



亚 行 技 术 援 助 项 目 成 果

Report on Results of the Asian Development Bank
Technical Assistance Project

国家重大项目稽察能力建设报告

重大项目稽察特派员办公室

中国物价出版社

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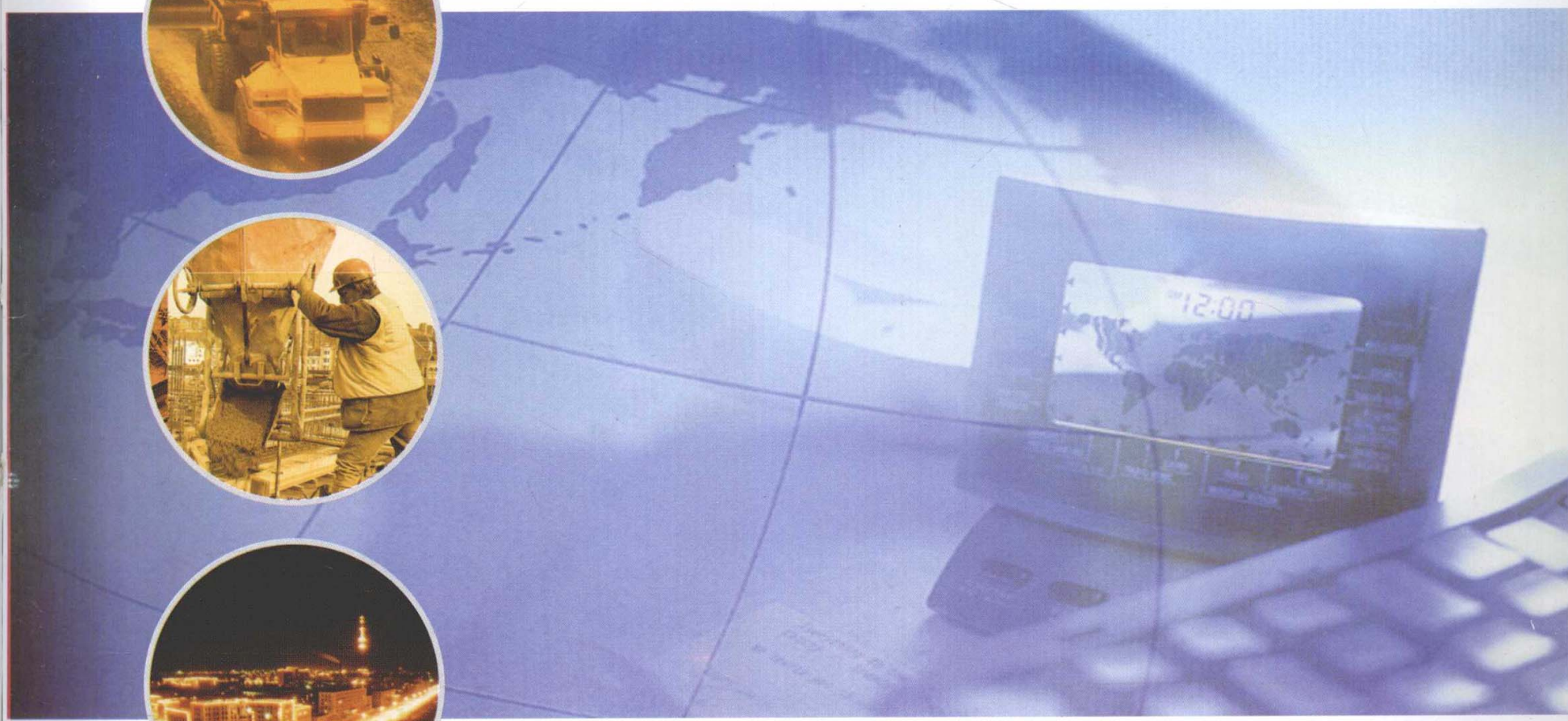
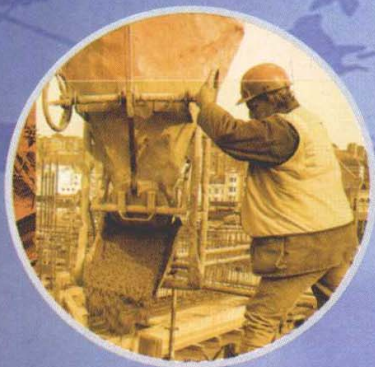
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编者 2003 年 5 月



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Preface

Ever since China became a member of Asian Development Bank in 1986, the Chinese government has maintained sound cooperation with ADB in the forms of project loans, technical assistance and so on, all of which have played active roles in Chinese economic construction. As always, the successful accomplishment of technical assistance by ADB in this specific project will help to improve the management quality of China's project construction.

In the macro-management of fixed asset investment, it is China's unyielding goal to increase investment efficiency by reinforcing the management of each specific project. As of the 1980s, China undertook a series of reforms to build up the management system in conformity with the socialist market economy and based on international experiences. New systems include those of legal person accountability,

project equity capital management, tendering&bidding, project monitoring contract supervision, lifelong accountability for project quality, etc. Meanwhile, the new system of project evaluation consistent with China's reality has also been established for the purpose of fortifying the above-mentioned systems as well as ensuring the absolute control of the whole procedure from investment, schedule making, quality assessment to safety monitoring.

At the first stage of this system construction, the mechanism of "evaluation before decision" was established in 1985, requesting pre-evaluation in all projects by qualified consulting institutions before the government decision, which consequently ensures the high degree of accountability and efficiency in decision-making. In 1988, the State Development Planning Commission initiated the post-evaluation system,

序言

白 1986年中国加入亚洲开发银行以来，中国政府与亚洲开发银行一直保持着良好的合作关系。双方通过项目贷款、技术援助等卓有成效的合作，对促进中国经济建设发挥了积极作用。本次亚洲开发银行技术援助项目的顺利完成，将有助于中国建设项目管理工作的加强。

通过强化建设项目管理，不断提高投资效益，始终是中国固定资产投资宏观管理追求的目标。20世纪80年代以来，按照建立社会主义市场经济体制的要求，借鉴国际经验，中国在建设管理体制方面进行了一系列的改革，实行了建设项目法人责任制、项目资本金制、工程招标投标制、工程监理制、

工程建设合同管理制、质量终身责任制等一系列新的管理制度。与此同时，为了保证这些管理制度的有效实施，搞好建设项目投资、进度、质量、安全四大控制，还逐步建立起了适合中国国情的项目评价制度。1985年，在项目的前期工作阶段，中国建立了“先评估后决策”制度，要求所有新上项目都要先委托有资格的工程咨询单位进行评估，然后政府部门再进行决策，从而较好地保证了项目决策的民主化和科学化。1988年，中国国家计委开始推行建设项目的后评价工作，即在项目建设完工后的一定时间内，对项目建设的决策、设计、施工、质量、进度、投资效益等进行全面的评价，以

which means the execution of a thorough evaluation of decision-making, project design, construction quality, progress and investment efficiency within a specific period after the project is accomplished. This is to review the whole procedure of finished projects and draw out instructions for the proceeding ones. Sequentially, other state government departments, financial institutions and local governments have established similar post-evaluation systems according to this model.

In 1998, the KPIO of the State Development Planning Commission was founded. During the past four years, the KPIO inspected more than 600 key projects throughout the country and, by taking instant measures, has avoided enormous economic losses as well as accumulated rich experiences. In general, after years-long endeavors by all departments concerned, proper management of projects has been normalized in China.

The 16th CPC National Congress set the development objective at constructing an affluent society within the first two decades of the 21st Century, for which purpose a large quantity of key projects shall be launched per annum. With China's accession into the WTO and the investment financing system reforms charging ahead, there has arisen a more urgent need for better project management. We believe the publication of this book will provide helpful reference for project management in the future, and we would like to avail ourselves of this opportunity to express our appreciation for the active assistance by Asian

Development Bank.

Jiang Weixin
Vice Chairman
SDPC

总结经验教训，指导其它项目的建设。此后，中国的其他政府部门、金融机构和地方政府部门也陆续开展了项目的后评价工作。1998年中国国家计委成立了重大建设项目稽察特派员办公室，主要负责对项目建设全过程进行监督检查。四年多来，国家计委重大建设项目稽察特派员办公室已对600多个建设项目进行了稽察，对发现的问题及时进行查处，为国家挽回了大量经济损失，积累了较为丰富的实践经验。总的来看，经过多年的努力，中国的建设项目管理工作已走上了比较规范化的轨道。

中国共产党第十六次全国代表大会提出了二十一世纪头二十年全面建设小康社会的目标。要实现这一宏伟目标，每年都要投资建设一批重大建设项目。随着中国加入WTO和中国投融资体制改革的不断深化，对建设项目管理的要求也越来越高。我相信，本书的出版发行，将会对我国今后建设项目的管理工作提供许多有益的借鉴。也借此向亚洲开发银行给予的支持表示感谢。

国家发展计划委员会副主任 姜伟新

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亚洲开发银行评价局致辞

OED Address

亚洲开发银行北京代表处致辞

ADB Beijing Resident Mission Address

亚洲开发银行简介

ADB at a glance

亚洲开发银行执行评价局简介

Operations Evaluation Department-OED

国家计委重大项目稽察办简介

Brief Introduction about KPIO



The Asian Development Bank (ADB)'s Project Performance Management System—a Results Monitoring and Evaluation System.

The Asian Development Bank (ADB) is increasingly required to demonstrate the development effectiveness of its operations and to be accountable for its performance to a range of internal and external stakeholders. In response, ADB has moved to improve project quality at entry and to introduce more effective project performance management during implementation. ADB has progressively developed, tested, refined and introduced a project performance management system (PPMS). This is a coherent and results-based approach to monitoring and evaluating implementation performance and development impact at various stages of the project cycle. Outside ADB, results monitoring and evaluation (RME) is a more commonly used term for such a system.

PPMS is a results-based design, monitoring, and evaluation process that provides feedback throughout the project cycle. The project (logical) framework is used for project design and establishes tar-

gets and performance indicators. These indicators are used during project implementation for project monitoring and management, and reported on via a project performance report (PPR—an ADB reporting format). The same performance indicators are used for self-evaluation by operational departments at completion (project completion report) and for postevaluation (project performance audit report) by ADB's Operations Evaluation Department (OED). While a number of the elements of PPMS have been in use for some time, recent refinements have sought to ensure a common framework for monitoring and evaluation throughout the project cycle. Important among recent changes, a significantly enhanced PPR became operational on 1 July 2001.

PPMS is expected to be part of day-to-day project management, providing regular updates on project progress and early warning to project managers and others of emerging problems that require corrective



亚洲开发银行项目绩效管理体系 ——以结果为导向的监测评价系统

亚洲开发银行越来越被要求证明其业务开发有效，并且要对项目的执行情况向各个内部和外部股东负责。与此相应，亚行已经从项目一开始就注意提高建设质量，并且在项目实施中采用更有效的项目绩效管理方法。亚行已经逐步开发、试点、改进并且在项目实施中引入了项目绩效管理体系(PPMS)。这是一种对项目建设各阶段的实施绩效和发展影响进行监测评价的条理清晰且以结果为导向的方法。在亚行以外，通常用“结果监测和评价(RME)”来表示这样的一个系统。

项目绩效管理体系是一个以结果为导向的设计、监测和评价过程，它为整个项目提供了反馈机制。它采用项目逻辑框架法来进行项目规划，建立项目目标以及绩效指标。

这些指标在项目实施过程中用于对项目进行监测和管理，并且通过项目绩效报告(PPR)上报有关的情况(PPR系亚行的一种上报形式)。项目执行机构采用相同的绩效指标在项目完工时进行自我评价(项目完工报告)；亚行执行评价局(OED)则用这些指标来进行后评价(项目绩效审计报告)。项目绩效管理体系中的许多指标已被使用了很长一段时间，而新近的改进则旨在确保在整个项目过程中建立一种普遍的项目监测评价框架。其中，作了很大改进的项目绩效报告体系已于2001年7月1日开始实施。

项目绩效管理体系将成为项目日常管理的一部分，为项目管理者和其他相关人员定期提供项目进程的更新材料，以及需要采取纠正措施的突发性问题的早期预警，

action. It aims to contribute to improved project performance, and is part of ADB's accountability framework. The use of the PPMS is mandatory for all loan-financed projects assisted by ADB.

The PPMS extends and replaces benefit monitoring and evaluation (BME) formerly used by ADB. The PPMS serves the same ends as BME but achieves these in a different manner. Both BME and PPMS measure outcomes or impacts (identified as benefits and results). The PPMS goes beyond BME and seeks to establish a cause and effect relationship between the project and its expected impact. It does this by using the targets and indicators determined in the project framework during design. During project implementation, the PPMS reviews project progress and requires an assessment of the likelihood that development objectives will be achieved. A preliminary assessment of impacts or their likely magnitude is then made at completion via the project completion report and a more detailed impact assessment is made for a sample of projects, via the project performance audit report. BME measured changes in a range of socio-economic indicators at fixed points of project implementation (typically at the start, midpoint, and completion), but focused only on benefits, and provided little or no information of immediate utility to project managers.

PPMS requires an effective project reporting system and is very dependent on collaboration with and inputs from project executing agencies. Establishing an effective

project monitoring and reporting system is an integral part of all ADB-financed projects, many of which have included capacity building technical assistance to strengthen executing agencies' capabilities in this. In addition, assistance has been provided to central planning and evaluation offices to help build capacity.

Building an effective project performance management capacity in a country can be a long-term developmental process. This process has been evolving in the People's Republic of China (PRC) since the early 1980s and remarkable progress has been achieved since then, although much remains to be done in building an effective evaluative system to improve the quality of investment projects. ADB has extended several evaluation oriented TAs to a number of PRC Government agencies since 1994, including the People's Bank of China, China Development Bank, and the China National Audit Office. A TA completed in 1999 recommended that the then newly created Key Project Inspectors Office (KPIO) under the State Development Planning Commission (SDPC) should be strengthened institutionally and operationally. Training inputs have been provided for building up KPIO's staff capability in project performance monitoring and evaluation in general and in institutionalizing a results-based management system in KPIO. The experiences and results of this assistance are set out in this report. I hope that the dissemination of these findings will be of interest to those that read it and will help in improving project performance and