. For example if a rehabilitation investment focuses on improving the water production plant and drinking water treatment, the customer may benefit in the form of higher water consumption and better drinking water quality, yet this improvement in the quality and/or quantity of the connection is only counted once to avoid double counting.

5. Water utilities that the project is supporting (number)

This indicator measures the total cumulative number of utilities providing water supply with which the Bank is supporting under the project. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of water utilities that the project is supporting.

6. Other water service providers that the project is supporting (number)

This indicator measures the total cumulative number of other water service providers providing water supply supported under the project. It is expected that the baseline value for this indicator will be zero. The data should be *cumulative* – meaning that the data in the ISR should represent the cumulative number of other water service providers that the project is supporting.

Guidance on "other water service providers": This indicator measures the total cumulative number of water service providers (other than utilities) supported under the project.

Other water service providers are water providers that are NOT utilities, but provide water supply services (often on a small scale) such as community based organizations (including water committees), small-scale providers, NGOs, etc. By including all types of other water providers, the Bank's work in rural areas is better highlighted.

Study on Results Frameworks – Volume 2

for EuropeAid

DFID

- Results Framework Indicators (5 pages)
- Indicator Methodologies (179 pages)

September 21st, 2013

Results Framework Indicators

Level 1: Progress on Key Development Outcomes – 22 Indicators

Level 1 contains 22 indicators, grouped into 7 categories that roughly correspond to MDG goals. Some of the DFID Level 1 indicators are not official MDG indicators, but specific to DFID.

MDG1: Eradicate extreme poverty and hunger *(4 indicators)*

- Proportion of population below $1 (PPP) per day
- Prevalence of underweight children under-five years of age
- Growth rate of GDP per person employed
- Employment to population ratio

MDG2: Achieve universal primary education *(4 indicators)*

- Net enrollment ratio in primary education
- Proportion of pupils starting grade 1 who reach last grade of primary
- Literacy rate of 15-24 year-olds, women and men
- Proportion of children that can read with sufficient fluency for comprehension in early grades[1]

MDG3: Promote gender equality and empower women *(3 indicators)*

- Ratios of girls to boys in primary, secondary and tertiary education
- Share of women in wage employment in the non-agricultural sector
- Proportion of seats held by women in national parliament

MDG4: Reduce Child Mortality *(1 indicator)*

- Under-five mortality rate

MDG5: Improve maternal health *(3 indicators)*

- Maternal mortality ratio
- Proportion of births attended by skilled health personnel
- Unmet need for family planning

MDG6: Combat HIV&AIDS, malaria and other diseases *(3 indicators)*

- Incidence and death rates associated with malaria
- HIV prevalence among population aged 15-49 years
- Proportion of population with advanced HIV infection with access to antiretroviral drugs

MDG7: Ensure environmental sustainability *(4 indicators)*

- Proportion of population using an improved drinking water source
- Proportion of population using an improved sanitation facility
- Proportion of land area covered by forest
- CO2 emissions, total, per capita and per $1 GDP (PPP)

Level 2: DFID Results – 74 Indicators

[1] DFID-specific indicator

Level 2 contains 74 indicators, divided into two types, according to whether they measure results from bilateral or multilateral operations. Bilateral indicators were selected primarily through analysis of expected results identified in DFID country Operational Plans. They reflect those outputs where it is possible to aggregate results across different countries, and thus do not capture all the results that DFID delivers. Multilateral indicators, selected from multilateral organizations' results frameworks, are reported in terms of the overall results achieved by the projects rather than the results that can be attributed to DFID as a result of its core funding.

BILATERAL INDICATORS *(23 indicators)*

Wealth Creation *(2 indicators)*

- Number of people with access to financial services as a result of DFID support
- Number of people supported through DFID to improve their rights to land and property

Poverty, Vulnerability, Nutrition & Hunger *(3 indicators)*

- Number of children under five and pregnant women reached through DFID's nutrition relevant programmes
- Number of people benefiting from DFID-supported cash transfer programmes
- Number of people achieving food security through DFID support

Education *(3 indicators)*

- Number of children supported by DFID in primary education (per annum)
- Number of children supported by DFID in lower secondary education (per annum)
- Number of children completing primary education supported by DFID (per annum)

Malaria *(2 indicators)*

- Number of insecticide-treated bed nets distributed with DFID support
- Number of malaria specific deaths per 1000 persons per year

Reproductive, Maternal and Neo-Natal Health *(4 indicators)*

- Number of births delivered with the help of nurses, midwives or doctors through DFID support
- Number of additional women using modern methods of family planning through DFID support
- Number of maternal lives saved through DFID support
- Number of neonatal lives saved through DFID support

Water and Sanitation *(1 indicator)*

- Number of unique people reached with one or more water, sanitation or hygiene promotion intervention

Humanitarian and Emergency Response *(1 indicator)*

- Number of people reached with emergency food assistance through DFID support

Governance and Security (4 indicators)

- Number of countries supported by DFID in freer & fairer elections
- Number of people who vote in elections supported by DFID

- Number of people supported to have choice and control over their own development and to hold decision-makers to account
- Number of women and girls with improved access to security and justice services through DFID support

Climate Change *(3 indicators)*

- Numbers of people supported by DFID funding to cope with the effects of climate change
- Number of people with improved access to clean energy as a result of DFID funding
- Number of hectares where deforestation and degradation have been avoided

MULTILATERAL INDICATORS *(51 indicators)*

(each indicator is shown with the acronym of the multilateral donor in parentheses.)

The number of multilateral indicators has significantly increased between the 2011-12 and 2012-13 Annual Reports through a concerted effort with multilateral organizations.

Wealth Creation *(8 indicators)*

- Number assisted with microfinance (ADB)
- Micro/ small/ medium productive enterprises financed (IDB)
- Number of active borrowers in micro-finance (IFAD)
- Number of voluntary savers under micro-finance programme (IFAD)
- Number of housing loans (IFC)
- Number of microfinance loans (IFC)
- Number of SME loans (IFC)
- Number of jobs created (PIDG)

Poverty, Vulnerability, Nutrition & Hunger *(7 indicators)*

- Farmers given access to improved agricultural services and investment (IDB)
- Number of people receiving services from International Fund for Agricultural Development supported projects (IFAD)
- Number of people trained in crop production practices/technologies (IFAD)
- Number of malnourished children provided with special nutritional support (WFP)
- Number of people provided with food (WFP)
- Number of school children receiving school meal and take home rations (WFP)
- Number of women and children provided with food and nutritional support (WFP)

Health *(11 indicators)*

- Number of children immunised against preventable disease (GAVI)
- Number of HIV positive women provided with treatment to prevent transmission to their babies (GFATM)
- Number of insecticide treated bednets distributed (GFATM)
- Number of people provided with treatment for AIDS (GFATM)
- Number of tuberculosis cases detected and treated (GFATM)
- Number of children immunised (IDA)
- People provided with a basic package of health, nutrition or population services (IDA)
- Number of female condoms procured (UNFPA)
- Number of children benefitting from two doses of vitamin A supplement (UNICEF)
- Children benefitting from child-friendly HIV/ AIDS medicines (UNITAID)

- Children supplied with TB treatments (UNITAID)

Education *(4 indicators)*
- Number of teachers trained (ADB)
- Number of teachers trained (IDB)
- Number of teachers recruited or trained (IDA)
- Number of education ministry officials trained and coached in strategic planning and management (UNESCO)

Water and Sanitation *(6 indicators)*
- People with new or improved access to water and sanitation (AfDB)
- Number of households provided with new water supply (ADB)
- Households with access to water supply and sanitation (CDB)
- Households with new or upgraded sanitary connections (IDB)
- Number of people with access to clean drinking water (IDA)
- Number of people with access to improved sanitation facilities (IDA)

Infrastructure *(8 indicators)*
- People with improved access to transport (AfDB)
- People benefiting from new electricity connections (AfDB)
- New households connected to electricity (ADB)
- People with access to new or improved roads (ADB)
- Beneficiaries of road projects (CDB)
- Roads constructed and rehabilitated (km) (IDA
- Roads constructed / rehabilitated (km) (IFAD)
- People impacted with improved/ new power supply (PIDG)

Humanitarian *(7 indicators)*
- Number of people benefiting from disaster preparedness activities (ECHO)
- Number of people provided with humanitarian assistance (ECHO)
- Number of civilians provided with essential household items (ICRC)
- Number of detainees visited (ICRC)
- Number of migrants, internally displaced persons, refugees and other vulnerable groups receiving emergency, migration and durable support (e.g. shelter) (IOM)
- Number of displaced people (refugees and internally displaced people) receiving protection or assistance (UNHCR)
- Number of children reached through humanitarian response (UNICEF)

Level 3: Operational Effectiveness

Level 3 indicators are evolving. "Work will continue to refine a set of key indicators to track over-all effectiveness of DFID operations, and the department will seek to report at least annually against the following performance areas":

1. Portfolio Quality

DFID's Portfolio Quality Index provides a measure of how well the aggregate portfolio of projects is performing on average.

2. Pipeline Delivery

DFID monitors four variables:

i. Program budgets approved;
ii. pre-pipeline (programs in early stage of design),
iii. pipeline (program under design, awaiting approval); and
iv. budget allocations agreed by Government.

3. Monitoring and Evaluation

DFID monitors the implementation of its programs through the annual review process and tracks the number of reviews completed and overdue.

4. Performance against Structural Reform Plan

DFID monitors the number of actions taken to implement the Structural Reform Plan (SRP) which sets out 6 key strategic objectives for the department over the next 4 years.

Level 4: Organizational Effectiveness

DFID's Business Plan sets out a list of efficiency indicators which are monitored across all UK government departments for key corporate service areas including human resources, employee engagement, workforce diversity, finance, procurement, estates and environment. The table of indicators was published in the Annual Report 2011-12 but no longer in the Annual Report 2012-13.

DFID Indicator Methodologies

Indicator description	**Number of people with improved access to clean energy as a result of DFID funding**
Type of indicator	Cumulative
Technical Definition / Methodological summary	***Number of people with improved access to clean energy as a result of DFID projects*** Clean energy access refers to: - New household connections to off-grid renewable energy sources. (*To note, on-grid access cannot be included in these figures because once on-grid, it is impossible to determine the energy source*). - Households with more efficient cook stoves, solar lanterns or other clean technologies which generate energy. Clean energy is generated from both combustible and non-combustible renewables. Non-combustible renewables include geothermal, solar, wind, hydro, tide and wave energy. Combustible renewables and waste include biofuels (biogas, ethanol, biodiesel); biomass products (fuelwood, vegetal waste, pulp and paper waste, animal waste, bagasse), municipal waste (waste produced by the residential, commercial and public service sectors that are collected by the local authorities for disposal) and industrial waste; all for the production of power.
Rationale	Energy access is crucial to development; other services such as education, communication, refrigeration and better access to information are contingent on, or enhanced by, energy access. More efficient cook stoves etc also have health and time co-benefits. This is particularly the case for women/children who often suffer more from the negative impact of indoor air pollution and have to spend time collecting fuel wood. Clean energy should also partly displace fossil fuels resulting in lower carbon emissions.
Country office role	For each of their climate change programmes, country offices will need to assess the number of additional people given access to clean energy as a result of their projects and supply this information to Finance and Corporate Performance division (FCPD). Collated data will be quality assured and finalised by DFID's Climate and Environment Department and FCPD.
Data sources	Use of project level Monitoring & Evaluation, M&E, (e.g. household surveys, project reporting) enables the tracking of clean energy access for International Climate Fund (**ICF) funded projects**.

	Data on household size should be determined from the most recent national census data or from a nationally representative household survey.
Reporting organisation	DFID internal
Data included	Number of households with improved access to clean energy, based on average number of people in a household.
Data calculation	If data is collected at the household level, the country office will need to convert the number of households into the number of people. The country office will need to multiply by the average household size. Where HMG are only funding part of the projects, benefits should be calculated as a pro-rata share of funding. If several donors are active in the same region only those beneficiaries which are directly and closely linked to the ICF activities should be counted. If this is difficult to determine, all beneficiaries should be counted and the numbers proportioned according to the contribution by different donors.
Worked example	DFID provides X number of households with solar lanterns. Household surveys through project M&E will identify the number of new households who have access to clean energy due to the ICF project compared to the initial baseline and forecast of those who would have bought solar lanterns anyway. Ideally the project level data will also be disaggregated by income level. X is then multiplied by the average household size as set out in the census or national household survey.
Most recent baseline	The baseline should reflect the situation prior to DFID/HMG funding being provided and anticipated projections of what would happen without the ICF. For long running programmes the baseline should be taken as 2010 unless otherwise stated. The baseline should align with the economic appraisal in the project design.
Good performance	An increase in the number of people with improved access to clean energy.
Return format	Number of people with improved access to clean energy due to the ICF project, disaggregated by sex where possible
Data dis-aggregation	Where the data exists, number of poor people with improved access to energy due to the ICF project should be reported. This could be determined by numbers below a country level poverty line rather than the international $1.25/day definition. This can be done using country level

	data or more subnational level data. Where possible, data should be disaggregated by income levels; gender (although this will not be possible if household indicators are used); urban/rural; and source of improved energy access (e.g. off-grid connection; more efficient cook stove; solar lantern; etc).
Data availability	Will vary by source. It is likely to be a few months if using routine project reporting data, longer if using household surveys.
Time period/ lag	Annual DFID project review documents and end of project reports should be aligned with data availability.
Quality assurance measures	It is recommended that, where possible, data collection and quality assurance is undertaken by a third party that is not directly involved with implementing the project.
Data issues	**Poor people** Ideally, the indicator 'number of poor people with improved access to clean energy as a result of ICF projects' should be reported. Where viable, this should be incorporated into the M&E design of the project. However, this data may not be available for all projects. Where poverty data is available, numbers of poor people should be determined by a poverty metric relevant to that country (e.g. numbers below a country's national poverty line, community poverty assessment, first quintile income levels) rather than necessarily the international $1.25/day definition. This could be gathered using country level data or more sub-national level data. Whichever metric is used in the project should be stated in the return. Given all ICF projects happen in developing countries, this is used as a proxy that we are reaching the poor. There are limitations to this proxy as many countries in which the ICF works are unequal. **Children** The total number of individuals as calculated includes children. Children benefit from clean energy access at the household level as it enables them to e.g. do their homework. The other benefit from clean energy is in terms of health - indoor air pollution from cook stoves using dirty fuel is responsible for the deaths of 2 million women, girls and children under 5 (WHO/UNDP methodology, 2009). Women and children often suffer disproportionately from the effects of indoor air pollution and spend more time collecting fire wood.

	On-grid It is not possible to disaggregate grid electricity by source (clean vs. fossil). Furthermore, providing energy to the grid does not necessarily translate into access as new connections would need to be established simultaneously. This indicator therefore excludes on-grid energy. Any measurements of energy access are likely to be conservative and be a subset of results as improved access to the grid cannot be measured. Instead, the indicator to be examined should be 'installed capacity of clean energy' which is also a priority indicator for the ICF.
Additional comments	N/A

Indicator description	**Number of people with access to financial services as a result of DFID support.**
Indicator Type	Peak Year
Technical Definition/ Methodological summary	This is a widely accepted indicator on financial access is focused on outreach. It includes number of individuals reached with financial services (e.g. credit, savings/deposits, insurance, leasing, and transfer payments etc.). DFID is focusing hard on the needs of small businesses in thinking about our policy and programme priorities, because small businesses have a vital role in development through their contribution to economic growth, wealth creation and employment. Therefore it is important to measure impact of DFID programmes on access at two levels – individuals and businesses. However, this methodology note covers outreach of financial services to people only. The data should cover access across the type of products (deposits, credit, insurance etc) and type of institutions delivering the products (formal and informal, commercial banks, specialised state financial institutions, microfinance institutions, cooperatives and credit unions etc). For the purpose of overall corporate reporting, it is intended to collect data on number of people supported under DFID funded programmes to gain access to either one or a range of financial services. However for the purposes of project monitoring and evaluation more detail disaggregation of both types of financial services and types of financial institutions may be desirable in understanding the breadth and depth of financial sector development in a country/region. Access to financial services = access made possible directly under DFID supported programme (e.g. micro credit to small borrowers from MFIs and banks supported by DFID programme) + nationwide expansion in access to financial services resulting from the policy changes and improvements in the enabling environment made possible through DFID support. Data will focus on bilateral activities. In the case multi-donor funded programme, data attributable to DFID should

	be calculated on the basis of DFID's share in the total programme cost. DFID staff time should not be included in the calculation of DFID cost. In the case of programmes funded by DFID in partnership with multilateral or regional institutions such as International Finance Corporation(IFC), African Development Bank (AfDB), International Fun for Agricultural Development (IFAD) etc, results should be reported against DFID share in the total cost of the programme. In case DFID happens to be the only funder of programmes implemented by multilateral institution, this should be explicitly mentioned in the report so that care can be taken at the central level to avoid any possible double counting. Measurement : - Direct results will be measured through monitoring and evaluations at the project level. - For DFID programmes supporting policy changes and wider enabling environment (e.g. credit bureau, asset registry), data on their impact on financial access can be obtained from national and international sources. However, most central banks and national sources provide financial services access data in terms of volume or number of loan accounts and/or volume and number deposit accounts, but not in terms of individuals who own them and not give a clear picture of what proportion of the adult population use financial services. In such cases, country offices can commission, wherever possible based on size of programme and staff resources, periodic financial access surveys such as FinScope to collect data on financial access at the household and individual levels. - There may be a possibility of attributing results delivered through our core funding to multilateral organisations. We are currently developing methodologies to capture this.
Rationale	The rise of financial inclusion as an important policy goal. Access to financial services can make a positive difference in the lives of the

	poor. Broad-based wealth and asset creation is a priority for DFID. Given that access to finance is a cross-cutting instrument, data on progress on financial inclusion is important to monitor our direct and indirect impact on MDG1. The inclusion of gender disaggregated statistics reflects DFID's focus on women empowerment and indirectly monitors our impact on MDG3.
Country office role	Country offices will be responsible for providing the results of project monitoring and the data. Country offices will report data and be explicit about what they are measuring and to what extent it fits the definitions set out above. They will be explicit about the regressions used to evaluate survey data and the assumptions used in any estimates and their basis for attribution to DFID. Country offices will be explicit about the specifications of any models, assumptions used in any estimates and the origin of data not collected or calculated by DFID. Country offices will ensure that impact and progress claimed under DFID supported programme are clearly attributable to DFID inputs in the sense that there is a clear and unambiguous link between DFID inputs and the programme outputs, and the impact the programme outputs have in delivering the expansion in financial access claimed under the DFID supported programme. Where DFID is one of the many contributors to the progress, impact data should attributed to DFID based on DFID's share in the total programme spend and/or programme inputs. Country offices would state upfront the estimated margin of error in the data reported. Margin of error can stem from any or all of three possible areas – attribution, time lag (e.g. older baseline), and double counting. Country offices collect and calculate all estimates for their programme. Investment and Finance Team (IFT) will provide advice and QA to country offices, and aggregate country-level data to produce the final estimate.

Data source	Data will come from: • DFID project monitoring and evaluations or project level management information system (MIS) • National statistics such as data published by the country's central bank, national survey organisation, ministry of finance, industry associations etc. • International datasets such as Financial Access dataset from World Bank Working Group on International Remittances, International Monetary Fund, Consultative Group on Assisting the Poor (CGAP) Microfinance Information Exchange etc. • Government systems • Official agency surveys Country Offices could also consider commissioning financial access surveys such as FinScope. FinScope is a FinMark Trust initiative, is a nationally representative study of consumers' perceptions on financial services. This gives useful information on consumers' access and usage of financial services. The sample covers the entire adult population, rich and poor, urban and rural, in order to create a segmentation, or continuum, of the entire market and to lend perspective to the various market segments. FinMark Trust was established in March 2002 and is funded primarily by UK aid from the United Kingdom's Department for International Development (DFID) through its Southern Africa office.
Reporting Organisation	Country offices collect and calculate all estimates for their programme. IFT will provide advice and quality assure to country offices, and aggregate country-level data to produce the final estimate.
Data included	Data will focus on bilateral activities. In the case multi-donor funded programme, data attributable to DFID should be calculated on the basis of DFID's share in the total programme cost. In the case of programmes funded by DFID in partnership with multilateral or regional institutions such as International Finance Corporation (IFC), African Development Bank

	(AfDB), International Fund for Agricultural Development (IFAD) etc, results should be reported against DFID share in the total cost of the programme. In case DFID happens to be the only funder of programmes implemented by multilateral institution, this should be explicitly mentioned in the report so that care can be taken at the central level to avoid any possible double counting.
Data calculation	A widely accepted formula of financial access is one where the entire adult population is broken in to three groups: (A) those who have access to and use financial services; (B) those who have access but do not use it and; (C) those that do not have access. Financial access is defined as A+B. In calculating the number of people reached with financial services, focus would be on number of credit accounts or number of savings accounts or insurance etc held by individuals. Adding up the numbers across all services will be erroneous as the same person may be holding a deposit account, insurance and credit account. It is possible for a person to hold more than one deposit or credit account. Therefore, data would be disaggregated by product type and would be collected in terms of individuals holding the accounts. Access beyond any one particular financial service is a good indicator of the depth of the financial markets.
Worked example	As above and as explained under the heading data measurement.
Most recent baseline	Baseline should be developed as a part of the Monitoring &Evalution (M&E) arrangements for projects and programmes supported by DFID. Where indicator is used at the national level, the Consultative Group to Assist the Poor's (CGAP) Financial Access 2010 Dataset can be a useful source of baseline information for programme starting in 2011.
Good Performance	Increased access to financial services. This helps poor people reduce vulnerability due to unforeseen events such as illness of the family's main bread-earner and natural disaster (floods, drought), seasonal fluctuations in income etc. It also helps poor

	households to build savings to be able to afford assets or higher education for children etc.
Return format	Number people with access to financial services per year, disaggregated by sex.
Data dis-aggregation	Mandatory: by sex. Additional: by country.
Data availability	Annual, but where more expensive survey methods are used it can be every two years
Time period/ lag	Results reporting two years after intervention
Quality assurance measures	Ensure that where data is quoted from other national and international published sources, that that data comes from internationally reputable sources. Survey methodology should be robust and data should be specific, attributable and timely. Central quality assurance within DFID is carried out by the Investment and Finance Team and Private Sector Department (with support from statisticians and economists' cadre).
Data issues	Double counting remains a big challenge to be addressed – both across product types and product suppliers. This has been explained above. IFT will consult CGAP on the methodology they use to address this issue and adapt this methodology in refining the aggregate data.
Country Office/Spending Department Variation	
Bangladesh	Cumulative
India	
Nepal	
Pakistan	
Yemen	
Middle East and North African Regional Department (MENAD)	

Indicator description	**Number of women and girls with improved access to security and/or improved access to justice services through DFID support**
VERSION	Amended 6 March 2013
CHANGES SINCE LAST VERSION	Key revisions include minor amendments to the language of the indicator itself and to the definitions of 'security' and 'justice.' These revisions will allow for greater inclusion of security and justice programmes and interventions which promote personal safety and challenge violence against women and girls (VAWG).
Type of Indicator	Peak year
Technical Definition / Methodological summary	This indicator provides an aggregate of the additional numbers of women and girls accessing DFID supported security and justice programmes over the four year reporting period. **Number** The reporting unit is the number of unique beneficiaries. In all cases country offices should take care to avoid double counting. Targets and results should only be cumulative (adding beneficiaries from each year to get a grand total) if country offices can demonstrate that beneficiaries are different individuals from year to year (i.e., the programme targets non-overlapping geographical areas in different years). Otherwise, targets will be peak-year, and results will also be peak year (the single year with the greatest number of beneficiaries). **Women and Girls** The term covers all female beneficiaries regardless of age. In practice certain methodologies, e.g. perception surveys or government data sources, may offer data on a subset of girls over the age of consent or of women up to a certain age (15-60); in these cases only the data for the subset should be recorded. Note that it may be possible to collect data indirectly on girls younger than the age of consent, such as through interviews asking parents whether their younger children accompanied them to a shelter or through administrative records of specific kinds of justice programmes, such as child custody hearings. To avoid double-counting, male beneficiaries should not be included in the DRF results, even if women and girls might indirectly benefit from programming they have received. **Improved** To promote consistency in reporting and to avoid double counting of participants, the term 'improve' is taken either to mean: • to offer new or substantially improved access to security and/or justice services or • to add beneficiaries to existing programmes which aim to improve access to security and/or to justice services. Countries should report only the **number of people** accessing a new or substantially improved programme/services or the **additional number** of people with access to existing security and justice programmes/services. In either case, for the purposes of the DRF, **it is assumed that these programmes are of acceptable quality** as to constitute an improvement to its participants**,** i.e. that the Business

	Case provides evidence that the benefits of the programme outweigh its disbenefits and that participants are legitimately counted as beneficiaries. The point here is that the indicator measures **numbers of people** benefitting from new or fundamentally improved services, and not light-touch improvement in the quality of existing services. Country offices are encouraged to include separate measures of the quality of services provided in their logframes and programme assessments, but the qualitative element is not directly addressed in this indicator. **Access** Access is measured by a number of proxy indicators, as set out in the methodology section below. **Security and Justice** Security' and 'justice' are not terms with universally accepted definitions. **Security** can be considered from a number of angles including personal security, individual safety, security of assets etc. Security might involve accessing a service (e.g. gender responsive police unit) or it might involve a broader range of interventions to address the causes of women and girls' insecurity (e.g. cultural drivers of insecurity, empowerment etc). **Justice** similarly can be considered from a number of angles including the provision of punishment, arbitration, restitution, retribution, rehabilitation and/or reconciliation. As such, it is possible that a broad range of DFID programmes may contribute to this target. **Relevant programmes** which aim to improve women and girls' access to security and access to justice services may include, but are not limited to, programmes designed to: • improve formal (both civil and criminal) or informal systems of justice – may include work with paralegals and other providers of legal and dispute resolution services. • provide support to all parts of the criminal justice system including police, prosecutors, courts and prisons – may include increased recruitment of (female) police officers, building capacities for gender-responsive policing and the establishment of gender based violence units within the police. • support for alternative dispute resolution. • prevent, manage or resolve conflict and/or crime. • prevent and respond to violence against women and girls - may include harmful traditional practices such as Female Genital Cutting. • improve individual and community safety – may include a variety of projects such as the provision of street lighting. • empower women to claim and enforce their rights - may include land rights, inheritance and dowry-related issues.

	• tackle the cultural drivers which prevent women and girls from accessing security and accessing justice services. Given the breadth of security and justice programming, in-country advisors should contact CHASE (Anne-Kristin Treiber) to discuss the inclusion of their programmes' results in this indicator. **Through DFID Support** Data will be provided by DFID country office advisers working on programmes which aim to improve women and girls' access to security and access to justice services. This indicator is attributable to DFID, so includes only those women and girls who have benefitted from DFID bilateral programming. Where programmes are funded by more than one donor or through multilaterals funded by country offices, country offices will provide a % calculation of proportionate DFID share.
Rationale	This indicator provides data about one area of DFID governance programming, in a field of priority to DFID Ministers.
Country office role	Provision of numbers every six months, following request from Finance and Corporate Performance Division (FCPD). Country office advisers will also check any summary note produced by FCPD to ensure country by country data are accurate.
Data source	Wide variety of sources, depending on country context. Likely to include project monitoring data from implementing agencies, which may include international organisations, NGOs and managing agents, and/or national or local administrative data about target populations (from police, courts, prisons, victim support units, schools and hospitals, government agencies and community-based justice providers). It may be possible that questions on awareness of particular services can be added to existing national surveys, such as the Demographic Health Surveys or other welfare surveys. The data may take a variety of forms including perception surveys, focus groups and other forms of impact measurement.
Reporting Organisation	As above, through DFID advisers.
Data included	As per title of indicator.
Formula / Data calculation	**Methodology Selection** This note sets out four methodologies for calculating the number of beneficiaries of DFID programmes/ interventions which aim to improve access to security and improve access to justice services for women and girls. Country offices should **follow methodology 1** (see below) for all programmes/ interventions where the data allows and there are no other major barriers to accessing security and justice programming (see *Note* below). It is recognised, however, that it may not be possible to follow this methodology in every case. In such instances, country offices should consider using the other methodologies outlined below. These methodologies should be selected based on (i) the available data, (ii) the assumptions outlined in the ***notes*** section of each methodology and (iii) the scope of the programme. Countries should **indicate clearly which methodology they are using** in the comments section of the reporting template. Advisers are invited to approach the CHASE policy lead, Anne-Kristin Treiber (ak-treiber@dfid.gov.uk) or statistics advisor Alex Jones (alex-

	jones@dfid.gov.uk) for advice on which methodology is most appropriate given the circumstances of the programme. **Methodology 1: Access by Proxy of Awareness of Interventions/ Services** This method gathers representative data on the awareness of provision of interventions/ services within programme areas. Instruments include project monitoring data, awareness / perception surveys, existing surveys run by national statistics offices and administrative data. **Example indicator:** % of the target population of women and girls of all ages who are aware they can access free paralegal services in their local municipal courthouse (numerator as number aware, denominator as target population) ***Note**. This is a proxy indicator that assumes the main barrier to accessing justice is a lack of awareness amongst the target population of women and girls. It may not be appropriate where other barriers to accessing justice, such as distance to a service centre, lack of appeal to target population of women and girls, or prevailing cultural norms, exist.* **Option 2: Access by Potential Uptake** **Example indicators:** Estimated % of annual survivors of violence against women and girls who have pursued justice through [DFID sponsored] formal or informal means, multiplied by the total population of women and girls of all ages in each of the geographical regions benefiting from the programme) Estimated % of women involved in land disputes who used a [DFID sponsored] formal mechanism to assert land rights (multiplied by the total population of women and girls of all ages in each of the geographical regions benefiting from the programme) ***Note.** Not all women and girls will suffer an incident that could be addressed through security and justice services in any given year. This methodology takes use as the 'tip of the iceberg' and projects the total number of beneficiaries that would have used the service had they needed to. This methodology requires some confidence in data around the projected prevalence of incidents involving women and girls that could be addressed through security and justice services in target areas, over and above the numbers of women and girls who actually used the justice service. It may not be appropriate in circumstances where the capacity of programmes could not realistically serve the numbers of beneficiaries claimed.* **Methodology 3: Access by Geographical area / Catchment area / Population** **Option 3a:** Total population of women and girls of all ages living within a reasonable distance (the patrol area of a police station, catchment area of a courthouse, or, as the default recommendation, a radius of one day's travel) around each of the facilities from which the programmes are delivered. ***Note.** This option is to be used if the geographical unit is so large that it is infeasible to assume that women living a great distance away will travel to use the services.* **Option 3b:** Total population of women and girls of all ages in each of the geographical regions (sub-provincial, provincial, regional, or national) benefiting from the programme. ***Note.** This option is to be used if the programme has wide geographic coverage and all*

	women within a geographic unit can reasonably be expected to be able to reach the delivery centre. ***Note for both.*** *Options 3a and 3b assume that the programme can genuinely provide access to large portions of the population. They should not be used if data for Options 1 or 2 are readily available, or if the limited capacity of programmes means it is unrealistic to claim these numbers of beneficiaries.* This is a proxy indicator that assumes the main barrier to accessing justice is the absence of a service centre amongst the target population of women and girls. It may not be appropriate where other barriers to accessing justice, such as distance to a service centre, lack of appeal to target population of women and girls, or prevailing cultural norms, exist. **Methodology 4: Access as Use** Actual number of women and girls of all ages who have used formal or informal justice systems during the year. ***Note.*** *This calculation provides a minimum figure based on the fact that all women and girls who used formal or informal justice systems had access to the systems. It makes no attempt to estimate the number of women that would have used the system had they needed to. It should be used when no data is available for Options 1-3, or when, due to capacity constraints, a programme cannot realistically claim to serve the number of beneficiaries calculated in Options 1-3.*
Worked examples	**Methodology 1** A nationally representative survey of women in Jamaica indicated that 43% were aware that they could discuss domestic violence in confidence with a female police officer at their local police station while retaining the final say as to whether to bring charges. This change in reporting domestic violence is the direct result of a DFID supported programme. The result is 43% of the number of women and girls in areas in which the DFID programme is active. **Methodology 2** It is estimated that 1 in 3 women in between ages 15 and 40 in Kenya are forced into sexual intercourse at least once. A survey of the provinces in which DFID is working indicates that 16% of women who were forced into having sexual intercourse sought help either through the police or traditional systems. The result is 16% of 1/3 of the women between ages 15 and 40 in the provinces in which DFID is working. **Methodology 3** Ethiopia plans to roll out its security and justice programme to five zones These zones have a combined population of 3.5 million women and girls of all ages, and everyone will be able to benefit from the improvement in the security and justice services. **Methodology 4** The Malawi DHS reported that 11.1% of women aged 15-49 who experienced physical or sexual violence in 2010 sought help from either the police or traditional systems. To convert this % to a number, it was multiplied by the population projection for the number of women aged 15-49 in 2010 from the national census. ***The above list is illustrative only. Please contact Anne-Kristin Treiber (CHASE) for further advice on the inclusion of specific programmes in your country office/ teams contribution to the We Will targets.***
Most recent baseline	N/A – 2011 is first calculation.

Good Performance	Increase shows improvement. Indicator shows whether or not there are more or better quality services for those who may have been excluded in the past, or need them most.
Return format	Number of women and girls with improved access to security and justice services through DFID support per year, disaggregated by sex wherever possible.
Data disaggregation	By sex. Further disaggregation will vary depending on the source used but may also include by region or by age.
Data availability	Data availability will vary depending on the source used. This indicator assumes disaggregation of data that may not always be available.
Time period/ lag	Varies depending on the sources used. At least annually.
Quality assurance measures	Varies depending on the sources and methodologies used.
Data issues	Where interventions/ services are focussed on women and girls it should be relatively simple to collect data. Disaggregating gendered data from interventions/ services provided generically to populations is harder and will need careful thought given inherent biases in how many of these services are currently provided and social barriers to access. The Security and Justice Team in CHASE can provide support on this point.
Additional comments	It is legitimate to include babies and toddlers in the head count, even though their access will be via a guardian.

Number of insecticide treated bed-nets distributed with DFID support

Indicator description	Number of insecticide treated bed-nets (ITNs) distributed with DFID support
Type of Indicator	Cumulative
Methodological summary:	The distribution of ITNs is an internationally recognised output indicator monitored by National Malaria Control Programmes, the World Health Organisation, Global Fund, UNITAID and G8 countries. It provides detail on the quantity of ITNs distributed to a population and can be used to calculate coverage rates of ITNs if there is accurate population/denominator data available. It does not provide information on usage i.e. whether a child is sleeping under an ITN. The term 'insecticide treated bed-nets' includes long-lasting insecticidal nets, which are considered to have a useful lifespan of 3 years and other insecticide treated bednets which are considered to have an average lifespan of 1 year. Re-treatment of bednets is not included. The term 'distributed' refers to physical distribution of the bednet to an individual through routine channels like antenatal care and to households through mass distribution campaigns.
Rationale	The distribution of ITNs is an internationally recognised output indicator monitored by National Malaria Control Programmes, the World Health Organisation, UNICEF, the World Bank, Global Fund, UNITAID, G8 countries and for MDG 6c progress reviews.
Country Office Role	Country Offices in high burden malaria countries will document: 1. the number of ITNs procured and distributed annually through direct programme/project support ; and/or 2. the proportion of ITNs procured and distributed through the national health programmes that can be attributed to DFID Health Sector or Direct Budget Support.

Data source	Data sources for direct malaria support include project reports, programme annual reviews, procurement reports. Sources of data through where support for the procurement and distribution of ITNs is through sector or general budget support include National Health Information Management Systems for ITNs distributed through routine distribution and campaign reports for ITNs distributed through Ministry of Health led distribution campaigns. Data sources for multilateral sources (Global Fund to Fight AIDS, TB and Malaria(GFATM); UNITAID and the World Bank) include annual reports and for the GFATM the Price and Quality Reporting tool.
Reporting Organisation	DFID
Data included	Data for 18 countries in which DFID is delivering bilateral malaria programmes. See section above for details of ITNs distributed with DFID support through bilateral/multilateral and sector/general support. ITNs that are procured and distributed by a multilateral partner (such as UNICEF) but through DFID Country Office bilateral funding should be included.
Data calculations	100% of ITNs where DFID has directly supported the procured and distributions of ITNs. % share attribution relative to UK funding levels for ITNs procured and distributed through sector and general budget support. This calculation will be done by country offices. Both UNITAID and the GFATM report ITNs procured and distributed. % share attributed to UK funding will be calculated centrally by DFID's Global Funds Department and reported separately. This data is required for the quality assurance process to ensure that ITNs distributed through country sector or budget support does not include an estimate

	of ITNs procured and distributed through UNITAID and multilateral sources at a country level.
Most recent baseline	8.8 million in 2009/10 through DFID's bilateral support
Good performance	No target for ITNs distributed
Return format	Number of insecticide treated nets distributed with DFID bilateral support per year
Data dis-aggregation	It will not be possible to provide meaningful disaggregated data by sex or age on an annual basis because the proposed indicator reflects bednets distributed rather than people sleeping under nets. To complement this indicator, the results of Demographic Health Surveys, Multiple Indicator Cluster Surveys and Malaria Indicator Surveys, which are done on a periodic basis by the MoH and partners, will be used to give additional commentary on the extent to which different groups are likely to be reached through DFID support.
Data availability	All sources can report on a financial year basis. Country data is collated and reported on by Ministries of Health, World Health Organisation, UNICEF, World Bank and GFATM and the G8 on an annual calendar year basis and for WHO and Millennium Development Goal (MDG) monitoring. To ensure consistency and avoid undue workload for Ministries of Health and partners ITN data will be reported on an annual calendar year basis. Data on DFID directly procured and distributed nets will be collected through Aries via annual reports and reviews and procurement reports. Multilateral results delivered through multilateral funding will be recorded separately.
Time period/ lag	Approximately 3-6 months
Quality assurance measures	HDD and the Africa Regional Malaria Advisor will undertake verification and quality assurance process with country health advisers and ensure that there is no double counting of ITNs purchased through GFATM, UNITAID and World Bank funding when distributed at country level.
Data issues	See 'quality assurance measures above'

Additional comments	

Input Indicator methodological note template: Access to Financial Services

Short Title	Cost per person of improving access to financial services
Technical Definition/ Methodological summary	Financial services includes products such as credit, savings/deposits, insurance, leasing, and transfer payments. Provided by institutions such as formal and informal, commercial banks, specialised state financial institutions, microfinance institutions, cooperatives and credit unions etc. This includes direct DFID bilateral spend on financial services. Which is based on relevant Input Sector Codes applied to projects in ARIES. However, this may include both individuals and firms.
Rationale	Inputs information are important for assessing the cost effectiveness of the outcome achieved and also for calculating attribution to DFID. This is also important for DFID's priority on Value for Money (VfM). DFID will be better placed to provide strong VfM data to its beneficiaries, to the UK public, partner governments, and other key stakeholders. Without explicit reference to inputs it is difficult to calculate, even in a crude form, the value for money achieved by projects. More guidance on this has been issued to country programmes in the form of Guidance Notes on Economic Appraisals of projects.
Country office role	Country Offices will ensure that projects are sector coded correctly in ARIES so that they can be included in reporting.
Data source	DFID Bilateral expenditure data is from ARIES and uses the following 5 Input Sector Codes: 124010 Financial Policy and Administrative Management 24020 Monetary Institutions 24030 Formal Sector Financial Intermediaries 24040 Informal/Semi-Formal Financial Intermediaries 24081 Education/Training in Banking and Financial Services Data on "Number of people with access to financial services as a result of DFID support" sourced as detailed in the corresponding impact indicator.

Reporting Organisation	ARIES reports
Data included	Bilateral spend data with relevant sector code.
Formula/ Data calculation	To calculate "cost per person", the Numerator is DFID spend on relevant sector codes and the denominator is the number of people with access to financial services (calculated in the corresponding impact indicator). Every bilateral DFID project is marked with up to eight 'input sector codes' that identify where funding will be spent. For each sector code selected, budget holders indicate what proportion of the total budget is expected to be spent in or on behalf of that sector. Proportions are applied to total project spend to calculate DFID spend by sectors.
Worked example	
Most recent baseline	
Good Performance	An increase in the "cost per person", does not necessarily mean a decrease in value for money. Inputs and results are not directly linked. An increase in "cost per person" may be due: to an increase in DFID funding before results are realised/ more firms are supported than individuals.
Return format	£ per person
Data dis-aggregation	By country
Data availability	Annually
Time period/ lag	1 year
Quality assurance measures	Central QA
Data issues	This indicator includes all spend on financial services - some of which may not be used to support individuals e.g. it could be used to support firms. For this reason, there is not a direct relationship with the corresponding impact indicator. This indicator can only reflect the financial contribution aspects of DFID's support. It does not reflect related influencing or analytical activity by DFID staff. ARIES data is subject to correct inputting by DFID programme officers. All DFID projects have a Quality Assurer, who is responsible for checking that project information entered on ARIES is correct.
Additional comments	
Lead Official	Mahesh Mishra and Anu Bajaj
Analytical Contact	m-mishra@dfid.gov.uk

09 February 2011

The weighted average (mean) unit price of long-lasting insecticide treated nets (LLINs) in the public sector procured by (or on behalf of) a country.

Indicator description	The weighted average (mean) unit price (FCA) of long-lasting insecticide treated nets (LLINs) in the public sector procured by (or on behalf of) a country.
Methodological summary	This indicator provides a proxy measure for the performance of international malaria commodity markets over the period of the malaria framework for action. It is relevant to the DFID malaria indicator focused on the distribution of ITNs (of which LLINs are as subset). The price will be the will be the Free Carrier price (FCA International Commercial (Inco) term). This is the price of the product at the point of loading in country of manufacture. It does not include shipping costs. See www.iccwbo.org/incoterms/id3040/index.html for full definition. This indicator also does not include the costs distributing nets within countries (which differ considerably within and across countries).
Data source	Data will be collected from major funders of LLINs – these include the Global Fund to Fight AIDS, TB and Malaria (from the Price Quality Reporting (PGQ) database) and the United States President's Malaria Initiative (US-PMI). This will be supplemented by data collection from major procurement agents (UNICEF), GFATM Voluntary Pooled Procurement (VPP) mechanism and country procurement units where necessary. The Health Services Team will collect this data but may require some support from country offices in some instances.
Data included	Data for countries in which DFID is delivering bilateral malaria programmes and they have directly supported the procurement of LLINs. Data from the GFATM and PMI for the average weighted price of LLINs purchased with their funding. Data from the GFATM VPP on the average weighted procurement prices for LLINs purchased through the mechanism on behalf of countries.

	Data from UNICEF Supply Division on the weighted average cost of LLINs procured. We will collect data on the weighted average unit cost of all LLINs procured by that mechanism. However, as this indicator changed from the most commonly procured LLIN in 2012/13 we will also collate data on the weighted average unit price of the190x180x150 net to allow comparison to earlier data collected.
Data calculations	Translation may be required where prices are provided using other INCO terms. The weighted average prices will be calculated for each multilateral channel (UNICEF, GFATM VPP). Average prices for LLINs secured by US-PMI will be calculated as a comparison.
Data dis-aggregation	Not relevant to this indicator
Data availability	Annually
Time period/ lag	Variable: 6 – 18 months (lag time is reducing)
Quality assurance measures	Variable depending on source. GFATM PQR data compiled is compiled with extensive data cleaning and data validation algorithms. Similarly for UNICEF Supply Division and US-PMI. QA on DFID procurement prices will be relatively straightforward. DFID will request access to and review GFATM and UNICEF's background.
Data issues	The selection of this indicator is largely intended to measure the development and maturation of the global LLIN market. This is largely driven by how country demand is aggregated and the purchasing approaches of a small number of international agencies. Data is relatively robust. A small number of agencies account from the vast majority of LLIN funding and procurement. The GFATM accounts for over 70% of funding for LLINs (with all transaction data entered in the PQR database). UNICEF accounts for over 50% of procurements. Most funding is currently external and most products are produced by international companies. However, this is likely to change. Domestic resources are likely to account for a larger share of LLIN purchases over time. A more diverse procurement picture and more complex supplier and commodity market may emerge – including the emergence of local production of LLINs. This

	would increase the complexity of tacking this data and may require a revision of methodology. A note on data interpretation and comparison: The price of LLINs can vary significantly depending on a number of factors including size, shape, colour and denier. Variance will also result of a number of factors including volume procured and the desired lead-time.
Additional comments	

Indicator description	The weighted average (mean) unit price (free carrier price, FCA) of all long-lasting insecticide treated nets (LLINs) in the public sector procured by (or on behalf of) a country.
Methodological summary	This indicator provides a proxy measure for the performance of international malaria commodity markets over the period of the malaria framework for action. It is relevant to the DFID malaria indicator focused on the distribution of insecticide treated nets (ITNs), of which LLINs are a subset. The price will be the will be the FCA (International Commercial term) price. This is the price of the product at the point of loading in country of manufacture. It does not include shipping costs. See www.iccwbo.org/incoterms/id3040/index.html for full definition. This indicator also does not include the costs of distributing nets within countries (which differ considerably within and across countries).
Data source	Data will be collected from major funders of LLINs – these include the Global Fund to Fight AIDS, TB and Malaria (GFATM) (from the Price Quality Reporting (PQR) database) and the United States President's Malaria Initiative (US-PMI). This will be supplemented by data collection from major procurement agents (UNICEF), GFATM Voluntary Pooled Procurement (VPP) mechanism and country procurement units where necessary. DFID's Health Services Team will collect this data but may require some support from country offices in some instances.

Data included	Data for countries in which DFID is delivering bilateral malaria programmes and they have directly supported the procurement of LLINs. Data from the GFATM and US-PMI for the average weighted price of LLINs purchased with their funding. Data from the GFATM VPP on the average weighted procurement prices for LLINs purchased through the mechanism on behalf of countries. Data from UNICEF Supply Division on the weighted average cost of LLINs procured. We will collect data on the weighted average unit cost of all LLINs procured by that mechanism. However, as this indicator changed from the most commonly procured LLIN in 2012/13, we will also collate data on the weighted average unit price of the190x180x150 dimension LLIN to allow comparison to data collected in the last three years.
Data calculations	Translation may be required where prices are provided using other INCO terms. The weighted average prices will be calculated for each multilateral channel (UNICEF, GFATM and VPP). Average prices for LLINs secured by US-PMI will be calculated as a comparison.
Data dis-aggregation	Not relevant to this indicator
Data availability	Annually
Time period/ lag	Variable: 6 – 18 months (lag time is reducing)
Quality assurance measures	Variable depending on source. GFATM PQR data compiled is compiled with extensive data cleaning and data validation algorithms. Similarly for UNICEF Supply Division and US-PMI. DFID will request access to and review GFATM and UNICEF's background data. DFID Country programmes and Procurement will provide data on direct ITN procurement. A Health Adviser in DFID's Health Services Team will review and quality assure the data.
Data issues	The selection of this indicator is largely intended to measure the development and maturation of the global LLIN market.

	This is largely driven by how country demand is aggregated and the purchasing approaches of a small number of international agencies. Data is relatively robust. A small number of agencies account for the vast majority of LLIN funding and procurement. The GFATM accounts for over 70% of funding for LLINs (with all transaction data entered in the PQR database). UNICEF accounts for over 50% of procurements. Most funding is currently external and most products are produced by international companies. However, this is likely to change. Domestic resources are likely to account for a larger share of LLIN purchases over time. A more diverse procurement picture and more complex supplier and commodity market may emerge – including the emergence of local production of LLINs. This would increase the complexity of tacking this data and may require a revision of methodology. A note on data interpretation and comparison: The price of LLINs can vary significantly depending on a number of factors including size, shape, colour and denier. Variance will also result from a number of factors including volume procured and the desired lead-time.
Additional comments	

Short Title	**Spend on climate change adaptation, low carbon development and protecting forests**
Technical Definition/ Methodological summary *How is the indicator measured?* *Definition of what the indicator covers including clear definition of specific terms*	This indicator will measure DFID's spend on climate change projects funded by the UK Government International Climate Fund (ICF). ICF projects are defined as those approved by the ICF Board, which includes representatives of Defra and DECC. A project may receive ICF and non-ICF funding and there may be some DFID projects relevant to climate change that are not funded by the ICF.
Rationale *Why it is important to collect. How it links to objectives, policy developments and priorities etc.*	DFID spend on climate change will support the delivery of Structural Reform Plan commitments and priorities set out in the DFID Business Plan. This indicator will show progress on DFID's delivery of its International Climate Fund commitment. ICF spend is reported in the DFID Annual Report.
Country office role *What information is required from country offices? What role will they play – reporting data? Quality assuring data? Providing data on DFID share of spend?*	To ensure the project and financial information on the DFID finance system (Aries) is accurate and up-to-date.
Data source *Where will the data come from? – Country offices (ARIES? Separate commission? Government systems? National surveys?)?* *Institutional annual report?* *International datasets?* *Name them*	Expenditure data from DFID finance system, Aries and ICF Secretariat records of endorsed projects Reports are produced monthly from Aries and combined with data from the ICF Secretariat records to produce management information on the ICF, which are provided to the ICF Board and the DFID EMC and Management Board.
Reporting Organisation *Who collects it and who calculates it. Provide web links if applicable.*	FCPD and ICF Secretariat
Data included *Data coverage* *Bilateral (all?)* *Multilateral (who? How much as %)*	Adaptation, mitigation, forestry and environment spend and support from country offices, divisions and multilateral contributions. Environment core contributions are excluded

How should budget support (general/ sector) outputs be reflected? *How include bilateral direct support/ bilateral budget support/ bilateral through 3rd party/ multilateral?*	from ICF spend.
Formula/ Data calculation *Set out exactly how the indicators' results are calculated.* *If there is a need to convert data from e.g. proportion to numbers the methodology for doing so* *Agreed denominators for % and sources of these*	Expenditure is reported on a resource accounting basis. Endorsed projects can be 100% funded or part-funded by the ICF. Where only part-funded by the ICF, the non-ICF funded activity is not included in the spend figure.
Worked example *As above but with some sample numbers included*	For all projects endorsed by the ICF Board, total spend on climate change activity is reported. Any activity which is not classified as climate change is excluded.
Most recent baseline *Latest actual data if available – could be merged with worked example if possible*	£312 million in 2012/13.
Good Performance *Should the public be looking for an increase/ decrease to demonstrate whether improvement has been achieved?*	£1.8 billion spent by DFID in the current SR period (2011/12-2014/15) on climate change adaptation, low carbon development and protecting forests.
Return format *e.g. percentage, number, rate, cost per unit etc*	Expenditure on a resource accounting basis.
Data dis-aggregation *What level of disaggregation can be provided/ is required? Sex? Age? Country? Organisation? Rural-urban? Other?*	Spend is reported as an annual total.
Data availability *Frequency of data updates. How often is data collected and published?*	Annual.
Time period/ lag *Difference between period data refer to and publication*	1 quarter (i.e. report in July on previous financial year)
Quality assurance measures *How are the data quality assured? For example –*	The financial data is subject to an annual audit. The ICF Secretariat quality assures the list of

internal QA within institutions? Central QA of country office returns?	ICF projects. The Secretariat is subject to DFID internal audit. Regular distribution of financial reports to Divisions provides additional assurance on data quality.
Data issues *Concerns with the data/ sources* *Quality issues* *Further methodological refinements planned*	The quality of the data will be completely reliant on timely and accurate inputting by project leads. The list of ICF projects is manually maintained by the ICF Secretariat.
Additional comments *Any additional information useful to reader not covered by above categories*	None

Indicator methodological note: **GOVERNANCE INPUT**

Indicator description	***DFID spend on elections***
Technical Definition / Methodological summary	*ARIES Input Sector Code (ISC) 15161 on Elections spend by DFID financial year.* *This indicator covers all programme design and support to technical and political support to electoral processes in DFID country offices. It includes both direct bilateral and imputed multilateral elections spend.*
Version Control	Amended 8 April 2013 to clarify that an imputed figure for election spend through multilateral programmes will also be presented Amended 12 June 2013 to include worked example of imputing a multilateral share.
Rationale	*Gives an idea of scale of one area of DFID Governance programme spend.*
Country office role	*To report annually on all bilateral elections spend.* *(Note that there is no additional action for Country Offices or spending Departments other than recording expenditure in ARIES)*
Data source	*ARIES ISC 15161 on Elections (Bilateral expenditure)* *OECD DAC Creditor reporting System (Multilateral Expenditure)*
Reporting Organisation	*DFID*
Data included	*Bilateral DFID spend supporting electoral processes.* *The Annual Report should also include a report of imputed multilateral contributions.*
Formula / Data calculation	*Bilateral data are calculated from existing reporting code.* *Multilateral estimates are produced by FCPD in accordance with the methodology used for the National Statistics publication. In particular it assumed that DFID core funding to multilateral organisations is spent in the same proportion as the overall spending of that organisation.*
Worked example	*Assume a given multilateral agency disburses $600m of core funding in a given year. The OECD DAC Creditor Reporting System shows that $12m (or 2%) is spent on elections (CRS code 15151). $150m (or 25%) of the core funding disbursed was contributed by DFID.* *The imputed share of the multilateral spend on elections for that agency is: $600m x 2% x 25% = $3m* *This calculation is repeated for all multilateral agencies that spend against the elections CRS code and the results are summed.*

Most recent baseline	*£19.8m in 2008/09*
Good performance	*N/A. Different countries hold different elections in different years. An increase or decrease in annual reporting figures is no reflection on DFID performance.*
Return format	*Number*
Data dis-aggregation	*N/A*
Data availability	*Bilateral data are available quarterly. Time lag 1 month. Imputed multilateral spend is calculated annually by DFID and there is a 2 year time lag for imputed multilateral spend. Note that meaningful comparison should only use annual financial spend figures.*
Time period/ lag	*See above.*
Quality assurance measures	*In case of doubt the Central policy team responsible for elections support may be consulted to check that no programme is included in the bilateral expenditure due to incorrect coding.*
Data issues	*Data are subject to correct inputting by DFID programme officers.*
Additional comments	*This indicator can only reflect the financial contribution aspects of DFID's electoral support. It does not reflect related influencing or analytical activity by DFID staff. Nor can it reflect wider, cross-Whitehall work, with the FCO on political dialogue, for example with electoral candidates.*

Indicator description	**Cost per child supported in primary education**
Methodological summary	This is an estimate of current unit costs for country governments for each primary school child enrolled. The total public current expenditure on primary education is divided by the total number of children enrolled in government primary schools. All primary school grades should be included to get an accurate cost per child estimate. It should be noted that an average figures can hide a wide variation in unit costs. Where possible the average should be supplemented with information to explain this variation and help with interpretation. This might include information on the important drivers of costs (e.g. teachers' pay, construction costs etc.) and what we are doing to reduce these. It could also include the trends required to improve education outcomes. In some cases this may very well mean an increase in spend on some of these drivers (such as teacher pay) and therefore costs per pupil.
Country Office role	Country offices should collect the data required and calculate the indicator to provide final numbers. Country offices might also have to do a light touch QA when using National data.
Data source	Primary expenditure and primary enrolment data are available from the UNESCO Institute for Statistics (UIS) data centre. It is preferable to use the most up-to-date data available. This is very likely to come from partner governments (from Ministry of Education EMIS systems and is some cases Ministries of Finance for expenditure data). It is crucial to ensure that the expenditure and enrolment data are from the same period as far as possible. However finance data is likely to be based on financial years so will not be a perfect match for calendar year data. In this case 2012 enrolment data should be matched with 2012/13 finance data, for example.
Data included	This calculation covers all expenditure on primary education through governments. This should include both recipient country and donor expenditure. It does not capture spending outside government systems.

	Data are not available to estimate education spend in country occurring outside government systems. Each donor may very well have this information (DFID does) but the OECD-DAC reporting system does not capture this. In 2009/10 this calculation excluded 24% (£95m) of DFID bilateral aid to education.
Data calculations	The numerator is the total public current expenditure on primary education. Countries using UIS data will need to convert from purchasing power parity back to market rates. The cost per child data should be presented in £'s at the mid-year market rate. The denominator is the number of children enrolled in government primary schools. All grades should be included. This will be different for different countries - see data issues below.
Most recent baseline	In 2010/11 the average spend of our partner countries (for whom data was available) was £98 per child per year at primary school.
Good Performance	This is complex to assess as costs in each country will vary depending on local contexts. Trends over time can also be difficult to assess, without controls for exchange rate variation and inflation. Improvements in the quality of education can lead to increases in unit costs.
Data dis-aggregation	Not applicable for this indicator.
Data availability	Yearly updates should be possible however the data are unlikely to change dramatically year on year. Any comparisons over time should control for inflation in prices using an appropriate deflator, and take into account differences in exchange rates.
Time period/ lag	International data has a 2-3 year time lag i.e. the 2010 UIS publication contains 2007 data. Data from government systems are likely to be more up-to-date, with a minimum of a year lag.
Quality assurance measures	UIS are responsible for the quality assurance of their own data. Where data from Government systems is used, country offices might have to quality assure these data.
Data issues	The number of grades in a primary school system

	varies from country to country; UIS have a standardised taxonomy (6 years for primary) to enable between country comparisons. However this taxonomy is not used when collecting financial data which are collected for the entire primary system. In order to avoid an overestimate of costs for those countries with systems of more than 6 grades the number of children enrolled in the entire primary system should be used to get a more accurate estimate of cost per child. The expenditure figures do not include spending outside government systems (Civil Society, NGOs, Private Sector and other Multilaterals). It is difficult to estimate this additional expenditure as a proportion of all expenditure in education for a partner country. Care must be taken, where private enrolments are substantial, to ensure that enrolment data covers only those who are enrolled in government schools. Where dual enrolment is known to be an issue, this should be noted in the returns. The measure will exclude household and community contributions to education, which may be non-negligible, and advisers should take this into account when using this data. However, is not practically feasible or cost-effective to measure the full costs of education (which requires household surveys and estimates of the 'opportunity cost', often the wages foregone) on a regular basis at an aggregate level.

Indicator description	Cost per person of providing sustainable access to an improved sanitation facility
Technical definition / Methodological summary	This input indicator is calculated by dividing DFID's bilateral spend on providing access to sanitation facilities by the number of people provided with access (results achieved), from the related impact indicator. The expenditure is calculated with reference to the programmes with results reported under the related impact indicator. For each of these programmes, the sector codes and other information (e.g. expenditure against logframe outputs) is used to estimate the expenditure on sanitation. In line with the impact indicator, this may include expenditure on education or hygiene promotion activities which result in communities building sanitation facilities and/or becoming open defecation free. For these programmes, sanitation spend is the total of input sector code 14032 (basic sanitation) plus a proportion of other input sector codes (mainly 14030 (basic drinking water, can include sanitation), 14070 (water supply and sanitation unspecified), 14081 (education and training WASH) and other codes including humanitarian and urban/rural development). The proportions of these sector codes included are calculated with reference to project documentation. Multilateral results and expenditure are not currently within the scope of this indicator as data availability is limited.
Rationale	Capturing unit costs of outputs will help to assess the cost-effectiveness of DFID's investment as well as ensuring accountability that we're using the most cost effective programming to bring about results.
Country Office Role	Country offices have a key role in ensuring that expenditure is allocated to the most relevant and detailed input sector codes available to allow expenditure on sanitation to be estimated. Country Offices also have a role in providing more detail on budgets as necessary to identify spend on sanitation related to results achieved reported under the

	impact indicator (including general/sector budget support).
Data source	ARIES supplemented by additional data analysis as described and country office returns on results achieved.
Data included	Bilateral results achieved and related expenditure.
Reporting Organisation	DFID
Formula / Data calculations	(Results achieved reported for latest two financial years)/Expenditure on sanitation for the relevant programme in the relevant years
Worked example	A project has provided access to sanitation facilities for 510,000 people in 2011/12 and 400,000 people in 2012/13 (a total of 910,000). The total expenditure of the project for these years was £14,000,000. £4,000,000 of this expenditure was under sector code 14032 (basic sanitation). All of this expenditure is included. £10,000,000 of the project's expenditure was under sector code 14070 (water supply and sanitation unspecified). In the logframe, it can be seen that approximately 60% of this expenditure (£6,000,000) is related to sanitation outputs. Therefore, total sanitation expenditure for this programme is £4,000,000 + £6,000,000 = £10,000,000. The cost per person of providing sustainable access to an improved sanitation facility is £10,000,000/910,000 = £10.99.
Most recent baseline	This methodology has been used for the first time at the end of 2012/13. This can be considered the baseline for future comparisons.
Good Performance	This is complex to assess as the inputs provided by DFID in each instance will vary and higher quality and more sustainable facilities are likely to cost more, but with greater benefits. These considerations should be taken in to account when assessing changes in the indicator over time.
Return format	Financial units.
Data dis-aggregation	None
Data availability	Annual
Time period/ lag	A lag of more than 12 months may occur before bilateral results achieved are reported.

	When calculating this input indicator for the previous financial year, results achieved for that financial year and the year previous are considered to ensure that results reported with a lag of up to 2 years are considered. The time period for the expenditure is any financial year for which results achieved have been reported for any particular project.
Quality assurance measures	Ongoing work with country offices to assess the accuracy of estimates of expenditure on sanitation.
Data issues	It is difficult to accurately estimate expenditure on sanitation specifically due to issues such as apportionment of general/sector budget support and use of less detailed sector codes.

Indicator description

Number of people benefiting from DFID-supported cash transfer programmes

Type of indicator

Peak Year

Technical definition/methodological summary

What's included – programme types

This includes *all regular cash transfer payments made to individuals and households to tackle poverty and vulnerability*. The indicator includes:

- **Child grants.** For the purposes of this indicator, a child is anyone up to the age of 18 years (the definition in the UN Convention on the Rights of the Child). In practice, most child transfer programmes in low income countries in which DFID works will be restricted to younger children, with the intention of improving their nutrition and access to healthcare in the critical first few years of life. Typically, this means that children are eligible up to five years old (60 months); in some cases, it may be restricted to up to two years (24 months). Reflecting better understanding of early childhood development, an increasing number of schemes extend eligibility for a child grant earlier, so that it is received by a woman in the last six months of pregnancy through to the child's second birthday. In these cases, transfers to pregnant mothers are included as child grants.
- **Social (i.e. non-contributory) pensions.** The definition of who receives a pension varies from country to country: in Low Income Countries (LICs), social pensions are often introduced for the oldest (e.g., those over 70 years), with eligibility age brought down over time (e.g. to 65) as more funds become available.
- **Those receiving wages from employment on public works schemes**. These transfers are the hardest to measure for coverage: work is often short term, casual (on a daily basis) and with uptake varying considerable within and between years (peaking in agricultural slack season – typically before the main harvest – and in years of poor harvests or other shocks to the economy and employment)
- **Other transfers** (e.g. disability grants; targeted payments to poor households; universal basic income grants).

What's not included?

It does not include transfers of one-off payments or assets; or transfers to communities.

Unit of measurement

The unit of measurement for this indicator is the individual. It is assumed for the purposes of this indicator that all individuals residing in a household receiving a transfer are counted as beneficiaries, even if the transfer is provided in principle specifically for a given individual (e.g. a child or elderly person) within the household. So, if a child grant is provided to a household with five members, this counts as five beneficiaries.

Some categorical transfers are provided per individual: so, if a household of five people contains one child under five, they receive (for example) £25 per month, while another household with two children under five (and a total of five members) receives £50. In both cases, however, the number of beneficiaries would be simply the number of household members, and so would be the same (five) for both: this number would *not* be doubled for the household receiving £50.

Similarly, if a household receives two different types of cash transfer (for example, a child grant and an old age pension; or a child grant and income from public works wages) the members of that household should only be counted once.

So: to report this indicator, country offices need to be able to

- Know how many people are in households receiving DFID-financed cash transfers
- Avoid double-counting households that receive two DFID-supported transfers, either of the same type of transfer (e.g. two child grants) or different types (e.g. a child grant and a pension).

How this is achieved will depend on the situation and the quality of data available.

1. DFID is supporting just one programme; each household can receive just one transfer

1a. If the programme management information system (MIS) can supply data on actual numbers of people in households receiving the transfer, this total is the number to be reported.

1b. If the MIS cannot supply this data, multiply the number of transfers (which in this case is the same as the number of recipient households) by the average household size. For average household size, use a figure that matches as closely as possible to the characteristics of the recipient population i.e. if the scheme is for rural households in a particular province, try to obtain survey data on the average household size for this section of the population. This may be obtained from a recent census, a survey conducted during programme design or targeting, or a national sample survey. *See Worked Example 1 for guidance.*

Worked example 1

DFID supports a nationwide rural public works programme which restricts participation to one person per household. Local committees approve the work lists for each project, and confirm that each household sends only one person to work. However, they do not collect information on how many people are in each participating household.

In the busiest month (immediately before the main harvest), 100,000 people obtain a wage from the programme.

From the last household survey, it is known that rural households contain on average 5.7 people. For rural households in the poorest two quintiles (the section of the population most likely to participate in the programme), the average is slightly higher, at 5.9.

Estimated number of beneficiaries = 100,000 x 5.9

= 590,000

2. DFID is supporting just one programme; a household can receive more than one transfer from this programme

2a. As above, if the MIS can supply data on actual numbers of people in recipient households, this total is the number to be reported. Households receiving two transfers (e.g. for two children or two elderly) are treated exactly the same as households receiving only one transfer: the people in these households are each counted one, *not* twice.

2b. If the MIS is *not* able to supply the number of people in households that receive the transfer, but is able to supply the number of households, then estimate the number of beneficiaries as in 1b above.

2c. If the MIS can only supply the number of *transfers* (i.e. the number of individual recipients), then it will be necessary to first estimate the number of individuals. This is an unlikely scenario – most schemes will record a recipient household – but conceivable, if the household data is only used at the local level, and all that is passed up to the centre is the total number of transfers made. In this case, it will be necessary to (i) estimate the number of households from the number of transfers (using census or survey data to find the average number of eligible individuals in households with at least one eligible individual) and then (ii) estimate the number of people in recipient households. So: if the transfer is for children under five years:

- pull out from census or survey data those households which have at least one child under five years;
- find the average number of children under five in these households (probably something like 1.4: of households with at least one child under five, many households will have one child under five, quite a few will have two, some will have three, a very few will have four…)
- divide the total number of transfers by the average number of children per eligible household in order to obtain an estimate of the number of recipient households
- multiply this by the average household size for eligible households to obtain an estimate of the number of people in households receiving these transfers (i.e., the number of beneficiaries)

Again, use an average that reflects as closely as possible the characteristics (geographical, rural or urban, quintile of the income or consumption distribution, etc) of the recipient population. *See Worked Example 2 for guidance.*

Worked example 2

DFID supports a social pension programme which provides a per capita transfer to everyone in Pursat province who is over the age of 60 years. 15,000 transfers are paid each month.

From the last census or programme survey, it is known that households in Pursat with at least one person over 60 years of age contain on average 1.2 people over this age.

The average size for these households is 5.3.

Estimated number of beneficiaries = (15,000 ÷ 1.2) x 5.3

= 12,500 x 5.3

= **66,250**

3. DFID is supporting more than one programme; there is no overlap between programmes

Calculate estimated number of recipients for each programme separately; add together to obtain a total return for the country. This may be possible if, for example, the two programmes operate in different parts of the country. For each programme, estimate the number of beneficiaries as outlined in 1 or 2 above.

4. DFID is supporting more than one programme; there is potential for households to receive transfers from more than one programme

4a. There is a single registry which serves all programmes and records how many people are in households receiving transfers. In this case, the database can supply information on the total number of people in households receiving one or more transfers at a given reporting point. This number is reported in the return.

4b. There is no single registry i.e. programme-specific MIS can supply information (ranging from basic to sophisticated) about the recipients of each transfer programme separately, but not in relation to each other. In this situation, the country office will need to estimate the degree of overlap (that is, the number of people in households receiving two or more types of transfer). This is complicated because the average size of households receiving 2+ types of transfers may be different from the average size of household for those receiving just one type of transfer: as a starting point, it might be assumed that these households receiving 2+ transfers are bigger.

In the short term, it will be necessary to use (and possibly to collect) survey data in order to estimate the number and size of households receiving two or more transfers. The sampling frame for this survey will probably be quite complex (and would almost certainly be seeking to answer other questions than simply which households received two or more transfers): consult a statistician for expert advice. If done well, such a survey will tell you what percentage of households receive transfer A only; what percentage receive transfer B only; and what percentage receive both transfer A and transfer B. *See Worked Example 3 for guidance.*

Worked example 3

DFID supports a child grant programme which reaches 25,000 households. It also supports a social pension programme which reaches 15,000 households. (Both these figures come from the respective programmes MIS.)

A survey reveals that 10% of households receiving the child grant also receive the pension. The survey also provides average household sizes for (i) households receiving just the child grant (ii) households receiving just the pension and (iii) households receiving both.

row			number of hh	average household size (from survey)	recipients
1	hhs receiving child grant (from MIS)		25,000		
2	*of which:*	10% of hhs receive the child grant *and* the pension (from survey)	2,500	5.9	14,750
3		hhs receiving child transfer only (row 1 minus row 2)	22,500	5.1	114,750
4	hhs receiving pension (from MIS)		15,000		
5	*of which*	hhs receiving both the pension and the child grant (= row 2)	2,500		
6		hhs receiving pension only (= row 4 minus row 5)	12,500	3.2	40,000
total					154,750

If DFID is supporting two or more programmes in the same country, serious consideration should be give to integrating their management information systems. In other words, the medium- to long-term solution to a lack of a single registry is to support the development of one as soon as possible.

When it is counted

DFID's Finance and Corporate Performance Division (FCPD) is developing a database from which they can draw aggregate corporate results twice a year. Country offices will thus be asked to update this information at two points in the year - roughly March and September. Since different types of cash transfer differ in the degree to which they fluctuate in coverage over the course of a year, they will require somewhat different treatment.

- **For those payments – such as child, pension or disability payments - that are regular (e.g. monthly or quarterly), country offices should report for set points in the year.** For convenience, we propose that for the March corporate reporting figures, country offices report the numbers of those receiving the transfer in December (for monthly payments) or in the last payment round before December (for quarterly payments); and for the September reporting round, country offices collate and submit coverage numbers for those receiving the transfer in June (or immediately before June for transfers made on a quarterly basis). If all country offices report coverage at these two points in the year, this will hopefully allow collation of figures in time for reporting of DFID-wide coverage in March and September.
- **For payments which are strongly seasonal, and where this peak season may fall in different calendar months in different countries (as is the case**

with public works programmes), country offices should report the *highest monthly numbers of beneficiaries over the preceding six months*. So, for DFID corporate reporting in March, country offices should report the peak monthly coverage over the period July to December; for the September corporate reporting round, they should report the highest monthly figure for the period January to June. By way of illustration: if the number of those participating in public works between July and December peaked in September, this would be the figure reported for inclusion in the June reporting round. Similarly, if the number participating in the programme between January and June peaked in February, this coverage figure would be what is reported for inclusion in the September corporate report.

Annual coverage figures cannot be aggregated over successive years

Coverage figures should not be aggregated to provide a figure for total numbers of beneficiaries reached over a period of years. This is because a large proportion of those reached in year three will also have been reached in years one and two. Aggregating multi-year totals would thus dramatically over-count the number of recipients. (With good MIS in place in all programmes, it should be possible to follow unique cases, track those coming onto or 'graduating' from the programme, and so calculate multi-year totals: but this will require a sophisticated MIS and / or considerable analytical effort.)

Rationale

Over the last 15 years, there has been a dramatic expansion of cash transfer programmes in the developing world. These include social (that is, non-contributory) old age pensions; child grants; public works programmes that provide a (low) daily wage for employment building or improving local infrastructure; and other grants. Good monitoring and evaluation, including experimental or quasi-experimental impact evaluation, has proven that well-designed cash transfers can have significant impact on a number of development outcomes including the depth and incidence of poverty, use of basic services (school enrolment, immunisation rates), food intake and nutrition outcomes (improved child heights, reduced stunting and wasting), and local economic development. A recent DFID literature review summarises the evidence on different types of impact and design choices and provides links to other sources.

Cash transfers thus have potential to contribute to DFID priorities including reaching the very poorest, improving nutrition and human development outcomes, and increasing opportunities for girls and women.

Country office role

Reliable and timely reporting of coverage

Country offices will need to ensure that DFID-supported cash transfer programmes generate reliable coverage figures on a timely basis every year. This will involve agreeing with those running the programme that coverage figures are supplied by the MIS for DFID reporting, within an acceptable time period. Country offices should provide quality assurance by ensuring that schemes include outreach and accountability mechanisms, and conduct periodic spot checks and audits to confirm the reliability of the MIS figures.

Where DFID is providing budget support and relying on Government reports for data on the numbers supported by cash transfer schemes, the country office should satisfy itself that the data is realistic and the source robust.

Country offices should provide data on (i) total coverage for all cash transfer programmes supported by DFID; and (ii) for programmes in which DFID funding is combined with funding from other sources (government or other donors), DFID's share of spend (see 'Data included' below).

Data source

Data on number of transfers made

Numbers of transfers and, from this, assumed beneficiaries (individuals in households receiving the transfer) will be recorded through administrative systems associated with the implementation of the programme (i.e. the programme Management Information System or **MIS**). The programme should generate regular (monthly, quarterly, annual) reports using MIS data.

The reliability of MIS figures should be strengthened by implementation of outreach / public information strategies (so that intended beneficiaries know that they are entitled to a grant) and grievance and redress procedures (so those who do not receive their grant can raise the problem); and by periodic audits and spot checks.

When cash transfer programmes operate at large scale, country office staff should explore the possibility of including a question about receipt of these transfers in any major national sample surveys (see below). This will require conversations with also discuss with the Ministry or Ministries involved in programme implementation and monitoring and with the national Central Statistical Office (CSO). While each of these surveys typically is conducted only every three to five years, they will provide a further periodic cross-check on the coverage data supplied by the MIS; and, by cross-referencing against other household information collected by these surveys (level and sources of income, food and total consumption, household assets, and so on), will also allow monitoring and evaluation of other aspects of programme performance (e.g. beneficiary incidence analysis to assess targeting).

Data on (i) average household size and (ii) average number of intended beneficiaries (e.g. children or elderly) per household

To obtain an estimate of beneficiaries, it is necessary to know the number of people in households receiving a transfer. This should normally be available from the programme.

In some cases, however, the programme records only the number of households receiving transfers. When a household may receive two grants under the same programme (e.g. a household with two eligible children receives two child grants), it is possible that the programme reports only the number of transfers.

In the first case (one transfer per household), it will be necessary to obtain an estimate of the average number of people in transfer-recipient households; in the latter case (where some households receive two or more transfers, so the number of transfers cannot be taken as the number of households), it will be necessary to obtain an estimate of both the average household size *and* the average number of grants per recipient household in order to estimate the number of beneficiaries (see 2c above).

Ideally, the **programme MIS** will collect data on the number of people in recipient households. If it does not, and records only the number of recipient households or the number of individual transfers, then country offices can use a **household survey**

or census to obtain estimates of household size and, if relevant, the average number of eligible individuals per recipient household (for transfers made on a per capita rather than household flat-rate basis).

- It may make sense to conduct a **sample survey of transfer recipient households**. Such a survey would obviously be useful for gathering a variety of data on the characteristics of recipient households (not just household size), and may already be scheduled at baseline and regular intervals thereafter as part of programme monitoring and evaluation.
- If for any reason it is not possible to collect programme-specific survey data which would yield an estimate of household size, it might be possible to obtain an estimate of the average number of people per household from an existing or planned **national, general purpose representative household survey** such as a Demographic and Health Survey (DHS), Living Standards Measurement Survey (LSMS) or Multi-Indicator Cluster Survey (MICS). The national statistical office and / or UNFPA country office may be the best source for this figure. The figure used should be derived from that part of the population that most closely approximates the characteristics of the recipient population. So, if transfers go only to rural households, the average household size for rural households should be used (this may be larger or smaller than the average for urban households, and thus from the national average). If transfers go only to poor rural households in a particular province or region of the country, staff should seek to obtain a survey-based estimate for the size of rural households in the first and second quintiles of these provinces – if possible.

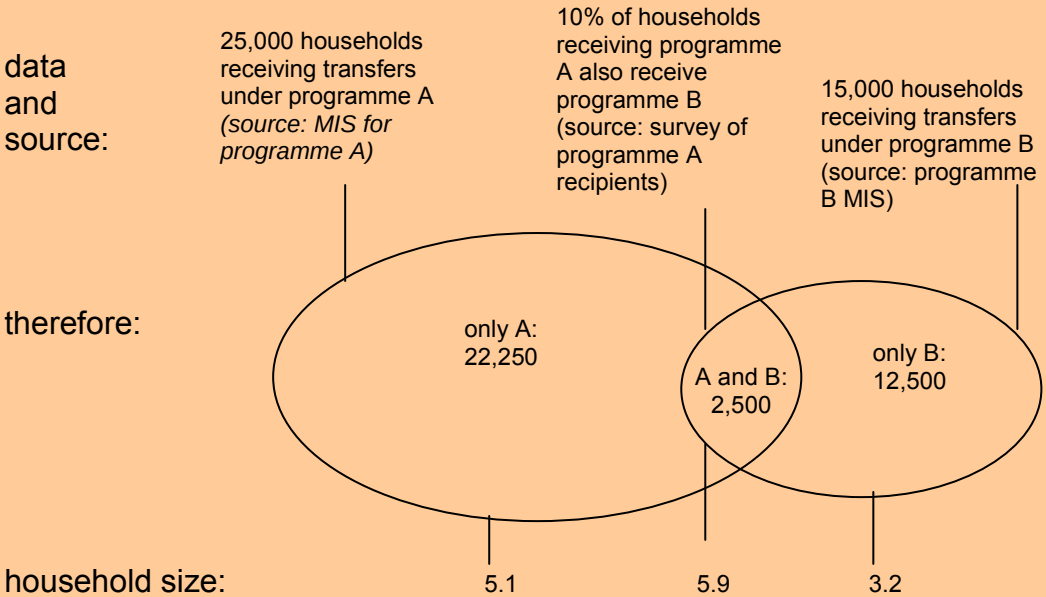
If there are two or more transfer programmes, especially if they operate in overlapping areas (raising the possibility that some households receive transfers from more than one programme), it is desirable that there is a **single registry** which allows users to match transfers to households. This should supply data on the total number of people in households which receive one or more transfers. Alternatively, if the country maintains a national individual identity number system (linked to vital registration of births and deaths), and both transfer programmes record the identification numbers of recipients, it may be possible to **merge programme recipient databases** to obtain a unified list.

If there are two programmes with the potential for overlap (i.e. the potential for double-counting of households which receive transfers from both programmes), *but* no single registry or other means by which to match recipient lists, staff will need to obtain a population-based (**census or household survey**) estimate of overlap.

- It is possible but unlikely that this will be available from an existing, general-purpose national survey or census (unless the transfer programme has widespread coverage, it is unlikely that the survey form will include questions about it). If DFID and the Ministry implementing the transfer programme agree, it may be worth lobbying the CSO for inclusion in the survey form questions asking if households receive transfers. Once again, however, unless the transfer programme is very large, it is unlikely that normal sampling methods designed to yield statistically-valid estimates at a high level (e.g. national, rural and urban) will find enough transfer-recipient households to yield statistically-valid estimates of the characteristics of these households (whether of household size or any other characteristic). If the transfer programme operates only in defined areas, one option may be to argue for – and possibly provide funds for – oversampling and an extra questionnaire module on transfers in these Districts or Provinces.

- If (as is likely) existing national surveys do not collect the necessary information (because the survey does not ask households about transfers that they receive), the programme will need to conduct a tailored survey to estimate the degree of overlap. To do this, the list of recipient households for one programme should be used as a sample frame. Programme staff should come up with their best estimate of the percentage of households receiving this transfer which also receive other transfers: this figure gets fed into the choice of sample size that is needed to obtain statistically robust estimates. From the survey, it will be possible to estimate what percentage of recipients of programme A also receiving transfers under programme B. This percentage is multiplied by the total number of transfers under programme A (taken from the MIS) to provide an estimate for the number of households receiving both transfers. This number is then subtracted from the total number of households receiving transfers from programme B (derived from that programme's MIS) to obtain an estimate of the number of households that *only* receive transfers from programme B. *See Worked Example 3 above and illustration of this example below.*

Combining MIS and survey data to correct for programme overlap



Total recipients = (22,250 x 5.1) + (2,500 x 5.9) + (12,500 x 3.2)
= 154,750

Reporting organisation

The MIS will typically be run by the **Government ministry or department** responsible for implementing the programme. If different transfer programmes are run by different Ministries, the single registry may sit with one Ministry, or may be the responsibility of a separate administrative unit. How information is collected and flows up from lower administrative units to the capital, and the lags involved, will depend on the scale of the scheme, the level of decentralisation in the national administrative structure, capacity, and technology choices. In very poor or post-conflict situations, the scheme may be implemented not by government but by a

consultancy firm or a **non-Governmental Organisation** (**NGO)**, in which case they will be responsible for administering the MIS and reporting coverage figures.

Audit functions may be performed by a different organisation to ensure independence.

Nationally-representative survey data is usually collected by the country's **Central Statistical Organisation (CSO)**. Especially in Low Income Countries, the CSO will often receive extensive technical and / or financial assistance from **donors** (typically the World Bank, Asian Development Bank (AsDB) or UNDP: bilaterals such as DFID or Sida may also be involved) in planning and implementing these surveys.

Tailored, programme-specific surveys (which will collect a variety of information important for programme design, monitoring and evaluation) will generally be managed by the government, donor, or NGO running the programme: but generally will be designed, implemented and analysed by another organisation with the right skills and experience. This may be a **research institute, think tank**, **university**, or a **consultancy firm**; these may be national, international, or a combination of both.

Data included

Detailed information on data coverage is provided under 'Technical definition' at the start of this note.

When DFID's **bilateral** contribution (direct or through a multilateral or other bilateral) is a share of total programme costs, the country office should report total programme coverage as well as DFID-supported coverage (calculated as a percentage of total programme coverage proportionate to DFID's share of total programme costs, for the financial year in which the reporting period falls).

When DFID is providing **general budget support**, the country office should report total coverage and note what proportion of the government's total expenditure (domestic revenue, borrowing and total on-budget official development assistance (ODA)) is accounted for by DFID budget support.

When DFID supports cash transfers through **sector budget support (SBS)**, the country office should note DFID SBS as a percentage of total government spending in that sector (i.e. including all on-budget sector ODA).

Data calculation

The methodology for calculating coverage (total individuals in households receiving a transfer) is outlined above under **Technical definition / methodological summary.** This also describes how to estimate total coverage when DFID is supporting two or more cash transfer programmes with overlap between the programmes.

The section '**When it is counted'** above describes the periods for which coverage should be reported, at two points in the year (March and September).

When DFID's financial contribution is a share of programme costs, DFID-supported coverage figures should be calculated as a share of the total coverage that is proportionate to the financial share in total programme costs. Similarly, when DFID is providing budget support, DFID contribution to total pension coverage should be calculated as a proportion of the government's total annual expenditure (financed from domestic revenue, borrowing and total budget support).

Worked example

Worked example: hypothetical return for DFID-supported cash transfer coverage, September 2012

country	Programme	month	Total programme beneficiaries (people in households receiving transfers)	DFID share of costs (programme) or total / sector Govt. spending (budget support)	DFID-supported coverage
A	Public works programme	August (highest monthly coverage in last 6 months)	590,000 (peak monthly coverage in last 6 months was 100,000 households; on average 5.9 people in each household)	85%	**501,500**
B	pension	June	66,250 (15,000 transfers; average 1.2 pensioners per households therefore 12,500 hh; average 5.3 people per hh)	100%	**66,250**
C	Child grant (only)	June	114,750 (total hh receiving child grant – 25,000, from MIS – minus those hh receiving child and pension – 10%, from survey; multiplied by average hh size of 5.1)	50%	**57,375**
	Pension (only)	June	40,000 (total hh receiving pension – 15,000, from MIS – minus those hh receiving child and pension – 10% of child grant recipient hh, from survey; multiplied by average hh size – 3.2)	100%	**40,000**
	Child grant *and* pension	June	14,750 (survey shows 10% of hh receiving child grant also receive pension; MIS shows 25,000 hh receive the child grant; multiply by average hh size of 5.9)	100%	**14,750**
	TOTAL COUNTRY C				**112,125**
D	Disability grant		31,650 (total people in households receiving the pension, from MIS)	100%	**31,650**
E	Child grant		115,000 (35,000 grants; average 1.4 eligible children in a hh with at least 1 eligible child; multiply by average hh size of 4.6)	100%	115,000
	multi-donor co-financed public works programme	May (highest monthly coverage in last 6 months)	1,762,930 (from MIS, which records number of people in recipient hh, and only one claim per hh)	30%	528,879
	TOTAL COUNTRY E				**643,879**

Most recent baseline

Not currently available.

Good performance

At a fundamental level, an **increase** in DFID-supported cash transfer beneficiaries would indicate DFID success in extending transfers to households to help them escape and stay out of poverty. Further data and analysis would be required to (i) establish that these transfers are reaching the poor and vulnerable (beneficiary incidence analysis); and (ii) measure outcomes / impact, and establish that this could be attributed to the transfers (impact assessment e.g. using randomised control trials).

At some point in the future, it might be hoped that a **decrease** in DFID-supported coverage indicated that inclusive economic growth was resulting in fewer households in poverty and in need of transfers. In practice, however, declining total coverage is unlikely: governments' expectations of the rate at which households might 'graduate' from poverty and transfer eligibility have been unrealistic and experience suggests that cash transfer programmes are expanded (and become more sophisticated and effective) as countries move from low to middle income status. (Mexico and Brazil now reach between a quarter and a third of their populations with conditional cash transfer programmes which are seen as highly effective, including in getting poor children into health programmes and schools). And for transfer programmes that are designed to provide rapid response to protect households from a crisis-induced upswing in poverty and vulnerability (e.g. some public works programmes), both a secular decline in coverage during good years *and* a dramatic increase in coverage following a crisis would, in different ways, be indicators of success.

Finally, a decrease in cash transfers provided by DFID might be a sign of progress if total coverage remained adequate (static or rising) but increasingly financed by national government in the partner country rather than a donor such as DFID. In this case, it would obviously be wrong to interpret declining DFID-attributable coverage as failure. When DFID-attributable counts are going down but total beneficiary counts are expanded, this should be noted in the return.

Return format

The number of people benefitting from DFID-supported cash transfer programmes per year, disaggregated by sex wherever possible.

In addition, each programme should record:

- Total programme beneficiaries (highest value – e.g. highest monthly value - in the reporting period)
- DFID funding as a percentage of total programme cost

Where possible, and with caveats on interpretation, beneficiary numbers should be disaggregated by sex. (See below for guidance on when this is and isn't possible.)

Country offices should also include notes on any additional information they think necessary to provide context for the interpretation of the figures.

Over time, country offices should seek to develop more sophisticated beneficiary incidence and impact analysis. This may involve engaging with the national statistical office and those donors (World Bank, UNICEF, UNFPA, etc) who support household surveys; and / or check with the World Bank Social Protection Atlas which is still in development but should over time provide a repository of survey-based data on transfer coverage and how it relates to household characteristics (poverty status,

wealth quintile, geographic or urban-rural location, etc). Such analysis is not feasible or required for the routine twice-yearly reporting, but should be included when new information makes an update possible in the next return.

Data disaggregation

Spatial disaggregation

While it will probably not be needed for Operational Planning purposes, MIS data can potentially supply data disaggregated down to the lowest administrative level at which the programme is administered and for which coverage data is recorded. In principle, many MIS systems will aggregate at each level of reporting, which can make it time-consuming to obtain this level of disaggregated data from the capital (or UK).

If every reporting administrative unit is coded as either rural or urban, it should be possible to estimate coverage totals for these different environments. In some cases, particularly during rapid urbanisation, administrative classifications may become outdated, and a proportion of those reported as rural may in fact be urban. Some schemes are also explicitly designed as either rural or urban. A rural-urban breakdown would be useful for country level, but would not be required for headline reporting.

Disaggregation by sex

When possible (e.g. for child grants, pensions or public works wages), the sex of *recipients* should be recorded and aggregated at country level.

For programmes in which transfers are provided to households not individuals, it may not be possible to disaggregate by sex. It might still be desirable to record (if possible) the male-female balance of beneficiaries (i.e. all those in households receiving transfers), if this is available from the MIS data on the household composition of transfer-recipient households. (Some programmes may however record only the number of people in a recipient household, and not their breakdown by sex.)

Many transfers (especially child grants) are paid to the adult woman in the household as a matter of general principle (based on an argument – and some evidence – that this provides the woman with somewhat greater say in how household money is used, and that this results in more productive spending patterns). If this is the case, it is worth noting this operational principle in the return; but the fact that the woman is designated to receive a transfer on behalf of the children or the household in general should not lead to a report that 90% plus of beneficiaries are female. The assumption that named recipient is the sole or primary beneficiary cannot be justified (and in the case of child grants may not even be what is intended).

In all cases, **sex disaggregation should be provided and used with caution**. Experience shows that households should be regarded as, to a significant degree, black boxes, given that cash transferred for one individual may then be used for collective household needs or transferred within the household to meet the needs of another individual. A well known example is that of pensioners in southern Africa, who spend much of their pension on schooling-related costs for their grandchildren. The reason for collecting data on the sex of the (nominal) recipient is simply to monitor *access* and check that there are not barriers (perhaps social norms relating to gender roles or perceptions of shame) that prevent some categories of individuals from claiming transfers to which they are entitled. The reason for monitoring the sex of nominal recipients is thus simply to ensure that families are claiming for girl as well as boy children, that women as well as men are able to participate in public works

programmes, and that elderly women as well as elderly men are able to claim pensions. DFID should be very careful about claiming that these figures represent actual patterns of benefit.

Data availability

Coverage data should be reported for each period in which the grant is given out. Some schemes provide a monthly transfer, and so will report on this basis; some schemes provide fewer, larger payments (e.g. quarterly). The Management Information System (MIS) should generate reports for programme management and accountability: these report outputs may be generated at intervals less frequent than the payment period (e.g. when quarterly reports present data on the last three months of programme coverage).

Time period / lag

When paper reports had to be passed up through various administrative levels of MIS systems, lags could be long. With reasonable institutional capacity, information and communication technologies (ICTs) (reporting by email or entry onto an online MIS database) and good reporting discipline, it should now be possible to collate figures at the capital within less than a month.

Data (e.g. average household size) from national surveys can take considerably longer (at best a few months, quite often nine months).

Quality assurance measures

Quality assurance measures include spot checks of figures and internal and external audits.

Data issues

In Low Income Countries, many government paper-based MIS have traditionally been poor quality, with missing or mis-entered data and long lags in collating data. Investing in capacity building and ICT systems (e.g. databases where figures can be entered online and there are checks built in to pick up erroneous values) can significantly improve data completeness and quality. When the programme only generates routine formal reports on a quarterly basis and this doesn't coincide with the timing of DFID reporting needs, it may be necessary for DFID country offices to agree with the programme to provide December coverage figures directly.

Additional comments

Country Office/Spending department variation

Bangladesh - cumulative

Indicator description	**Number of people with sustainable access to clean drinking water sources through DFID support**
Version	Quest version 5.15 DATE: 18/02/2013
Changes since last version	• Clarification of the types of shared water facilities which may or may not be counted under the relevant indicators. • Additional numerical worked examples. • Clarification on preferred data sources, the counterfactual, avoiding double counting, sustainability and comparability with JMP indicators. Note: most of these changes are for clarification and should not greatly affect reporting.
Type of Indicator	Cumulative – annual results are reported and summed over the entire reporting period, assuming that each individual is counted within one year only.
Technical definition / Methodological summary	The bilateral results attributable to DFID will be those from direct investment in improved drinking water sources. The results are based on the 'number of water points built or rehabilitated' multiplied by the 'number of beneficiaries per water point'. An improved drinking-water source is defined as one that, by nature of its construction or through active intervention, is protected from outside contamination, in particular from contamination with faecal matter. **Improved facilities** include piped water into dwelling; piped water to yard/plot; public tap or standpipe; tubewell or borehole; protected dug well; protected spring; and rainwater. This indicator excludes temporary facilities constructed as part of humanitarian interventions and other temporary means of water provision (e.g. bottles). Permanent facilities constructed under humanitarian programmes should be included. The preferred data source for this indicator is

	programme data on direct beneficiaries and this should capture only individuals who have gained access to clean drinking water sources as defined within this methodology which they did not previously have. If alternative data sources are used, care must also be taken to establish the counterfactual – i.e. the number or proportion of people who already had access to clean drinking water sources according to the definitions outlined in this methodology. This may not always be clear-cut. In the case of providing access to safe drinking water in urban areas, for example, individuals reached with the intervention may already have had some access to clean water but this access is now improved (and is now available perhaps for longer periods of time, at a smaller distance or as a protected source). The judgement is whether the level of access has improved from not meeting the definitions within the methodology notes to now meeting the definitions after the intervention. Please make conservative estimates in this respect and contact the WASH policy team if clarification is required. Each individual should be counted only once, even if the same individual benefits from multiple interventions in different years. This indicator refers to sustainability. Measuring sustainability is challenging and would require monitoring well beyond the timespan of the DFID Results Framework. It therefore is not possible to require that all interventions are verified as sustainable. However, sustainability should be considered within project design and monitoring. Note that unlike the Joint Monitoring Programme (JMP), this indicator measures access rather than use. In this sense, the indicators are generally aligned with other DFID Results Framework indicators which are pitched at output rather than outcome level. Measuring use and attributing the results to DFID would be challenging and potentially more subjective.

Rationale	Lack of water supply has negative impacts on poverty reduction, gender equity, child health, and education. Ensuring everyone has access to safe water supply is a high priority for the coalition government.
Country Office Role	Country offices should report this on this indicator through the DFID Results Framework data collection system. In reporting on this indicator the country office will take primary responsibility for ensuring adequate baseline data is available and that programmes include suitable indicators and requirements for regular measurement. Where direct budget support or sector support is being provided, country offices should determine the share of national results that can be attributed to DFID support (see general guidance on the DRF teamsite). Use of figures on output level results (access to WASH services) is preferred.
Data source	Provision should be included in projects and programmes for the collection of data on improved access to water directly attributable to the intervention. This will normally be the primary source of data. Where water results are delivered through non-specific WASH programmes, for instance health, education, social development or livelihoods, projects will need to collect WASH data in addition to other project data. Data on household size, where needed, should be determined from recent national census data or from a nationally representative household survey. In the case of sector and budget support, output level data (i.e. the number of water points built/rehabilitated) is the preferred starting point before attributing DFID's share of results. If this is not available, national statistical data should be used but in this case, funding in the sector from other sources should be considered in addition to the government budget when calculating DFID's share of total expenditure . Water coverage is a key indicator that we would expect to be included in partner countries national statistical record and which would provide the

	basic data required. The Joint Monitoring Programme of WHO/UNICEF (http://www.wssinfo.org/) publishes a report every 2 years using data on use of improved water supply and basic sanitation from surveys and censuses. The resulting international database of coverage provides a useful reference to assess the validity of country data (but should not be used as a primary source, output level data is preferred). Where we are funding through multilateral partners at a country level, they should be requested to collect WASH specific data to demonstrate results achieved.
Data included	Results are to be recorded from all relevant bilateral programmes including health, education, social development and livelihoods programmes (although not humanitarian programmes unless the facilities constructed are permanent). Where specific support is provided to multilaterals at country level to support water, programmes ("multi-bi"), it should be possible to attribute results to DFID but care will be needed to avoid double-counting with global programmes. If you have questions please contact the Statistics Adviser in the WASH Policy Team. WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including 'bilateral through a multilateral') should be included in the DRF template. It is important to avoid double counting of results. If the same people are beneficiaries in multiple years then the results for each year cannot be added together. It is unlikely that this will be the case with providing clean water facilities but any potential areas of double counting should be considered. However if the number of people able to access water points increases over the life of the programme / project the larger number can be used when

	reporting results. Where countries are supporting clean water provision through multiple funding mechanisms e.g. non- Government programmes, sector budget support and general budget support there are significant risks of double counting. Calculations to avoid this can be complex. Please contact the statistics lead on WASH for further advice. Where facilities are provided within public buildings such as schools or clinics but are not freely accessible to a community, the number of people reached cannot be included in this access indicator as their access is considered partial, in contrast to household access. Data on these kinds of facilities should be collected for project monitoring but should not be included in the DRF template. However, facilities provided within a community which can be accessed freely by all members of that community (e.g. a shared, protected spring) may be included. Judgement may be required and the WASH team can provide advice if necessary. Note that this calculation **does not** include a measure of whether the water sources remain in use after a given period of time, i.e. it does not include a measure of the sustainability of the intervention. This data should be collected where possible for project monitoring purposes
Data calculations	Indicator = (c+r) x b where: c = number of water points constructed r = number of water points rehabilitated b = number of beneficiaries per water point A common example of b is where b = n x h n = average number of households served by each water point h = average number of people per household[1].

[1] Figures for average household size will be available from the latest census or (nationally representative) household survey. The average household size may differ between urban and rural.

	In many cases, multipliers 'b' for a variety of interventions will have been developed in each country. For example, the value of b will differ for different types of water point constructed and in different locations.
Worked example	DFID provides 10% of the cost of a programme that has constructed 4,000 improved water sources and rehabilitated 1,000 water sources. Data shows that each serves an average of 50 households of average size 6 people. Indicator = 0.1 x (4,000 + 1,000) x 50 x 6 = 150,000
Most recent baseline	Baselines vary by country and 'results achieved between baseline and milestone 1' should be reported in the DRF template in addition to results for 2011/12 onwards where applicable. For projects, baseline data should be collected at the start of the project.
Good Performance	Good performance will be if the project is on track to meet the target set out in the logframe.
Return format	Number of people with sustainable access to clean drinking water sources through DFID support
Data dis-aggregation	Women and girls are most severely affected by the lack of adequate WASH. At the household level it is expected that all family members would benefit from the provision of the facility and therefore it may not make sense to sex disaggregate. Where there are specific gender impacts or issues (for example, a project aiming to increase access for women and girls), data should be disaggregated by sex to the extent possible. Whilst this is not a requirement for DRF reporting, the MDG target indicator disaggregates data according to **rural/urban** and so this data should be collected wherever possible for the purposes of monitoring. Data should also be disaggregated by age where possible for this purpose.

Data availability	Provision should be included in projects and programmes for the collection of data on improved access to water directly attributable to the intervention. This will normally be the primary source of data. In cases such as general budget support where project level data may not be available, other sources may be used provided that DFID's attribution can be calculated. This may include national management information systems.
Time period/ lag	Data collection and analysis is likely to take a minimum of six to twelve months. Results achieved in previous years should be reported against that year as data becomes available.
Quality assurance measures	It is recognised that the quality of data available to estimate the number of unique people reached with access to clean drinking water as defined in this note will vary. Please indicate any concerns in this respect in the results template. The JMP of UNICEF/World Health Organisation collates and analyses data on use of water and sanitation facilities from a range of developing countries every 2 years. JMP uses national sources of data and a common indicator definition to estimate progress in the sector. This provides an independent assessment of country's own estimates of progress. Please note that this is a complementary, quality assurance measure which may not be directly comparable with DFID's indicators.
Data issues	It is important to note that DFID's methodology is consistent with the approach used by national government and multilateral organisations but is different to the JMP methodology that measures the number of people using improved sources of water. The JMP methodology includes people who gain access through self-supply but does not include people who live near an improved source but are excluded from using it for social, economic or other reasons.
Contact	Laura Westcott, WASH team

Short title	**Number of people supported by DFID programmes to cope with the effects of climate change**
Version	Quest version 5.0 DATE: 14/02/2013
Changes since last version	Changes have been made to: • Clarifications have been made throughout the note with the major substantive change being around the definitions of direct and indirect support.
Type of Indicator	**Cumulative**
Technical definition/ Methodological summary	Identifying the target number of beneficiaries is now an essential step in the business planning process, and will be a key output/outcome indicator for any programme DFID supports. <u>*Definitions*</u> *'Support'* is defined as direct assistance from the programme in question, with the explicit intention of helping people deal with climate change impacts. It could include for example financial resources, assets, agricultural inputs, training, communications (e.g. early warning systems) or information (e.g. weather forecasting). Whilst almost any development intervention that has the outcome of reducing poverty and therefore vulnerability could be described as supporting people to cope with the effects of climate change, the definition here requires the effects of climate change to be explicitly recognised and targeted by the programme in question[1]. *'People supported'* should relate to populations or households[2] identified by the programme in question with a direct relationship to it. *'Effects of climate change'* are defined here as the effects of both existing climate variability and the magnified impacts of future climate change. Normally resulting from the primary consequences of climate change of: changes to precipitation, temperature and sea level rise, these may be sudden onset or gradual, and can include floods, droughts, storms, landslides, salination, coastal inundation, heat or cold waves and biodiversity loss. <u>*Application*</u> This indicator relates to the UK International Climate Fund (ICF) impact statement from the theory of change[3] for adaptation to climate change: *'Vulnerable people in poor countries are prepared and equipped to respond effectively to existing climate variability and the magnified impacts of climate change'.* This indicator seeks to measure the numbers of people who have received an input of support as a proxy for preparing and equipping them,

[1] At a minimum all programmes with a 'Departmental Strategic Objective' (DSO) on climate change and/or a primary or secondary component Input Sector Code on climate change should be included in this indicator, though others may also be eligible.
[2] If the data collected is by household then this figure should be converted into a number of people indicator – see data calculation section
[3] See ICF thematic paper on adaptation May 2011 for details on the TOC (Quest number 3721477)

	but does not seek to measure the output of whether this support was successful in reducing the impacts of climate change events or effects on these people, or the outcome of increasing their resilience or reducing their vulnerability to climate change. For the ICF we will seek to capture this outcome of improved resilience to climate change through evaluation and other indicators where possible. It is desirable to distinguish between numbers of poor people and numbers of vulnerable people, as not all vulnerable people are poor, and it is not always the poorest that are vulnerable, but this methodology does not encompass this definition yet. Future methodological work is planned to provide a more robust and multi-dimensional definition, and to deepen our understanding of who is vulnerable to climate change. All interventions should be in developing (non-OECD) countries, therefore at least according to this broad categorisation the people supported will be located in poor countries. However this methodology does not define which countries or people are poor or specify that these people have to be targeted by the intervention in question, though if it is possible to disaggregate by level of poverty this should be done (see the labels under the 'further information' section below) . This indicator should only cover bilateral spend at this stage. Multilateral and other support (e.g. direct to NGOs), will be collected and calculated separately, to ensure the same individuals aren't double counted, e.g. if supported in different ways (or even the same way) by geographically overlapping programmes. There are two dimensions of 'support': 1) *Targeted:* defined as whether people (or households) can be identified by the programme as receiving direct support, can be counted individually and are aware they are receiving support in some form. This implies a high degree of attribution to the programme. 2) *Intensity*: defined as the level of support/effort provided per person, on a continuum but broad levels may be defined as: a. Low: e.g. people falling within an administrative area of an institution (e.g. Ministry or local authority) receiving capacity building support or people within a catchment area of a river basin subject to a water resources management plan. b. Medium :e.g. people receiving information services such as a flood warning or weather forecast by text, people within catchment area of structural flood defences, people living in a community where other members have been trained in emergency flood response. c. High: e.g. houses raised on plinths, cash transfers, agricultural extension services, training of individuals in communities to develop emergency plans

These dimensions are not completely exclusive, medium intensity support may be either targeted (e.g. early warning text messages) or not targeted (catchment area of a flood defence system). **However high intensity support should always be targeted, and low intensity support cannot normally be considered targeted. Low intensity support *should <u>not</u> be reported* for this indicator**

<u>Categories</u>

There are therefore **<u>2 categories for reporting:</u>**

A) **Direct:** Targeted & High intensity. Must fulfil both criteria e.g. people receiving social protection cash transfers, houses raised on plinths, agricultural extension services, training of individuals in communities to develop emergency plans and use early warning systems.

B) **Indirect:** which covers:
   i) Targeted & Medium intensity: e.g. people receiving weather information and text message early warnings.
   ii) Not targeted & Medium intensity: e.g. people within the coverage of an early warning system, or catchment area of a large infrastructure project (e.g. flood defences), or living in a discrete community in which others have been trained in emergency response

Programmes are **only** required to distinguish direct and indirect support (and not the sub-categories of 'indirect' above – e.g. whether targeted or not)

A third category does not need to be reported at all:

C) **Not Reported:** Indirect and Low intensity: e.g. people benefiting from falling within an administrative area of an institution receiving capacity building support, or catchment area of a Water Resources Management plan or strategy (these numbers can be captured through the programme's own monitoring, and for the ICF the interventions under the 'institutional development' scorecard KPIs).

If you are unsure how to break down the number of people your programme supports into these categories please contact the adaptation and water resource management team leads as listed at the end of this document.

Gender:
Reporting by gender has been marked as mandatory. If you are unable to disaggregate by gender please see the additional guidance in the data disaggregation section below.

	A single programme may include interventions which are direct and indirect (e.g. a programme which has activities including social protection and early warning systems). A single *intervention* may also include people supported directly and people supported indirectly, e.g. individuals trained to develop community emergency plans and use early warning systems would be supported directly, whereas people living in the same community and benefiting from those plans would be supported indirectly *Further information* 2 further optional labels can then be applied within the above categories: 1. The first label is simply: Does this programme fit under any of the sectors prioritised in the ICF adaptation thematic paper? That is: (a) access to social protection (if the programme is defined as an 'adaptation' intervention) including micro-finance and broader social protection/insurance mechanisms; (b) support to water shed and water basin management (both the construction of small-scale infrastructure at household or community level and large-scale support for watershed and water basin management activities; (c) support with urban resilience including resilient infrastructure; (d) support to any community and/or national level disaster risk reduction activities; (e) support for resilient agriculture programmes; (f) support for eco-systems development and coastal zone management programmes; and (g) support for health programmes which are primarily tackling climate change risks. 2. The second label considers the proportion that are poor: What proportion of the beneficiaries are poor? Numbers of poor people could be determined by numbers below a country specific poverty line rather than the international $1.25/day definition. For programmes which have indirect beneficiaries, proportions of poor could be estimated from social vulnerability analyses commissioned as part of the programme preparation or any prior Climate Change Strategic Programme Reviews. *Methodological points to note:* 1. Numbers of people supported through multilateral multi-sector adaptation programmes where UK is major funder will also be included in this indicator. We will be working with the multilateral partners to ensure this headline indicator can be gathered in future. 2. With multi-sectoral support there is scope for double-counting of results, we will therefore ensure that targeted interventions are tagged against one or another sector.

	3. Finally, both household and individual data can be collected as part of this exercise. Data on household size should be determined from the most recent national census data or from a nationally representative household survey. If data is collected at the household level, the country office will need to multiply the number of households by the average household size.
Rationale	This is a new area of programming. Although we are not envisaging all programmes to be able to gather all of the disaggregated levels of data, what is collected will strengthen the story on our adaptation portfolio and strengthen our evidence base. This indicator links clearly to policy priorities around climate adaptation as articulated by the International Climate Fund Board. With limited international consensus on measuring successful adaptation, HMG's development of these and other indicators will be leading the way in the international community.
Country office role	Country offices will be required to report on target beneficiaries, and numbers reached throughout implementation of each programme. This and other indicators should be built into Annual Review progress reports. Progress has already been made with multilateral partners in making their M&E systems more focused on aggregating results. The Pilot Programme for Climate Resilience (one of the CIFs) Adaptation Fund and Least Developed Countries Fund for example have their own results frameworks, will generate results information on a regular basis, there may be a role for country offices in quality assuring the information when it is collected.
Data source	The indicator will be measured through the monitoring and, to some extent, evaluation of DFID bilateral climate adaptation programmes and multilateral programmes, particularly those financed by the UK's International Climate Fund (ICF). In some cases (e.g. on-going programmes in Bangladesh) the data will be generated through project-specific surveys. Where DFID programmes are operated through government (e.g. the Ethiopia PSNP), the data will come from separate commissions. Similarly, data on proportions of poor will be undertaken through individual surveys at project level and then attributed to the programme. Perhaps at a later stage, household level surveys will begin to gather this data more readily. The aggregation for this indicator will be undertaken by CED across all projects/programmes.
Data included	**DRF:** At a minimum all DFID programmes with an explicit climate change purpose are should report on this indicator (primary or secondary input sector code on ARIES).
Data calculation	The indicator is expressed in absolute numbers, so not relevant. However, the data will be aggregated by CED using the numbers provided against sector interventions summed across to arrive at a total figure. It is possible that some of the disaggregated levels of data are provided as percentages. These will then be converted as appropriate into absolute numbers. Where HMG are only funding part of the project, benefits (number of people) should be calculated as a pro-rata share of funding. For example, if we are

	funding 10% of a project with 100 beneficiaries, we should claim that 10 of these beneficiaries are attributable to DFID. It is possible for a single programme to reach both direct (targeted and high intensity) and indirect (targeted or not targeted and medium intensity) beneficiaries in which case these should be reported separately.
Most recent baseline	By nature of the indicator the baseline for the programme in question will normally be zero for number of people supported *by DFID*. The possible exception being where the programme is an extension of an existing DFID programme that preceded the current Comprehensive Spending Review. *[For the aggregated total for DFID overall the baseline will be zero at the start of the Comprehensive Spending Review period]*.
Good performance	The public should be looking for an increase in the absolute numbers receiving support.
Return format	Absolute numbers of beneficiaries only, disaggregated by direct/indirect and gender. Please see Data dis-aggregation section below.
Data dis-aggregation	<u>Data to be disaggregated and reported in the ICF results template:</u> - Number of direct or indirect beneficiaries - Gender: • Reporting by gender has been marked as mandatory. If you are unable to report by gender please explain why in the metadata columns of the results template. • We would expect gender disaggregation to be possible for all programmes in the direct category. Where possible gender disaggregation should also be given for the indirect category. • We acknowledge that gender disaggregation will not be possible if household level data are used. If local gender disaggregation data is not available but you have target population data that allows you to give an estimated number then please report this. If an estimate is used then please state this clearly in the metadata column. • It is not intended to present gender disaggregated figures by country/programme but as an aggregated total across programmes for the DRF indicator. <u>Data to be disaggregated as part of workings and Quest number provided:</u> Disaggregation of the following variables will not be collected as part of the ICF results template. Please include disaggregated data in your working documents and record the Quest number for these documents in the ICF results template. - Thematic sector of programme - Proportion of beneficiaries who are poor
Data availability	It should be possible for country offices (and eventually multilateral partners) to report on beneficiary numbers at least annually (to inform Annual Reviews). CED will collate this information annually. Robust data from

	programmes already in implementation may be difficult to gather as baselines are unlikely to have been developed in all cases. Therefore we expect the routine M&E of these programmes to be able to generate this information.
Time period/ lag	This will have to be worked through with country offices and multilateral partners, but a 6-9 month lag may be necessary.
Quality assurance measures	We will identify mechanisms for data QA with multilateral partners (possibly using the OECD as an independent arbiter) by June 2013. In DFID, we anticipate that there will be 3 layers of QA: country offices, CED and FCPD. Country offices will need to estimate country-level aggregation, where separate programmes may support the same people in different ways. COs will be in the best position to do this analysis on geographic overlap. CED will need to centrally estimate aggregation between bilateral country programmes and multilateral support, to identify where this overlaps in terms of i) same people in different ways or ii) same people in the same ways e.g. through core support to two multilateral agencies co-financing the same programme. If reporting officers have any concerns about the quality of data or any points that they think CED should be made aware of, then please note this in the DRF results template. Any comments can usually be added into the free text columns on the far right of each template. Further guidance should be available in the commissioning note.
Data issues	Quality of data will vary, particularly where it is necessary to rely on implementing partners collection of government data systems. We might be able to use different sources of data to triangulate results and strengthen our interpretation of the data. A further assumption is made that the data collected on the 'indirect' category (targeted or not targeted and medium intensity) can still be attributable. As there is no guidance on acceptable attribution proportions for indirect beneficiaries, we are proposing that these are captured in full and no discounting is made. FCPD guidance only exists on targeted attribution.
Additional comments	CED also plans to undertake more methodological work on definitions of vulnerability and will aim to do an evaluation on the impact of the ICF programmes on resilience. At some future date, these indicators can be used in conjunction with the indicator above to strengthen its impact focus. The number of people supported to cope with climate change indicator is new and attempts to measure a new area in development of common international interest. We have shared this methodology with a number of international partners including the MDBs and other donors and a number of these partners have chosen to replicate this methodology in their own reporting.
Lead	Climate and Environment Department

Indicator Description	**Number of children completing primary education supported by DFID (per annum)**
Type of Indicator	Cumulative
Technical Definition / Methodological summary	Multiplies *the number of children completing primary school in publically funded schools* (national definition) by the estimated *DFID share of total public education expenditure*. Primary school completers are defined by the proxy gross intake to the last grade of primary education (national definition) in publically funded schools. Intake is also called 'new entrants' and is enrolment minus repeaters. Gross means any age. Where gross intake is not available it is acceptable to use gross enrolment minus repeaters (if separate data are available). If only gross enrolment data are available then they can be used, but this must be noted. Public education expenditure is the sum of government and donor education funds, if possible including off-budget spend. DFID's expenditure should include all Sector Budget Support (SBS) in education, plus a proportion of General Budget Support (GBS) / other financial aid in line with the proportion of government funds spent on education. If feasible, all expenditure figures should logically be restricted to basic education - or primary / secondary school education – where DFID does not support other sub-sectors. The same sector / sub-sector coverage must be applied to all government, DFID and other donors' expenditure figures. The same DFID expenditure share should be used in this indicator and in the number of children supported by DFID in primary / lower secondary education. **This indicator needs to be used in tandem with survival to grade 5 of primary education indicator to give an effective picture of how efficient the school system is in retaining pupils and avoiding wastage through repetition.**
Rationale	Estimates the number of children supported by DFID who complete primary education in any one academic year. This enables DFID to attribute what UK education aid investment buys in terms of children completing primary education - a key policy priority in line with the Universal Primary Education Millennium Development Goal (UPE MDG) and the National Audit Office (NAO) & Public Accounts Committee (PAC Education Reports. Intake to the last grade of primary is accepted as proxy for primary completers in *one of several internationally standardised completion rates*. (Removing repeaters

	avoids counting children as completing primary in more than one year.) Increasing DFID financial support, increasing access to primary education and a more internally efficient education system all result in an increased numbers of completers supported.
Country office role	Country offices should obtain and approve the latest matching national financial and pupil data, calculate the number and supply to the centre.
Data sources	DFID spend data are from ARIES and spending through government will be broken down by GBS / SBS / any other financial aid. For other types of spending e.g. for private education specific spend data can be obtained from Country Office financial information (Ensure all aid that has been delivered through government systems is included.) Partner country expenditure data can be sourced from Government systems (Ministry of Education or Ministry of Finance). For some countries *World Development Indicators* may have data not available elsewhere. The enrolment and repetition data for the final grade should be taken directly from country Education Management Information Systems (EMISs). (It takes one year or more for national data to be collected and processed by UIS, and data are then presented according to the International Standard Classification of Education (ISCED) which may not align to national definitions.). Where private enrolment is included in overall figures, care must be taken to exclude these children using a proportional weighting of enrolment.
Reporting organisation	Indicator internal to DFID
Data included	<u>For GBS and SBS:</u> Include bilateral spending through government systems for both country and donor, therefore non- government spending is excluded from both numerator and denominator. This will not include an estimate for DFID's bilateral spend outside Government (24% in 09/10). <u>For support through projects:</u> Estimates of numbers of children supported to complete through projects and programmes could be built up from outputs. i.e. number of children benefiting from vouchers, using classroom pupil and pupil teacher ratios to calculate how many children will benefit from classrooms built and new teachers trained. Where only partial school costs are covered (i.e. provision of classrooms does not meet full cost of a child's education) these should be noted. Also, where

	there is a risk of double counting (e.g. teachers could be benefiting the same children as the classrooms) that should be avoided. DFID's multilateral spend is excluded. Different methods are used.
Formula/ Data calculation	Support could be through GBS, SBS or even funding private schools. <u>For GBS and SBS</u> Divide DFID spend on education in a country (numerator) by total Govt. expenditure on education (denominator) to get the proportion of DFID spend on education in country (converted to same currency); multiply this by the intake to the last grade of primary school. Other development partners' general and education-specific expenditure should be included in the Governments' expenditure denominator wherever possible, even if off-budget. The important thing is that the numerator and denominator are consistent and the education indicator (e.g. gross intake into last grade of primary) is also measured at the correct and consistent level. The years selected for completion and expenditure data should be matched as well as possible where academic and financial years differ (there is no need to pro-rate across years) and should be the latest in which both series are available.
Worked example	Assume total public expenditure on school education £1bn, of which government provides £800m and non-DFID donors £200m. DFID provides £60m SBS to school education and £200m GBS, of which 20 per cent or £40m may be allotted to school education in line with government spending. DFID's share is thus £100m (= £60m + £40m) / £1Bn or 10 per cent. If there are 315,000 pupils in the final grade of primary, and 15,000 or 5 per cent of them are repeaters, there are 300,000 new entrants to the grade. DFID supports 10 per cent or 30,000 of primary completers.
Most recent baseline	N/A
Good performance	The number of children DFID supports can fluctuate depending on changes in DFID's share which might have more to do with fluctuation in government spend. An increase in the number of children supported indicates good performance if the total expenditure on education remains the same or increased and completers overall have at least increased by the same or more as the increase

	attributed to DFID . This would mean more children are completing primary school and/or DFID has increased its funding.. An increasing number of primary completers supported indicates good performance on retention and completion – and provides an accepted proxy for quality of education where learning outcomes are not effectively measured.
Return format	Number of children completing primary education supported by DFID per year, disaggregated by sex.
Data dis-aggregation	Mandatory: by sex. This is essential for DFID's Girls' education policy priority.
Data availability	Governments' pupil and financial data should be available annually.
Time period/ lag	Governments' pupil and financial data may be released nationally after a lag of a year or more.
Quality assurance measures	Partner country data might need country office light touch quality assurance (QA), e.g. by checking coherence with the back series.
Data issues	Results providers (e.g. DFID country offices) should provide narrative that clarifies the underlying causes for changes, especially decreases. A decrease may result from: a decline in DFID budget support; an increase in host government / development partner education expenditure – or a decrease in the proportion of total budget that is spent on education; a change in the structure of the education system, or some combination of these factors. Double counting of children should be avoided i.e. children enrolling in both the public and private sector, or through output based calculations of children supported in fragile states (i.e. children reached through both classroom construction and textbook procurement). Estimates for bilateral NGO/ UN interventions based on results from direct outputs are not fully consistent and may suffer from double-counting.
Additional comments	This indicator assumes that all those who enter the final grade complete it. Also assumes the share of primary completers supported is in line with DFID's financial input, though where DFID's drive on education Value for Money (VfM) and results helps deliver greater efficiency in national education systems this will understate DFID's true contribution. This indicator is one of a set of DFID Education Portfolio indicators and needs to be considered alongside these other measures of effective education performance, particularly learning outcomes and the transition of girls (and boys) to secondary education.

Input indicator: Cost per birth delivered by a skilled birth attendant (SBA)

Indicator description	This indicator estimates the cost to DFID of providing a skilled birth attendant (SBA), such as a midwife, nurse or doctor, during childbirth.
Methodological summary	Cost per birth delivered by SBA is calculated as the total DFID spend on SBA divided by the total number of births attended by SBA attributed to DFID over the same period. A single overall result is calculated across DFID-focus countries. The number of births attended by SBA attributed to DFID in each year is obtained from the DFID results framework (DRF) country returns from the March results commission. Countries do not report achieved SBA results every year as the survey data on which they are based are generally only available every five years. For countries reporting a zero achieved result, the forecast for the year is used instead. DFID's expenditure on SBA is obtained from project information in Aries. We include all direct expenditure on maternal and neonatal health and 25% of indirect expenditure on support to health system strengthening.
Country Office role	This indicator is calculated centrally. No further work is required by the country office following completion of the DRF return.
Data source	Financial information is obtained from Aries. Output data are obtained from the DRF return.
Data included	This indicator requires the number of births attended by SBA attributed to DFID, and DFID's spend on SBA over the same period. A separate methodological note (Quest 3274706) describes the details of the calculation of the output indicator, number of births attended by SBA. In brief, a national estimate of the proportion of births attended by SBA is obtained from survey data. This is then multiplied by the number of births and DFID's funding share to give the number of births attended by SBA attributed to DFID. Countries do not report achieved SBA results every year because survey data are generally only available every five years. For countries reporting a zero achieved result, the forecast for the year is used instead. Establishing specific SBA expenditure is complex. We have chosen to include all direct expenditure on maternal and neonatal health (covering pre- and post-natal care and delivery, prevention and management of consequences of abortion, and safe motherhood activities) and 25% of indirect

	expenditure on support to health system strengthening, in line with the G8 Muskoka methodology[1]. The input sectors included are: 13022: maternal and neonatal health 100% 12010: health poverty reduction budget support 25% 12020: health un-allocable/ unspecified 25% 12110: health policy and administrative management 25% 12220: basic health care 25% 12261: health education 25% 12281: health personnel development 25% 13010: population policy and administrative management: health 25% 13081: Personnel development for pop. and reproductive health 25%
Data calculations	The total DFID spend on SBA, and DFID-attributed SBA results are aggregated separately across DFID focus countries. Then: Cost per birth delivered by SBA = DFID spend on SBA ÷ number of births attended by SBA
Most recent baseline	No baseline is considered. The cost of SBA varies within and among countries and over time. It is important to control for exchange rate variation and inflation when examining trends.
Good Performance	There is no specific target for this indicator. Improvements in quality, and increased efforts to reach the poorest and most vulnerable, can lead to increases in unit costs.
Data dis-aggregation	Systems are not in place to disaggregate data by age or poverty quintile.
Data availability	Information is available from Aries as required, and from the DRF return in spring and autumn.
Time period/ lag	Financial data are available quarterly. Disbursement patterns suggest that annual figures are more robust. Data from the DRF return may lag by a few months if output data are collected in calendar years and reported in financial years.
Quality assurance measures	Data are extracted from Aries and calculations made by an economist within the Human Development Department. They are then checked by a statistician on the AIDS and reproductive health team. Comparison will be made with figures published by WHO or other international development organisation.
Data issues	This indicator uses SBA results in its calculation. Because SBA results follow the same publication schedule, it is important that any late large amendments to the SBA output results are reflected in the input indicator.

[1] The G8 Muskoka methodology is based on the proportion of the total global population comprising women of reproductive age (25%). See http://canadainternational.gc.ca/g8/summit-sommet/2010/mnch_methodology_isne.aspx?lang=eng for further details.

Indicator description	**Number of people supported to have choice and control over their own development and to hold decision-makers to account**
Type of Indicator	Peak Year
Pillar	Governance
Technical Definition / Methodological summary	**Summary** This indicator is a headcount measure of the reach of DFID-supported empowerment and accountability, in terms of the number of unique beneficiaries. It is not a measure of whether beneficiaries have been empowered since empowerment is a complex and broad concept. **How to count: methods for including programme results into the indicator** The numbers reported should be attributable to DFID[1]. See the general guidance note for how to attribute results. The key concept being measured is the number of **unique beneficiaries** of DFID programmes in this area over the Spending Review period. The nature of the programme itself will determine how to get at the number of unique beneficiaries, as the following scenarios illustrate. This is a measure of the number of unique beneficiaries of DFID empowerment and accountability programmes. It is not a measure of whether the individuals are empowered, since this is a complex concept. The different designs of DFID programmes mean that various calculation methods will have to be used to capture to the key concept of unique beneficiaries. In the scenario where the programme provides on-going support or mentoring over a number of years, 'peak year' figures will be used (rather than cumulative). If the figure for the baseline year consists of DFID beneficiaries then this need not be subtracted; otherwise the baseline figure will be subtracted. *For example, if DFID is supporting 10 million people though the coverage of citizen's scorecards for 4 years, and that these are essentially the same people we should count 10 million people, not 40 million. You should be clear about this in your presentation*

[1] We recognise that numbers may be low initially (particularly in relation to new technologies) due to the use of innovative approaches but that these numbers will increase in subsequent years.

	so that it is not interpreted as 2.5 million a year for four years. If a programme provides a one off intervention, such as the opportunity for constituents to meet their elected representative, then there are different beneficiaries in each year of the programme. The figures for each year will therefore be accumulated. *For example, if DFID is supporting 5,000 extra individuals to meet their elected representatives in each of 4 years, it is reasonable to claim 4 x 5,000 = 20,000 unique beneficiaries.* **How to deal with overlapping programmes** It is likely that country offices will contribute to this indicator through several different programs. Countries should provide in the comments section the disaggregated information showing the number of people supported through each project/program as well as the overall contribution to this indicator. e.g. • Beneficiaries of program A • Beneficiaries of program B • Total number of individual beneficiaries = C Note that C does not necessarily = A + B, if some individuals are beneficiaries of both programmes. If this is the case, you will need to estimate the overlap in the way that is most appropriate to your country context and based on your professional expertise. There is space in the template to record your assumptions Possible approaches that you might consider are: • Taking account of geographic coverage: if programmes are in different regions it may be appropriate to assume zero overlap. • Reporting the single biggest programme as your contribution, where these are likely to overlap heavily, or where it is difficult to assess the overlap. • Taking a probabilistic approach. In your situation is it reasonable to assume that benefiting from Programme 1 does not affect your chance of benefit from Programme 2? In that case you can calculate the chance that the same individual benefits from both just by luck. *For example, in a community of 100,000 there are 5,000 who benefit from Prog1 and 20,000 from Prog2. Being in one programme does not affect your chance of benefiting from the other.*

	*In this case everyone in Prog2 has a (5/100) chance of already being in Prog1 – in other words 0.05 * 20,000 = 1,000 will not be 'new' unique beneficiaries. So the contribution to the indicator would be 5,000 + 19,000 = 24,000.* *It doesn't matter which order you do the calculation. (20/100) of Prog1 participants will already be part of Prog2, so there are 0.2 * 5,000 = 1,000 who are not 'new', just as above* **The overlap between country programmes and BBC Media Action** The Policy Division in the central part of DFID fund a programme through BBC Media which support people in a number of countries by enhancing the availability of information. Some of these countries may also benefit from programmes funded by the DFID country office. It is important to eliminate the risk of double counting, and this handled centrally after the data have been collected. We subtract from the BBC Media Action contribution the contribution of the local DFID office in each country that benefits from BBC Media Action and DFID country programmes. **What to count: definition of 'supported to have choice and control'** Programmes which may contribute to the indicator are: • Support to Parliament (e.g. number of additional people visiting their MP) • Support to councils/traditional leaders (e.g. no. of additional people meeting with their local councillor or traditional leader) • Participatory surveys (e.g. number of people engaging in the survey) • Strengthen community monitoring capacity (e.g. number of people who participate in government or community monitoring) • Community planning (e.g. number of individuals engaged in community planning) • Budget analysis and tracking (e.g. number of individuals using budget analysis for advocacy) • Programmes which enhance the availability of information which can empower individuals and enable them to have more choice and to hold decision makers to account (e.g. information about the decisions taken by government representatives, or about mechanisms that citizens can use to hold

	government to account). (Beneficiaries should be those expected to access the new information). Programmes to exclude: • Cash transfers • Programmes with headcount beneficiaries under another Operational Plan (OP) indicator (unless such beneficiaries also benefit from a separate programme on E&A then you can count them) o Example 1. If you have a programme to enhance school management committees, then the members of these committees, or people informed by the committees, would count as beneficiaries. However children who gain access to school as a result of the committees, would not count. o Example 2: If a programme supports health committees then beneficiaries include those participating in the committees and those informed by the committees through media etc. Those informed, who go on to use health services, should not be counted (again). o Example 3: If a programme supports elections in some way, and the people supported to should be included under the elections indicator and not double counted here. E&A beneficiaries of broader sectoral programmes may be included against this indicator but it is important that only the beneficiaries supported on E&A are included. Staff should not include the broader set of beneficiaries in the sectoral programme. *An example could be that 3 million people receive improved health services and that (of those 3 million), 50,000 people provide feedback on those services through citizen's score cards. The count against this indicator should be 50,000.*
Rationale	This indicator is a headcount measure of the reach of DFID-supported empowerment and accountability. It is not a measure of whether beneficiaries have been empowered since empowerment is a complex and broad concept.
Country office role	Country Office based staff to provide data on request to FCPD.
Data source	There are different possible sources:

	• DFID programme data Much data are likely to be available directly through the program. For example in Zambia the programme directly counts the numbers of extra people meeting with their MP. • Survey data In some cases the result of a programme may be measured through survey data (for example in Ethiopia). • Population data In some cases, an intervention may affect the full population or full adult population in a particular geographical area. In these cases, population data should be taken from the most reliable source (population wide sources include (a) the last population census (b) interim census population projection estimates, usually conducted by the national statistics office (c) electoral roll data)
Data included	
Formula / Data calculations	If a programme is solely funded by DFID, DFID should count all recipients of the programme. If the programme is joint funded (or DFID is supporting a government programme) the number of recipients is calculated as: Number of recipients/beneficiaries attributable to DFID = Total number of recipients/beneficiaries x (DFID expenditure / Total budget)
Worked example	See Methodological Summary
Most recent baseline	
Good Performance	**Target number of people supported to have choice and control over their own development and to hold decision-makers to account achieved (40 million)**
Return format	**Number of people supported to have choice and control over their own development and to hold decision-makers to account per year, disaggregated by sex wherever possible.**
Data dis-aggregation	• By sex if possible • **IMPORTANT**: To enable corporate reporting on the different types of initiatives disaggregate by programme type and have a clear description of the programme the related indicator and the tool (e.g. questionnaire, interviews, media) used to generate

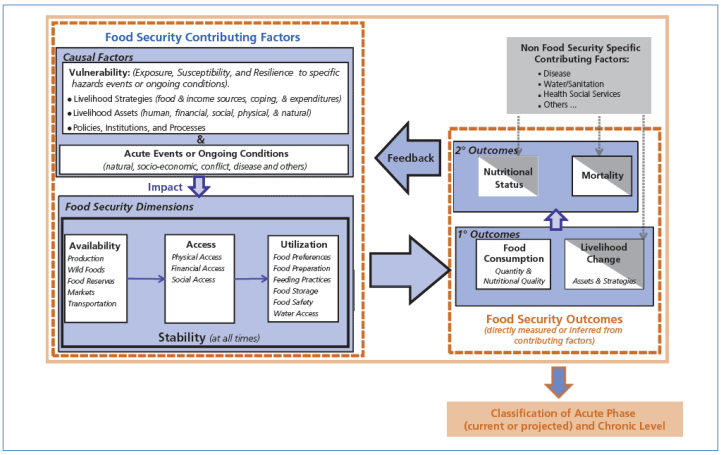
	the data
Data availability	
Time period/ lag	
Quality assurance measures	
Data issues	
Additional comments	

Indicator Description	**Number of people achieving food security through DFID support**
Version	Quest version DATE: 17/06/2013
Changes since last version	Changes in 05/03/2013 version are: • To reflect decision of Executive Management Committee that new programmes under the "resilience" heading can be counted if they measure food security outcomes appropriately as per the agreed methodology • To update and further clarify the note, without making changes to the content Changes in 17/06/2013 are: Addition of detail on which countries are reporting against this indicator and what their methodology looks like.
Type of Indicator	Peak Year
Technical Definition/ Methodological summary	**Note:** This note has been revised to explicitly exclude people supported to meet their food needs through humanitarian interventions, in recognition of the new indicator added to DFID Results Framework on "number of people reached with emergency food aid through DFID support". Countries providing humanitarian support to people to meet their food needs should reflect this under the emergency food aid indicator where it meets this definition. However, where programmes are not categorized as humanitarian assistance but deliver medium to long term gains through an orientation towards sustainable food security (broadly understood as per its internationally agreed definition [FAO 1990]) as strengthening availability, access, utilisation and stability of these three via one and/or more relevant activities in food and nutrition security relevant sectors), results from such programmes should be included under this headline indicator. The same goes for programmes working towards broader resilience, if their understanding of resilience includes food security and if improvements in the food security status of communities or households are measured as per the agreed methodology. Food security levels are internationally assessed through the Integrated Food Security Phase Classification (IPC). The IPC is an innovative tool for improving food security analysis, international status comparison, and decision-making. It is a standardised scale of food security phase

	classifications that integrates food security, nutrition and livelihood information into a clear statement about the food security status as well as the nature and severity of a crisis and implications for strategic response. The IPC is currently rolling out its enhanced version 2.0 which incorporates lessons learnt from the first 4 years and further refines the methodology. It also adds a chronic food insecurity scale to the improved scale measuring acute food insecurity. In future, two interlinked scales will also allow for improved insights into the correlation of acute and chronic food insecurity. **The DFID indicator includes** people supported to achieve food security through DFID's medium and long term food security programmes. This also includes programmes aiming at strengthening the resilience of communities or households if they aim to achieve food security and measure this outcome appropriately. The Integrated Food Security Phase Classification (**IPC**) is used to measure results where it is available and appropriate to define national and lower level food security. Its analysis usually contains detail on the level of food security at the sub national level, thus also allowing for the identification of food insecurity pockets in a nationally food secure country. The IPC describes the main phases of food security (here chronic) according to: (1) Low Food Insecurity (2) Moderate Food Insecurity (3) High Food Insecurity (4) Very High Food Insecurity These phases describing levels of chronic food insecurity can be correlated with five phases of acute food insecurity (the latter often more relevant for humanitarian assistance programmes). For DFID's measuring purposes, people will be considered food secure when they are no longer in categories 2-4 (5) and are assumed to have **moved into category 1**. This will usually be measured by the reduction in numbers of people categorized as being in phases 2-4 (5).

For minimum quality of the evidence base to classify food security as per the IPC, assessments will need to have converging evidence on: At least 1 piece of reliable evidence (direct or indirect) for any of the food security outcomes + at least 4 pieces of reliable evidence from different contributing factor and outcome elements

What counts as food security outcome and what is considered contributing factors, can be seen on the IPC Analytical Framework diagram on p.19 of the revised IPC Manual and copied below:



Outcomes and contributing factors are also represented in the IPC reference table providing an overview of the different phase classifications. For details of classification see the revised IPC Manual (Version 2.0), with the reference table on page 83: http://www.ipcinfo.org/. And off-line at the bottom of this note.

In countries or programmes where DFID supports people to achieve food security, but where the IPC is not used or is not available in the form/timing required for reporting, alternative **national measures of food security** will be used to report on numbers of people supported to achieve food security. For an overview of what can be considered as “IPC compatible”, please refer to the revised IPC Manual, p.12.

Status update 17/06/13: Countries currently reporting their results against this indicator methodology are Ethiopia, Bangladesh, South Sudan, Zimbabwe and Burma. With the IPC being at different stages of rollout, pending wider implementation and refined IPC-compatible

programme reporting, countries have applied the following methodologies:

	Programme/s	Methodology
Bangladesh	3 Livelihoods programmes, transferring assets as part of a wider package of support	No of people eating 3 meals per day / consuming 4+ food groups/
Ethiopia	National safety net programme	72% of the actual PSNP graduation figures, defined as "when, in the absence of receiving PSNP transfers, can meet food needs for all 12 months and able to withstand modest shocks", reflecting DFID's best knowledge of the extent to which graduation figures currently represent improved food security
Zimbabwe	Protracted relief programme	Supported households able to meet survival food requirements
Burma	- UNDP HDI - LIFT cash for work - Agricultural training	Number of households (and family members) with increase by at least 2 months of food secure months
South Sudan	Building Resilience through Asset Creation and Enhancement (BRACE)	Using IPC categories to report, using data from the Impact Evaluation Sample for the programme in intervention areas (households)

	DFID is aware that these methodologies are not representative of a common method of food security. This is why programmes will be moving towards a more joined-up IPC-compatible methodology in the coming months. Country offices should note the definition and source of food security used when reporting results. They should explain in detail how their figures are arrived at. If the IPC exists in their country and they choose not to use it, they should explain why they are opting out of the internationally agreed classification system. Country offices should also follow up on the ongoing rollout of IPC version 2.0, in particular the chronic food insecurity breakdown, and move to using IPC reporting when it becomes available later. **DFID attributed results** should be calculated based on DFID's funding share in overall funding for food security, in order to report on the number of people enabled to achieve food security *through DFID support.* This figure will be arrived at by reporting on the percentage share of DFID's funding in the overall funding (nationally or sub nationally, whichever is appropriate for the DFID programme). It is suggested that country offices report **annual** numbers of people moving into food security (i.e. additional numbers achieving food security) each year. As noted above, this will usually be measured by the reduction in numbers of people categorized as being in phases 2-4 (5). Countries carry out food security assessments either annually or biannually. Country offices should report numbers of assessments undertaken in comparable seasons of the year so as to account for seasonal migration. If significant unseasonal migration is observed as a result of shock, this should be noted as it might distort the result for sub national programmes. Please also indicate in the 'Comments' section of the results template **whether it is possible to produce a meaningful total for the four year period**, through adding annual numbers or on another basis, without double counting. We

	anticipate this will vary across country results. For example, if the same group of people is monitored across the four year period it may be possible to comment on the total numbers achieving food security by 2014/15 relative to the baseline (2010 or whenever the programme starts implementation).
Rationale	The IPC allows different agencies and stakeholders to use a common set of definitions and standards (a 'common currency') for classifying the severity of diverse crisis scenarios and their impact on human lives and livelihoods. It thus makes it easier to identify priorities, design more effective programmes, and facilitate the coordination of response efforts. The IPC draws on a number of conceptual frameworks and approaches for food security analysis (including the four pillars of access, availability, (nutritional) utilization and stability) and livelihoods analysis. Using the analysis templates ensures that classifications are based on analysis that is transparent, rigorous, and, to the greatest extent possible, evidence based. It also allows for sub national, regional and international comparisons, thus helping to direct funding where assistance is needed most. The IPC explicitly draws, but not exclusively, from nutrition indicators. This is critical from both a practical perspective (nutrition data is not always available and needs to be triangulated with other food security data), and a conceptual perspective (it is well accepted that nutrition is a late outcome indicator of food insecurity). While the IPC uses nutrition data, it also draws from indicators that provide triangulation and give earlier indications that crisis is imminent. Analysis of the various indicators can also inform more relevant and effective sectoral or multi-sectoral interventions to take place.
Country office role	Country offices or departments contributing to this result are expected to report on the numbers of people achieving food security according to IPC or compatible national definition of food security.

	They are also expected to calculate DFID's share of spend, and to apply this to the national level results to calculate DFID-attributed numbers of people achieving food security. **Attributed figures** should be reported to FCPD.
Data source	Countries for which the IPC is currently undertaken and available to inform reporting on food security are listed here: http://www.ipcinfo.org/ipcinfo-countries/en/ Country offices expecting to contribute to this indicator for which IPC data is not available are expected to use alternative national measures of food security and national reporting sources.
Reporting Organisation	For countries already fully participating in IPC see: http://www.ipcinfo.org/ipcinfo-countries/en/ Generally, the national governments lead in collection of data, usually jointly with, or, alternatively, the relevant UN agencies (Food and Agriculture Organisation (FAO), World Food Programme (WFP), UNICEF).
Data included	Country offices should identify all relevant funding sources which contribute towards achieving food security (e.g. through a long term food security, agricultural and other programmes). DFID's relevant contribution should be calculated as a percentage of total relevant funding to calculate DFID's funding share.
Data calculation	Where IPC is used: see webpage for country specific details. Some countries also have dedicated IPC representation, usually within the FAO national or regional offices. Where national measures of food security are used: country offices should provide details of the definition, source and any details for calculating numbers of people achieving food security when reporting results to FCPD during Nov 2011. Changes should be reported subsequently as they occur. See section above for calculation of DFID share for attribution
Worked example	Where IPC is used: see webpage for country specific details

	Where national measures of food security are used: All Horn of Africa emergency food security analysis and reporting, see also Famine Early Warning Systems Network reporting at http://www.fews.net/Pages/default.aspx
Most recent baseline	Most IPC based food security assessments are done biannually, usually after the rains. Where assessments are done biannually, the baseline and subsequent assessment measurements for this indicator should be based on the same seasons. We expect countries will report results relative to a 2010 baseline unless otherwise stated.
Good Performance *Should the public be looking for an increase/ decrease to demonstrate whether improvement has been achieved?*	Increase in food security levels, through reductions in numbers of people classed as food insecure (IPC phases 2-[4] 5), confirms success.
Return format *e.g. percentage, number, rate, cost per unit etc*	Number of persons achieving food security through DFID support per year, disaggregated by sex where possible. The IPC classifies households as the smallest unit of analysis. Accepted average household sizes should be used to break data down into individual persons.
Data disaggregation *What level of disaggregation can be provided/ is required? Sex? Age? Country? Organisation? Rural-urban? Other?*	Ideally results should be sex disaggregated, though this is not yet provided in IPC reporting. Where this is not possible, attempts should be made to report against a reliable average of male and female household members, while indicating the source of the breakdown. *Country offices using alternative national measures of food security to advise in November 2011 reporting whether sex disaggregation is possible.* *Results should be disaggregated by age where possible.* IPC: Geographical disaggregation typically available but varies by country according to distribution of food insecurity and sophistication of IPC system. E.g. typically district level, with identification of pockets of food insecurity below this level where IPC system is advanced.
Data availability	Where IPC is used, assessments are usually

.	updated twice per year (post short and post long rains assessment), at a minimum annually. Typical frequency for reporting on people achieving food security through other national measures/sources varies by country offices – but may be less than once yearly.
Time period/ lag	Where IPC is used, data is usually published 3-8 weeks after field assessments. Where national measures of food security are used, lags may be substantially longer and will vary according to country situation.
Quality assurance measures	Where IPC is used, collected data are analysed and consensus is reached among all involved stakeholders, based on maximum transparency. Where national measures of food security [or meeting food needs] are used, quality assurance measures will vary but will usually depend upon the standards of the national statistical office. DFID country offices are asked to report on definitions and sources of data used for reporting to allow central quality assurance (QA) to ensure all reporting is consistent with this methodology note.
Data issues	IPC is not currently available for all countries in which DFID supports people to achieve food security, but is in the pipeline for rollout in these countries by 2014. Hence there is a need to accept national definitions of food security in some cases. This reduces the consistency of reporting across the DFID headline results but makes optimal use of available data to ensure all relevant results are included in DFID reporting. Where IPC is used, data quality varies according to national capacity. But meta-analysis by IPC methodology does not.
Additional comments	The acute food insecurity scale below will be progressively complemented by the chronic scale, as this one is rolled out. Also, the improved methodology of version 2.0 of the IPC will be successively adopted as it is being rolled out in countries.
Country Office/Spending	

Department variation	
Bangladesh	Cumulative
Ethiopia	

IPC Area-based Chronic Food Insecurity Reference Table

To Guide Medium and Long-Term Strategic Objectives

		Level 1: Low Chronic Food Insecurity	Level 2: Moderate Chronic Food Insecurity	Level 3: High Chronic Food Insecurity	Level 4: Very High Chronic Food Insecurity
Level Description		• Considering years when the area does not experience Phase 3, 4, or 5 food insecurity, less than 10% of the HHs do not have adequate quantity and quality of food throughout the year; AND • The area has not had recurrent Acute Food Security Crises (or equivalent) in the past 10 years.	• Considering years when the area does not experience Phase 3, 4, or 5 food insecurity, 10 to 20% of the HHs do not have adequate quantity and quality of food throughout the year; OR • The area has had occasional Acute Food Security Crises (or equivalent).	• Considering years when the area does not experience Phase 3, 4, or 5 food insecurity, less than 20 to 40% of the HHs do not have adequate quantity and quality of food throughout the year; OR • The area has had frequent Acute Food Security Crises (or equivalent).	• Considering years when the area does not experience Phase 3, 4, or 5 food insecurity, more than 40% of the HHs do not have adequate quantity and quality of food throughout the year; OR • The area has had very frequent Acute Food Security Crises (or equivalent).
Outcomes	Food Consumption	**Quantity:** Lack of 2,100 kcal pp/day *FCS: poor/borderline: <10% hhs* *HHS: moderate/severe (scores 2–6): <10%* *HDDS: <4 food groups (out of 12 food groups)s: <10%* *HEA: <Livelihood Protection Deficit: <10%*	**Quantity:** Lack of 2,100 kcal pp/day and *FCS: poor/borderline: 10–20% hhs* *HHS: moderate/severe (scores 2–6): 10–20%* *HDDS: <4 food groups (out of 12 food groups): 10–20%* *HEA: <Livelihood Protection Deficit: 10–20%*	**Quantity:** Lack of 2,100 kcal pp/day *FCS: poor/borderline: 20–40% hhs* *HHS: moderate/severe (scores 2–6): 20–40%* *HDDS: <4 food group (out of 12 food groups): 20–40%* *HEA: <Livelihood Protection Deficit: 20–40%*	**Quantity:** Lack of 2,100 kcal pp/day *FCS: poor/borderline:>40% hhs* *HHS: moderate/severe (scores 2–6): >40%* *HDDS: <4 food groups (out of 12 food groups): >40%* *HEA: <Livelihood Protection Deficit: >40%*
	Livelihood Change	Graduate year-to-year erosion of Livelihood Assets (5 capitals) and Strategies: <10% HHs	Graduate year-to-year erosion of assets and strategies: 10 to 20% HHs	Graduate year-to-year erosion of assets and strategies: 20 to 40% HHs	Graduate year-to-year erosion of assets and strategies: >40% HHs
	Nutrition	**Stunting**: <20% **BMI <18.5**: < 10% ***Anaemia:*** *<5%* ***Vitamin A deficiency***: *<2%*	**Stunting**: 20–30% **BMI <18.5**: 10–20% ***Anaemia:*** *5–20%* ***Vitamin A deficiency***: *2%–10%*	**Stunting**: 30–40% **BMI <18.5**: 20-40% ***Anaemia:*** *20–40%* ***Vitamin A deficiency***: *10–20%*	**Stunting**: >40% **BMI <18.5**: > 40% ***Anaemia:*** *>40%* ***Vitamin A deficiency***: *> 20%*
	Recurrence of Acute Crises	None or 1 year over the past 10 years of Acute Phase 3, 4, or 5 for the area.	2 years over the last 10 years of Acute Phase 3, 4, or 5 for the area.	3–4 years over the last 10 years of Acute Phase 3, 4, or 5 for the area.	5–10 years over the last 10 years of Acute Phase 3, 4, or 5 for the area.
Contributing Factors	Hazards and Vulnerability	**Hazards:** Rare events **Assets:** Insufficient 5 capitals: <10% HHs. **Below National Poverty Line**: <10% **Strategies**: Unsustainable: <10% HHs **Policies, Institutions, and Processes (PIPs)**: poorly functioning and inequitable:<10% HHs	**Hazards:** Occasional events **Assets:** Insufficient 5 capitals: 10–20% HHs **Below National Poverty Line**: 10–20% **Strategies**: unsustainable: 10–20% HHs **PIPs**: poorly functioning and inequitable: 10–20% of HHs	**Hazards:** Frequent events **Assets:** Insufficient 5 capitals: 20–40% HHs **Below National Poverty Line**: 20–40% **Strategies**: unsustainable: 20–40% HHs **PIPs**: poorly functioning and inequitable: 20–40% of HHs	**Hazards:** Very frequent events **Assets:** Insufficient 5 capitals >40% HHs **Below National Poverty Line**: >40% **Strategies**: unsustainable: >40% hhs **PIPs**: poorly functioning, and inequitable: >40% of HHs
	Availability, Access, Utilization, Stability	Inadequate availability, access, utilization of food and/or there is inter-annual instability: <10% HHs	Inadequate availability, access, utilization of food and/or there is inter-annual instability: 10 to 20% HHs	Inadequate availability, access, utilization of food and/or there is inter-annual instability: 20 to 40% HHs	Inadequate availability, access, utilization of food and/or there is inter-annual instability: >40% HHs
	Water (improved sources)	<15 litres ppp day: <10% HHs	<15 litres ppp day: 10–20% HHs	<15 litres ppp day: 20–40% HHs	<15 litres ppp day: >40% HHs
General Response Objectives		Objectives should be cross-cutting and holistic, addressing the structural and underlying causes of chronic food insecurity, and should be tailored to the Type of Chronic Food Insecurity (on-going, seasonal, and/or episodic acute crises) and Causes (hazards and vulnerabilities). The higher the Level, the higher the geographic priority and level of investments required. Depending on the situation, more specific objectives can include: · Increase food systems productivity and resilience · Build and protect livelihood assets and strategies · Safety net programmes · Disaster risk reduction · Implement micronutrient enhancement programmes · Ensure policies and institutional structures are effective · Ensure adequate resources and political will through advocacy			

Short title	**Number of hectares where deforestation and degradation have been avoided through DFID support**
Version	17/06/2013
Indicator Type	Cumulative
Technical definition/ methodology	This indicator will aggregate: a. the number of hectares where deforestation has been avoided; b. the number of hectares where forest degradation has been avoided; c. the number of hectares where afforestation has taken place; and d. the number of hectares where reforestation has taken place. The indicator will be measured though the annual monitoring and evaluation of bilateral forestry programmes and multilateral programmes funded by the UK under the International Climate Fund (ICF). Deforestation, degradation, afforestation and reforestation of land are defined according to changes in forest type or land use, as categorised by the UN Food and Agriculture Organisation (FAO). These changes can be recorded by programme managers using the accompanying Excel template. The categorisations of forest types, land uses and degradation levels can be found at: http://www.fao.org/tc/exact/user-guides/en/ Programme managers should proceed in three stages: **Step 1**: Establish the counterfactual: what is the expected land use in the absence of the intervention? **Step 2:** Estimate the impact of the intervention: what is the expected land use after the intervention? **Step 3**: Calculate the difference between counterfactual and intervention. Because of the risks of leakage[1] and non-permanence[2], programme managers should in the first instance identify: (i) the geographical scope of programme (size of programme area) and (ii) the time-frame over which they expect the programme to have an impact. **Step 1: Establishing the Counterfactual** This step involves establishing the expected land use in the absence of the intervention. The first stage is to establish the current size and type of forested area affected by the intervention. Key data sources here are the national and

[1] Simply displacing deforestation into other areas.
[2] The reoccurrence of deforestation as soon as the programme ends.

	sub-national data on forest coverage in the Food and Agriculture Organisation (FAO)'s Global Forest Resources Assessment (FRA)[3]. An alternative would be to conduct a baseline specifically for the intervention. Forest type should be categorised according to the categories in the excel sheet. The programme manager should then estimate the expected changes in land use that would result in the absence of the programme, accounting for other deforestation pressures such as population growth, international timber prices, prices of substitutes, etc. • **Deforestation**: the number of hectares (within project area) where wood will be harvested in absence of intervention (in the reporting year) • **Degradation**: the number of hectares (within project area) where forest land will be degraded without the intervention (in reporting year) • **Afforestation**: the number of hectares (within project area) where forests will be planted, on previously unforested land, without the intervention (in reporting year) • **Reforestation:** the number of hectares (within project area) where forests will be replanted, on previously forested land, without the intervention (in reporting year) The counterfactual involves identifying the most likely economic activity on the land in the absence of an intervention. For example the programme manager may want to consider: • For natural forest land, is there pressure from agricultural expansion to convert it to cropland? • For degraded land, is there pressure from palm oil expansion to convert it into a palm oil plantation? • For deforested land, are there plans to reforest it or construct buildings to settle permanently? In the absence of local information, national rates of deforestation can be used to estimate the counterfactual land use. However, it is important to adapt these national rates if rates of land-use change are occurring at different speeds throughout the country. For example, some regions are experiencing fast deforestation due to easy access while others are still remote and therefore intact, e.g. inner versus outer Amazon regions. **Step 2: Estimating the impact of the intervention**

[3] See http://www.fao.org/forestry/fra/fra2010/en/. This is produced every 5 years through national reports. Contact details are available of officers who compiled the information and who may have more disaggregated data for their countries (http://www.fao.org/forestry/fra/67090/en/idn/).

	This step is about the change in land use after the intervention. • **Deforestation**: the number of hectares (within project area) where wood was harvested (in the reporting year)) • **Degradation**: the number of hectares (within project area) where forest land was degraded (in reporting year) • **Afforestation**: the number of hectares (within project area) where forests were planted (in reporting year) • **Reforestation**: the number of hectares (within project area) where forests were replanted (in reporting year) **Step 3: Difference between counterfactual and actual** To calculate the total number of hectares figure, the programme managers should do the following calculation: (Expected ha deforested under counterfactual) – (Actual ha deforested) + (Expected ha degraded under counterfactual) – (Actual ha degraded) + (Actual ha afforested) – (Expected ha afforested under counterfactual) + (Actual ha reforested) – (Expected ha reforested under counterfactual) Key programmes which are expected to report against this indicator (and in turn be aggregated in order to calculate the headline 'total hectares' figure) include: • Forestry and Climate Change (DFID Climate and Environment Department, CED) • Forests, Governance, Markets and Climate (DFID CED) • Nepal Multi-Stakeholder Forestry Programme (DFID Nepal) • Reducing Deforestation in the Brazilian Cerrado (DEFRA) • South Asia Alliance for Climate Resilient Landscapes and Livelihoods (DFID Asia Regional Office) • Forests Investment Programme (multilateral programme managed by the World Bank) • Papua Comprehensive Programme on Spatial Planning and Low Carbon Development (DFID Indonesia) These programmes have been selected on the basis that they have already included some form of 'number of hectares' target in their Business Case or Strategic Case. **Additional contributions to this result/indicator from other programmes not listed here, or developed in the future, will subsequently be added to the list.** A simplified version of the reporting format from the UN FAO Carbon Balance tool (FAO EX ACT[4]) will be used as a template for programme data collection[5]. This reporting format will also collect the data needed to

[4] http://www.fao.org/tc/exact/ex-act-tool/en/

	calculate greenhouse gas emissions and the value of ecosystem services (reported under separate indicators). Programme managers will identify the most appropriate source of data, as there may be reliable data provided by national bodies or other international bodies. In some cases where interventions are location specific (in particular under Forests and Climate Change), the data will be collected from project level surveys. In other cases (for example, the Brazilian Cerrado programme and the South Asia Alliance for Climate Resilient Landscapes and Livelihoods) data from national forestry inventories will be used alongside programme survey data. DFID's corporate results framework only relates to DFID spend, not the wider ICF. Where a project or programme is co-funded with other departments, the number of hectares avoided will be attributed to DFID on a pro-rata basis according to contribution to specific programmes. However, as this indicator will also be used for ICF reporting, where it is possible to measure results from DECC and/or DEFRA reporting this should also be noted, so as to avoid a repeat exercise to generate the required data for the ICF Board. Some programmes will be able to report against multiple ICF indicators. For example, the Forest Investment Programme will also be expected to report on the indicator: 'millions of tons of CO2 emissions reduced as a result of reduced deforestation and degradation'. The CO2 figure is based on a hectares calculation, which will be used to inform this indicator. For multilateral programmes (e.g. the Forests Investment Programme) it will also be necessary to adjust the total number of hectares saved on a pro-rata basis and account for the ICF's contribution to the programme. It will be important to be clear about the funding channel through which results are secured, as results generated through multilateral funding may need to be reported slightly differently (e.g. using the multilateral fund's indicators and methodologies where these are compatible with, but not necessarily identical to, DFID's indicator). **Methodological points to note:** 1. This indicator does not measure changes in the international rate of deforestation and degradation as measured every five years by the FAO. UK spending is not thought to be sufficiently large that changes in international rates could be **directly attributed** to UK programmes. The 'number of hectares where deforestation and degradation has been avoided' is **designed to express UK contribution towards decreasing international trends.** 2. A hectare of avoided deforestation, of afforestation, or of avoided degradation is treated with equal weight in the indicator calculation. Therefore this indicator **measures the absolute number of hectares of land** in which our programmes have been engaged. The impact of

	changes in forest quality will be measured within the greenhouse gas emissions and value of ecosystems indicators. 3. This indicator is reporting a gross figure. It does not directly measure leakage (for example, shutting down illegal logging in one region or country could simply displace companies to another area with weaker governance structures in place). More work will be done to ensure that programmes **measure leakage** through complementary programme level indicators as part of programme monitoring and evaluation. 4. Expected results (the target number of hectares that will be saved) will be calculated as the sum of the expected results from each of the contributing programmes. These should be in line with the economic assessment section of the programme Business Case. It may not be possible to estimate the target hectares saved for the whole ICF until all Business Cases have been completed and all programmes have established a baseline. 5. To date there is no standard methodology for modelling future rates of deforestation/degradation, and there are serious data limitations in many developing countries. Subsequently, a consistent methodology is being refined by CED and programmes will contribute to this process during the next Results Commission starting in February. Generally, programmes are expected to follow the methodology outlined above, but if this is not suited to their individual circumstances, they will devise an alternative methodology that CED will quality assure and standardise to contribute to the indicator. 6. Once the methodology has been refined and tested, CED will provide a worked example for successful reporting against this indicator.
Rationale	The aims of the UK's forest finance are to reduce greenhouse gas emissions from the forest sector, preserve bio-diversity and reduce poverty by reducing deforestation and forest degradation. This indicator will provide a broad measure of success against the headline forestry outcome of reduced deforestation and degradation of the world's forest land. Programme data will be used as opposed to international forestry data (available from the UN FAO) for the following reasons: • FAO data is only reported once every five years (though in the future this will be every three years) which is not thought to be sufficiently frequent for DFID reporting purposes; • As discussed in 'technical definition/methodology' section above, UK spending is not thought to be sufficiently large that changes in international rates could be reasonably **attributed** to UK programmes. It is reasonable to expect that **international rates of deforestation**

	could go up as well as down (for example, due to natural disasters or increases in productive industries using forest land). However, CED and cross-Whitehall colleagues plan to monitor international forestry trends reported by the FAO in order to triangulate project monitoring and evaluation data. Defra is also looking at ways in which satellite data could be used to measure changes in land use.
County office role	As part of annual programme reporting, country offices will be required to quality assure information provided.
Data source	Programme annual monitoring and evaluation data. For example, for the above identified programmes: • *Forestry and Climate Change*: To be finalised as part of the programme Business Case but likely to be based on estimates of avoided deforestation and degradation in the specific (localised) interventions made by the delivery body. Deforestation and degradation gains made through private finance leverage should be calculated pro-rata (for example, if 100 hectares saved, and private funders put in 75% of the finance, then HMG can claim to have saved 25 hectares). • *Nepal Multi-Stakeholder Forestry Programme; Reducing Deforestation in the Brazilian Cerrado; South Asia Alliance for Climate Resilient Landscapes and Livelihoods*: Changes in the amount of forest land (FAO definition and methodology) based on country forestry inventories where possible, and survey data collected from programme areas. Data can also be triangulated in some countries using information from the World Resources Institute. • *Forests, Governance, Markets and Climate*: More work to be done to finalise methodology but data likely to be drawn from country forestry inventories, timber trade, forestry revenues and information on trends in illegal logging. • *Forests Investment Programme (multilateral):* Calculated by the World Bank as part of programme reporting, based on national forestry inventories.
Data included	Programme annual monitoring and evaluation data from relevant programmes, including those identified above. Some of these programmes (notably Forests and Climate Change) are still under development. Assuming that all pipeline programmes are approved, the seven programmes identified above will have a total **forestry** spend of £377 million over the ICF period (2011/12 – 2014/15). This represents 65% of the total programmed and pipeline ICF forestry spending[6]. The seven programmes that have been identified to feed into this

[6] Based on total forestry ICF pipeline and programmed spend, including £131 million forestry contribution to The Green Fund.

	indicator all directly tackle the drivers of deforestation and degradation in specific countries. Other forestry programmes that build national institutional capacity or develop knowledge and tools for forestry have not been included here because it is difficult to measure their impact on the number of hectares saved from deforestation and degradation.
Data calculation	Aggregation of the total number of hectares of forest land where deforestation and degradation have been avoided in the seven selected programmes (and any other relevant ICF programmes developed).
Most recent baseline	As part of programme monitoring and evaluation frameworks, programme officers will be required to submit: (i) a baseline level of deforestation, afforestation or forest degradation in the programme area or country where relevant; and (ii) an estimate of the 'business as usual' (or counterfactual) scenario that would occur if the programme did not take place. The counterfactual involves identifying the most likely outcome and economic activity on the land in the absence of an intervention. This information should be consistent with the economic options appraisal in the Business Case for the relevant programmes.
Good performance	The public should be looking to decrease the total hectares of forest land deforested and/or degraded, while increasing the total hectares reforested or afforested.
Return format	Number.
Data disaggregation	A total ICF figure will be reported but it will also be possible to report the number of hectares where deforestation and degradation has been avoided by country.
Data availability	Annual monitoring and evaluation reporting from relevant programmes (at a minimum the six identified above). See data issues section below.
Time period/lag	Programme managers should report the number of hectares where deforestation and degradation were avoided in the preceding year. Results will be compared to international changes in the area of forest land in intervention countries, as reported by the UN FAO on a five yearly basis.
Quality assurance measures	We anticipate three layers of QA: country offices, CED and FCPD. Within country offices there may need to be consultation with other donors working in the forestry sector.
Data issues	More work needs to be undertaken at a programme level in order to identify the specific methodologies that will be used to calculate the baseline and counterfactual scenario in each intervention country. In particular CED will work to develop the reporting methodology under the Forests and Climate Change programme as part of the Business Case process. This programme at £290 million (£261 million is forestry spend) comprises 45% of the programmed and pipeline **forestry** spend under the ICF.

	Additional thought will be given to the methodology behind the hectares indicator for the Forests, Governance, Markets and Climate programme as this programme will have global rather than location specific impacts. Some countries have better land use monitoring systems and forestry inventories in place than others (for example, Brazil is likely to be fairly sophisticated whereas the Democratic Republic of Congo will have relatively basic systems). **Data quality will therefore be variable**. All countries report to the FAO Global Forests Resources Assessment[7] in a standardised format. Data on the number of hectares classed as 'forest land' (FAO definition) should therefore be obtainable from national government sources. Again, data quality will vary from country to country.
Additional comments	CED will undertake more work to identify a basket of indicators under each programme that will address some of the limitations of this headline indicator. In particular, programmes should seek to identify: • Changes in the quality of forest land, as reflected by biodiversity, ecosystem services and CO2 sequestration levels. • Measures of leakage – i.e. where deforestation and degradation have been avoided in intervention areas, has deforestation and degradation increased elsewhere? • Measures of permanence – will the reported results be undermined by an increase in deforestation at a later point in time? CED is also monitoring international trends in deforestation rates, which are reported every five years by the UN FAO Forests Resources Assessment. **In the future, we would like to improve this indicator by:** • Using satellite data to accurately measure changes in forest land and quality of forest land in intervention countries. Satellite data will also help us identify leakage. • Working with international experts such as the FAO, World Bank Forests Investment Programme staff, World Resources Institute, and the Government of Norway to develop more sophisticated methodologies and improved national forestry inventories.
Lead official	Matthew Sellar (Climate and Environment Department)

[7] http://www.fao.org/forestry/fra/en/

Indicator description	**Number of countries supported by DFID in freer & fairer elections** **The information from this indicator is also used to provide information for "Number of people who vote in elections supported by DFID" (for which there is no target).**
Version	QUEST version 4.13 DATE 12/07/2013 Quest version 4.12 DATE: 05/03/2013 Quest version 4.11 DATE: 14/02/2013
Changes since last version	Changes in the 12/07/2013 version are: • To clarify that results not from bilateral programming are being collected but presented in the main statistical tables • To clarify that the separate rounds/run-offs of particular elections should be counted separately. Changes in 05/03/2013 version are: • To reflect decision of Executive Management Committee that in addition to bilateral programming, results from funds for specific programmes or programme elements by other bodies should be included Changes in 14/02/2013 version have been made to: • Clarify the requirements for defining "freer and fairer" • What country offices should return
Type of Indicator	Cumulative (number of unique electoral events and unique visits to the polling booth)
Technical Definition / Methodological summary	This indicator refers to the total number of electoral events and the total number of people people who vote in elections related to national parliament, presidential, specific referendums or local elections in DFID partner countries. Note that in some cases an electoral event (such as a Presidential Election) may have multiple rounds or run-offs. In this case we report a single electoral event (the one with most voters) and do not count separately each round. If the following two conditions are both met then country offices should report on this

	indicator. The first condition is that DFID supports an election in some form (e.g. supporting the updating of a voters registers, police training, observer training, funding observers, support to the election commission. There is no minimum level of spending required to meet the first condition since this does not necessarily relate to the impact of the intervention. . The support will most commonly be delivered as part of a DFID Country Office programme. However, where DFID has provided funds to another party specifically for a programme or programme element designed to support a freer and fairer election (according to the activities above) then those results should also be recorded (and the details of the arrangement reported). Where support is not delivered through a Country Office these results will not be reported in the main statistical tables but elsewhere in the DFID Annual Report. Country offices are required to document the nature of their support. See 'Country office role' for more detail. There are two ways to meet the second condition, which relates to DFID's commitment to "freer and fairer". The second condition is met if the election is assessed by credible (national or international) observer missions as: • Credible, • Non-violent and • Reflecting the will of the people Alternatively, the second condition would also be met if credible observer missions specifically reported that the election was higher quality than the previous election of the same type (in terms of credibility, nonviolence and reflecting the will of the people).[1] For operational purposes Country Offices are

[1] Note that election observers do not commonly comment on the direct comparison between a given election and the previous election of the same type.

	asked to report all DFID-supported elections together with (links to) their recommendations and evidence on whether the second criterion is met. See 'Country office role' for more detail. Complexity arises where there is more than one election event over the SR period. **The specific concept we are counting is unique electoral events and unique visits to the polling booth**. So, for example, the election turn-out for a 2012 election can be added to the turn-out a 2014 election, since these would be unique events. However if local and national elections are staged on the same date, such that citizens can vote in both with a single visit to the polling booth then turn-out for the local and national elections would not be added. Rather, the number of unique people visiting the polling station on the day would be reported. Similarly, multiple rounds or runoffs as part of the same event (such as a Presidential Election) are not classified as unique events (even when they held on different days). Data will be provided by DFID country office Governance Advisers (likely from election commissions/bodies).
Rationale	This indicator gives a sense of scale of reach of DFID's electoral support. Of course there is no measure of the quality of the support or outcome.
Country office role	Provision to FCPD of the election type and final voter numbers (by sex), when available, and of expected results over the period. The country office Results Advisor may therefore need to liaise with the Governance Advisor. The country office should report results for elections where at least the first condition (DFID support) is met. A QUEST link to a short (100 word) summary of the nature of DFID's support (meeting the

	first condition) should be included in the 'Provide workings field'. This will meet the information requirements of Directors. If the country office feels that the second condition (freer and fairer) is not met this should be indicated through marking the 'Methodology Followed' field as 'No'. In any event, QUEST links to the evidence and recommendation on the question of 'freer and fairer' should be provided in the 'Provide workings' field. This additional information can be most easily recorded in the template provided at the DRF Teamsite Country office advisers will also check any summary note produced by FCPD to ensure country by country data are accurate.
Data source	When measuring the number of people who voted: - Where electoral management body (EMB) reports are cited as viable, by credible observer missions, cite the turnout data provided by the EMB Otherwise, DFID will rely on next best source. Suggested sources are below, but we recognise that this can vary according to context: - If electoral management body (EMB) reports are cited as non-viable, by credible observer missions, use turnout estimates provided by the credible observer missions themselves; - If necessary and where available, draw from indicative data that may be available from processes such as exit polling and parallel vote tabulation; - In a worst case scenario, provide estimates from the UK mission It is possible that data on the total number of voters will be available within days of the election, but verified, sex disaggregated data may take longer.
Reporting Organisation	As above.
Data included	No. of people who vote in government elections in those countries where DFID is

	supporting electoral processes (by sex).
Formula / Data calculation	Aggregation of all voters across all constituencies (or councils etc.). For non-trivial cases – with more than one election day over the SR period - the concept is unique visits to the polling booth
Worked example	In country A general and local elections are held on the same day. Each of 3m voter receives two ballot papers at the polling station. The result we are counting is the 3m people supported on the day, not the 6m votes cast. In country B there is a general election in 2012 (turnout 2m) and again in 2014 (turnout 3m). DFID support both. The result we report is 5m unique trips to the polling station that we have supported (although some of these trips might have been made by the same person on different occasions).
Most recent baseline	N/A – 2011 is first calculation. Data from previous elections could be used for comparison.
Good Performance	N/A. Different countries hold different elections in different years. An increase or decrease in annual reporting figures is no reflection on DFID performance.
Return format	**Number. of people who vote in elections supported by DFID** for each relevant year, disaggregated by sex where possible
Data dis-aggregation	Potential for disaggregation by sex and by country.
Data availability	After each election, numbers of those who voted are typically available from partner country National Election Commissions. To note, National Assembly elections are normally held every few years, typically every 4 or 5 years, according to a country's constitution. Local elections or referenda may be held at different times.
Time period/ lag	Varies depending on the source used (see "data source"). Note that often official data may not be available, depending on context.
Quality assurance measures	Not applicable
Data issues	See above; data may not always be up to international standards, depending on context.
Additional comments	• This indicator is not – and cannot be - fully attributable to DFID but gives a sense of

	impact of one area of governance support activity undertaken by DFID. • Note that annual figures will vary according to how many DFID partner countries are holding elections in any given year. • Given variability of data availability by country, reportees should state whether data are from official partner government figures or a DFID estimate. • Country offices must ensure that no duplication of voters is made, i.e. that where we have supported one person to make one trip a polling station, they are not counted twice because they receive two ballot papers

Indicator description	**Number of people reached with emergency food assistance through DFID support**
Indicator Type	Peak Year (or cumulative if double-counting can be avoided)
Methodological summary	Food assistance is the biggest spend for DFID in humanitarian emergencies (both sudden onset and chronic). It will be used as a proxy for DFID's funding reach. It allows us to capture the coverage of our funding across emergencies to tell a global story about the scale of our emergency work. It does not allow us to talk about impact. While it will under-represent the number of people we reach with all of our funding, trying to get to a total number for emergency assistance across services is difficult as double- and triple-counting would be common with some beneficiaries receiving food, shelter and WASH services together. Only food assistance funded out of DFID's humanitarian budgets will be included – regular development budget funded food security programmes will not be included. Reaching more people in a world of growing needs is certainly the objective for now. However, over time, with increased resilience programming in country offices (funded out of development budgets) as well as more sustainable solutions, one would hope that the need for humanitarian food assistance will go down. As data at proposal stage on numbers of beneficiaries are unreliable (especially in sudden onset disasters), we will use ex-post data from monthly results reports, mid-year reviews and project completion reports. To avoid double-counting, we will need to ask partners for information on how many people were reached with food assistance for how long. There are four options: one month, two months, three months or six months. We will not record food assistance programmes of less than one month. In exceptional circumstances, humanitarian programmes could also provide food assistance for longer than six months. Supplementary feeding programmes funded out of humanitarian budget lines should be included in this indicator as they will not be captured by the DFID nutrition indicator (which excludes humanitarian). Cash transfer programmes with the purpose of improving food security and funded out of humanitarian budget lines should also be included in this indicator. It is not necessary to know on what beneficiaries spent the cash. The only criterion for inclusion is that the cash transfer programme's purpose is food security. **Cash transfer programmes for improving food security should NOT also be double counted in the cash transfers indicator.**
Rationale	

Country Office Role	
Data source	Monthly partner results reporting Mid-Year Reviews and Project Completion Reports
Data included	N/A
Data calculations	i) Country offices need to select and state the single humanitarian intervention with the highest total number of beneficiaries reached with food assistance for at least one month for the reporting year. They should provide a table with the total number of beneficiaries in the first row, and where possible disaggregate this total into the number of beneficiaries reached with food assistance for at least one month but less than two months, at least two months but less than three months, at least three months but less than six months, and at least six months. Food assistance given for less than one month will not be counted. ii) Regional spending departments should provide separate tables for each country supported, following the guidance outlined in i) above. They should also, after liaising with each country office, state whether any interventions reported for the region overlap with the interventions reported by individual country offices and whether any adjustment has been made in figures reported to account for this overlap. iii) CHASE will provide the numbers of beneficiaries reached for responses led by CHASE following the guidance outlined in ii) above. iv) To reiterate, to avoid double-counting beneficiaries who may benefit from multiple food assistance interventions provided in a country in a given year, only ONE humanitarian intervention per country per year should be reported when reporting the number of beneficiaries from humanitarian food assistance. v) The total number of beneficiaries in all countries in the reporting year will be produced by adding the total reported number of beneficiaries from each country in the reporting year to the total reported numbers of beneficiaries from each region and CHASE, after adjusting for double-counting between country offices and regional spending departments / CHASE. vi) When reporting over the whole reporting period, only the highest number of beneficiaries IN ONE YEAR will be included when adding results across countries, to avoid double counting (Unless exceptionally there was a humanitarian problem in a completely different part of the country where we're confident there would be minimal population overlap with an area that had previously received humanitarian food assistance).

Worked example	
Most recent baseline	
Good performance	Not applicable – event driven
Return Format	Number of people reached with emergency food assistance through DFID support per year
Data dis-aggregation	By sex, where possible
Data availability	To be determined. DFID is currently updating its guidance to partners on results reporting and this will include a requirement to provide information on their reporting methodology and data availability from now on.
Time period/ lag	Up to 1 year.
Quality assurance measures	The numbers of beneficiaries of food assistance reported by partner organisations can be compared against funding provided.
Data issues	<u>Strengths and weaknesses</u> This indicator has been substantially revised to address the crucial issue of double- and triple-counting. In the absence of a single survey which can disaggregate humanitarian food assistance, WASH, shelter, protection and health services, policy leads have suggested food assistance as a proxy. This provides an under-count but is preferable to triple-counting food assistance, WASH, and shelter. The original indicator referenced only number of people reached, with no reference to the duration of food aid. Both numbers of beneficiaries and duration of food aid are important to monitor, but a decision has been made to report only the number of people reached at this level of the framework and report months of food aid provided at a lower level. The practice of reporting disaggregated figures by one, two, three and six months, as well as the total number of beneficiaries, will allow country offices and departments to gather and submit this data once. No adjustment has been made for humanitarian crises which generate the highest number of beneficiaries over multiple years.
Additional comments	N/A

Indicator description	**Number of additional women using modern methods of family planning through DFID support**
Version	Quest version 2.1 DATE: 18/06/2013 This replaces version 1.9 of the note (used for reporting rounds up to and including September 2012).
Changes since last version	Substantial changes in 15/02/2013 version to make the note clearer and clarify that: • there are exceptions to the main methodology including use of base and intervention scenarios, programme information where country data are unavailable or unreliable and regional information where appropriate. • country offices do not need to return actual information where no new survey data are available Minor changes in 18/6/13 version to change the type of indicator to cumulative and make suitable for publication.
Type of indicator	Variable
Methodological summary	The indicator measures the number of <u>additional</u> users of modern methods of family planning through DFID support. Measuring additional users is difficult because women change and stop their methods of contraception frequently. Data from family planning service providers is often unreliable or unavailable. This is particularly the case for social marketing programmes. A reasonable proxy for the number of additional users in each country is the difference between the absolute number of women using family planning between the baseline and the reporting period. This will not be the same as the number of <u>new</u> users since they will be different cohorts of women. The absolute number of women using family planning can be measured by applying the Contraceptive Prevalence Rate (measured from household surveys) to population estimates. For most countries, DFID's support should be calculated by taking a share of the additional users in the country, based on DFID's funding share. <u>Exceptions</u> 1) **Geographic regions.** If DFID is only supporting a specific geographical region within a country, the same method should be used. In this case the CPR should be applied to the population estimates in that specific geographical region. 2) **Use of base and intervention scenarios.** Some countries may choose to assume a base scenario and an intervention scenario and forecast the number of additional users as the difference between the two. This would be appropriate when particular shocks are expected in the country which will affect the likely users of family planning. In this case the additional users of family planning would be measured by comparing the actual number of users at a point in time with the expected base scenario (or counterfactual). 3) **Use of programme information.** In some countries, especially post-conflict

	countries, population based data are unavailable or unreliable. In these circumstances, and when the main DFID financing modality for family planning is direct funding to service delivery programmes, it is more appropriate to estimate the annual number of new users serviced through these programmes (for example number of new users collected by a non-state service provider). Exceptions should be agreed with Human Development Department. Country offices are not required to submit numbers of results achieved every year. Because the methodology relies on household surveys which are only usually conducted every 3-5 years, DFID has contracted the Guttmacher Institute to calculate an aggregate annual estimate across all 28 DFID focus countries. This will provide estimates of progress for publication in the DFID Annual Report until sufficient country household survey information is available to generate reliable estimates. **Countries should still submit estimates of progress when new survey data become available.** These are important for triangulation with the Guttmacher estimates. Countries should also update their forecasts when DFID's share of funding changes.
Rationale	Internationally, progress towards family planning goals is now measured by tracking the number of additional users of family planning. The 2010 '*handtohand'* campaign, and the global movement, FP 2020, are using the number of additional users as the indicator to measure progress in family planning interventions.
Country Office Role	Country offices with family planning programmes, General Budget Support or Sector Budget Support should provide through the DFID Results Framework data collection system: • forecasts of additional users by 2014/15 • estimates of achieved results when household survey data become available. Calculations, data sources and assumptions should be clearly explained in a supporting spreadsheet. This should be saved in Quest, and the Quest number added to the DRF return.
Data sources	Data on the Contraceptive Prevalence Rate (CPR) are available from household surveys, notably the Demographic and Health Surveys, Multiple Indicator Cluster Surveys and contraceptive prevalence surveys. These are usually available only every 3-5 years. Population data are available from official national population estimates. If these are not available, UN Population Division estimates can be used http://esa.un.org/wpp/unpp/Panel_profiles.htm Where appropriate, data on new users can be sourced from programme monitoring systems. **Source for funding figures** Information on DFID funding allocation is available from approved Business Cases. Information on the total government health budget should be available from the Annual Progress Report of the Health Sector or directly from the Ministry of Health. For estimates of progress, actual expenditure should be used rather than planned expenditures, wherever possible.

Reporting organisation	DFID
Data included	**The Contraceptive Prevalence Rate (CPR)** This is the percentage of women of reproductive age (15-49) who are practising, or whose partners are practising, a modern method of contraception. Modern methods of contraception are: male and female condoms, male and female sterilization, hormonal contraceptives (oral pills, injectables and implants), intrauterine devices, diaphragms and spermicides. **Total number of women of reproductive age** Population estimates of women of reproductive age (age 15-49) are required for the baseline year (see below). Actuals for later years are required as they become available. Forecasts are required for 2014/15. Note that the age group and marital status must be consistent between the CPR and the population estimates. Ideally, where data are available, the calculations would be based on the total number of women of reproductive age (whether married or unmarried). Household surveys sometimes report the CPR only for married women or women 'in union'. If this is the case, the population estimates for the number of married women aged 15-49 are likely to be the most appropriate. **DFID's contribution to the country's budget** Contributions for the total Health budget or the Reproductive, Maternal and Neonatal Health budget are needed, depending on the attribution method used (see below). These should be for the most recent year. **The country's overall planning budget** This should either be the total Health budget or the Reproductive, Maternal and Neonatal Health budget, depending on the DFID contribution figures used. **Programme data on new users** Where appropriate, the number of new users can be measured from programme monitoring systems.
Data calculations	For most countries The indicator measures the total additional users of modern methods of family planning. This is calculated from the number of users at the reporting period (or forecasting period) less the number of users at the baseline. (This is different from the indicator 'number of births attended by a skilled professional' which measures the cumulative number of births attended by skilled professional, counting repeated events (births) over the 4 years.) **The baseline.** The baseline year will vary across countries depending on family planning programmes that are operating in country. The baseline number of women using modern methods of family planning should be calculated by multiplying the contraceptive prevalence rate (CPR) in the baseline year by the number of women of reproductive age in the same year. Since household surveys are not conducted every year, it is likely that the CPR for the baseline will need to be estimated by projecting forward to the baseline from

	the most recent previous survey. This should be done based on past trends or another suitable assumption. **The forecast.** The forecast of additional women using modern methods of family planning should be calculated from the expected number of women using family planning in 2014/15 less the baseline number. The expected number in 2014/15 should be calculated by multiplying the expected CPR in 2014/15 by the expected number of women of reproductive age in 2014/15. The expected CPR may be available from the country's own forecasts or can be predicted from past trends. Alternatively the CPR from the most recent household survey may be the most appropriate assumption for the likely CPR in 2014/15. Population forecasts may be available from national statistics offices or UN Population Division. If not, they should be forecast based on previous trends. Table 1 illustrates how the forecast is calculated. Forecasts should be updated when the DFID attribution rate changes (see below) or when new CPR estimates become available from household surveys. **Estimates of actual progress.** These should be provided when new CPR estimates become available from household survey data. They should be calculated by multiplying the latest CPR estimate by the number of women of reproductive age in the same time period, less the baseline estimate. See table 2**.** Exceptions **1) Geographic regions**. If DFID is only supporting a specific geographical region within a country, the same method should be used. In this case the CPR should be applied to the population estimates in that specific geographical region. **2) Use of base and intervention scenarios.** Some countries may choose to assume a base scenario and an intervention scenario and forecast the number of additional users as the difference between the two. This would be appropriate when particular shocks are expected in the country which will affect the likely users of family planning, such as internal or external conflicts, stock-outs of family planning commodities or very rapid population growth. In this case a base scenario (or counterfactual) should be estimated using the expected future CPR with no family planning interventions. Then the additional users of family planning would be measured by comparing the actual number of users at a point in time with the expected base scenario at the same point in time. Justifications for assumptions, with evidence, should be given. This methodology is illustrated in tables 3 and 4. **3) Use of programme information.** In some countries, especially post-conflict countries, population based data are unavailable or unreliable. In these circumstances, and when the main DFID financing modality for family planning is direct funding to service delivery programmes, it is more appropriate to estimate the annual number of new users serviced through these programmes (for example number of new users collected by a non-state service provider). Country offices are advised to work with implementers to estimate the expected number of new users served through these programmes by 2015, and the actual number of new users served annually. This would not be possible for social marketing programmes.

Exceptions should be agreed with Human Development Department.

DFID attribution

There are different ways of estimating DFID's attribution depending on the type of family planning programme operating in country. In most cases taking a share of the country's progress based on DFID's share of funding will be appropriate. So, if Country X had 500,000 more couples using modern methods between the baseline in 2009/10 and 2012/13, and DFID funds accounted for 10% of contraceptive services in Country X in that period, then DFID would be responsible for 50,000 couples adopting modern methods.

DFID's share of funding could either be its share of funding to Reproductive, Maternal and Neonatal Health programmes or to the health sector as a whole. Where DFID provides general budget support or sector budget support, it is more appropriate to take the share of the health budget.

DFID's attribution will vary from year to year as DFID or partner government spending changes. The funding share should be calculated for each year by dividing DFID's funding in a particular year by the country's expenditure (or budget if actual expenditure is not known) in the same year. This methodology is illustrated in table 5.

For further guidance please see the document entitled 'General guidance for Completion of the Results Template – including approach to attribution and contribution'. This is available on the DRF teamsite. http://teamsite/sites/fcpd/AEandVfM%20Dept/CP/CorpResultsFramework/Lists/RkyvLinks/AllItems.aspx

Illustrative tables

Table 1 illustrates how the forecast number of additional users of family planning is calculated. It uses an illustrative baseline year of 2009/10.

	Number of women aged 15-49	CPR	Number of women using family planning
2009/10 actual[1]	50,000	20%	10,000
2014/15 forecast	55,000	24%	13,200
Difference			3,200

[1] This may need to be projected forward from the previous household survey.

In this example there is an expected increase in CPR of 1 percentage point per year between 2009/10 and 2014/15 from 20% to 24%. The population of women aged 15-49 is forecast to rise from 50,000 to 55,000.

The expected number of additional users of family planning is **3,200.**

Table 2 illustrates how the estimates of progress are calculated.

	Number of women aged 15-49	CPR	Number of women using family planning	Additional users
2009/10 actual[1]	50,000	20%	10,000	
2010/11 actual	51,000	20.5%	10,455	455
2011/12 actual	52,000	21%	10,920	465
2012/13 actual	53,000	21.5%	11,395	475
2013/14 actual	54,000	22%	11,880	485

[1] This may need to be projected forward from the previous household survey.

In this example a household survey was conducted in 2013/14 which recorded a CPR of 22%, an increase from 20% in 2009/10. CPR is estimated for the intervening years. The number of women aged between 15 and 49 increased from 50,000 in 2009/10 to 54,000 in 2013/14. The number of women using modern methods of family planning is estimated each year, and the difference between years provides the number of additional users.

Table 3 illustrates how the 'base scenario' and 'intervention scenario' can be used to forecast the additional users of family planning.

		Base scenario		Intervention scenario	
	Number of women aged 15-49	CPR	Number of women using family planning	CPR	Number of women using family planning
2009/10 actual[1]	50,000	20%	10,000	20%	10,000
2014/15 forecast	55,000	18%	9,900	20%	11,000
Difference					1,100

[1] This may need to be projected forward from the previous household survey

In this example the country is expected to suffer from internal conflict and the CPR is forecast to fall from 20% in the baseline year 2009/10 to 18% by 2014/15. Under the intervention scenario, family planning programmes are expected to ensure that the CPR remains constant at 20%.

Then the expected impact of the family planning programmes is 11,000 less 9,900 = **1,100**.

Table 4: In the same way, the actual progress would need to be measured against the expected progress from the base scenario.

		Base scenario		Actual observed	
	Number of women aged 15-49	CPR	Number of women using family planning	CPR	Number of women using family planning
2009/10 actual[1]	50,000	20%	10,000	20%	10,000
2010/11 actual	51,000	19.5%	9,945	20%	10,200
2011/12 actual	52,000	19%	9,880	20%	10,400
2012/13 actual	53,000	18.5%	9,805	20%	10,600
2013/14 actual	54,000	18%	9,720	20%	10,800

[1] This may need to be projected forward from the previous household survey

<table>
<tr><td></td><td>In this example there is an actual increase in the number of users of family planning of 800 between 2009/10 and 2013/14, but since the base scenario was predicting a fall, the number of additional users of family planning due to the family planning programmes operating in country is the difference between 10,800 and 9,720 = 1,080.

Table 5 illustrates the annual calculation of attribution.

<table>
<tr><th></th><th>Additional users in country X</th><th>DFID share of funding</th><th>DFID contribution to additional users</th></tr>
<tr><td>2011/12</td><td>1,100</td><td>10%</td><td>110</td></tr>
<tr><td>2012/13</td><td>1,300</td><td>10%</td><td>130</td></tr>
<tr><td>2013/14</td><td>1,700</td><td>5%</td><td>85</td></tr>
<tr><td>2014/15</td><td>2,500</td><td>5%</td><td>125</td></tr>
<tr><td>Total</td><td></td><td></td><td>450</td></tr>
</table>

In this example, DFID's funding share is 10% in 2011/12 and 2012/13. The partner government substantially increases its funding for reproductive health in 2013/14, resulting in a reduction of DFID's funding share to 5%. The correct proportion is applied to the number of additional users in each year to give DFID's contribution in each year. The number of additional users of family planning that can be attributed to DFID is 450.

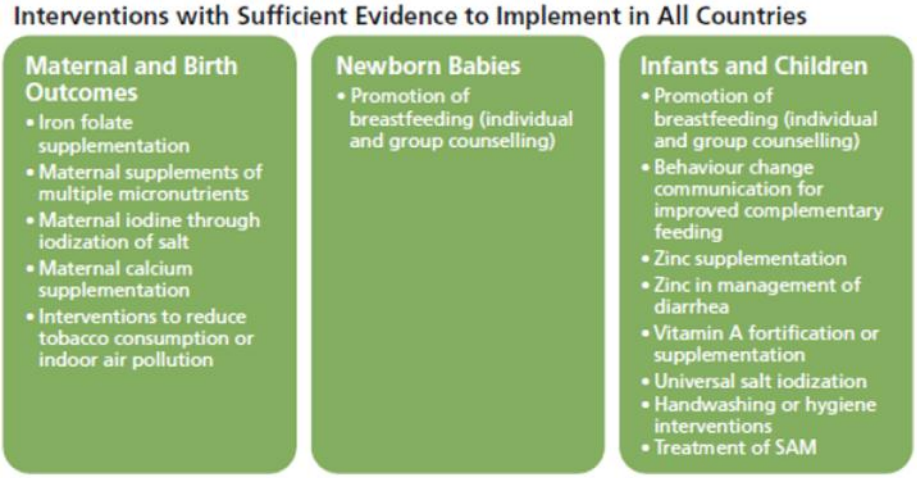
Calculations, data sources and assumptions should be clearly explained in a supporting spreadsheet.</td></tr>
<tr><td>Good performance</td><td>The target is 10 million additional women using modern methods of family planning through DFID support. This will be met through funding to the bilateral programme and multilateral and civil society organisations.

A separate note sets out the methodology to assess DFID contribution toward the target from multilateral programmes, such as UNFPA Global Programme for Reproductive Health Commodity Security, and civil society programmes.</td></tr>
<tr><td>Return Format</td><td>Forecasts and estimates of progress should be made to FCPD via the templates on the DFID Results Framework teamsite. Spreadsheets containing the data calculations, sources and assumptions should be made available to Human Development Department. Quest numbers should be noted in the FCPD Template.</td></tr>
<tr><td>Data disaggregation</td><td>No disaggregations are required from country offices. The Framework for Results for Reproductive, Maternal and Newborn Health commits DFID to monitor and achieve progress in the poorest 40% and among adolescents aged 15-19. This will be monitored separately by the Guttmacher Institute.

If DFID is supporting a specific geographical region rather than the whole country then the CPR should be applied to the population estimates for that specific geographical region.</td></tr>
<tr><td>Data availability</td><td>Household surveys, such as Demographic and Health Surveys, Multiple Indicator Cluster Surveys and contraceptive prevalence surveys, are generally conducted every three to five years and are available for the majority of developing countries through the DHS and MICS.

Population data can be found from the latest population estimates of the relevant</td></tr>
</table>

	country or from the UN population estimates.
Quality assurance measures	The forecasts and estimates should be double checked by a second adviser before being submitted.
Data issues	Data issues and how they should be addressed are outlined in 'data calculations' section above.
Country Office/Spending Department variation	
Bangladesh	Cumulative
Ethiopia	Peak year
Ghana	Cumulative
India	Cumulative up to 2010/11 inclusive: peak year thereafter
Indonesia	Peak year
Malawi	Peak year
Rwanda	Peak year
Sierra Leone	Peak Year
Uganda	Peak Year
Zambia	Peak Year

Indicator description	**Number of children under five and pregnant women reached through DFID's nutrition-relevant programmes**
Indicator Type	Peak year (but can report cumulatively if double counting is avoided)
Version	8th March 2013 Quest number
Changes since last version	Changes in 8th March Version highlighted. No change to methodology but only for clarity and examples of interventions to include including humanitarian programmes transitioning to long term programming. The indicator end date has changed to December 2015 as per management board decision (March 2013).
Methodological summary	These refer to those programmes that have specific nutrition objectives, outputs or outcomes. These can range from sector support programmes in health or agriculture for example, to specific micro-nutrient provision programmes. This indicator should include the results of: • Direct Interventions - based on the Lancet's 13 proven interventions[1]. (see diagram below)  • Nutrition sensitive programmes –where the logical frameworks report against a nutrition outcome / objective for under-fives and/or pregnant women[2]. This can and does include: health, sanitation, livelihoods, education, agriculture and women's empowerment programmes that explicitly aim to impact on nutrition (alongside other goals[3]). The annual reach of these programmes should be measured as

[1] Bhutta, Z.A, et al, 2008, What works? Interventions for maternal and child undernutrition and survival, The Lancet, Vol 371, Issue 9610, Pages 417-440.

[2] For example, this may include wider programmes with outcome indicators related to stunting, weight, anaemia, dietary status, wasting, malnourishment, de-worming, breast fed children, vitamin A, diarrhoea etc and similar indicators related to pregnant mothers.

	follows: • Where the programme directly targets under 5s and/or pregnant women and management information is available regarding reach, the numbers should be taken directly from programme information. • Where the programme targets a wider age group, it will be necessary to determine the size of the population to whom the programme is available and the size of the population actually accessing the programme (coverage). The number of under 5s reached can then be estimated using the % of under 5s in the wider age group from routine population statistics. • If the programme was funded by multiple donors or was a form of sector / budget support, the total number of children should be taken proportionate to DFID funding provided. Please see the separate guidance on attributing results to DFID. The reach of these programmes refers to unique, individual children aged under 5 and pregnant women. It will be important to ensure that there is no double counting between nutrition sensitive and direct nutrition programmes. In this sense, we are counting **numbers of people reached, not the number of interventions.** So, for example, even if someone receives 20 different interventions through a multitude of programmes – the reach is still 1. In particular: • Where there are non-continuous programmes, the peak number of unique children and/or pregnant women receiving the programme over the year should be recorded. • Where there are continuous programmes, the number of unique children and pregnant women in the last period should be recorded. And where countries have multiple programmes, please: • Return the total unique reach of the programmes if known. • Or return the sum of the reach of each programme along with an estimate of the % estimated overlap. It will also be important to avoid double counting in persons reached between years. Where country offices can identify or undertake a reliable estimation for individual children and pregnant women across years then, in year 1, country offices should identify unique pregnant women and children reached and in year 2 they should aim to identify new children and pregnant women that were not supported in year 1 and add this to the total from year 1. Simply, we are only adding the difference, between years if relevant and unique individuals. We are not cumulating annual totals over the years because this will result in double counting. This approach should be repeated in all later years.

	Where country offices cannot reliably estimate for unique children and pregnant women across years then they should simply return annual figures of the number of unique children and pregnant women reached in each year. This should not be added up across years due to high chances that programmes will reach some of the same children each year. For the March 2015 'we will' target, year 4 data for all relevant country offices will be summed up (or where a country office could not estimate for unique children across years, the highest annual total in the 4 year period will be included). Where a country office programme has ended earlier, the last relevant year of information will be included. Country offices should provide details of any assumptions made or data issues regarding their return. The final date for the 'we will' target is 31st December 2015.
Reporting organisation	DFID
Data included	Bilateral Programmes included are those direct interventions or which are nutrition sensitive as defined in the methodological summary. Budget support would only be included if nutrition outcomes were specifically highlighted in the government's results framework.This includes country funding of multilaterals. Central funding for multilateral and private sector partnerships • Bilateral and multilateral results will always be reported separately for internal purposes. External reporting on this 'we will' will include multilateral and private partnership results where the risk of double counting can reasonably be eliminated.
Data calculations	Population statistics at the national level would be selected by the country office. The % of the population under five could be gathered from the most appropriate country data (i.e. DHS survey).
Worked example	• DFID is directly supporting vitamin A distribution at child health weeks. These are expected to reach the entire under 5 population of the country (around 1 million under fives in any year). DFID provides 10% of the funding for this programme and therefore can claim 100,000 under 5s reached with vitamin A supplements in year 1. In year 2, roughly 20% of the children under 5 in year 1 will have moved out of that age group, with the remaining 80% receiving the supplementation again. This 80% should not be counted again in year 2. However, 200,000 new 0-1 year olds will have entered this population in year 2. Therefore in year 2,

	DFID will have reached an additional 20,000 unique children. Similarly in years 3 and 4. Therefore by the end of year 4, DFID will have reached 1.8m unique under 5s with vitamin A interventions.
Most recent baseline	Country by country approach
Good Performance	We expect to reach approx 20 million children under five years of age and pregnant women by the end of 2014/15.
Return format	Number of children under five and pregnant women reached through DFID's nutrition-relevant programmes per year, disaggregated by sex wherever possible.
Data dis-aggregation	Mandatory: none. Additional: Sex disaggregation should be available. By socio-economic quintile ideally but not likely to be available annually, but could be built into baseline and endline surveys.
Data availability	Annual
Time period/ lag	4 months– e.g. in March for previous calendar year
Quality assurance measures	Checks are made to ensure that different nutrition programmes do not have overlapping geographical coverage to avoid double counting.
Data issues	There is potential for double counting of children reached across a number of years, given that many programmes provide support to children over a five year period. Given the methodology looks at peak year contributions and calculates annually, not cumulatively, it should be possible to avoid this. Coverage may be difficult to determine in nutrition education campaigns, e.g. through the radio or other media.
Additional comments	

Indicator description	**Number of children supported by DFID in primary education (per annum)**
Type of indicator	Peak Year
Technical Definition / Methodological summary	Takes a pro-rata share of enrolment, where the share is calculated as DFID's contribution to the education budget. Multiplies primary enrolment in publically funded schools (national definition) by the estimated DFID share of total public education expenditure on primary schooling (where feasible, using all sectors where not). Public education expenditure is the sum of government and donor education funds, if possible including off-budget spend. DFID's expenditure should include all sector budget support in education, plus a proportion of general budget support/other financial aid in line with the proportion of government funds spent on education. If feasible, all expenditure figures should logically be restricted to basic education - or primary / secondary school education – where DFID does not support other sub-sectors. The same sector / sub-sector coverage must be applied to all government, DFID and other donors' expenditure figures. The same DFID expenditure share should be used in this indicator and in the number of children in lower secondary education / primary completers supported by DFID.
Rationale	Estimates the number of children supported by DFID in the primary school system in any one academic year to enable DFID to attribute what its education aid investment buys in terms of access to primary education - a key policy priority in line with the UPE MDG. Increasing DFID financial support and increasing access to primary education both result in an increased number supported. May be added to the corresponding lower secondary estimate that DFID measures at Operational Planning level to give a total for basic education: a priority focus for DFID education support.
Country office role	Country offices should select and broadly approve the latest matching financial and enrolment data, calculate the number and supply to the centre.
Data sources	DFID spend data are from ARIES and spending through government will be broken down by general budget support/sector budget support or any other financial aids. Ensure all aid that has been delivered through government systems is included.)

	Partner country expenditure data can be sourced from Govt systems (Ministry of Education or Ministry of Finance) which are fed through to UNESCO Institute for Statistics (UIS) that are then made available in percentage share terms via its Data Centre. For some countries World Development Indicators may have data not available elsewhere. Data for the number of children enrolled in the primary system will be available from country Education Management Information Systems (EMIS). It is preferable for the most recent data to be used which is likely to come direct from national rather than international systems. Where EMIS data includes enrolment in non-government funded schools, care must be taken to adjust total enrolment accordingly.
Reporting organisation	Indicator internal to DFID
Data included	<u>For general budget support and sector budget support:</u> Include bilateral spending through government systems for both country and donor, therefore non-govt spending is excluded from both numerator and denominator. This will not include an estimate for DFID's bilateral spend outside Government (24% in 09/10). <u>For support through projects:</u> Estimates of numbers of children supported through projects and programmes could be built up from outputs. i.e. number of children benefiting from vouchers, using classroom pupil and pupil teacher ratios to calculate how many children will benefit from classrooms built and new teachers trained. Where only partial school costs are covered (i.e. provision of classrooms does not meet full cost of a child's education) these should be noted. Also, where there is a risk of double counting (e.g. teachers could be benefiting the same children as the classrooms) that should be avoided. Where only partial funding is provided (such as through pooled funding) this should be noted and corrected for by using funding shares. <u>For support to private schools:</u> Children supported in private schools can be counted where DFID funds either vouchers or private school projects. Number of children benefiting from vouchers may be counted – particularly where the whole cost of school fees is covered. Where only partial funding is provided (either through pooled funding, or partial vouchers) this should be

	noted and corrected for by using funding shares. DFID's multilateral spend is also excluded: a different methodology would have to be used.
Formula/ Data calculation	Support could be through general budget support, sector budget support, project support or funding of private schools. <u>For general budget support and sector budget support</u> Divide DFID spend on education in a country (numerator) by total Govt. expenditure on education (denominator) to get the proportion of DFID spend on education in country (converted to same currency); multiply this by number of children enrolling primary school. The important thing for any funding stream is that the numerator and denominator are consistent and the education indicator (e.g. primary enrolments) is also measured at the correct and consistent level The years selected for enrolment and expenditure data should be matched as well as possible where academic and financial years differ (there is no need to pro-rate across years) and should be the latest in which both series are available. DFID's expenditure should include all sector budget support in education and the share of general budget support according to the proportion of public spend going to education. Other DFID financial aid given to governments should be included similarly in the numerator. Other development partners' general and education-specific expenditure should be included in the Governments' expenditure denominator wherever possible, even if off-budget. <u>For project funding</u> For any project, ideally we would want to have total spend on education in order to calculate DFID attribution. For example, if the project provides textbooks, which encompass on average 2% of spending, then we take a pro-rata share of enrolments for the beneficiaries. Where projects are teacher based, such as funding teacher salaries, then outputs can be calculated using pupil-teacher ratios. If this is not possible, then only count beneficiaries of projects where DFID is "critical" i.e. where schooling would

	not have occurred without DFID support. <u>For private schooling</u> Where we support private education, first calculate DFID's share of the scheme by taking DFID's input and dividing by total cost of the scheme we're funding. If we fund directly through vouchers (or other modalities which cover the full cost of education) where we fund 100% of the per child cost then we can take the number of beneficiaries as our output number. If we fund directly, but the support doesn't cover the full cost of education (such as a stipend, or funding teacher salaries, or books) we need to estimate the % of the total cost of education that the DFID scheme funds and multiply this by the number of beneficiaries, taking care not to double count children. If we pool together with donors or government to fund a selection of private schools, we first calculate DFID's share of the scheme and then multiple this by the number of primary children enrolled in the schools being supported.
Worked example	
Most recent baseline	N/A
Good performance	The number of children DFID supports can fluctuate depending on changes in DFID's share which might have more to do with fluctuation in government spend. An increase in the number of children supported indicates good performance *if* the total expenditure on education remains the same or increased and enrolments overall have at least increased by the same or more as the increase attributed to DFID. This would mean more children are enrolling in primary school and/or DFID has increased its funding.
Return format	Number of children supported by DFID in primary education per year, disaggregated by sex. A record of workings should be kept.
Data dis-aggregation	Mandatory: by sex.
Data availability	Enrolment data and govt expenditure data should be available annually.
Time period/ lag	Governments' enrolment data and financial data may be released nationally after a lag of a year or more. International datasets may be more out-of-date owing to

	collection cycles, processing and – sometimes – countries not supplying their data.
Quality assurance measures	International data are quality assured by UIS; partner country data might need country office light touch quality assurance..
Data issues	Results providers (e.g. DFID country offices) should try to clarify the underlying causes for changes, especially decreases. A decrease in the number of children supported may result from: a decline in DFID budget support, an increase in host government / development partner expenditure – or a decrease in the proportion of it spent on education, a decline in primary enrolment, a re-alignment of grades to ISCED levels or some combination of these factors. Double counting of children should be avoided i.e. children enrolling in both the public and private sector, or through output based calculations of children supported in fragile states (i.e. children reached through both classroom construction and textbook procurement) In some countries household contributions to education may be large, which will overstate DFID's share of education spend. However, household spend on education should not be counted in DFID attribution calculations, as this would be inconsistently recorded across countries and years.
Additional comments	This indicator assumes share of pupils supported in line with DFID's financial input, though where DFID's influence results in greater efficiency this will understate DFID's true contribution. This indicator is one of a set of DFID Education Portfolio indicators and needs to be considered alongside these other measures of effective education performance including particularly the completion of primary education and the transition of girls (and boys) to secondary education. DFID is also supporting better national and international measures to assess student attainment and learning outcomes. It is to be noted that we are counting number of pupils supported in a given year rather than number of pupil-years. Capturing unique children supported over the period is not possible, hence we are not able to sum the number of children supported in each year (as this would double count children).
Country Office/ Spending Department variation	

South Sudan	Cumulative

Indicator description	**The number of people supported through DFID to improve their rights to land and property**
Indicator type	Cumulative
Methodological summary	**UKaid: changing lives, delivering results** commits DFID to 'Secure the right to land and property for more than six million people'. The indicator: '**number of people supported through DFID to improve their rights to land and property'** is designed to cover the bilateral programmes working on improving land and property rights through a variety of approaches. The programmes contributing to this indicator tackle specific challenges to the security of rights to land and property, especially for the poor. For example, the lack of up to date and collectible land use and ownership information; the lack of delimitation or registration of communal land; or the lack of recognition of women's user and ownership rights. All of these make it more difficult for individuals and communities to get a good return from their assets. The indicator covers direct results measured through monitoring and evaluations at the project level. Indirect interventions – e.g. supporting policy changes and the wider enabling environment – could also be captured provided that robust estimates are made at the project level. The aggregate result is the sum of the total number of people (and not organisations or groups) supported by these projects, disaggregated by sex.
Rationale	This indicator was included as a key deliverable in UKaid: changing lives, delivering results. It reflects ministerial priorities in the Strategic Reform Plan – to develop new programmes on property rights and to support new and existing property rights programmes. It allows capturing DFID's property rights work notwithstanding differences in approaches that are consistent with the socio-economic context on the ground.
Country office role	DFID Country offices – responsible for

	delivering and managing the bilateral programmes – will be responsible for providing the results of project monitoring and the data. Country offices are responsible, where necessary, for converting the data collected by the programme Management information Systems – e.g. the number of plot registered - into the 'number of people' benefiting from the programme. DFID country offices are also responsible for establishing the attribution of the outcomes to DFID.
Data source	Individual programmes' Management Information Systems (MIS). In some cases, these are part of national Land Administration structures. In some other cases, they are part of the specific programme monitoring systems
Reporting organisation	Country offices collect and calculate all estimates for their programmes – working closely with their counterparts in country, e.g. land administration agencies.
Data included	All bilateral programmes that have a property rights outcome indicator. The results to be submitted need to be expressed in terms of the number of people supported, men and women. Where it is possible to make the case (for example on the ground of inheritance laws), it is possible to include all members of the household benefiting from improved rights.
Data calculations	DFID country offices will calculate the attribution to DFID and ensure robust conversions where necessary. For example, where the MIS measures the number of land plots registered or titled, this number will be converted into an estimate of the number of people benefiting. Such estimates will be made using relevant national data, for example population projections, average household sizes or estimates of the number of plots per household. Where entire communities benefit from improved rights, simple calculations to determine the number of people benefiting in each community will be made using data from the national records.
Worked example	N.a. Given the different approaches taken by different programmes.
Most recent baseline	No baseline available. The focus is on monitoring the results of interventions to strengthen security of land rights in a certain

	country/area through discrete projects. The targets are cumulative across interventions and over the whole 2011-2015 period.
Good Performance	More people with improved rights to land and property across DFID focus countries. This is expected to have an impact on poverty reduction through direct effects on individual livelihoods, human development, individual and community empowerment, economic growth and the ability to manage natural resources.
Return format	Number of people with improved access to land and property, disaggregated by sex.
Data disaggregation	Mandatory: by sex.
Data availability	The individual programmes management information systems (MIS) are expected to allow quarterly reporting. However there are some capacity issues which make semi-annual or annual reporting more realistic.
Time period/ lag	There is likely to be a lag between the undertaking of activities and the monitoring of the results. In some cases this is due to limited capacity. Where this is the case, individual programmes are working with their counterparts to reduce these lags.
Quality assurance measures	DFID programme log-frames are developed with the support of country office statisticians, who are expected to engage on monitoring too. Central quality assurance is provided by Policy Division with the support of statisticians.
Data issues	The data are expected to be available through the programme information management systems, but there might be issues with capacity of programme staff (in some cases within national structures) which might reduce the programmes' ability to provide timely and sex disaggregated data.
Additional comments	n.a.

Learning Indicator Methodology - DRAFT

Short title	**Number of DFID supported countries showing improvement in the proportion of children that can read with sufficient fluency for comprehension in early grades**
Indicator type	Number of countries showing an increased proportion over time
Technical definition/ summary of methodology)	This will be based on the number of countries that are measuring oral reading fluency and counts the number of countries showing improvements compared to their baseline assessment. This requires each country to report the underlying data on proportion of children that can read with sufficient fluency for comprehension in early grades (including numerator and denominator for samples of children tested). This data should be disaggregated by gender where-ever possible. The most commonly used methodology will be the Early Grade Reading Assessment (EGRA). This is based on the connected text oral reading fluency test which measures the children's ability to read a passage, about 60 words long, which tells a story created to be appropriate for particular regions and targeted at grade 2. However country offices do not have to use this methodology to be included in the result as decisions on what methodology is rolled out will be dependant on partner country plans. Other possible methodologies include; • Government led 'National Learning Assessments' which may be G4 or later • Civil society led learning assessments (ASER, UWEZO, PRATHAM) • Written assessments of reading comprehension at G2 (being developed by FTI and likely to be piloted in 2012) * In Ethiopia this required the development by education experts of 6 different language benchmarks. The highest expectation was for Amharic at 90 wpm and the lowest, 60wpm for two other languages. Tracking the decline in % of non-readers (gender disagg) does not require any setting of national benchmarks and is therefore easier to measure.
Rationale	Early grade reading is an indicator of the quality of an education system. Literacy is a pre-requisite for learning in all other subjects. Assessing literacy at Grade 2 is still early enough for governments to take remedial action to improve teaching and learning. For DFID, early grade reading can be used to demonstrate the value for money of investment in education. Early Grade Reading is not an internationally standardised education indicator and so the methodology will differ across countries. USAID intends to conduct nationally representative EGRA assessments at G2 in all USAID supported countries. There is an opportunity for DFID and USAID to collaborate in order to jointly support learning assessments and interventions in countries where DFID has a bilateral programme.
Formula	Countries will need to choose a suitable methodology based on national plans for this kind of assessment. For a country to be included in the result, they will have to carry out a sample based assessments repeated within a minimum of 2 years, this could be either through DFID could or other support. The second

	assessment will be compared to the first and if an improvement is shown they will be included in the result. Additionally, country office must specify the following parameters for the assessments undertaken in the country: • Type of assessment: • Assessing agency • Date of assessment (month and year) and frequency carried out or planned. • Domain – group assessed: national, geographic, regional states, socio-economic or other grouping (and sample size) • Language of assessment: language of instruction or language spoken at home • After two years of primary schooling – or if later specify grade (If after 3rd grade, consider encouraging assessment after 2 years). • Measurement basis: non-readers, fluency in words per minute, reading comprehension or competence based • Sampling and weighting averages for population* * Setting national baseline: Where districts or regions have different languages as a medium of instruction, a weighting framework considering population size of each of the regions will need to be applied.
~~Start date~~Most recent baseline	2009 (baseline data are available)
Latest data	2011 (PAC data collection)
Description of good performance (optional)	An increase in the number of countries with early reading assessment improvements compared to their baseline reading assessment
Comparability	
Collection frequency	At the global level, data will be collected yearly . Individual countries may only conduct assessments on a 2-5 year basis.
Time lag	
Data source	Country Offices will provide data which may be based on assessments by government or donor partners.
Type of data	Number
Robustness and data limitations	
Geographical coverage	Data for all countries in which DFID is delivering bilateral education programmes.
Collecting organisation	DFID
Return format	~~Numerator, denominator and proportion~~Percentage of **children that can read with sufficient fluency for comprehension in early grades for each year**
~~How data can be broken down~~Data disaggregation	~~Broken down by country~~None
Data availability	Once a country starts an assessment it will be included in the result.
Time period	

Comment [LM1]: Is there a specific source?

Quality assurance measures	Country Office education adviser to determine whether process in country meets criteria for assessing early reading.
Additional comments/ Further guidance	EGRA Tools[1] EGRA is an orally administered assessment targeted at measuring the pre-reading and reading skills foundational to later reading (and academic success). EGRA takes approximately 15 minutes to administer and is often combined with a questionnaire measuring a variety of student background variables to assist in explaining some of the reading outcome findings. The Ethiopian EGRA consisted of the following components, which have been found to be highly correlated with one another. 1. Letter-naming (or fidel identification) fluency: ability to read the letters of the alphabet (or the fidel) without hesitation and naturally. This is a timed test that assesses automaticity and fluency of letter or fidel sounds. It is timed to 1 minute, which saves time and also prevents children having to spend time on something that is difficult for them. 2. Phonological awareness: awareness of how sounds work with words. This is generally considered a prereading skill, and can be assessed in a variety of ways. In some Ethiopian languages, this task might be designed to determine whether children could differentiate the first syllable (or fidel) in a word, or whether they could identify all of the fidels in a word. 3. Familiar word fluency: ability to read high-frequency words. This assesses whether children can process words quickly. The lists of words were derived from the 50 most frequently used words in Grade 2 and 3 textbooks in each language. It is timed to 1 minute. 4. Non-familiar or non-sense word fluency: ability to process words that could exist in the language in question, but do not. The words were derived from the list of familiar words and follow the common patterns of the language. This component assesses a child's ability to "decode" words fluently. It is timed to 1 minute. 5. Connected text oral reading fluency: ability to read a passage, about 60 words long, that tells a story. The stories were created to be appropriate for particular regions and targeted at Grade 2 and Grade 3 children. The component is timed to 1 minute. 6. Comprehension in connected text: ability to answer several comprehension questions based on the passage read. 7. Listening comprehension: being able to follow and understand a simple oral story.This assesses a child's ability to concentrate and focus to understand a very simple story, assessed by asking simple noninferential (factual) questions. It is considered a prereading skill. Each EGRA task has to be adapted and essentially redesigned uniquely as per the local minimum learning competencies and to suit the languages/medium of instruction.

[1] Ethiopia Early Grade Reading Assessment Data Analytic Report, October 2010

Example presentation of EGRA benchmarks*

	Average across children in a given country, middle of year, grade 2	Maximum school-level average in the same country, grade 2	Developed-country benchmarks for comparison purposes
Correct letters per minute	22.7	41	40 by end of kindergarten year*
Correct nonsense words per minute	7.5	25	50 in middle of grade 1
Correct words per minute	11.4	36	20 in middle of grade 1
Comprehension score	0.4	2	NA

*example only, not standards.

Indicator description	**Number of children supported by DFID in Lower Secondary education <u>(per annum)</u>**
Type of Indicator	Peak year
Technical Definition / Methodological summary	Takes a pro-rata share of enrolment, where the share is calculated as DFID's contribution to the education budget. Multiplies lower secondary enrolment in publically funded schools (national definition) by the estimated DFID share of total public education expenditure in lower secondary (where feasible, using share of all sectors where not). Public education expenditure is the sum of government and donor education funds, if possible including off-budget spend. DFID's expenditure should include all sector budget support in education, plus a proportion of general budget support/other financial aid in line with the proportion of government funds spent on education. If feasible, all expenditure figures should logically be restricted to basic education - or primary/secondary school education – where DFID does not support other sub-sectors. The same sector/sub-sector coverage must be applied to all government, DFID and other donors' expenditure figures. The same DFID expenditure share should be used in this indicator and in the number of children in primary education / primary completers supported by DFID.
Rationale	Estimates the number of children supported by DFID in the Lower Secondary school system in any one academic year. This enables DFID to attribute what UK education aid investment buys in terms of access to lower secondary education - a key policy priority in line with the SRP Girls Education commitments and the Gender MDG. More years of (quality) schooling also contribute to growth and wealth creation. Increasing DFID financial support and increasing access to Lower Secondary education both result in an increased number supported.
Country office role	Country offices should obtain and approve the latest matching financial and enrolment data, calculate the number and supply to the centre.
Data sources	DFID spend data are from ARIES and spending through government will be broken down by general budget support / sector budget support / any other financial aid. For other types of spending e.g. for private education specific spend data can be obtained from Country Office financial

	information (Ensure all aid that has been delivered through government systems is included.) Partner country expenditure data can be sourced from Government systems (Ministry of Education or Ministry of Finance). For some countries *World Development Indicators* may have data not available elsewhere. Data for the number of children enrolled in the Lower Secondary system should be taken directly from country Education Management Information Systems (EMISs). It takes up to two years for national data to be collected and processed by UIS, and data are then presented according to the International Standard Classification of Education (ISCED) which may not align to national definitions. Where EMIS data covers all school types, care must be taken to ensure only enrolment in publically funded schools are included.
Reporting organisation	Indicator internal to DFID
Data included	<u>For general budget support and sector budget support:</u> Include bilateral spending through government systems for both country and donor, therefore non- government spending is excluded from both numerator and denominator. This will not include an estimate for DFID's bilateral spend outside Government (24% in 09/10). <u>For support through projects:</u> Estimates of numbers of children supported through projects and programmes could be built up from outputs. i.e. number of children benefiting from vouchers, using classroom pupil and pupil teacher ratios to calculate how many children will benefit from classrooms built and new teachers trained. Where only partial school costs are covered (i.e. provision of classrooms does not meet full cost of a child's education) these should be noted. Also, where there is a risk of double counting (e.g. teachers could be benefiting the same children as the classrooms) that should be avoided. <u>For support to private schools:</u> Children supported in private schools can be counted where DFID funds either vouchers or private school projects. Number of children benefiting from vouchers may be counted – particularly where the whole cost of school fees is covered. Where only partial funding is provided (either through pooled funding, or partial vouchers) this should be noted and correct for by using funding shares.

	DFID's multilateral spend is excluded. Different methods need to be used.
Data calculation	Support could be through general budget support, sector budget support, projects or funding private schools. <u>For general budget support and sector budget support</u> Divide DFID spend on education in a country (numerator) by total Govt. expenditure on education (denominator) to get the proportion of DFID spend on education in country (converted to same currency); multiply this by number of children enrolling in Lower Secondary school. The important thing is that the numerator and denominator are consistent and the education measure / indicator is also measured at the correct and consistent level The years selected for enrolment and expenditure data should be matched as well as possible where academic and financial years differ (there is no need to pro-rate across years) and should be the latest in which both series are available. DFID's expenditure should include all sector budget support in education and the share of general budget support according to the proportion of public spend going to education. Other DFID financial aid given to governments should be included similarly in the numerator. Other development partners' general and education-specific expenditure should be included in the Governments' expenditure denominator wherever possible, even if off-budget. The years selected for enrolment and expenditure data should be matched as well as possible where academic and financial years differ (there is no need to pro-rata across years) and should be the latest in which both series are available. <u>For project funding</u> For any project, ideally we would want to have total spend on education in order to calculate DFID attribution. For example, if the project provides textbooks, which encompass on average 2% of spending, then we take a pro-rata share of enrolments for the beneficiaries. Where projects are teacher based, such as funding teacher

	salaries, then outputs can be calculated using pupil-teacher ratios. If this is not possible, then only count beneficiaries of projects where DFID is "critical" i.e. where schooling would not have occurred without DFID support. <u>For private schooling</u> Where we support private education, first calculate DFID's share of the scheme by taking DFID's input and dividing by total cost of the scheme we're funding. If we fund directly through vouchers (or other modalities which cover the full cost of education) where we fund 100% of the per child cost then we can take the number of beneficiaries as our output number. If we fund directly, but the support doesn't cover the full cost of education (such as a stipend, or funding teacher salaries, or books) we need to estimate the % of the total cost of education that the DFID scheme funds and multiply this by the number of beneficiaries, taking care not to double count children. If we pool together with donors or government to fund a selection of private schools, we first calculate DFID's share of the scheme and then multiple this by the number of primary children enrolled in the schools being supported.
Worked example	Assume total public expenditure on school education £1bn, of which government provides £800m and non-DFID donors £200m. DFID provides £60m sector budget support to school education and £200m general budget support, of which 20 per cent or £40m may be allotted to school education in line with government spending. DFID's share is thus £100m (= £60m + £40m) / £1Bn or 10 per cent. There are 1.5m Lower Secondary school pupils, 10 per cent, or 150,000 of whom DFID supports.
Most recent baseline	N/A
Good performance	The number of children DFID supports can fluctuate depending on changes in DFID's share which might have more to do with fluctuation in government spend. An increase in the number of children supported indicates good performance *if* the total expenditure on education remains the same or increased and enrolments overall have at least increased by the same or more as the increase attributed to DFID. This would mean more children are

	enrolling in lower Secondary school and/or DFID has increased its funding.
Return format	Number of children supported by DFID in lower secondary education per year, disaggregated by sex. A record of workings should be kept.
Data dis-aggregation	Mandatory: by sex. This is essential for SRP Girls' education policy priority.
Data availability	Governments' enrolment and financial data should be available annually.
Time period/ lag	Governments' enrolment and financial data may be released nationally after a lag of a year or more.
Quality assurance measures	Partner country data might need country office light touch quality assurance (QA), e.g. by checking coherence with the back series. DFID should quality assure i) country data, and ii) DFID aggregate numbers. DFID should also cross-check country data with international data sets (which may be available one year later – and will not cover all DFID countries, particularly not all Fragile States).
Data issues	Results providers (e.g. DFID country offices) should provide narrative that clarifies the underlying causes for changes, especially decreases. A decrease may result from: a decline in DFID budget support; an increase in host government / development partner education expenditure – or a decrease in the proportion of total budget that is spent on education; a change in the structure of the education system, or some combination of these factors. Double counting of children should be avoided i.e. children enrolling in both the public and private sector, or through output based calculations of children supported in fragile states (i.e. children reached through both classroom construction and textbook procurement)
Additional comments	This indicator assumes the share of pupils supported is in line with DFID's financial input, though where DFID's drive on education VfM and results helps deliver greater efficiency in national education systems this will understate DFID's true contribution. This indicator is one of a set of DFID Education Portfolio indicators and needs to be considered alongside these other measures of effective education performance including particularly the completion of lower secondary education. DFID is also supporting better national and international measures to assess student attainment and learning outcomes. In some countries household contributions to education

	may be large, which will overstate DFID's share of education spend. However, household spend on education should not be counted in DFID attribution calculations, as this would be inconsistently recorded across countries and years.
Country Office/Spending Department variation	
South Sudan	Cumulative

Indicator description	**Number of births attended by a skilled birth attendant (SBA)**
Version	Quest version 5.1 DATE: 18/06/2013 This replaces version 4.9 of the note (used for reporting rounds up to and including September 2012).
Changes since last version	Substantial changes in 15/02/2013 version to make the note clearer and clarify that: • there are exceptions to the main methodology for geographic regions and where country data are unavailable or unreliable. • country offices do not need to return actual information where no new survey data are available Minor changes in 18/6/13 version to make suitable for publication.
Type of indicator	Cumulative
Methodological summary	The indicator measures DFID's contribution to the cumulative number of births that have been attended by a Skilled Birth Attendant (SBA) in each country. The cumulative number of births attended by an SBA can be estimated by applying SBA coverage rates for the country to the number of births each year and summing these estimates to generate the cumulative result. Data on SBA coverage rates are available from household surveys. For most countries, DFID's support should be calculated by taking a share of the births attended by an SBA in the country, based on DFID's funding share. <u>Exceptions</u> 1) **Geographic regions.** If DFID is only supporting a specific geographical region within a country, the same method should be used. In this case the SBA coverage rate should be applied to the population estimates in that specific geographical region. 2) **Use of programme information.** In some countries, especially post-conflict countries, population based data are unavailable or unreliable. In these circumstances, and when the main DFID financing modality is direct funding to service delivery programmes, it is more appropriate to estimate the annual number of births attended by a Skilled Birth Attendant from these programmes. Exceptions should be agreed with Human Development Department. Country offices are not <u>required</u> to submit numbers of results achieved every year. Because the methodology relies on household surveys which are only usually conducted every 3-5 years, DFID has contracted the Guttmacher Institute to calculate an aggregate annual estimate across all 28 DFID focus countries. This will provide estimates of progress for publication in the DFID Annual Report until sufficient country household survey information is available to generate reliable estimates. **Countries should still submit estimates of progress when new survey data become available.** These are important for triangulation with the Guttmacher estimates. Countries should also update their forecasts when new household survey estimates become available or when DFID's share of funding changes.
Rationale	The WHO defines a Skilled Birth Attendant as 'an accredited health professional – such as a midwife, doctor or nurse – who has been educated and trained to proficiency in the skills needed to manage normal (uncomplicated) pregnancies,

	childbirth and the immediate postnatal period, and in the identification, management and referral of complications in women and newborns'. Skilled attendance during childbirth is one of the critical interventions to reduce maternal mortality. There is a correlation between SBA coverage and national Maternal Mortality Ratios (MMRs), although the correlation is weak, particularly in sub-Saharan Africa. MMRs are insensitive to short term changes, and hence there is a need for a proxy indicator. The proportion of births attended by an SBA has been selected by WHO as a proxy indicator to measure progress towards MDG 5.
Country Office Role	Country offices with Maternal Health programmes, General Budget Support or Sector Budget Support should provide: • forecasts of the cumulative number of births attended by an SBA by 2014/15 • estimates of achieved results when household survey data become available. Calculations, data sources and assumptions should be clearly explained in a supporting spreadsheet. This should be saved in Quest, and the Quest number added to the DRF return.
Data sources	Data on the number of births attended by a Skilled Birth Attendant are available from household surveys, notably the Demographic and Health Surveys and Multiple Indicator Cluster Surveys. These are usually available only every 3-5 years. Population data are available from official national population estimates. If these are not available, UN Population Division estimates can be used http://esa.un.org/wpp/unpp/Panel_profiles.htm **Source for funding figures** Information on DFID funding allocation is available from approved Business Cases. Information on the total government health budget should be available from the Annual Progress Report of the Health Sector or directly from the Ministry of Health. Where possible actual expenditure rather than planned expenditures should be used for results estimates.
Reporting Organisation	DFID
Data included	**The proportion of births attended by a SBA.** The latest available estimates are required. **The total number of births.** Estimates of the total number of births in each year as they become available. Forecasts for each year to 2014/15 are required to calculate the forecast. **DFID's contribution to the country's budget.** Contributions for the total Health budget or the Reproductive, Maternal and Neonatal Health budget are needed, depending on the attribution method used (see below). These should be for the most recent year. **The country's overall planning budget** This should be either the total Health budget or the Reproductive, Maternal and Neonatal Health budget, depending on the DFID contribution figures used.

Data calculations	For most countries The **forecast** of the number of births attended by an SBA by 2015 should be calculated by summing the expected number of births attended by an SBA over the period up to 2014/15. Where possible this period should include 2010/11. DFID's contribution to this result should be calculated by applying the DFID attribution rate (see below). The expected number of births attended by an SBA each year should be calculated by applying the expected proportion of births attended by an SBA to the expected number of births in each year. The expected proportion of births attended by an SBA may be available from the country's own forecasts or can be predicted from past trends. Alternatively the SBA coverage from the most recent household survey may be the most appropriate assumption for the likely SBA coverage in 2014/15. The expected number of births each year should be available from national statistics offices or UN Population Division. If not, they should be forecast based on previous trends. Table 1 illustrates how the forecast is calculated. Forecasts should be updated when the DFID attribution rate changes (see below) or when new estimates of births attended by an SBA become available from household surveys. **Estimates of progress** (achieved results) should be provided when new information becomes available from household survey data. They should be calculated by summing estimates of births attended by an SBA in each year. The intervening years may need to be interpolated if household survey data are not available. See table 2**.** Exceptions 1. If DFID is supporting only a specific geographical region within a country, the same method should be used but only the proportion of births attended by an SBA and number of births in that specific geographical region should be used for the calculation. 2. In some countries, especially post-conflict countries, population based data are unavailable or unreliable. In these circumstances, and when the main DFID financing modality is direct funding to service delivery programmes, it is more appropriate to estimate the number of births attended by an SBA funded through these programmes. Exceptions should be agreed with Human Development Department. **DFID attribution** There are different ways of estimating DFID's attribution depending on the type of programme operating in-country. In most cases taking a share of the country's progress based on DFID's share of funding will be appropriate. So, if Country X had 100,000 births attended between 2009/10 and 2012/13, and DFID funds accounted for 10% of maternal health services in Country X, then DFID would be responsible

for 10,000 births attended.

DFID's share of funding could either be its share of funding to Reproductive, Maternal and Neonatal Health programmes or to the health sector as a whole. Where DFID provides general budget support or sector budget support, it is more appropriate to take the share of the health budget. The funding share should be calculated by dividing DFID's funding in the most recent year available by the country's expenditure (or budget if expenditure is not known) in the same year.

DFID's attribution will vary from year to year as DFID or partner government spending changes. The funding share should be calculated for each year by dividing DFID's funding in a particular year by the country's budget in the same year. This methodology is illustrated in table 3.

For further guidance please see the document entitled 'General guidance for Completion of the Results Template – including approach to attribution and contribution'. This is available on the DRF teamsite:. http://teamsite/sites/fcpd/AEandVfM%20Dept/CP/CorpResultsFramework/Lists/RkyvLinks/AllItems.aspx

Illustrative tables

Table 1 illustrates how the **forecast** number of births attended by an SBA is calculated. It takes a starting point of 2009/10 and forecasts the number of births attended by an SBA over the period 2010/11 to 2014/15.

	Number of births	Proportion of births attended by an SBA	Number of births attended by an SBA
2009/10 actual[1]	1,000	40%	
2010/11 forecast	1,050	42%	441
2011/12 forecast	1,100	44%	484
2012/13 forecast	1,150	46%	529
2013/14 forecast	1,200	48%	576
2014/15 forecast	1,250	50%	626
Cumulative total from 10/11 to 14/15			2,655

[1] This may need to be projected forward from the previous household survey.

In this example there is an expected increase in the proportion of births attended by an SBA of 2 percentage points per year between 2009/10 and 2014/15 from 40% to 50%. The number of births is also forecast to rise from 1,000 to 1,250.

The expected number of births attended by an SBA during the period 2010/11 to 2014/15 is **2,655.**

Table 2 illustrates how the **estimates of progress** are calculated.

	Number of births	Proportion of births attended by an SBA	Number of births attended by an SBA
2009/10 actual[1]	1,000	40%	
2010/11	1,100	41%[2]	451
2011/12	1,200	42%[2]	504
2012/13	1,300	43%[2]	559
2013/14 actual	1,400	44%	616
Cumulative total from 2010/11 to 13/14			2,130

[1] This may need to be projected forward from the previous household survey.
[2] Interpolated from 2009/10 and 2013/14 actuals.

In this example the population estimates showed a rising number of births from 1,000 in 2009/10 to 1,300 in 2013/14. A household survey was conducted in 2013/14 which recorded the proportion of births attended by a SBA as 44%, an increase from the baseline of 40%. The SBA proportion in 2010/11, 2011/12 and 2012/13 was interpolated.

The resulting estimate for the actual number of births attended by an SBA between 2010/11 and 2013/14 is **2,130**.

Table 3 illustrates the annual calculation of attribution.

	Number of births attended by an SBA	DFID share of funding	DFID contribution to births attended
2009/10			
2010/11	600	10%	60
2011/12	800	10%	80
2012/13	1,000	5%	50
2013/14	1,200	5%	60
Cumulative total	2,130		250

In this example, DFID's funding share is 10% in 2010/11 and 2011/12. The partner government substantially increases its funding for Reproductive, Maternal and Neonatal Health programmes in 2012/13, resulting in a reduction of DFID's funding share to 5%. DFID's share of funding is applied to the number of births attended every year. The number of births attended by an SBA that can be attributed to DFID is **250**.

Calculations, data sources and assumptions should be clearly explained in a supporting spreadsheet.

Good performance	Although not a strict "We Will" target, DFID is working towards a target of 2 million births attended by SBA to ensure we can achieve our targets around maternal/neonatal lives saved.
Return format	Forecasts and estimates of progress should be made to FCPD via the templates on the DFID Results Framework teamsite. Spreadsheets containing the data calculations, sources and assumptions should be made available to Human Development Department. Quest numbers should be noted in the FCPD Template.

Data dis-aggregation	**No disaggregations are required from country offices.** The Framework for Results for Reproductive, Maternal and Newborn Health commits DFID to monitor and achieve progress in the poorest 40%. This will be monitored separately by the Guttmacher Institute. If DFID is supporting a specific geographical region rather than the whole country then the number of births in that specific geographical region should be used for the calculation.
Data availability	Household surveys, such as Demographic and Health Surveys, Multiple Indicator Cluster Surveys and contraceptive prevalence surveys, are generally conducted every three to five years and are available for the majority of developing countries through the DHS and MICS. Population data can be found from the latest population estimates of the relevant country or from the UN population estimates.
Quality assurance measures	The forecasts and estimates should be double checked by a second adviser before being submitted.
Data issues	Data issues and how they should be addressed are outlined in 'data calculations' section above.

Indicator description	Number of **unique** people reached with **one or more** water, sanitation or hygiene promotion intervention
Version	Quest version 1.3 DATE: 18/02/2012
Changes since last version	This is a new methodology note for the composite WASH indicator. Changes have been highlighted within the existing separate indicators on water, sanitation and hygiene. A summary of these changes is as follows: • Clarification of the types of shared water and sanitation facilities which may or may not be counted under the relevant indicators. • Additional numerical worked examples. • Clarification on preferred data sources, the counterfactual, avoiding double counting, sustainability and comparability with JMP indicators.
Type of indicator	**Composite** (combination of the three sub-indicators) and **Cumulative** (annual results are reported and summed over the entire reporting period, assuming that each individual is counted within one year only).
Technical definition / Methodological summary	The bilateral results attributable to DFID will be the number of women, children and men who individually benefit from **one or more** of the three possible DFID supported WASH services: 1) sustainable access to clean drinking water; 2) sustainable access to improved sanitation; 3) access to improved hygiene. The preferred data source for the WASH indicators is programme data on direct beneficiaries and this should capture only individuals who have gained access to WASH services as defined within the methodologies which they did not previously have. If alternative data sources are used, care must also be taken to establish the counterfactual – i.e. the number or proportion of people reached with WASH interventions who already had access according to the definitions outlined in the methodology notes. This may not always be clear-cut. In the case of providing access to safe drinking water in urban areas, for example, individuals reached with the intervention may already have had some access to clean water but this access is now improved (and is now available perhaps for longer periods of time, at a smaller distance or as a protected source). The judgement is whether the level of access has improved from not meeting the definitions within the methodology notes to now meeting the definitions after the intervention. Please make conservative estimates in this respect

	and contact the WASH policy team if clarification is required. An individual benefiting from more than one of the WASH interventions can be only counted **once** in the results for this indicator. This is the case even if the same individual benefits from multiple interventions in different years (that individual must still only be counted once). This can be reflected in the results reporting template by ensuring that double counting is avoided in the figures reported for the combined indicator (applying the same principles as those for avoiding double counting in the same year – see the data calculations section). However, not every individual need have access to all three interventions in order to be counted. Some people will get only one intervention, some will get two and some will receive all three interventions. The water and sanitation indicators refer to sustainability in the indicator names. Measuring sustainability is challenging and would require monitoring well beyond the timespan of the DFID Results Framework. It therefore is not possible to require that all interventions are verified as sustainable. However, sustainability should be considered within project design and monitoring. Note that unlike the Joint Monitoring Programme (JMP), the WASH indicators measure access rather than use. In this sense, the indicators are generally aligned with other DFID Results Framework indicators which are pitched at output rather than outcome level. Measuring use and attributing the results to DFID would be challenging and potentially more subjective. This results indicator is a **composite indicator** and this note only defines how to produce the composite data. The monitoring of individual interventions is outlined in the three specific indicator methodology notes (key sections of which are included as an Annex here). The results for the WASH composite indicator should combine data from the three individual indicators. How this is done will depend on available data, as set out in the 'data calculations' section below.
Rationale	*Rationale for a combined indicator:* In April 2012 the Secretary of State for International Development made a commitment to provide 60 million people with

	access to sustainable WASH. This commitment is included in *The Coalition: together in the national interest* (2013). This target supersedes the three targets outlined in *Changing Lives, Delivering Results* (2011). As WASH services are integrated, in some cases the same people received more than one service. A single figure, capturing the number of individuals reached through either one or a combination of WASH inputs with DFID support, is the chosen measure of our overall impact. Data on the number of people reached with each of the three WASH inputs will also continue to be recorded because it is necessary in order to calculate the composite indicator, because it is useful contextual information on DFID's WASH programmes, and to ensure a continued high standard of transparency in our reporting to the UK public. *Water supply*: Lack of water supply has negative impacts on poverty reduction, gender equity, child health and education. Ensuring everyone has access to a safe water supply is a high priority for the coalition government. *Sanitation*: Lack of sanitation has negative impacts on child health, nutritional outcomes and education. Ensuring everyone has access to and uses sanitation is a high priority for the coalition government. *Hygiene*: Hand washing with soap can reduce the prevalence of diarrhoea by 42-49%. Diarrhoea is the second greatest killer of children across the globe today and the number one cause of death in children in the continent of Africa. Good hygiene also protects against acute respiratory infections. Face and hand washing are also essential in preventing Neglected Tropical Diseases such as trachoma.
Country Office Role	Country offices should report this on this indicator through the DFID Results Framework data collection system. In reporting on this indicator the country office will take primary responsibility for ensuring adequate baseline data is available and that programmes include suitable indicators and requirements for regular measurement. Where direct budget support or sector support is being provided, country offices should determine the

	share of national results that can be attributed to DFID support (see general guidance on the DRF teamsite). Use of programme data on output level results (access to WASH services) is preferred.
Data source	Provision should be included in projects and programmes for the collection of data on improved WASH directly attributable to the intervention. This will normally be the primary source of data. Where water and sanitation results are delivered through non-specific WASH programmes, for instance health, education, social development or livelihoods, projects will need to collect WASH data in addition to other project data. Data on household size, where needed, should be determined from recent national census data or from a nationally representative household survey. In the case of sector and budget support, output level data on the three separate WaSH indicators is the preferred starting point before attributing DFID's share of results. If this is not available, national statistical data should be used but in this case, funding in the sector from other sources should be considered in addition to the government budget when calculating DFID's share of total expenditure. Water and sanitation coverage is a key indicator that we would expect to be included in partner countries national statistical record and which would provide the basic data required. The Joint Monitoring Programme of WHO/UNICEF (http://www.wssinfo.org/) publishes a report every 2 years using data on use of improved water supply and basic sanitation from surveys and censuses. The resulting international database of coverage provides a useful reference to assess the validity of country data (but should not be used as a primary source as the indicators measure usage and programme output level data is preferred). Where we are funding through multilateral partners at a country level, they should be requested to collect WASH specific data to demonstrate results achieved.
Data included	Results are to be collected from all relevant bilateral programmes including health, education, social development and livelihoods programmes (although not humanitarian programmes unless the facilities constructed are permanent). Refer to the three separate WASH methodology notes for further details

<table>
<tr><td></td><td>on definitions of which facilities/interventions may be included.

WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including ‘bilateral through a multilateral’) should be included in the DRF template.

Where specific support is provided to multilaterals at country level to support water, sanitation and hygiene programmes (“multi-bi”), it should be possible to attribute results to DFID but care will be needed to avoid double-counting with global programmes. If you have questions please contact the Statistics Adviser in the WASH Policy Team.</td></tr>
<tr><td>Data calculations</td><td>Two issues arise in calculating the number of unique people with sustainable access to one or more WASH services as a result of DFID support. More than one programme may target the same Geographical area and the same people may receive more than one type of WaSH intervention.

(1)If detailed information is available on WASH services received, compile a list of communities (with populations) where WaSH programmes (which may be overlapping) operate and categorise them using the matrix of the 7 possible interventions below. For each category sum the population being served by each intervention or combination of interventions. Summing the total from each category then provides the total number of unique beneficiaries, ensuring that people receiving more than one intervention are counted once only.

<table>
<tr><td>Water only</td><td>Water and sanitation</td></tr>
<tr><td>Sanitation only</td><td>Water and hygiene education</td></tr>
<tr><td>Hygiene education only</td><td>Sanitation and hygiene education</td></tr>
<tr><td></td><td>Water, sanitation and hygiene education</td></tr>
</table>

Example

A WASH programme provides 140,000 people with access to clean water, 60,000 with access to sanitation and 160,000 with hygiene education.</td></tr>
</table>

	In terms of the categories above, project data shows that we have the following numbers of people: Hygiene only: 50,000 Water only: 40,000 Sanitation only: 25,000 Water and hygiene: 75,000 Sanitation and hygiene: 10,000 Water, sanitation and hygiene: 25,000 The total number of unique people receiving WASH services is 225,000 (the total of these categories). (2)If detailed information is not available for analysis of services received, estimate the size of the population for which the programmes overlap and take only the highest figure from each type of WaSH intervention for the populations concerned. **Example: fully overlapping programmes or one programme providing a range of WaSH interventions** DFID's funding to the UNICEF Water and Health programme in Eritrea will provide sustainable access to an improved sanitation facility for 90,000 people and sustainable access to water for 20,000 people. The people provided with water and sanitation access will be in the same six regions of Eritrea, so we assume the results could largely or fully overlap. The larger figure of 90,000 people is used as a conservative estimate of unique people reached with access to water, sanitation or both. **Example: partly overlapping programmes** Two programmes exist as follows within the same country: Water: 100,000 people Sanitation: 80,000 people These two programmes overlap Geographically and it is not possible to determine how many people receive only water, only sanitation or both. If the programmes only partly overlap Geographically, the results could be scaled accordingly using the percentage overlap. For example, if only 25% of the

	sanitation results above are achieved in the same regions as the water results, the total result recorded should be 160,000 people calculated as follows: Highest result (water = 100,000) + non-overlapping sanitation result (60,000 = 75% of 80,000) = 160,000
Worked example	See imbedded examples above
Baseline	Baselines vary by country and 'results achieved between baseline and milestone 1' should be reported in the DRF template in addition to results for 2011/12 onwards where applicable. For projects, baseline data should be collected at the start of the project.
Good Performance	Good performance will be if the project is on track to meet the targets set out in the logframe.
Return format	Number of **unique** people reached with **one or more** water, sanitation or hygiene promotion intervention.
Data dis-aggregation	Data should be reported separately on the numbers of people provided with access to improved water supply; improved sanitation; and improved hygiene. There is space for this and to report on this combined indicator in the results template. Women and girls are most severely affected by the lack of adequate WASH. At the household level it is expected that all family members would benefit from the provision of the facility and therefore it may not make sense to sex disaggregate. Where there are specific gender impacts or issues (for example, a project aiming to increase access to sanitation for women and girls), data should be disaggregated by sex to the extent possible. Whilst this is not a requirement for DRF reporting, the MDG target indicator disaggregates data according to **rural/urban** and so this data should be collected wherever possible for the purposes of monitoring. Data should also be disaggregated by age where possible for this purpose.
Data availability	Provision should be included in projects and programmes for the collection of data on improved WASH directly attributable to the intervention. This will normally be the primary source of data. In cases such as general budget support where project level data may not be available, other sources may be used provided that DFID's attribution can be calculated. This may include national management information systems. In cases where it is difficult to calculate numbers for unique people or the overlaps in WASH provision, the alternative methods outlined in the 'Data

	calculations' section above may be used.
Time period/ lag	Data collection and analysis is likely to take a minimum of six to twelve months. Results achieved in previous years should be reported against that year as data becomes available.
Reporting Organisation	Data should be collected as part of project monitoring or national data (i.e. management information) may be the main source for general and sector budget support.
Quality assurance measures	It is recognised that the quality of data available to estimate the number of people reached with WASH interventions who did not previously have access to the services as defined in the methodology notes will vary. The quality of information on overlap between programmes will also vary. Please indicate any concerns in this respect in the results template and ensure that estimates are conservative where necessary by, for example, excluding overlap between programmes where data is not available on beneficiaries at an individual level (see data calculations section). The JMP of UNICEF/World Health Organisation collates and analyses data on use of water and sanitation facilities from a range of developing countries every 2 years. JMP uses national sources of data and a common indicator definition to estimate progress in the sector. This provides an independent assessment of country's own estimates of progress. Please note that this is a complementary, quality assurance measure which may not be directly comparable with DFID's indicators.
Data issues	Please refer to the annex for detail on data issues related to each of the 3 WASH interventions.
Contact	Laura Westcott, WASH team

Annex

Indicator description	**Number of people with sustainable access to clean drinking water sources through DFID support**
Type of Indicator	Cumulative – annual results are reported and summed over the entire reporting period, assuming that each individual is counted within one year only.
Methodological summary	The bilateral results attributable to DFID will be those from direct investment in improved drinking water sources. The results are based on the 'number of water points built or rehabilitated' multiplied by the 'number of beneficiaries per water point'. An improved drinking-water source is defined as one that, by nature of its construction or through active intervention, is protected from outside contamination, in particular from contamination with faecal matter. **Improved facilities** include piped water into dwelling; piped water to yard/plot; public tap or standpipe; tubewell or borehole; protected dug well; protected spring; and rainwater. This indicator excludes temporary facilities constructed as part of humanitarian interventions and other temporary means of water provision (e.g. bottles). Permanent facilities constructed under humanitarian programmes should be included.
Data source	Data should be collected as part of project monitoring or national data (i.e. management information) may be the main source for general and sector budget support. National surveys or JMP data (http://www.wssinfo.org/) may be used to provide a sense check on output level data, particularly for general or sector budget support.
Data calculations	Indicator = (c+r) x b where: c = number of water points constructed r = number of water points rehabilitated b = number of beneficiaries per water point A common example of b is where b = n x h n = average number of households served by each water point

	h = average number of people per household[i]. In many cases, multipliers 'b' for a variety of interventions will have been developed in each country. For example, the value of b will differ for different types of water point constructed and in different locations. WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including 'bilateral through a multilateral') should be included in the DRF template. It is important to avoid double counting of results. If the same people are beneficiaries in multiple years then the results for each year cannot be added together. It is unlikely that this will be the case with providing clean water facilities but any potential areas of double counting should be considered. However if the number of people able to access water points increases over the life of the programme/project the larger number can be used when reporting results. Where countries are supporting clean water provision through multiple funding mechanisms e.g. non-Government programmes, sector budget support and general budget support there are significant risks of double counting. Calculations to avoid this can be complex. Please contact the statistics lead on WASH for further advice. Where facilities are provided within public buildings such as schools or clinics but are not freely accessible to a community, the number of people reached cannot be included in this access indicator as their access is considered partial, in contrast to household access. Data on these kinds of facilities should be collected for project monitoring but should not be included in the DRF template. However, facilities provided within a community which can be accessed freely by all members of that community (e.g. a shared, protected spring) may be included. Judgement may be required and the WASH team can provide advice if necessary. Note that this calculation **does not** include a measure

[i] Figures for average household size will be available from the latest census or (nationally representative) household survey. The average household size may differ between urban and rural.

	of whether the water sources remain in use after a given period of time, i.e. it does not include a measure of the sustainability of the intervention. This data should be collected where possible for project monitoring purposes
Worked example	DFID provides 10% of the cost of a programme that has constructed 4,000 improved water sources and rehabilitated 1,000 water sources. Data shows that each serves an average of 50 households of average size 6 people. Indicator = 0.1 x (4,000 + 1,000) x 50 x 6 = 150,000
Data issues	It is important to note that DFID's methodology is consistent with the approach used by national government and multilateral organisations but is different to the JMP methodology that measures the number of people using improved sources of water. The JMP methodology includes people who gain access through self-supply but does not include people who live near an improved source but are excluded from using it for social, economic or other reasons.

Indicator description	Number of people with sustainable access to an improved sanitation facility through DFID support
Type of indicator	Cumulative – annual results are reported and summed over the entire reporting period assuming that each individual is counted within one year only.
Methodological summary	This result is based upon the 'number of sanitation facilities constructed' multiplied by the 'average number of beneficiaries per sanitation facility' The bilateral results attributable to DFID will be: (1) DFID-supported programmes that directly result in beneficiaries constructing their own facilities, for example Community-Led Total Sanitation (CLTS), Total Sanitation and Sanitation Marketing (TSSM) or other Community Approaches to Total Sanitation (CATS)[ii], where these activities are carried out with the purpose of eliminating open defecation in communities; (2) Those people who benefit from direct investment in sanitation facilities in the form of construction or rehabilitation of improved[iii] sanitation facilities. Facilities constructed under (1) may not meet the Joint Monitoring Programme (JMP) definition of 'improved sanitation' but should eliminate open defecation. This is consistent with the sanitation ladder approach adopted under the JMP. Therefore, latrines constructed with DFID support do not need to comply with the JMP definition of an 'improved' latrine in order to be counted towards our results, provided that they contribute towards eliminating open defecation in communities. The Country Office may choose to disaggregate results into facilities that meet the JMP definition of 'improved' and those that are 'unimproved' according to the JMP but eliminate open defecation. This will generate a more fine-grained picture of DFID's in-country contribution, but this will not affect the results to be reported centrally, which include both categories. This indicator excludes temporary facilities constructed as part of humanitarian interventions.

[ii] Monitoring should be carried out to verify that improved facilities have in fact been constructed.

[iii] **Improved facilities** include flush/pour flush toilets or latrines connected to a sewer, -septic tank, or -pit, ventilated improved pit latrines, pit latrines with a slab or platform of any material which covers the pit entirely, except for the drop hole and composting toilets/latrines.

	Permanent facilities constructed under humanitarian programmes may be included.
Data source	Data should be collected as part of project monitoring or national data (i.e. management information) may be the main source for general and sector budget support. National surveys or JMP data (http://www.wssinfo.org/) may be used to provide a sense check on output level data.
Data calculations	Indicator = s x b where: s = number of sanitation facilities constructed (if this is not monitored it could be estimated using h (number of households reached by a sanitation campaign (programme data) x r (average ratio of latrines constructed as a result of the campaign (from a sample survey)), see worked example) b = number of beneficiaries per sanitation facility. This is usually = average number of people per household Where facilities are provided within public buildings such as schools or clinics but are not freely accessible to a community, the number of people reached cannot be included in this access indicator as their access is considered partial, in contrast to household access. Data on these kinds of facilities should be collected for project monitoring but should not be included in the DRF template. However, facilities provided within a community which can be accessed freely by that community (e.g. within a market or other shared community area) may be included. Judgement may be required and the WASH team can provide advice if necessary. WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including 'bilateral through a multilateral') should be included in the DRF template. It is important to avoid double counting of results. If the same people are beneficiaries in multiple years then the results for each year cannot be added together. It is unlikely that this will be the case with providing sanitation facilities but any potential areas of double counting should be considered. However if the number of people able to access sanitation increases

	over the life of the programme / project the larger number can be used when reporting results. Where countries are supporting sanitation provision through multiple funding mechanisms e.g. non-Government programmes, sector budget support and general budget support there are significant risks of double counting. Calculations to avoid this can be complex. Please contact the statistics lead on Water and Sanitation (Watsan) for further advice. Note that this calculation **does not** include a measure of whether the sanitation facilities remain in use after a given period of time, i.e. it does not include a measure of the sustainability of the intervention. This data should be collected where possible for project monitoring purposes.
Worked example	Where the number of sanitation facilities is monitored directly: DFID provides 20% of the cost of a programme that has constructed 5,000 sanitation facilities, with an average number of beneficiaries per sanitation facility of 10. Indicator = 0.2 x 5,000 x 10 = 10,000 Or, where the number of beneficiaries of sanitation promotion is monitored only: DFID reaches 50,000 households with a sanitation campaign. A survey shows that on average, one latrine is built per 10 households reached through the campaign, generally for private household use. The average household size is 6.DFID provided 50% of the funding. Indicator = 50,000 * 0.1 *6 * 0.5 = 15,000
Data issues	National programmes frequently count the number of facilities constructed. It is important to verify using other means that such facilities are brought into use for their intended purpose.

Indicator description	Number of people with access to improved hygiene through DFID support to hygiene promotion
Type of Indicator	Cumulative – annual results are reported and summed over the entire reporting period, assuming that each individual is counted within one year only.
Methodological summary	This indicator is an output measure of the number of beneficiaries of hygiene programmes. Understanding whether hygiene promotion has in fact led to behaviour change (i.e. improved hygiene) is at the heart of understanding the impact of hygiene promotion programmes. This is not required as part of this indicator due to the difficulties in measuring behaviour change, but should be measured and recorded (as part of project monitoring) wherever possible. Indicators of key hygiene practices vary across a broad spectrum and are included in the later 'Data Issues' section for reference. The numbers reported must be attributable to DFID. See the DFID Results Framework general guidance **Hygiene promotion** is defined as "a planned approach to preventing diarrhoeal diseases through the widespread adoption of safe hygiene practices. It begins with, and is built on what local people know, do and want." (UNICEF definition) Hygiene promotion activities can cover communication, social mobilisation, community participation, social marketing and advocacy, to bring about behaviour change.
Data source	Programme data on number of beneficiaries. Provision should be included in projects for collection of data on number of beneficiaries directly attributable to the intervention. This will normally be the primary source of data. Where water results are delivered through non-specific WASH programmes, for instance health, education, social development or livelihoods, projects will need to collect WASH data in addition to other project data. In the case of sector and budget support, output level data (i.e. the number of people reached with hygiene promotion) is the preferred starting point

	before attributing DFID's share of results. If this is not available, national statistical data should be used but in this case, funding in the sector from other sources should be considered in addition to the government budget when calculating DFID's share of total expenditure . Where we are funding through multilateral partners at a country level, they should be requested to collect WASH specific data to demonstrate results achieved. We recognise the difficulties in this area and are happy to discuss solutions that country offices may propose.
Data calculations	This is a simple count of the number of beneficiaries of each relevant programme with an attempt to remove double counting. It is important to avoid double counting of results. If the same people are beneficiaries in multiple years then the results for each year cannot be added together. This is quite possible in the case of hygiene promotion. WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including 'bilateral through a multilateral') should be included in the DRF template. Where specific support is provided to multilaterals at country level (i.e. 'bilateral through a multilateral' programmes) to support water and sanitation programmes, it may be possible to attribute results to DFID but care will be needed to avoid double-counting with global programmes. Contact the statistics lead on Water and Sanitation (Watsan) for further advice if necessary. If there is more than one type of hygiene promotion activity in the country, the total number of unique beneficiaries should be reported. Hygiene promotion beneficiaries of broader sectoral programmes including health, education, social development and livelihoods should be included

	against this indicator. However it is important that only the beneficiaries actually reached with hygiene promotion are included. An example could be that 3 million people receive improved health services and that (of those 3 million), 500,000 people are covered by a handwashing programme. The count against this indicator should be 500,000 (with monitoring of behaviour change, in addition, wherever possible). Where countries are supporting hygiene promotion through multiple funding mechanisms e.g. non Government programmes, sector budget support and general budget support there are significant risks of double counting. Calculations to avoid this can be complex. Please contact the Note that this indicator will at times overlap with the sanitation indicator. This is if the beneficiaries of a hygiene programme go on to build a latrine. These people may be counted under both indicators but must only be counted once for the purposes of the combined indicator on access to **one or more WASH services.**
Data issues	We encourage input from offices, particularly on the data challenges. This indicator is an **output indicator.** It does not capture whether the beneficiaries of programmes go on to use best hygiene practices. This indicator has been preferred to the proxy for handwashing with soap (proportion of households with a designated place to wash hands, in or near the sanitation facility, with a hand cleansing agent (soap or ash) and water available at the time of inspection).This is because of the difficulties of measurement and attribution. It is important to note that mere presence of a facility does not mean that behaviour has changed. What we really want to measure is consistency and frequency of use. But country offices are encouraged to use this proxy indicator to evaluate the reach of their work where available. Indicators of key hygiene practices vary across a broad spectrum but include: • Handwashing at the 4 critical times; after defecation, after cleaning a baby/child after

	baby/child's defecation, before preparing food, before feeding a child. • Observing the safe drinking water chain from protected source to mouth (covering collection, transport (portage), storage and extraction for drinking e.g. ladle, two cup system, and tap. • Ensuring a safe, clean environment i.e. keeping both human and animal faeces out of the immediate living environment as well as other organic waste which promotes fly breeding with all such waste deposited in rubbish/compost pits at a safe distance from the compound. • Safe storage of food • Safe storage of utensils Approaches to measurement/assessment vary depending on a number of factors including the type of intervention and resources available for monitoring. The three standard approaches, in order of increasing difficulty and resource-intensiveness are: 1. Self report (interview or questionnaire survey). Example indicator**:** % reporting washing hands with soap at critical times (e.g. after defecation). 2. Proxy/inference (e.g. “spot checks" of facilities, knowledge questions). Example indicator: % households with soap & water present at the designated place for handwashing (DHS survey question 137,138 and 139 or Handwashing Module of MICS survey). 3. Structured observation of behaviour. Example Indicator: % of caregivers observed washing hands with soap at critical times (e.g. before food preparation). At the level of medium to large scale programmes a combination of self-report and proxy measures may be most appropriate but these should be combined with direct observation data from a sample of the target population. The method adopted to measure hygiene <u>practices</u> is left to the discretion of the country office.

Indicator description	Number of people with access to improved hygiene through DFID support to hygiene promotion
Version	Quest version 2.14 DATE: 18/02/2012
Changes since last version	• Clarification on preferred data sources, the counterfactual and avoiding double counting. Note: most of these changes are for clarification and should not greatly affect reporting.
Type of Indicator	Cumulative – annual results are reported and summed over the entire reporting period, assuming that each individual is counted within one year only.
Methodological summary	This indicator is an output measure of the number of beneficiaries of hygiene programmes. Understanding whether hygiene promotion has in fact led to behaviour change (i.e. improved hygiene) is at the heart of understanding the impact of hygiene promotion programmes. This is not required as part of this indicator due to the difficulties in measuring behaviour change, but should be measured and recorded (as part of project monitoring) wherever possible. Indicators of key hygiene practices vary across a broad spectrum and are included in the later 'Data Issues' section for reference. The numbers reported must be attributable to DFID. See the DFID Results Framework general guidance **Hygiene promotion** is defined as "a planned approach to preventing diarrhoeal diseases through the widespread adoption of safe hygiene practices. It begins with, and is built on what local people know, do and want." (UNICEF definition) Hygiene promotion activities can cover communication, social mobilisation, community participation, social marketing and advocacy, to bring about behaviour change. The preferred data source for this indicator is programme data on direct beneficiaries and this should capture only individuals who have been reached with hygiene promotion activities as defined within this methodology which they had not previously received. If alternative data sources are used, care must also be taken to establish the counterfactual – i.e. the number or proportion of people who already had access to some kind of hygiene promotion activity according to

	the definitions outlined in this methodology. In essence, each individual should be counted only once, even if the same individual benefits from multiple interventions in different years.
Rationale	Diarrhoea is the second greatest killer of children across the globe today and the number one casue of child deaths in the continent of Africa. Hand washing with soap can reduce the prevalence of diarrhoea by 42-49%. It also protects against acute respiratory infections. Face and hand washing are also essential in preventing Neglected Tropical Diseases such as trachoma.
Country Office Role	Country offices should report this on this indicator through the DFID Results Framework data collection system. In reporting on this indicator the country office will take primary responsibility for ensuring adequate baseline data is available and that programmes include suitable indicators and requirements for regular measurement. Where direct budget support or sector support is being provided, country offices should determine the share of national results that can be attributed to DFID support (see general guidance on the DRF teamsite). Use of figures on output level results (access to WASH services) is preferred.
Data source	Programme data on number of beneficiaries. Provision should be included in projects for collection of data on number of beneficiaries directly attributable to the intervention. This will normally be the primary source of data. Where water results are delivered through non-specific WASH programmes, for instance health, education, social development or livelihoods, projects will need to collect WASH data in addition to other project data. In the case of sector and budget support, output level data (i.e. the number of people reached with hygiene promotion) is the preferred starting point before attributing DFID's share of results. If this is not available, national statistical data should be used but in this case, funding in the sector from other sources should be considered in addition to the government budget when calculating DFID's share of total expenditure. Where we are funding through multilateral partners at

	a country level, they should be requested to collect WASH specific data to demonstrate results achieved. We recognise the difficulties in this area and are happy to discuss solutions that country offices may propose.
Data included	Results are to be recorded from all relevant bilateral programmes including health, education, social development and livelihoods programmes. Where specific support is provided to multilaterals at country level to support water, programmes ("multi-bi"), it should be possible to attribute results to DFID but care will be needed to avoid double-counting with global programmes. If you have questions please contact the Statistics Adviser in the WASH Policy Team. WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including 'bilateral through a multilateral') should be included in the DRF template. Where countries are supporting hygiene promotion through multiple funding mechanisms e.g. non Government programmes, sector budget support and general budget support there are significant risks of double counting. Calculations to avoid this can be complex. Please contact the WASH statistical lead if in doubt. If there is more than one type of hygiene promotion activity in the country, the total number of unique beneficiaries. Hygiene promotion beneficiaries of broader sectoral programmes including health, education, social development and livelihoods should be included against this indicator. However it is important that only the beneficiaries actually reached with hygiene promotion are included. An example could be that 3 million people receive improved health services and that (of those 3 million), 500,000 people are covered by a handwashing programme. The count against this indicator should be 500,000 (with monitoring of behaviour change, in addition, wherever possible). Note that this indicator will at times overlap with the sanitation indicator. This is if the beneficiaries of a

	hygiene programme go on to build a latrine. These people may be counted under both indicators but **must only be counted once for the purposes of the combined indicator** on access to **one or more WASH services.**
Data calculations	This is a simple count of the number of beneficiaries of each relevant programme with an attempt to remove double counting. It is important to avoid double counting of results. If the same people are beneficiaries in multiple years then the results for each year cannot be added together. This is quite possible in the case of hygiene promotion.
Most recent baseline	Baselines vary by country and 'results achieved between baseline and milestone 1' should be reported in the DRF template in addition to results for 2011/12 onwards where applicable. For projects, baseline data should be collected at the start of the project.
Good Performance	Good performance will be if the project is on track to meet the targets set out in the logframe.
Return format	Number of people with access to improved hygiene through DFID support to hygiene promotion
Data dis-aggregation	Women and girls are most severely affected by the lack of adequate WASH. At the household level it is expected that all family members would benefit from the provision of the facility and therefore it may not make sense to sex disaggregate. Where there are specific gender impacts or issues (for example, a project aimed at women and girls), data should be disaggregated by sex to the extent possible.
Data availability	Provision should be included in projects and programmes for the collection of data on access to hygiene promotion activities directly attributable to the intervention. This will normally be the primary source of data. In cases such as general budget support where project level data may not be available, other sources may be used provided that DFID's attribution can be calculated. This may include national management information systems
Time period/ lag	Data collection and analysis is likely to take a minimum of six to twelve months. Results achieved in previous years should be reported against that year as data becomes available.
Quality assurance measures	It is recognised that the quality of data available to estimate the number of unique people reached with access to clean drinking water as defined in this note will vary. Please indicate any concerns with respect to this in the results template.

	Demography and Health Surveys (DHS) and Multiple Indicator Cluster Surveys (MICS) surveys provide standardised, internationally comparable and nationally representative data for hygiene promotion indicators. The JMP does not currently report on hygiene.
Data issues	We encourage input from offices, particularly on the data challenges. This indicator is an **output indicator.** It does not capture whether the beneficiaries of programmes go on to use best hygiene practices. This indicator has been preferred to the proxy for handwashing with soap (proportion of households with a designated place to wash hands, in or near the sanitation facility, with a hand cleansing agent (soap or ash) and water available at the time of inspection) This is because of the difficulties of measurement and attribution. It is important to note that mere presence of a facility does not mean that behaviour has changed. What we really want to measure is consistency and frequency of use. But country offices are encouraged to use this proxy indicator to evaluate the reach of their work where available. Indicators of key hygiene practices vary across a broad spectrum but include: • Handwashing at the 4 critical times; after defecation, after cleaning a baby/child after baby/child's defecation, before preparing food, before feeding a child. • Observing the safe drinking water chain from protected source to mouth (covering collection, transport (portage), storage and extraction for drinking e.g. ladle, two cup system, and tap. • Ensuring a safe, clean environment i.e. keeping both human and animal faeces out of the immediate living environment as well as other organic waste which promotes fly breeding with all such waste deposited in rubbish/compost pits at a safe distance from the compound. • Safe storage of food • Safe storage of utensils Approaches to measurement/assessment vary

	depending on a number of factors including the type of intervention and resources available for monitoring. The three standard approaches, in order of increasing difficulty and resource-intensiveness are: 1. Self report (interview or questionnaire survey). Example indicator**:** % reporting washing hands with soap at critical times (e.g. after defecation). 2. Proxy/inference (e.g. “spot checks" of facilities, knowledge questions). Example indicator: % households with soap & water present at the designated place for handwashing (DHS survey question 137,138 and 139 or Handwashing Module of MICS survey). 3. Structured observation of behaviour. Example Indicator: % of caregivers observed washing hands with soap at critical times (e.g. before food preparation). At the level of medium to large scale programmes a combination of self-report and proxy measures may be most appropriate but these should be combined with direct observation data from a sample of the target population. The method adopted to measure hygiene practices is left to the discretion of the country office.
Contact	Laura Westcott

Indicator description	Number of people with sustainable access to an improved sanitation facility through DFID support
Version	Quest version 2.16 DATE: 18/02/2012
Changes since last version	• Clarification of the types of shared sanitation facilities which may or may not be counted under the relevant indicators. • Additional numerical worked examples. • Clarification on preferred data sources, the counterfactual, avoiding double counting, sustainability and comparability with JMP indicators. Note: most of these changes are for clarification and should not greatly affect reporting.
Type of indicator	Cumulative – annual results are reported and summed over the entire reporting period, assuming that each individual is counted within one year only.
Technical definition / Methodological summary	This result is based upon the 'number of sanitation facilities constructed' multiplied by the 'average number of beneficiaries per sanitation facility' The bilateral results attributable to DFID will be: (1) DFID-supported programmes that directly result in beneficiaries constructing their own facilities, for example Community-Led Total Sanitation (CLTS), Total Sanitation and Sanitation Marketing (TSSM) or other Community Approaches to Total Sanitation (CATS)[i]; (2) Those people who benefit from direct investment in sanitation facilities in the form of construction or rehabilitation of improved[ii] sanitation facilities.

[i] Monitoring should be carried out to verify that improved facilities have in fact been constructed. Facilities constructed under (1) may not meet the JMP definition of 'improved sanitation' but should eliminate open defecation.

[ii] [ii] **Improved facilities** include flush/pour flush toilets or latrines connected to a sewer, -septic tank, or -pit, ventilated improved pit latrines, pit latrines with a slab or platform of any material which covers the pit entirely, except for the drop hole and composting toilets/latrines.

	Facilities constructed under (1) may not meet the Joint Monitoring Programme (JMP) definition of 'improved sanitation' but should eliminate open defecation. This is consistent with the sanitation ladder approach adopted under the JMP. Therefore, latrines constructed with DFID support do not need to comply with the JMP definition of an 'improved' latrine in order to be counted towards our results, provided that they contribute towards eliminating open defecation in communities. The Country Office may choose to disaggregate results into facilities that meet the JMP definition of 'improved' and those that are 'unimproved' according to the JMP but eliminate open defecation. This will generate a more fine-grained picture of DFID's in-country contribution, but this will not affect the results to be reported centrally, which include both categories. This indicator excludes temporary facilities constructed as part of humanitarian interventions. Permanent facilities constructed under humanitarian programmes may be included. The preferred data source for this indicator is programme data on direct beneficiaries and this should capture only individuals who have gained access to sanitation as defined within this methodology which they did not previously have. If alternative data sources are used, care must also be taken to establish the counterfactual – i.e. the number or proportion of people who already had access sanitation according to the definitions outlined in this methodology. This may not always be clear cut. The judgement is whether the level of access has improved from not meeting the definitions within the methodology notes to now meeting the definitions after the intervention. Please make conservative estimates in this respect and contact the WASH policy team if clarification is required. Each individual should be counted only once, even if the same individual benefits from multiple interventions in different years.

	This indicator refers to sustainability. Measuring sustainability is challenging and would require monitoring well beyond the timespan of the DFID Results Framework. It therefore is not possible to require that all interventions are verified as sustainable. However, sustainability should be considered within project design and monitoring. Note that unlike the Joint Monitoring Programme (JMP), this indicator measures access rather than use. In this sense, the indicators are generally aligned with other DFID Results Framework indicators which are pitched at output rather than outcome level. Measuring use and attributing the results to DFID would be challenging and potentially more subjective.
Rationale	Lack of sanitation has negative impacts on child health, nutritional outcomes and education.. Ensuring everyone has access to sanitation is a high priority for the coalition government.
Country Office Role	Country offices should report this on this indicator through the DFID Results Framework data collection system. In reporting on this indicator the country office will take primary responsibility for ensuring adequate baseline data is available and that programmes include suitable indicators and requirements for regular measurement. Where direct budget support or sector support is being provided, country offices should determine the share of national results that can be attributed to DFID support (see general guidance on the DRF teamsite). Use of figures on output level results (access to WASH services) is preferred.
Data source	Provision should be included in projects and programmes for the collection of data on improved access to sanitation directly attributable to the intervention. This will normally be the primary source of data. Where sanitation results are delivered through non-specific WASH programmes, for instance health, education, social development or livelihoods, projects will need to collect WASH data in addition to other project data.

	Data on household size, where needed, should be determined from recent national census data or from a nationally representative household survey. In the case of sector and budget support, output level data (i.e. the number of sanitation facilities constructed) is the preferred starting point before attributing DFID's share of results. If this is not available, national statistical data should be used but in this case, funding in the sector from other sources should be considered in addition to the government budget when calculating DFID's share of total expenditure . Sanitation coverage is a key indicator that we would expect to be included in partner countries national statistical record and which would provide the basic data required. The Joint Monitoring Programme of WHO/UNICEF (http://www.wssinfo.org/) publishes a report every 2 years using data on use of improved water supply and basic sanitation from surveys and censuses. The resulting international database of coverage provides a useful reference to assess the validity of country data (but should not be used as a primary source, output level data is preferred). Where we are funding through multilateral partners at a country level, they should be requested to collect WASH specific data to demonstrate results achieved.
Data included	Results are to be recorded from all relevant bilateral programmes including health, education, social development and livelihoods programmes (although not humanitarian programmes unless the facilities constructed are permanent). Where specific support is provided to multilaterals at country level to support sanitation, programmes ("multi-bi"), it should be possible to attribute results to DFID but care will be needed to avoid double-counting with global programmes. If you have questions please contact the Statistics Adviser in the

	WASH Policy Team. WASH results achieved through DFID core funding to multilateral organisations will be considered separately, following an agreed approach across DFID. Only bilateral results (including 'bilateral through a multilateral') should be included in the DRF template. It is important to avoid double counting of results. If the same people are beneficiaries in multiple years then the results for each year cannot be added together. It is unlikely that this will be the case with providing sanitation facilities but any potential areas of double counting should be considered. However if the number of people able to access sanitation facilities increases over the life of the programme / project the larger number can be used when reporting results. Where countries are supporting sanitation provision through multiple funding mechanisms e.g. non Government programmes, sector budget support and general budget support there are significant risks of double counting. Calculations to avoid this can be complex. Please contact the statistics lead on Water and Sanitation (Watsan) for further advice. Where facilities are provided within public buildings such as schools or clinics but are not freely accessible to a community, the number of people reached cannot be included in this access indicator as their access is considered partial, in contrast to household access. Data on these kinds of facilities should be collected for project monitoring but should not be included in the DRF template. However, facilities provided within a community which can be accessed freely by that community (e.g. within a market or other shared community area) may be included. Judgement may be required and the WASH team can provide advice if necessary. Note that this calculation **does not** include a measure of whether the sanitation facilities remain in use after a given period of time, i.e.

	it does not include a measure of the sustainability of the intervention. This data should be collected where possible for project monitoring purposes.
Data calculations	Indicator = s x b where: s = number of sanitation facilities constructed (if this is not monitored it could be estimated using h (number of households reached by a sanitation campaign (programme data) x r (average ratio of latrines constructed as a result of the campaign (from a sample survey)), see worked example) b = number of beneficiaries per sanitation facility. This is usually = average number of people per household
Worked example	Where the number of sanitation facilities is monitored directly: DFID provides 20% of the cost of a programme that has constructed 5,000 sanitation facilities, with an average number of beneficiaries per sanitation facility of 10. Indicator = 0.2 x 5,000 x 10 = 10,000 Or, where the number of beneficiaries of sanitation promotion is monitored only: DFID reaches 50,000 households with a sanitation campaign. A survey shows that on average, one latrine is built per 10 households reached through the campaign, generally for private household use. The average household size is 6.DFID provided 50% of the funding. Indicator = 50,000 * 0.1 *6 * 0.5 = 15,000
Most recent baseline	Baselines vary by country and 'results achieved between baseline and milestone 1' should be reported in the DRF template in addition to results for 2011/12 onwards where applicable. For projects, baseline data should be collected at the start of the project.
Good Performance	Good performance will be if the project is on track to meet the targets set out in the

	logframe.
Return format	Number of people with sustainable access to an improved sanitation facility through DFID support
Data dis-aggregation	Women and girls are most severely affected by the lack of adequate WASH. At the household level it is expected that all family members would benefit from the provision of the facility and therefore it may not make sense to sex disaggregate. Where there are specific gender impacts or issues (for example, a project aiming to increase access to sanitation for women and girls), data should be disaggregated by sex to the extent possible. Whilst this is not a requirement for DRF reporting, the MDG target indicator disaggregates data according to **rural/urban** and so this data should be collected wherever possible for the purposes of monitoring. Data should also be disaggregated by age where possible for this purpose.
Data availability	Provision should be included in projects and programmes for the collection of data on improved access to sanitation directly attributable to the intervention. This will normally be the primary source of data. In cases such as general budget support where project level data may not be available, other sources may be used provided that DFID's attribution can be calculated. This may include national management information systems.
Time period/ lag	Data collection and analysis is likely to take a minimum of six to twelve months. Results achieved in previous years should be reported against that year as data becomes available.
Quality assurance measures	It is recognised that the quality of data available to estimate the number of unique people reached with access to sanitation will vary. Please indicate any concerns in this respect on the results template. The JMP of UNICEF/World Health Organisation collates and analyses data on use of water and sanitation facilities from a range of developing countries every 2 years. JMP uses national sources of data and a

	common indicator definition to estimate progress in the sector. This provides an independent assessment of country's own estimates of progress. Please note that this is a complementary, quality assurance measure which may not be directly comparable with DFID's indicators.
Data issues	National programmes frequently count the number of facilities constructed. It is important to verify using other means that such facilities are brought into use for their intended purpose. Latrines constructed with DFID support do not need to comply with the JMP definition of an 'improved' latrine in order to be counted towards our results[iii]. Rather they should comply with country definitions of latrines that provide access to sanitation.
Contact	Laura Westcott

[iii] **Improved facilities** include flush/pour flush toilets or latrines connected to a sewer, -septic tank, or -pit, ventilated improved pit latrines, pit latrines with a slab or platform of any material which covers the pit entirely, except for the drop hole and composting toilets/latrines.