



AFRICAN DEVELOPMENT BANK GROUP

Independent Development Evaluation

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SUMMARY REPORT

Independent Evaluation of Policy and Strategy Making and Implementation



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List of Acronyms and Abbreviations

ADB	Asian Development Bank
ADER	Annual Development Effectiveness Review
ADF	African Development Fund
AfDB	African Development Bank
CHRM	Corporate Human Resources Management Department
COBS	Strategy and Budget Department
CODE	Committee on Development Effectiveness
COSP	Strategy and Operational Policies Department
CSO	Civil society organization
CSP	Country Strategy Paper
DAM	Delegation of Authority Matrix
DFID	Department for International Development
ESW	Economic and sector work
GAVI	Global Alliance for Vaccines and Immunization
GCI	General Capital Increase
GECL	General Counsel and Legal Services
IADB	Inter-American-Development Bank
IDA	International Development Association
IDEV	Independent Development Evaluation Department
IFAD	International Fund for Agricultural Development
IFI	International financial institution
IRM	Independent Review Mechanism
M&E	Monitoring and evaluation
MDB	Multilateral development bank
MTS	Medium-Term Strategy
OFSD	Financial Sector Development Department
OIVP	Operations III - Infrastructure, Private Sector, and Regional Integration
ONRI	NEPAD, Regional Integration, and Trade Department
OPSM	Private Sector Department
ORFS	Fragile States Department
ORQR	Results and Quality Assurance Department
ORTS	Transition Support Department
OSGE	Governance and Financial Management Department
PBO	Program-based operation
PD	Presidential Directive
PSD	Private sector development
RI	Regional integration
RMC	Regional Member Country
RMF	Results Management Framework
SFD	Sector framework document
SMCC	Senior Management Coordination Committee
STRG	Strategy Office
TA	Technical assistance
TYS	Ten-Year Strategy
UA	Unit of account
WB	World Bank

Executive Summary

Purpose, Scope and Approach

This evaluation assesses the formulation, management, and implementation of the African Development Bank Group's (AfDB or the Bank¹) policies and strategies -- the core regulatory instruments that govern the Bank's operational and institutional activities and programs. It is the first of its kind.

The primary purpose of this evaluation is to support improvement in the preparation and implementation of the Bank's policies and strategies, which serve as building blocks for its organizational and development effectiveness. The specific objectives of the evaluation are to draw evidence based conclusions about the: (i) relevance of the Bank's active policy and strategy suite; (ii) efficiency of the Bank's processes for formulating and approving policies and strategies; and (iii) effectiveness of the Bank's policies and strategies in guiding the Bank's work based on the support (dissemination, toolkits, training, and resources) provided for their implementation, and the monitoring thereof. The evaluation also sought to identify lessons and recommendations to help the Bank to improve the content of its policies and strategies, as well as the process of formulating, managing, and implementing them. The evaluation matrix at **Annex 1** provides further detail including the evaluation questions and sub-questions.

While the evaluation is broad in that it covers both institutions of the Bank Group, it was also carefully scoped in order to ensure both feasibility and relevance. In particular: (i) it covers the full suites of operational and non-operational² policies and strategies identified, but in detailed analysis it focuses on those approved since 2009 (see Annex 2); (ii) it does not include Country Strategy Papers (CSPs) since these were the subject of a separate IDEV evaluation; and (iii) the evaluation does not seek to look at the final effects of policy and strategy documents on development outcomes, as this would require detailed individual evaluations of each area (see figure A3.1 in Annex 3). It is also important to note that the Bank did not have a single consolidated list of its policies and strategies; the evaluation had to collate a list based on various information sources (**Annex 2**). Various lists, totaling more than 300 documents, were assessed, with the final list of currently active policies and strategies totaling 73. Since there are no formal agreed definitions in the Bank of either policies or strategies, the evaluation used draft working definitions provided by the strategy and policy department (COSP) as a starting point.

The evaluation used a broad range of data collection methods and analysis. Data collection relied on document and literature review, key informant interviews electronic surveys and focus groups. This data collection enabled key pieces of analysis including a standardized review, case studies, and process mapping. The evaluation also included benchmarking of specific aspects, in particular in relation to the review of the overall suite, and also for the case studies. Benchmark organizations included the Asian Development Bank, Inter-American Development Bank, World Bank and, where applicable, IFAD. The evaluation was designed to assess Bank policies and strategies at three levels: the universe of current policies and strategies;³ a standardized assessment of 35 policies and strategies formulated during or after 2009; and in-depth case studies of a sample of 11 policies and strategies. The evaluation also includes ratings for the main areas of: relevance of the suites, the relevance and quality of the individual documents, efficiency and process, and

¹ Unless used in the text in a differentiated manner (e.g. the Bank and the Fund), AfDB or the Bank refers to the African Development Bank Group as a whole.

² The non-operational category includes a range of financial and institutional policies and strategies.

³ This evaluation does not include country strategies or regional integration strategies and also excluded certain specialized policies (e.g., Procurement of Good and Works), amendments and special programs (e.g., Emergency Relief Assistance) that do not lend themselves to a standardized review.

effectiveness and implementation. These are provided only to help highlight areas of strength and where there are challenges. The methodology is explained in more detail in **Annex 3**.⁴

Main Findings

The evaluation highlights a number of important findings and sets out some recommendations to support the Bank as it seeks to improve further its management of this crucial area. The evaluation draws on a review and assessment of policies and strategies in terms of (i) the suites as a whole; (ii) the relevance and quality of the documents; (iii) the processes involved in formulating and approving them; and (iv) their effectiveness and implementation;

While the Bank can be commended for its comprehensive coverage of topics relevant to the Bank and RMCs in its suites of policies and strategies, some issues relating to the suites and their management need to be highlighted. Firstly, the Bank lacks a clear framework and an agreed nomenclature and definitions for its guiding documents. There is a lack of clarity within the Bank of the difference between the purpose and content of policies and strategies and indeed other documents, as well as about what should trigger their formulation. Key comparator organizations have frameworks that set out the differences between the main regulatory and strategic papers, to inform decisions regarding which option is most suitable in each case. The confusion which results from the lack of clarity at the Bank has practical implications, in terms of duplication, and implementation. In addition, a key difference is that at AfDB the Board of Directors of the Bank and the Fund (the Board⁵) approves both policies and strategies, while in the majority of comparators, strategies are approved at the senior management level and shared with the Board for information.

The Bank had no easy-to-navigate repository for its active policies and strategies during the evaluation period. This has had practical implications for staff seeking to apply the many documents to their work, and indeed for Bank Management to ensure application and continued relevance. A related issue is that there is no system for reviewing the policy suite to retire redundant or duplicative policies. In March 2015, Volume One of the new Operations Manual was made available to staff electronically; this lists a range of policies, strategies, and guidelines.

The number of policy documents is not out of line with comparators, but there are two important differences in what exactly is presented to the Board. AfDB does not consistently make a clear distinction between the actual policy content – which is expected to be enforced – and the background information, combining both into policy papers. This means that Bank policies are on average much longer than the policy documents at comparator organizations. The second difference is the lack of accompanying procedures or implementation guidelines, which are often not issued at the same time as the policies and strategies themselves.

The policy and strategy suites and individual documents were generally found to be relevant, with some variability with regards to quality, despite a solid base. Almost all of the documents in the standardized review were clear on their objectives and rationale. Both operational and non-operational policies were generally clear on stating what the Bank would do, but less so in proscribing what it would not. The majority of both policies and strategies were found to be satisfactory in terms of the required content. However, the case studies, which delved deeper, indicated a mixed picture. Two issues raised in the case of strategies were those of unrealistic objectives and the quality of the results frameworks.

The evaluation noted a few issues that limited the Bank's ability to maximize potential efficiency of policy and strategy formulation. First, there is lack of clarity about the mandated process because of differences across guidance documents and with actual practice. Second, the process comprises a large number of steps, and although there are various stages of management review, this input is not supported by systematic technical quality assurance. The third issue is timeliness. In some cases there are good reasons for

⁴ An inception report set out the planned methodology and was finalized September 8, 2014.

⁵ Unless specified otherwise (e.g. the Board of Directors of the Fund), the Board or the Board of Directors refers to the Board of Directors of the Bank and the Fund.

delays, including where policies address especially sensitive issues or where required internal and external consultation adds time to the process. Multiple management and Board committee reviews also lengthen the time required to formulate and approve a policy or strategy.

Notwithstanding the above issues, the evaluation found that the biggest challenge is ensuring effective implementation of the policies and strategies to drive the Bank's activities and operations. Staff report poor dissemination and also raise the issue of accessibility – relating to the issue mentioned above in the lack of an easy to use repository. The good practices exhibited with the dissemination efforts for the Ten-Year Strategy and the policy on Disclosure and Access to Information are notable exceptions. The recent activities surrounding the Gender strategy are also worth noting in terms of raising awareness.

Shortfalls in support constrain the Bank's ability to ensure effective implementation. Staff express concern with regard to the key aspects of implementation support (supporting documents, training, and resources), and these deficiencies were confirmed in the case studies. Unlike at other MDBs, accompanying documents like procedures and implementation guidelines – where they are required - are rarely ready when the policy or strategy is presented for approval. This may explain why Board members tend to ask for more information, as they are not given assurance at the time of approval that the Bank is ready to implement. Implementation guidelines often do follow, but much later – making implementation immediately following approval a challenge.

Resources to support implementation, including required training, are frequently not made available to implement what are sometimes ambitious policy changes and new strategies. The lack of a systematic approach that links new policies and strategies to budgeting to ensure that policy and strategic priorities are adequately resourced, and to appropriate staffing to ensure that the deployment of the workforce is constantly reviewed and adjusted in light of strategic needs, adversely affects implementation. Nevertheless, many staff did feel that the policies and strategies that they were most familiar with were having a positive impact on their work and the Bank's work more broadly, even though other evidence suggests this impact is not yet maximized. In addition, the role played by OpsCom – which allows for both the legal and policy departments to comment on proposed operations – is an important step to ensure there are no breaches of policy.

Monitoring of the implementation of policies and strategies was perceived by staff and managers and found by the evaluation to be an area of weakness. A recurrent response to questions about processes for monitoring implementation of policies and strategies was that these are either not in place or ineffective.

Table 1 provides an overview of the evaluation's assessments of areas of strength and weakness.

Table 1: Overall traffic-light ratings

	Policies	Strategies
The overall suites		
Clarity of purpose and content	U	U
Coverage	S	S
Management of the suites (accessibility, retirement etc.)	U	U
Relevance and quality		
Relevance	S	S
Quality and content	MS	MS
Process and efficiency		
Process	MU	MU
Time efficiency	MU	MS
Implementation and effectiveness		
Dissemination	MU	MU
Implementation support	MU	MU
Drivers of change	MS	MS
Monitoring and reporting	MU	MU
S = Satisfactory; MS = Moderately Satisfactory; MU – Moderately Unsatisfactory; U = Unsatisfactory		

Overall, the evaluation has three major messages. First, the Bank has been able to produce a good range of regulatory and strategic documents, generally of acceptable quality and highly relevant to its own priorities. Second, the suites as a whole are not well organized, partly due to a lack of clarity and partly to issues around management of information. Third, and perhaps most important, the existence of the documents does not guarantee their correct and full implementation. The Bank has not consistently focused on implementation to date, in terms of appropriate resourcing, training and guidance, and also in terms of monitoring progress. Implementation is the Bank's most fundamental challenge going forward.

The Bank has recently made important strides in addressing some of these concerns. These include the creation of COSP, and issuance of Volume One of the Operations Manual. At the time of writing COSP had also drafted a paper, partly informed by emerging findings from this evaluation but also from internal work, which provides first thoughts on clarifying the nomenclature and clearing out the suites.⁶ All MDBs have faced and, in some instances, continue to face similar challenges. In recent years, some have addressed them more systematically to manage the suite of their key guiding documents—clarifying the purpose of different regulatory instruments, the approving authority for each, the guidance on content and the supporting resources needed for each, the responsibility and accountability for implementation, and the results monitoring arrangements for them. The evaluation makes recommendations to support the Bank to strengthen its management and use of policies and strategies, customized to the specific needs of the institution.

Recommendations

Based on the findings, the evaluation makes the following recommendations. The related actions are expected to be possible over the coming two year period.

Recommendation 1: Develop for approval by the Board of Directors an explicit framework for all regulatory documents that:

- Includes nomenclature, definitions, classification, requirements and standards with clear approval authority, separately for policies, procedures, strategies, and other guidance documents.
- Provides some broad guidance on what each document type of document needs to contain, including for policies distinguishing between policy and the background policy paper.
- Clarifies the role of the Board of Directors in approving policies as distinct from strategies, and other documents such as guidelines. For non-policies the Bank should explore the possibility of seeking inputs through a discussion at CODE and/or at the Board of Directors, where there is interest, but placing formal approval in the hands of Senior Management.

Recommendation 2: Undertake a clean-up of the current set of regulatory documents in the context of the above-mentioned Framework:

- Streamline some policy areas by combining similar policies into consolidated documents.
- In each case, consider carefully whether old policies or strategies should be replaced with new ones or whether other types of documents, such as guidelines, would be more appropriate.

Recommendation 3: Strengthen management of the suites of policies and strategies:

- Continue to organize and make accessible the suites of policies and strategies as the clean-up of the suites progresses, giving priority to finalizing, and then keeping up-to-date, a readily accessible, online Operations Manual with all active operational policies and procedures, and links to good

⁶ COSP shared a draft paper with the evaluation team in March 2015, before it was discussed at SMCC. It sought to address some of these deficiencies raised by the draft evaluation report.

practices and relevant toolkits. Separately, make available a list of active policies and strategies to the public.

- Institute a process for periodically reviewing the policy suite and retiring redundant or duplicative policies, archiving older versions that have been superseded or replaced.

Recommendation 4: Streamline and improve process for formulation of policies and strategies:

- Simplify and clarify the process, eliminating redundant steps and making sure the process for each different type of product (policy/strategy/guidelines etc.) is appropriate for that product type.
- Build in technical quality assurance, not necessarily as an additional step but to help inform existing management reviews.

Recommendation 5: Identify skills, resources, and support needed for compliance with policies and effective implementation of strategies and ensure their availability as part of the formulation and approval process:

- Be explicit in policy and strategy documents on any resource implications for implementation, and once approved ensure provision of required resources through the annual budgeting process, including for training.
- Require issuance of any necessary procedures and other supporting documents concurrently with approval of policies. Such procedures can be approved at management level.
- Require issuance of any necessary implementation guidelines and other enabling documents concurrently with approval of strategies. Such guidelines can be approved at management level.

Recommendation 6: Hold managers and staff accountable for effective implementation, monitoring, evaluation, and results:

- Clarify accountability for driving implementation for each individual policy and strategy (to a relevant department or, for cross-cutting areas, to a committee), and provide required resources specifically linked to responsibility for delivery of expected activities, outputs and results.
- Ensure that monitoring, mid-term or other agreed types of reviews are carried out, and the information gained is used to correct course where necessary, and increasingly connects to the Bank-wide RMF where appropriate.

Chapter 1 - Background and Introduction

This evaluation assesses the formulation, management, and implementation of the Bank's policy and strategy suites. While individual policies and strategies were previously evaluated, to date no other multilateral development bank (MDB) has undertaken an evaluation of this scope. This evaluation was planned to be part of the evaluation of the Bank's commitments under the Sixth General Capital Increase (GCI-VI), and those of the African Development Fund under its 12th and 13th Replenishments (ADF-12 and ADF-13) because the Bank has agreed to develop various new policies and strategies as part of those resource mobilization exercises. In addition, some Board⁷ members have expressed interest in evaluating this important aspect of the Bank's functioning.

The primary purpose of this evaluation is to support improvement in the preparation and implementation of the Bank's policies and strategies, which serve as building blocks for the Bank's organizational and development effectiveness. The specific objectives of the evaluation are to draw evidence based conclusions about the (i) relevance of the Bank's active policy and strategy suites; (ii) efficiency of the Bank's processes for formulating and approving policies and strategies; and (iii) effectiveness of the Bank's policies and strategies in guiding the Bank's work based on the support (dissemination, toolkits, training, and resources) provided for their implementation, and the monitoring thereof. The evaluation also sought to identify lessons and recommendations to help the Bank to improve the content of its policies and strategies, as well as the process of formulating, managing, and implementing them. The four main evaluation questions focus on each of these areas in turn. The evaluation matrix at **Annex 1** provides further detail including the sub-questions.

While the evaluation is broad in that it covers both institutions of the Bank Group, it was also carefully scoped in order to ensure both feasibility and relevance. In particular:

- Although the evaluation covers the entire suites of active Bank policies and strategies, it places greater emphasis on the policies and strategies approved since 2009, after approval of the Medium Term Strategy. It includes both operational and non-operational (financial and institutional) policies and strategies. The Agreement establishing the Bank and the Agreement establishing the Fund are the pinnacle regulatory document for the Bank and the Fund and the Ten-Year Strategy is the current strategic framework, but it is the documents below these that are the focus of the evaluation. The review excludes regional and country strategies, which IDEV has examined elsewhere.⁸
- The Bank did not have a single consolidated list of its policies and strategies; the evaluation had to collate a list based on various information sources (**Annex 2**). Various lists, totaling over 300 documents were assessed, with the final list of documents assessed as either policies or strategies and currently active totaling 73 documents. Since there are no formal agreed definitions in the Bank or the Fund of either policies or strategies, the evaluation used working definitions provided by the strategy and policy department (COSP) as a starting point (Box 1.1); these definitions were in draft and had not been shared widely within the Bank at the time of writing.
- It is also important to note that while the evaluation examined effectiveness of the policies and strategies, it did not seek to look at their effect on development outcomes. Such an assessment would require specific in-depth evaluations in each area – which IDEV carries out in other parts of its work program.

⁷ Specifically, members of CODE (Committee for Development Effectiveness)

⁸ In 2013, IDEV completed an independent evaluation of the quality-at-entry of CSPs and RISPs.

Box 1.1: Bank working definitions used for this evaluation

Policy: Policies present the highest level of mandatory principles approved by the AfDB Bank Group Boards and deriving from the Bank's and Fund's Charters. A policy is a statement of objectives or goals or requirements of the AfDB Group in a particular area of activity over a medium- to long-term period and helps define the universe of acceptable areas or modalities for Bank and Fund interventions through its delineation of acceptable and unacceptable areas.

Strategy: A strategy is a set of options or means articulated by Management and usually covers a medium-term horizon and is related to a specific sectoral or thematic area. Strategy can thus be adjusted more frequently and applied more flexibly than policy. While the strategic directions are not expected to change in the short or medium term, their progress is monitored and they may be fine-tuned or updated periodically to adjust to changing conditions.

Source: COSP draft paper, 2014

Approach and Methodology

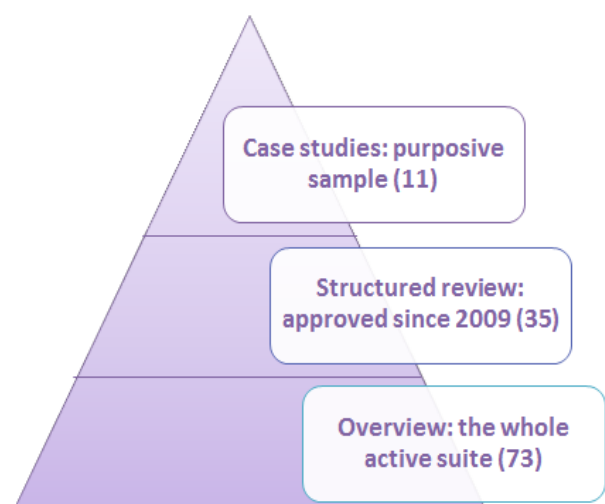
The evaluation included three phases: inception, data gathering and analysis, and report preparation and consultation. During the inception phase, the overall scope, approach, and methodology was discussed with Executive Directors, and Bank staff and managers in the course of an inception mission to Tunis. These discussions helped to fine-tune and prioritize the evaluation questions, further develop the evaluation design, and test data collection tools. A reference group was also established with representation from different parts of the Bank. The reference group, an internal peer review and an independent external expert provided feedback on the draft inception report, the technical report and this summary report.

The evaluation was theory-based, and it used a broad range of data collection methods: document and literature review, key informant interviews (77 interviewees), electronic surveys (195 respondents) and focus groups (18 people). This data collection enabled key pieces of analysis including a standardized review, case studies, and process mapping. The evaluation also included benchmarking of specific aspects, in particular in relation to the review of the overall suites, and also for the case studies. Benchmark organizations included the Asian Development Bank, Inter-American Development Bank, World Bank and, where applicable, IFAD. The methodology is explained in more detail in **Annex 3**.⁹

The evaluation was designed to assess the policy and strategy suites at three levels with increasing degrees of intensity (Figure 1.1). These are: the universe of current policies and strategies;¹⁰ a standardized assessment of 35 policies and strategies formulated during or after 2009, i.e., after approval of the Medium Term Strategy; and in-depth case studies of a sample of 11 policies and strategies, selected to ensure coverage of variation. At each level, multiple data sources were used. More information is provided in Annex 3.

The evaluation also includes ratings to help highlight areas of strength and areas where there are challenges. Ratings are given for the main areas of: relevance of the suites, the relevance and quality of the individual documents, efficiency and process, and effectiveness and implementation. Ratings – on a four point scale – are provided only to help

Figure 1.1: Three layers of analysis



⁹Inception report finalized September 8, 2014 sets out the evaluation plan.

¹⁰ This evaluation does not include country strategies or regional integration strategies and also excluded certain specialized policies (e.g., Procurement of Good and Works), amendments and special programs (e.g., Emergency Relief Assistance) that do not lend themselves to a standardized review.

highlight areas of strength and where there are challenges. Further information is provided in Annex 3.

The evaluation faced a number of limitations and challenges, and was designed and managed with these in mind. These were in two main areas:

- *Establishing the evaluation universe.* A lack of clarity within the AfDB on what is a policy, a strategy, and indeed other documents such as policy guidelines and action plans, coupled with the lack of a consolidated list of documents, meant that establishing the evaluation universe was in itself a challenge. The team used lists from the Bank's Strategy and Policy department, the Bank's legal department, the Bank's document archiving system, and its public website in order to collate documents and then filter out those which qualified as policies or strategies.
- *Data availability.* (i) Availability of some documents was patchy, e.g., minutes of specific meetings, original approach papers or concept notes, in addition to the poor organization of the Bank's main document repository (DARMS). (ii) Cost data was inadequate since the Bank has only recently initiated steps to introduce a system for recording staff time or tracking cost of outputs. (iii) Collection of the full background story for some less recent documents was challenging due to turnover of key staff. (iv) The response rate for the main survey was not as high as hoped (the sample size obtained gives us 90% confidence, with a 5.5% margin of error). (v) Availability of information was limited for some of the documents under review since these were approved relatively recently. (vi) The Evaluation was purposely focused on internal management and then use of its guidance documents; it therefore did not focus on collecting new information on external stakeholders views. (vii) There is limited information available regarding implementation, and it was beyond the scope of this evaluation to assess impact of each individual policy or strategy document, and in some cases it is too early to see major changes.

Chapter 2: The Policy and Strategy Suites

This chapter looks at the policy strategy suites overall, as opposed to individual documents; it draws on the full range of evidence sources including surveys, interviews, document review, and benchmarking with comparator organizations.

Nomenclature, Purpose and Content











The Bank employs a wide range of regulatory instruments—including operational and non-operational policies and various forms of guidelines and procedural documents, as well as strategies to provide direction to sector activities and various forms of operational plans, actions plans and guidance documents to support implementation. To date, the Bank has not formally defined its regulatory instruments or clarified the distinction between its policies and strategies, spelling out their purpose and content. All policies and strategies (and some additional papers) are submitted for Board approval, and all are considered mandatory.

The lack of clarity is also evidenced by the proliferation of regulatory documents.¹¹ Although other MDBs also utilize regulatory documents other than policies and strategies, they have specifically defined what their purpose is, what their content should be, and how they are hierarchically organized with an associated level of compliance or advisory significance. The Bank currently lacks these frameworks; a COSP paper currently under discussion seeks to address this confusion.

The confusion between the purpose and content of policies and strategies is further compounded by the recent practice of preparing papers combining policy and strategy elements within the same document.¹² No comparator has this sort of hybrid document. While there might be a benefit in combining a policy and strategy for sector activities, hybrids generate unintended risks. Once the Board approves a hybrid, the entire document becomes a mandatory requirement. Furthermore, management is unable to revise the strategy without seeking Board approval; it also loses the ability to adapt the strategy.

Interview data reveal overwhelming consensus among the Executive Directors, managers, and senior staff that there is a lack of clarity within the Bank on the difference between a policy and strategy in terms of their purpose and content (Table 2.1). Survey data are somewhat more favorable, but point in the same direction.

Table 2.1: Clarity of difference in purpose and content between policies and strategies¹³

	Interview Data			Staff Survey Data	
	Managers & Staff	Senior Managers	Executive Directors	Managers	Staff
Clarity of difference in <u>purpose</u>					
Clarity of difference in <u>content</u>					

Source: Interviews and Staff Survey

¹¹ These include policy guidelines, plans of action, procedures, frameworks, agreements, arrangements, communications plans, conditions, criteria, establishments, guidance notes, guiding principles, handbooks, implementation modalities, information notes, initiatives, issues papers, manuals, systems, formats, reports and briefing notes, all of which were suggested as part of either the policy or strategy suite at some point during this evaluation.

¹² Recent examples include: Bank Group Regional Integration Policy and Strategy 2014-2023 (2014); Financial Sector Development Policy & Strategy 2014-2019 (2014); Microfinance – Policy and Strategy for the Bank Group (2006) and Policy on Population and Strategies for Implementation (2000).

¹³ It is worth noting that for this question and many others responses from the field were overall slightly more positive than responses from headquarters. However, the number responding from the field was not high enough to allow separation of the data.

Overview of the Policy and Strategy Suites

The Bank has not been able to benefit from a sound overview of its policy and strategy suites. Until March 2015 there was no organized repository for operational or non-operational policies and procedures, or for strategies.¹⁴ The Bank lacks consistent, explicit distinctions in terms of the content of policies and strategies, as well as other regulatory documents; it also differs from comparators in terms of approval authorities for some documents.

The lack of an accessible repository. The practice at other MDBs typically involves the production and continued maintenance of an updated Operations Manual, which lists, at a minimum, all of the Bank's operational policies. Unlike all of the MDB comparators, the AfDB did not have such a manual during the evaluation period. AfDB's Operations Manual was last updated in 2000 and a revision has been in the works for some time. An online version was made available to staff in March 2015 listing around 140 documents, including operational and non-operational policies, strategies, procedures and other guidance. This manual is envisaged as a four-volume comprehensive manual, of which volume 2 covering the project cycle was circulated to managers in December 2014. Most comparators have also benefitted from an easy to navigate repository for all policies and strategies.

In order to compile the policies and strategies used for this evaluation, the evaluation team considered a number of different lists covering more than 300 documents. Careful comparison among the policies and strategies enumerated in the various lists enabled the team to eliminate duplications and redundancies and identify 43 distinct active policies, 26 discrete strategies, and 4 hybrids combining policy and strategy. AfDB thus faces the task to compile and undertake a thorough cleanup of the policy suite, and of the strategy suite to eliminate or replace older ones that are no longer relevant to the current portfolio or Bank activities.

Separation of approval authority. Unlike at other MDBs, at the AfDB both policies and strategies are approved at the same level. All MDBs submit policies to the Board for discussion and approval. However, AfDB alone submits all of its strategies also for Board approval (Table 2.2).

Table 2.2: Approval authority of key regulatory documents

	AfDB	World Bank	IADB	ADB
Policies	Board	Board	Board	Board
Institutional Strategies	Board	Management	Board ¹⁵	President
Sector Strategies (or equivalent documents)*	Board	Management	Management	President

* IADB's "sector framework documents" and ADB's "operational plans" are analogous to sector strategies at the World Bank.

Policy versus a policy package. AfDB does not differentiate between the actual operational policy (which is formally approved and must be adhered to) and the policy paper (which sets out the background, rationale, and past lessons to inform policy formulation). Without a clear statement of "the policy," the Bank lacks clarity of guidance and compliance requirements. The World Bank and ADB publish a succinct policy statement of the policy content after approval of the associated policy paper; they also make a clear distinction between the policy and related procedures but issue them concurrently as part of the "policy package." AfDB's policy papers typically contain promises of supporting documents to follow. However, in many instances¹⁶ there is no systematic follow-up after approval to ensure these supporting documents are provided in a timely way. The evaluation team noted a number of recent cases in which the Board or its committees are also asking to review action plans or guidance at a later date, not only for information but for discussion. This is not to imply that every policy requires supporting guidelines, this depends on the nature of the policy; but

¹⁴ Country Strategy Papers, which are not included in this evaluation, have recently been clearly organized on COSP's intranet page, this is easy to navigate and accessible to all staff.

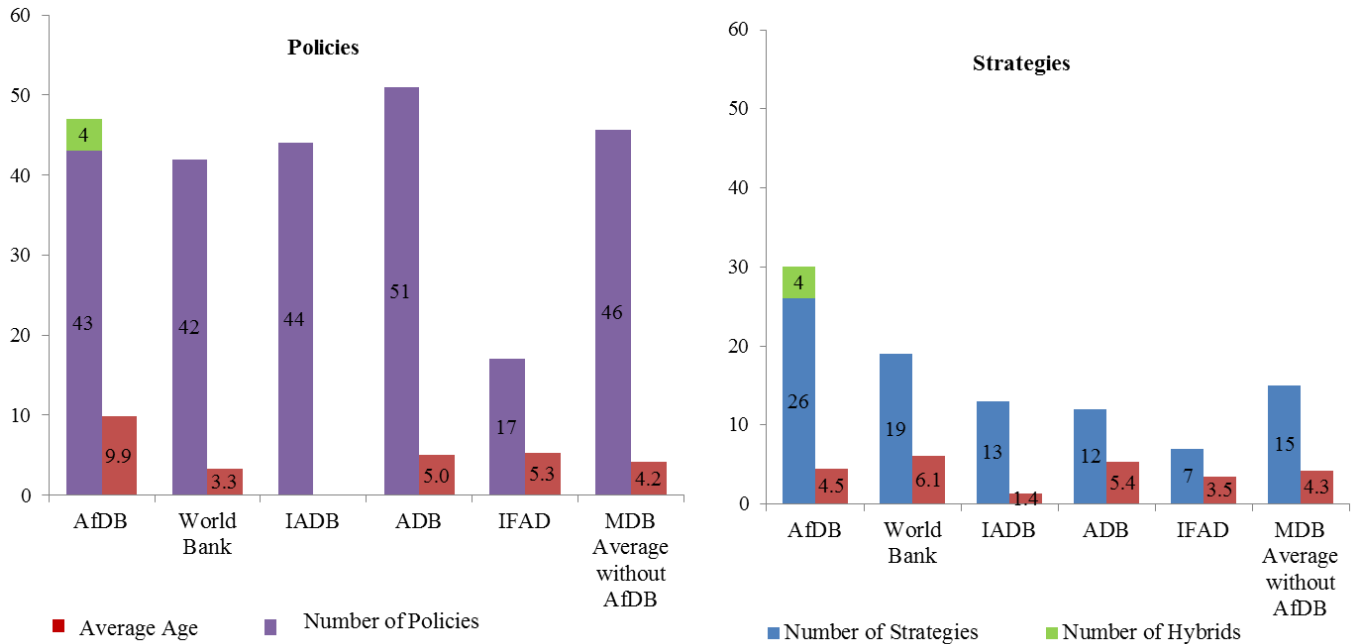
¹⁵ At IADB, only cross-sectoral strategies are submitted for Board approval. Strategies for individual sectors are called sector frameworks and are approved by IADB management.

¹⁶ There are a few notable recent exceptions. The Integrated Safeguards System was approved by the Board and released as a package containing the Policy Statement and the mandatory Operational Safeguards, although the supporting ESAP guidance as not approved and disseminated until later.

where they are needed they are not often provided alongside the policy itself – leaving the Board with unanswered questions about how they the policy will be applied.

Comparative Analysis

Figure 2.1: Size and age of the active policy and strategy suites



Source: Comparative Analysis of MDBs

Note: Comparison based on documents that are active as at October 2014.

AfDB's policy suite is comparable in number and coverage to those at other MDBs, and comprises 43 (47, if hybrids are included) policies. The World Bank has 42 active policies, IADB, 44, and ADB, 51. (Figure 2.1)

AfDB's strategy suite includes documents called frameworks, action plans, evaluations, strategic directions, strategy updates, and strategy papers. The suite contains 26 active strategies (30, if hybrids are included). This is twice the average number of strategies at other MDBs (see Figure 2.1).

There is considerable difference in the average age of the policies – nearly 10 years at AfDB, compared to 3 years at World Bank and 5 years at ADB (Figure 2.1). While some important policies (e.g., Energy, and Private Sector Development) have been approved recently, many others are old. Although policies should have long shelf lives, they do need updating. The young age at the World Bank and ADB reflects the practice of periodic updates and fine-tuning, rather than the introduction of new policies. Such fine-tuning has not been done at AfDB. Nor has AfDB systematically followed a practice of “retiring” policies that have become outdated or superseded by new policies. This means that the Bank has some relatively old documents on its books (for example the 1993 Transport Policy, now under revision).

AfDB's strategies are relatively current, averaging 4.5 years since their last revision; the same as the average amongst comparators (see Figure 2.1). IADB's strategies are distinctively young, but this is explained by the 2013 restructuring of regulatory documents. The average at the Bank does not highlight that, since the TYS the Bank has tried to prioritize updates or new strategies on areas most pertinent to TYS priorities – so that some are much more current than others.

The coverage of AfDB's policy and strategy suites is adequate, assessed as covering the Bank's priorities as defined by the overarching Ten-Year Strategy, and with very few gaps as against comparators, plus some additional policies that others do not have, in addition to a larger number of formal strategies than others.

While some comparators have multiple safeguard policies, the Bank (like ADB) has synthesized its safeguard policies into one Integrated Safeguards System.¹⁷ Such streamlined and integrated policies are practical and help to avoid redundancies and consolidate the framework that staff is expected to apply. The Bank also plans to consolidate a number of policies relating to its private sector operations into one single large policy document – not yet finalized at the time of writing.

As with policies, supporting documentation for strategies is often not available at the time the strategy is approved – but is issued afterwards. One of the faster examples includes the 2014 fragility and resilience strategy which was followed by implementation guidance within six months.

Recent developments at other MDBs. Comparator MDBs have recently sought to clarify the management and organization of their respective policy and strategy suites. IADB has an overall policy architecture that divides its policy suite into general operational policies and sector policies, in addition to its non-operational equivalents, and a framework approved in 2012, which governs all regulatory instruments related to the sectors (**Annex 4**). The World Bank reorganized its policy suite in 1997 with a system of Operational Policies and Bank Procedures. In July 2013, this was further refined as a new Policy and Procedures Framework (Annex 4), which provides the architecture for all of its policies and regulatory procedures. This framework does not include sector strategies which were managed not centrally but by Sector Boards until the 2014 reorganization and, in the future, are expected to be managed by the sectoral and thematic Global Practices.

Overall Assessment

Other institutions have benefited from a clear overarching framework providing unequivocal definitions of policies, strategies, and other key documents in terms of what purpose they should serve and what content should be included. The lack of a Bank-wide definition of either and the existence of hybrid policy and strategy statements, which are unique among the MDBs, poses potential risks to the Bank's ability to comply with its policies and achieve the objectives of its policies and strategies effectively. At the time of writing the Bank was working on a paper to propose a framework.

Unlike other MDBs, the Bank has not benefited from repositories for operational policies and non-operational policies and it lacked an updated, functional, publicly available, user-friendly repository for policies and strategies. The recently launched Volume One of the Operations Manual is intended to address this gap.

AfDB does not systematically separate the specific policy requirements and operational procedures from the remaining content of the policy paper. Consequently, the entire policy paper, including the section on implementation where the procedures to be development are listed, is treated as policy.¹⁸

Many policies and strategies are not accompanied by clearly developed procedures, operational plans, or good practice guidelines, which are typically prepared after approval rather than in parallel. While the policy suite provides adequate coverage of relevant issues, AfDB's policies are older than other MDBs, in part because the Bank lacks a systematic process for reviewing and retiring or updating older policies.

The clarity within the Bank in terms of the purpose and content of policies and strategies is rated unsatisfactory. The coverage of the suites is rated satisfactory. The management of the suites, which encompasses approval, accessibility¹⁹, and retirement, is rated unsatisfactory.

Table 2.3: Summary traffic light ratings for the overall suites

The overall suite	Policies	Strategies
Clarity of purpose and content	U	U
Coverage of the suite	S	S
Management of the suite (accessibility, retirement etc.)	U	U

¹⁷ The World Bank is now undertaking a similar update and consolidation of its safeguard policies.

¹⁸ It also runs the risk of rendering the entire policy paper subject to compliance review by the Independent Review Mechanism.

¹⁹ Assessment given before launch of Volume One of the Operations Manual, which should improve the accessibility of the suite in future.

Chapter 3: Relevance and Quality

This chapter draws on two main pieces of detailed analyses to draw conclusions about the relevance and quality of individual (a) policies and (b) strategies at the AfDB. The first is a standardized review of policies and strategies active and approved in 2009 or later, and the second, more detailed case studies of a purposive sample (see Figure 1.1). This was supplemented with information from interviews and the survey.

Standardized Review of Relevance

The standardized review assessed 7 operational and 9 non-operational policies, and 14 operational and 6 non-operational strategies formulated since 2009.²⁰

Relevance is high for the 7 operational policies for most criteria (Table 2.1). This is not equally true of older policies whose relevance to current operational needs merit careful management review. Non-operational policies are formulated largely to address corporate or institutional needs, and, consequently, a discussion of RMC needs and constraints or alignment with the operational objectives of the TYS is not relevant. Alignment with new ways of strategic engagement (the One-Bank approach) was less evident among both operational and non-operational policies.

Table 3.1: Review of relevance of policies and strategies

		Operational Policies (7)	Non-operational Policies (9)	Operational Strategies (14)	Non-operational Strategies (6)
Clarity of Objectives		100%	100%	100%	83%
Rationale for new policy/strategy		100%	100%	86%	83%
Diagnosis	RMC needs	71%	75%	86%	n/a
	Constraints in RMCs	71%	75%	93%	n/a
Lessons drawn from	Substantive analysis or evaluations	71%	75%	86%	83%
	Operational experience	86%	75%	93%	83%
	External experience	71%	88%	64%	33%
Alignment with TYS	Inclusive growth and/or the transition to green growth	71%	n/a	79%	n/a
	Fragile states, agriculture and food security, and/or gender	71%	n/a	93%	n/a
	5 operational priorities	71%	n/a	86%	n/a
	New ways of strategic engagement	57%	n/a	100%	n/a

Source: Standardized review of policies and strategies by evaluation team

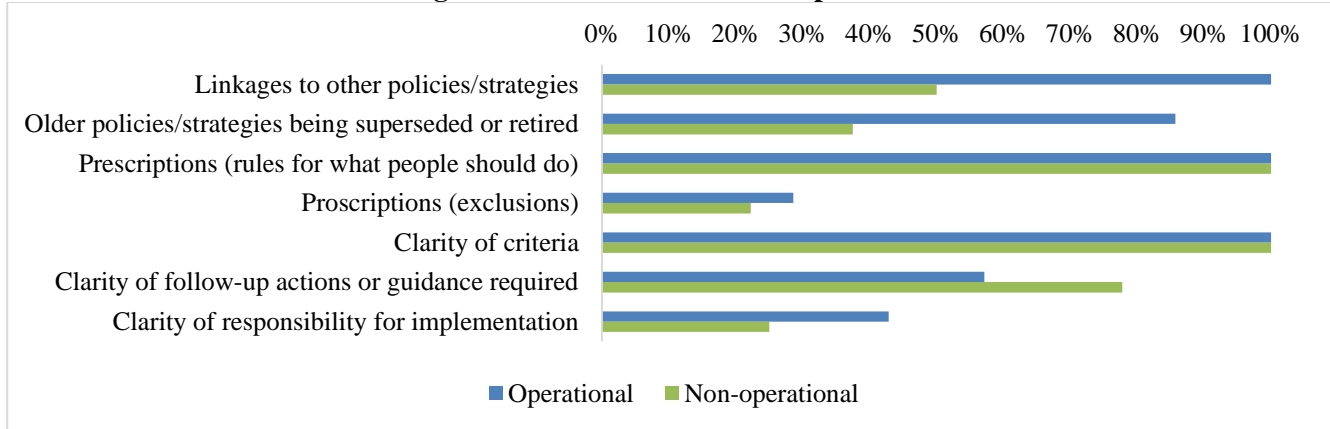
Relevance is also high for the 14 operational strategies on most of the criteria. Strategies are relatively current and based on a clear rationale related to RMCs' needs, aligned with the TYS, and identify specific objectives. The majority of the strategies cited lessons drawn from AfDB's experience but to a much lesser extent experience from other MDBs.

Standardized Review of Content

The standardized review of content of *policies* found that policy preparation gives limited to attention to requirements for implementation (Figure 2.1). Since policy papers are approved by the Board, operational plans or good practice guidelines would be issued separately. However, since policies are expected to be implemented immediately after Board approval, supporting documents need to be readied in parallel.

Policies approved in 2009 or later are based on a clear rationale (Table 3.1), with operational policies having stronger links to Bank experience and greater relevance to RMCs' needs (Figure 3.1). Both operational and non-operational policies are strong on prescription and criteria for application, but only a quarter include proscriptions specifying what will not be done or what is not permissible.

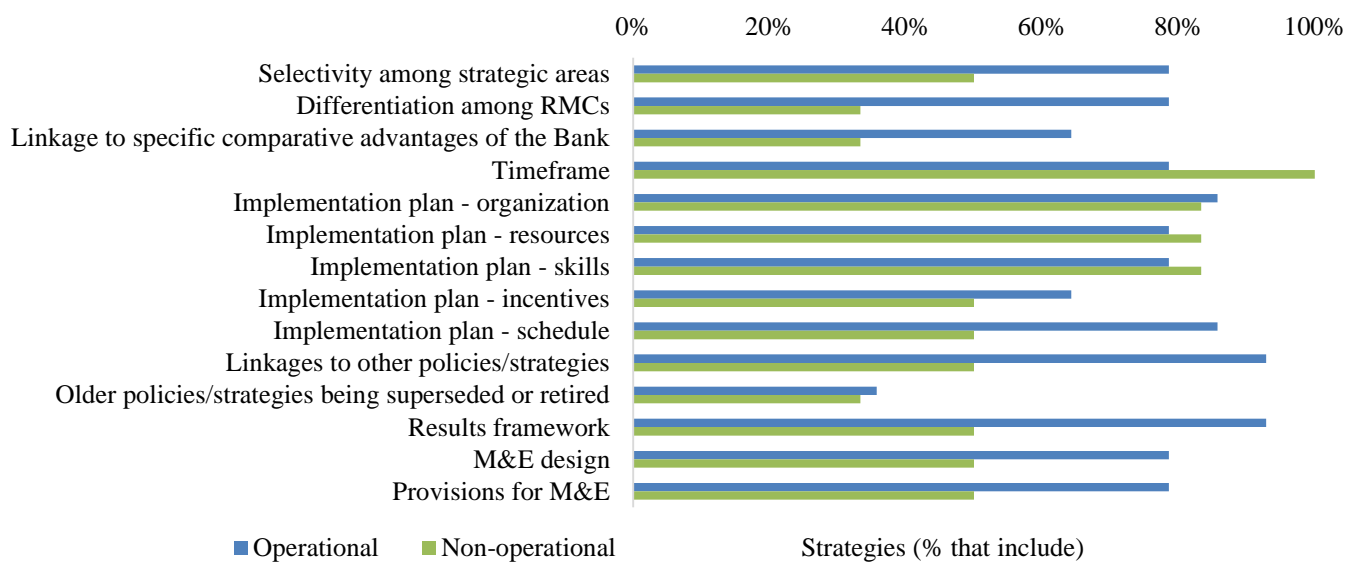
²⁰ The Financial Sector Development Policy and Strategy was counted as both an operational policy and an operational strategy due to the hybrid nature of the document.

Figure 3.1: Review of content of policies

Source: Standardized review of policies by evaluation team

With regards *strategies*, the content of operational strategies is satisfactory; about 80% met most of the criteria (Figure 3.2). Non-operational strategies were clearer on the timeframe and implementation plan; half of them responded only to institutional needs and did not discuss selectivity or linkages to other strategies (or policies), and half lacked a results framework. The most frequent weakness is the lack of guidance documents, resources, and a credible results framework, which affects “implementability” (see Chapter 4).

Although the content of most strategies is broadly comparable to those of other MDBs, there is considerable variation among them. This should not be surprising given the absence of standardized guidelines for strategy formulation, even for sector strategies, which is in contrast with other MDBs. In addition, strategies are subjected to considerable buffeting during the review processes, and this sometimes manifests in a watered down (CSO Engagement Framework), or overly complex and highly ambitious (PSD Strategy, Fragility and Resilience Strategy) final product. Operational strategies are somewhat better than non-operational strategies in setting out broad intentions for implementation, in contrast to policies; though as Chapter 5 illustrates these plans are not always followed through and many are submitted for approval without supporting instruments, promising these in the future.

Figure 3.2: Review of content of strategies

Source: Standardized review of policies by evaluation team

Findings from Case Studies

In line with findings from the broader standardized review, relevance of the *policies* included as case studies was found to be consistently high, as was the quality in most cases (Table 3.2). Policies tend to be clearer on requirements and prescriptions but less so on what is excluded or proscribed. The policies, which are common to other MDBs (PSD and Energy policies), tend to be comparable to those at peer organizations. However, as mentioned earlier, most of the policies reviewed in the case studies did not clearly separate the policy content from the background information in the policy paper. The overview of the assessments for the case studies is provided in Annex 9.²¹

Table 3.2: Relevance and quality of case study policies and strategies²²

		Quality			None rated as unsatisfactory on quality
Relevance		Satisfactory	Moderately satisfactory	Moderately unsatisfactory	
	Satisfactory	PSD Policy PBO Policy Energy Policy Gender Strategy	Credit Policy Fragility Strategy PSD Strategy Urban Strategy	Regional Integration Strategy	
	Moderately satisfactory			CSO Framework People Strategy	
	None rated as moderately unsatisfactory or unsatisfactory on relevance				

Source: Case studies undertaken by evaluation team

Relevance of the strategies included as case studies is rated moderately satisfactory or better for all the case study documents. All were assessed as pertinent to the Bank either in terms of its operations or institutional needs. The majority also had links to ADF and GCI commitments and tackled strategically important issues.

Three of the strategies were, however, assessed as moderately unsatisfactory on quality, while four were found to be moderately satisfactory or better. It is worth noting that all of those documents drawn up before the TYS was approved. The CSO Framework provided inadequate coverage of the Bank's ongoing work with CSOs. Weaknesses for the Regional Integration Strategy were in the analytical assessment of effective approaches, drawing on lessons to date, the results framework, the complexity and high level of realism without detailed thinking through of feasibility to implement. For the People Strategy key weakness included the lack of reference to lessons and experience, the level of realism for the aspirational objectives, also not translated into a monitorable results framework. Results frameworks of strategies continue to show weakness (the Gender strategy is an exception), in some cases because they are over-ambitious and unrealistic, in others because of inadequate baselines and targets or arrangements for monitoring and evaluation. This is an area where all the MDBs have faced challenges. The case studies also confirm that the Bank has delivered some solid high quality documents and on strategically crucial areas during the period, ranging from the PBO Policy in 2012 to the Gender Strategy in 2014.

Overall Assessment

The current policies and strategies are found to be relevant to the current strategic priorities of the Bank and aligned with the broader Ten-Year Strategy. The operational policies are also aligned with the needs of RMCs, and the non-operational ones with the need to enhance the Bank's institutional effectiveness. While some of the older policies of the Bank need to be revisited, the relevance of the current policies and strategies is found to be mostly satisfactory. Quality, particularly for strategies, also moderately satisfactory and not consistent, some suffered from the absence of strong results frameworks and clear implementation plans or guidance. Overall, relevance is rated satisfactory for both policies and strategies; while quality and content are rated moderately satisfactory for both policies and strategies (Table 3.3).

²¹ An exception is the 2013 Integrated Safeguards System which contains a distinct Policy Statement within the policy paper.

²² The full results for each case study are set out in Volume 2 of the Technical Report.

Table 3.3: Summary traffic light ratings for relevance and quality/content

Relevance and quality	Policies	Strategies
Relevance	S	S
Quality and content	MS	MS

Chapter 4: The Process and Efficiency of Policy and Strategy Making

This chapter examines the processes for formulating and approving policy and strategy documents, drawing on a range of sources including document review, survey, and interview data.

Process for Policy and Strategy Making

The Bank currently has three different documents explaining the process for policy and strategy formulation and approval. The guidance available, an adaptation of the process designed for the review and approval of Bank operations, is inconsistent across these documents, and in fact practices are not always following the processes set out.

Responsibilities for initiation, review, clearance, and approval are indicated in the Delegation of Authority Matrix (DAM). While the October 2012 DAM clearly assigns a clearance role to the Operations Committee (OpsCom) and foresees no role for the Senior Management Committee (SMCC) in the process for strategies (Table 4.1), recent sector strategies have in fact been cleared by SMCC before submission to the Board's Committee on Operations and for Development Effectiveness (CODE). The DAM also suggests that issues papers for policies should do to OpsCom, even though the policies themselves do not go through OpsCom.

Table 4.1: Delegation of Authority Matrix for policies and sector strategies

Table 4.1: Delegation of Authority Matrix for policies and sector strategies													
			HEAD OFFICE (HQ/TRA)										
Ref.	I	Initiate/Originate	Task Manager	Sector Manager	Sector Director	Director ORPC	Director EDRE	Concerned VP	SMCC	OpsCom	CODE	PRST	BOARD
	R	Recommend/Review											
	C	Clear											
	A	Approve											
	S	Sign											
	ACTION												
16.1	Policy Issues/Approach Paper		I	R	C	C		C		A			
16.2	Policies		I	R	C	C		C	C		R	C	A
16.4	Guidelines		I	R	C	C		C		C	A*	C	
16.6	Sector Strategies		I	R	C	C		C		C	C	C	A

Presidential Directive 03/2013 mandates the review process for Bank operations, CSPs, strategies, policies, guidelines and operations – without much differentiation in the process. It includes a brief specific reference to policy and strategy preparation, indicating a two-phase review and clearance process for a concept note and clearance of the main paper. The relevant Vice-Presidents are accountable for quality.

The Procedures and Guidelines for the Implementation of the Directive that were issued subsequently note that “*policy/strategy documents follow processes identical to that for CSP, with the exception that there are no readiness reviews.*” The Procedures and Guidelines include more specific guidance for policy proposals, including the addition of the preparation of an issues paper to the cycle.

Using all three documents, as well as information from the case studies, the evaluation team mapped the policy and strategy formulation and approval processes (**Annex 5**). The mandated process includes two cycles (three for policies when an issues paper is also prepared) of reviews and approvals. The redundancy of steps (or even cycles) has already been highlighted for operations as part of the Bank's “Good to Great” (G2G) initiative,²³ and for CSPs in the recent IDEV evaluation of quality-at-entry. The potential for reducing duplication exists equally for the Bank's policies and strategies, though it is important to note that the inclusion of an external consultation phase for key documents, though time consuming, has been an important component of the process for high profile policies and strategies. Indeed in this respect, the Bank has sought to learn from feedback regarding a perceived lack of consultation amongst external stakeholders for the

²³ African Development Bank, *Good to Great Phase IV: Final Report*, March 2014

Medium-Term Strategy 2008-2012 (MTS).²⁴ In depth consultation efforts have been included for some of the more recent documents with a clear public interest, not only for the TYS but also for the policies relating to procurement and disclosure of information and the new strategies relating to regional integration, financial sector development, governance, human capital, and the integrated safeguards system.

The processes and responsibilities for policy and strategy initiation and preparation are not clear to all internal stakeholders, and there is some variation in practice. The 11 case studies also provide evidence of the highly variable actual processes used in policy and strategy preparation. The process actually followed differed somewhat in each case, reflecting the absence of adherence to a standard approach. Interviews confirmed a lack of clarity about the process among staff and managers. While some documents have suffered from this lack of clarity, in some cases fast tracking has been possible, especially where there is a high-level champion.

Responsibility for preparation of policies and strategies, as well as for oversight varies across the MDBs. Operational policies are typically the responsibility of a single department, as is the case at AfDB. Responsibility for sector strategies is vested primarily in sector structures. In the past, lead responsibility for policies was with the Bank's previous Policy department, which involved relevant other departments as necessary while strategies have been prepared under the leadership of many different departments. COSP, which was created in late 2013 follows a similar pattern: taking leadership for policies and a supporting role for strategies. This structure is not dissimilar to others, for example the ADB combines the strategy and policy function in its Strategy and Policy Department. In practice, COSP has also taken the leadership for some strategies, notably the Private Sector Development Strategy – where none of the sector departments was able or willing to lead. Normally, however, both for reasons of limited resources and for the purposes of ownership amongst those in charge of implementing, COSP does not plan to become more involved in leading strategy development or strategy implementation. A core part of the department's work program is focused on supporting implementation of the Ten Year Strategy, however, including through integrating the TYS priorities in CSPs and providing other guidance.

Other MDB's approaches are similar in many respects to those at AfDB (Annex 5). However, there are a few important differences. First, unlike many other MDBs, at AfDB strategies require Board approval. Linked to this, while strong management oversight of the processes is common to all MDBs, there is much stronger involvement of Board committees at AfDB. CODE discusses draft policies and strategies and sometimes asks to discuss other supporting documents. In general, staff noted the pivotal role played by CODE involvement, not least for facilitating final Board clearance.

On the other hand, there is no systematic provision for a technical type of quality assurance. There is an internal peer review process which is expected to cover technical issues. However, at other MDBs examined, drafts are reviewed by a quality assurance group, independent of the originating organizational unit (as AfDB does for projects and CSPs), or by external expert reviewers. Such reviews are technical in nature and allow a deepening of the technical substance of management reviews. For most strategies and policies however, quality assurance is in effect left to staff and management, SMCC, OpsCom, CODE, and the Board. There are exceptions. An external peer reviewer was engaged for the Regional Integration Strategy, and reportedly was helpful in strengthening the strategy. Similarly, an external panel provided extensive inputs in the case of the Fragility paper. Nevertheless, in the absence of a mandated standard review, the process used varies from case to case, sometimes being helpful in improving quality, in others less so. At least two case studies (PSD Policy and PSD Strategy) found the approval process repetitive, cumbersome and sometimes contradictory, with multiple discussions with CODE followed by additional management reviews. The absence of clarity, however, was overcome in some instances by strong leadership, clear responsibility, and strong staffing.

Efficiency of the Process













The lack of a fully functioning system for tracking staff and activity costs precludes a full evaluation of efficiency. Instead, the evaluation considered staff perceptions and relied on proxy measures such as length of the preparation process and the number and usefulness of review meetings, as well as on an assessment by the expert panel. The section also identifies factors associated with efficient and less efficient experiences.

²⁴ As reported in the 2012 Client assessment of the African Development Bank.

Interview and survey results show a wide range of perceptions about the efficiency of the Bank's process for formulating and approving policies and strategies (Table 4.2). Senior managers and the small number of Executive Directors interviewed by the team indicated stronger dissatisfaction than the staff with the efficiency of strategy and policy making. One manager stated: *"Sometimes the Bank is efficient at preparing policy/strategy, and sometimes not. Often (but not always) inefficiency is caused by the Bank's preparation process, which is to create a task force with all relevant, and some not so relevant, departments represented. The result is a lengthy and often poorly informed process."* Views about the quality assurance process were somewhat more favorable but also more variable across groups.

A main source of information regarding efficiency of the processes is the case studies of 11 AfDB policies and strategies (see volume II Case Studies). In the absence of cost data which could best provide an indication of efficiency, proxies were used to assess efficiency in each case. While time efficiency is important, the assessment took due note of the need for consultations and where contentious issues were bound to lead to a lengthy series of discussions, and as a result seven of the 11 case studies received a moderately satisfactory or higher rating on process, the majority of these being strategies as opposed to policies. The main finding from this analysis is that the process and associated efficiency is anything but uniform – there is significant variation in how long the process can take for example – from an impressive 10 months to as long as 3 years. Explanations for these differences vary, and include the level of leadership and prioritization as well as the extent to which contentious issues are covered. In addition, the absence of a structured quality assurance process outside of management and CODE precludes the opportunity consistently to identify shortcomings in the early stages of drafting. Overall, the absence of standards, a formal technical review process, and clear guidelines to the design teams, undermine the efficiency of the process.

Table 4.2: Views on the efficiency of the policy and strategy making processes

	Interview Data			Staff Survey Data	
	Managers & Staff	Senior Managers	Executive Directors	Managers	Staff
Efficiency of preparation					
Efficiency of processes for approval	NA	NA	NA		
Effectiveness of quality assurance mechanisms					

Source: Interviews and Staff Survey

As part of a parallel evaluation, an expert panel analyzed the process for delivery of the 31 policies and strategies, which were part of the GCI-VI, ADF-12, and ADF-13 commitments (summarized in Table 4.3). Collectively the commitments entered into under the ADF-12 and GCI-VI processes meant the Bank was looking to produce a large number of policy and strategy documents at the same time. It is not possible to confirm if this high workload during the 2010-14 period effected overall efficiency or not. It is clear however that the Bank agreed to unrealistic delivery dates in some cases. In addition, the evaluation highlighted three factors which contribute to late delivery: excessive complexity of the policy or strategy compared to the target date for delivery, inadequate planning, and/or lack of adequate institutional space or coordination mechanisms. These causes were not mutually exclusive; in many cases there was more than one cause.

Table 4.3: Factors contributing to delay of policy and strategy related “commitments”

	Number of policy or strategy commitments	Delivered late (%)	If delayed, factors contributing:		
			Complexity (%)	Inadequate planning (%)	Lack of institutional space or coordination mechanisms (%)
GCI-VI	9	78	83	50	17
ADF-12	11	73	63	0	50
ADF-13	9	67	50	75	0

Source: Standardized review of policies and strategies by evaluation team

According to the expert panel and some of the case studies, a mid-course change in responsibility also contributed to inefficiency in delivering strategies. For example, responsibility for delivery of the Private Sector Development Strategy shifted over time and was finally completed under the leadership of the Strategy Department; although these changes helped deliver the strategy, the ambiguous responsibility contributed to the delays (it took nearly three years). The Private Sector Policy was prepared in parallel, but responsibility for the two documents was originally with two separate departments, giving rise to coordination problems as well as duplication in the final documents. The long list of contributors to the policy and strategy papers may also have been a contributing factor.

Another issue that may contribute to delays raised by staff but not assessed as part of the evaluation is ensuring they fully align with how the Bank interprets its original Charter. For example, a draft policy for non-sovereign operations which would consolidate a number of disparate policies into a single document stalled because of concerns voiced by the legal department regarding alignment with the Charter.

An issue raised both by staff and observed in the case studies is the helpfulness of having a high-level push to ensure the process can be expedited, coupled with clear institutional ownership. The recent fragility strategy was approved relatively quickly – though building on work done earlier by the High Level Panel. It was seen as one of the key deliverables for the newly established department. This contrasts sharply with the PSD strategy which lacked an institutional home, or high-level champion.

Another factor that has a significant bearing on the process, particularly for policy formulation is the staffing of the task team as well as of the core policy and strategy function. Despite the long list of names that appears on a number of policies and strategies, many play only a minor review and comment role, and the team actually researching and drafting tends to be very small – whether based in COSP or in the relevant line departments; in some cases the Bank makes use of consultants to support research and drafting, particularly for strategies. Staffing of the units responsible for policy making – which has been housed in different parts of the Bank over the period, with the current Strategy and Policy department established in November 2013²⁵ – peaked at 13 professional staff in 2013 and stood at 8 in 2014. Although not strictly comparable in the range of their functions, the corresponding departments at other MDBs are larger. For example, the Strategy and Policy Department at ADB has about 20 international staff. The lower staffing at AfDB may have contributed to delays in delivering policies and accompanying documents particularly when faced with a demand for a large number of policies and strategies arising from GCI and ADF commitments.

Finally, at all MDBs, the nature of the topic and the issues surrounding it are an important determinant of the preparation time for policies and strategies. AfDB’s Energy Policy preparation process was lengthy, in part, due to the debate over coal-fired power plants. Similarly, the World Bank made two attempts and then had to settle for a “directions paper.” ADB followed a similar path, and IADB abandoned the attempt. Against which background, the Bank did comparatively well to approve a full policy, even if it took some years and a great deal of staff, management and Board time. An elapsed time of two or more years is not atypical at any of the MDBs for the policies and strategies that address such contentious issues.

²⁵ Historically the function for policies and strategies has moved within the Bank, from ORPC for policies and STRG for strategies, to COSP for both since November 2013.

Overall Assessment

In some instances, AfDB can produce policies and strategies efficiently. However, there is a lack of clear guidelines for staff preparing policy and strategy and a lack of consistent technical quality assurance process, which could be used to inform the internal management and staff review. In some cases these problems are exacerbated by inadequate planning and institutional space to prepare the policy and strategy, and in some cases overambitious timelines when taking into account the complexity of the task. When strategy or policy preparation was efficient, it appeared to be the result of effective senior and middle management support or even championing, excellent staff work, and successful customization.

The overall process—taking account of lack of clarity, redundancy of steps, uneven quality assurance and variability in practice—is rated moderately unsatisfactory for both policies and strategies. Time efficiency of the actual process for policies is rated moderately unsatisfactory, and for strategies, moderately satisfactory.

Table 4.4: Summary traffic light ratings for process and time efficiency

Process and efficiency	Policies	Strategies
Adherence to clear process	MU	MU
Time efficiency	MU	MS





Chapter 5: Effectiveness of Policy and Strategy Implementation

This chapter draws on the full range of interview, survey, case study and focus group data to discuss effectiveness and implementation of both policies and strategies. It looks in terms at different steps or prerequisite for implementation: dissemination and access; and implementation support including resources, training and guidance documents; as well as monitoring and reporting of implementation progress. It also takes a partial look at actual effects on the portfolio – using perceptions data and information from case studies.

Dissemination and Access

Effectively linking activities and operations with the Bank's suites of policies and strategies depends heavily on managers' and staff familiarity with and knowledge of the policies and strategies relevant to their work. The evaluation identified shortcomings in the dissemination of policies and strategies, with nearly 40% of surveyed staff and managers indicating that dissemination was moderately ineffective or ineffective (Table 5.1). While work on an updated Operations Manual is ongoing, there is no easy-to-navigate place where staff can find active Bank policies and strategies, operational and non-operational, clearly organized.

Table 5.1: Views on effectiveness of dissemination

	Interview Data		Staff Survey Data	
	Managers & Staff	Senior Managers	Managers	Staff
Effectiveness of dissemination				

Source: Staff Survey and Interviews

In contrast, two examples of effective dissemination mentioned by staff were the TYS and the Disclosure and Access to Information Policy. Both included booklets and multi-media, and the latter is an example of good practice for multimedia and clear guidance for staff on how to implement the policy; the TYS also addressed external stakeholders. Internal events organized by the Gender team are another more recent example. In this instance, there is a broad consensus that gender equality, and mainstreaming are priorities and awareness of the general principles is quite high.

Survey respondents indicated wide differences in the level of knowledge (**Annex 6**) about the policies and strategies covered by case studies. Several cross-cutting policies and strategies are not always well known. For example, the percentage of respondents who have not read the policy or strategy or do not know that it exists ranges between 32% (Gender) and 64% (Civil Society). A more troubling finding is the limited degree of knowledge exhibited by managers; more than a third of them indicated they have not read or don't know about the existence of the PSD, Energy, and Revised Credit policies. However, not all documents are equally relevant to staff in all corners of the Bank. It is, therefore, pertinent to note that between a third and half of staff from the complex responsible for infrastructure, energy and private sector operations (OIVP) participating in the survey either do not know of the existence of or are not familiar with the contents of the PSD and Energy policies and the PSD, Regional Integration, and Urban strategies—all which are directly relevant to OIVP's areas of work.

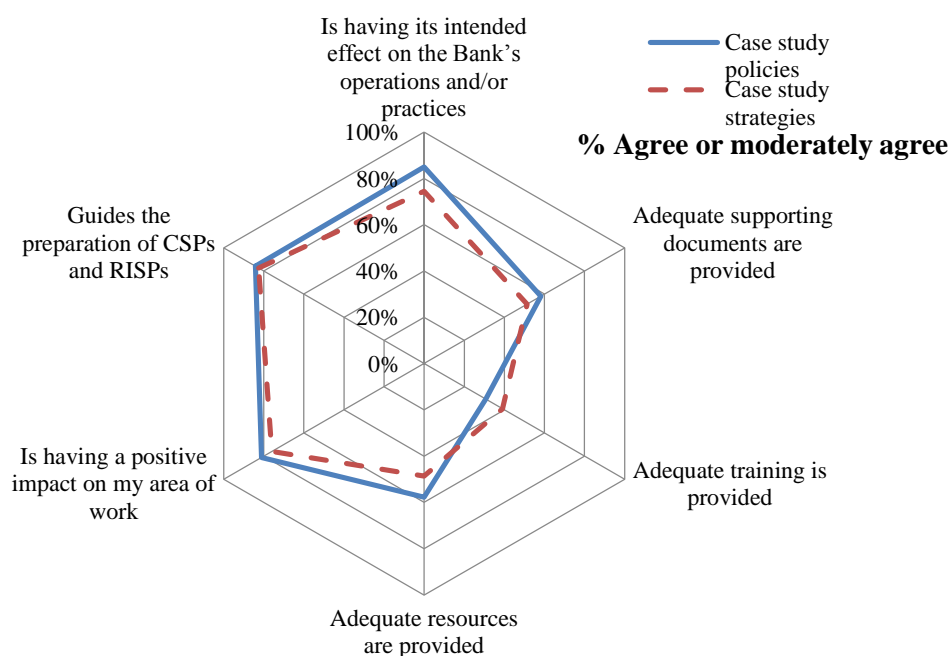
Implementation Support

A number of survey respondents raised concerns about the Bank's systems and support for implementation; they also indicated that support for the implementation of policies and strategies in the form of supporting documents, training, and required resources was, in general, wanting (Figure 5.1).

Adequacy of supporting documents—such as operational procedures for policies and implementation guidelines for strategies—and training has been a challenge for many strategies and policies. Some have fared better (Box 5.1) but overall results are mixed. Survey and interview comments underscore the fact that key supporting documents to provide staff guidance on the design and implementation of programs or projects are

frequently prepared late. Of the responding managers, 55% disagreed that documentation provided to support implementation of policies and strategies was adequate for effective implementation. These shortcomings are especially critical at a time of high staff turnover and with a growing percentage of the staff located in field offices.

Figure 5.1: Implementation support for case study policies and strategies



Source: Staff Survey

The staff survey revealed concerns about the adequacy of relevant training in particular. Two-thirds of staff and managers felt that training provided was not adequate to support effective implementation of policies and strategies; more than 80% of the managers felt training support for operational policies was inadequate. While this dissatisfaction may well stem in part from recent budget cuts, inadequacy in training has been a persistent challenge. In a staff survey carried out for OPEV's Evaluation of ADF VII-IX in 2004, 78% of staff strongly disagreed that "staff have been/are receiving the training and support they require for professional application of the Bank's policy framework on poverty reduction." According to one senior manager, training, mentoring and coaching are foreseen by management, but a heavy workload limits staff ability to benefit from them.

Box 5.1. Illustrations of Implementation Support for Strategies and Policies

Guidelines: The operational guidelines and implementation plan for the Fragility strategy was produced six months after the strategy was approved. The Gender strategy was not accompanied by guidelines. Guidelines to support the 2012 PBO policy were issued in March 2014, more than a year after the policy was approved.

Training: Among operational strategies reviewed for the case studies, fewer than 30% of staff perceived training in Gender and PSD as adequate.¹ The Transition Support department started training operational staff in late 2014. Although the PBO policy said the Bank would communicate and train, there is little evidence of this having taken place, beyond the initial internal workshop held to launch the policy.

Source: Case studies

There is also dissatisfaction among staff (and even more so among managers) with the level of resources available for effective implementation, especially for strategies (Table 5.2). Interview results corroborate concerns about the availability of budgets to support implementation. Several staff noted during the interviews that budgetary pressures have resulted in some teams being asked to remove any reference to extra budget and staff needs from draft strategy papers and either say nothing or claim budget neutrality, a concept that leads to considerable skepticism by managers and staff. Exceptions here include the fragility and governance strategies, both approved in 2014 but which do not claim budget neutrality.

In practice, there is evidence to indicate that implementation of the policies and a strategy is not always properly resourced, even when initially planned. For example, the Regional Integration Strategy included a budget to pay for additional ONRI staff to intensify the Bank's support for the "soft" aspects of regional integration and to build required skills. However, ONRI was not allocated additional positions to facilitate its coordination role. There has been little visible addition of staff in support of the objectives of the recent PSD policy and strategy – whether in OPSM (which focuses on non-sovereign transactions) or elsewhere, the newly established Financial Sector Department is focused on approving and implementing a separate strategy. There are exceptions, and additional resources were made available for some priority objectives. The Transition Support Department now has a staff strength that is triple the 2009 level and has a significant budget of over UA 4.5 million. For gender, a Special Envoy was appointed, and staffing targets agreed, but staff there and in ORQR still perceive staff and budgetary resources to be inadequate for implementation of the ambitious strategy.

While complaints about inadequate budget are common in most institutions, the Bank lags others in its ability to properly cost and link budget allocations with new Bank priorities and ensure funding for effective implementation of policies and strategies. In this context, it should be noted that until recently the Bank even lacked a time recording system²⁶ and hence the ability to determine the full cost of activities and programs and to budget for them. Recent changes in the budgeting and time recording systems, when fully operational, should help in future.²⁷

Box 5.2 reflects that the fact that implementation is the big challenge for the Bank's policies and especially strategies is already well known within the Bank.

Box 5.2: Staff comments on implementation

"A strategy is only a piece of paper until it enters operations and becomes reality that you can touch. So the link is vital."

"There is a considerable gap between the existence of a strategy and its application. There are many factors that affect the effective use/application of the strategy; one of the most important being its ownership across the organization."

"Most efforts are geared at producing the policy or strategy; we now must improve implementation and progress tracking."

"We know how to formulate strategies and policies. We are less focused on implementation, monitoring, and drawing lessons."

"Whereas the policies may be good, the challenge in the Bank lies in their implementation and effective monitoring. Mechanisms need to be identified to address this"

Source: Staff Survey

Policies and Strategies as Drivers of Change

The TYS is the most important strategy approved during the period covered by this evaluation and is having considerable impact on CSPs. A recently completed IDEV evaluation of the quality-at-entry of 45 CSPs assessed the extent to which TYS objectives (and those of the previous MTS) are being addressed in the Bank's CSPs; results allow us to compare CSP content for each of the identified sectors or themes before and

²⁶ While a system has been introduced recently, based on the experience of other institutions, it will take some time to become fully operational and useful.

²⁷ IDEV is conducting a parallel evaluation regarding management of the administrative budget, which will provide more information on progress made to date in budget management reform and outstanding challenges.

after those policies and strategies were approved. In most instances, after the policy or strategy was approved, the related quality-at-entry aspect of the CSPs also improved (**Annex 7**).

Table 5.2 displays the relatively positive perceptions of EDs, managers and staff concerning policies and strategies as drivers of change. More than 80% of the staff responding to the survey considered the strategy and policy which they were most familiar with as having a positive impact on their work. This average hides variation however – while 96% of those who identified the people or regional integration strategies agreed or somewhat agreed that those strategies were having a positive impact on their area of work, equivalent figures for the strategies for civil society engagement and urban development were 50% and 57% respectively. There is also a difference amongst groups of respondents – managers see more limited impact, particularly of operational policies, with only 10% agreeing and another 40% somewhat agreeing that they have a positive impact on their work. Interview results related to the same question are similarly favorable, with about three-quarters of the responding staff agreeing or somewhat agreeing that there is some impact, but a less positive assessment from the senior managers.

Table 5.2: Views on policies and strategies as drivers of change

	Interview Data			Staff Survey Data ²⁸	
	Managers & Staff	Senior Managers	Executive Directors	Policies	Strategies
Effectiveness in guiding the Bank's work ²⁹					
Extent to which policies and strategies are having their intended impact on Bank operations and practice					

Source: Staff Survey and Interviews

The findings from case studies are far more mixed and point to constraints encountered during implementation. For example, efforts to “operationalize” the PSD Strategy require embedding the approach in the CSPs, but most country economists are not too familiar with the concepts needed to effectively promote the private sector. What is needed here in the words of one manager is “‘re-tooling’ and ‘re-profiling’ of relevant staff in country offices along with a broad based support systems to enable the Bank to promote the private sector; this goes well beyond opportunistic funding of transactions.” An OPSM manager hired a consultant to support the country teams and to address strategic issues in the private sector in an effort to overcome these development constraints, but the program was discontinued due to funding shortages.

The Gender Strategy benefited from enthusiastic support from the Bank's President and senior management. Despite this support, one staff member observed: “they are strapped for cash, and so they are mostly talking but not doing.” Specialists working with the Gender Envoy are encouraging team leaders to mainstream gender considerations in their operations (e.g. Angola Energy budget support includes reforms aimed at streamlining gender in the ministry). Although gender mainstreaming in operations is making progress, the efforts are not yet systematic.

As well as enabling implementation, there is a role for a policing of sorts. It is important to note the role of OPSCOM in ensuring compliance with policies and alignment with strategies when considering new projects or CSPs. The Strategy and Policy Department as well as the Legal Department are represented in the committee and are expected to flag any breaches in policy. Senior management representing other areas are also expected to address issues related to strategies that they are responsible for. These roles are important and encourage staff to add in relevant information to project appraisal documents. However, there is no data

²⁸ In the survey, respondents were asked these questions in relation to the policies and strategies they were most familiar with.

²⁹ In the survey, staff and managers were asked to agree or disagree with the following statements: “The policy/strategy is having a positive impact on my area of work” and “The policy/strategy guides the preparation of CSPs and RISPs where I operate.” The traffic lights in this row reflect their answers to both of these questions.

available to assess the extent to which this function goes beyond a simple compliance check to support a deeper level of integration and implementation of operational policies and strategies in the Bank's new operations.

Digging Deeper: Case Studies, Focus Groups, and Portfolio Change

Three other sources of data help to complete the picture regarding implementation. The case studies provide an explicit rating for the effectiveness of implementation, which reinforce the findings discussed above. Of the 8 policies and strategies that were rated (some were too recent to reliably rate implementation), the effectiveness of implementation was rated moderately satisfactory for one, moderately unsatisfactory for five, and unsatisfactory for two. These ratings are less favorable than the survey data and feedback from stakeholder interviews. These ratings are also much lower than the case study ratings for the other three evaluation criteria: relevance, quality, and process.

IDEV also held two focus groups with operations staff, focusing on implementation of operational policies and strategies. There was strong consensus that implementation was in general a challenge. Participants confirmed issues around dissemination and support, and offered some thoughts on underlying causes, and how to address them (Box 5.3). The issues of ownership and accountability were raised as factors affecting implementation in both groups.

Box 5.3: Operations staff focus groups' views and ideas on implementation

Problems identified

There are "simply too many documents" for staff to effectively digest and put into practice in operations. Finding the documents is difficult, there is not central portal, but somewhere in the process (both project and CSP approval) what you have missed will be pointed out and you will have to retrofit. Dissemination is poor (except for the TYS) sending an email and holding one launch workshop is not enough. Preparation of strategies is "done on a shoestring" the focus is on getting to approval, not implementation. For the various cross cutting strategies we add a paragraph in project appraisal documents and CSPs. There is not the support to ensure these issues are genuinely integrated into the project objectives and design. There is very little monitoring of implementation of strategies in our projects, all the focus of monitoring is on project performance - i.e. disbursement rate etc. If nobody asks for the planned mid-term review then teams will not do it until the information is needed for the successor strategy.

Solutions suggested

Dissemination should be enhanced but focusing on "key messages", tailored to different internal audiences, rather than the whole document. Given the number of documents, prioritization will be needed to identify which documents and messages staff "need to know", rather than just ought to know. Where there is operational guidance (e.g. PBO) additional explanation is needed to ensure they are properly understood and this should be targeted. For project staff it is the practical guidance and "good practice examples" that really help implementation. Although there is a lack of training available, but we are neither forced nor provided with incentives to attend what is available, those who go are those "already interested". Some training could be mandatory. Genuine implementation requires holding managers accountable, it requires monitoring of progress, it requires a "champion" to continue to push on implementation after approval. "Good experience" with involvement of green and inclusive growth internal experts in CSP design could be replicated for other strategies – though this is resource intensive.

Source: Focus groups with operations staff. Issues are paraphrased given they combine multiple voices.

The evaluation was able to establish only partial evidence regarding the impact of new operational documents on the Bank's portfolio. Due to gaps in monitoring (discussed further below), the Bank lacks data on the changes brought about by its policies and strategies. An analysis focused on one important policy document (energy) and one important strategy (regional integration) was conducted to check what key changes are observable. In both energy and regional integration, there is a marked increase in the share of operations with the private sector, a theme in both documents but also in line with general growth in private sector operations in the Bank. The results of the analysis for regional integration are shown in Box 5.4. Overall results remain somewhat mixed, but more in-depth analysis in separate focused evaluations would be

necessary to provide more information.³⁰ The figures provide some indication where further investigation may be instructive.

Box 5.4: Looking for the Effect of the 2009 Regional Integration Strategy on Bank lending

The evaluation team reviewed a database of 221 Multinational Operations (of which 105 projects made a contribution to Regional Integration) to determine the extent to which the composition of lending has changed between 2004-08 (pre-strategy) and 2009-13 (post-strategy). The findings in relation to three central objectives of the strategy are as follows:

Lending for “soft” components shows a slight decline in the case of multinational operations (from a share of 58% to 53%) and a much more pronounced decline in the case of projects contributing to regional integration (from 42% to 19%). In number of projects containing soft components, the change over the two corresponding time periods was from 75% to 69% for multinational operations and from 62% to 37% for projects contributing to regional integration.

There has been a substantial increase in the share of private sector operations in multinational operations, from 19% to 49% in volume, and 22% to 49% in number.

While the volume of approvals of projects contributing to regional integration has gone up significantly (from UA1.1 billion in 2004-08 to UA1.9 billion in 2009-13, the share of these projects as a percentage of total multinational operations has gone down over the period from 69% to 57% in volume, and 58% to 43% in number.








Source: Analysis of Bank portfolio data

Monitoring, Evaluation, and Reporting

Absence of systematic progress reporting constrained the ability to assess the extent to which the Bank ensures effective monitoring of the implementation of policies and strategies, the degree to which monitoring is carried out as planned, and the extent of reporting to management and the Board. Table 5.4 shows the perception of staff and managers on the subject.

Survey results on monitoring progress were among the least favorable. Nearly 15% of managers and more than 25% of staff indicated lack of awareness of monitoring processes. Of the remainder, some 45% of staff and 65% of managers claimed that such processes either did not exist or were ineffective. Interview results also broadly confirmed the survey findings. A recurrent response from Bank managers and staff to interview questions about the effectiveness of monitoring processes for implementation of policies and strategies was that such a system was not in place. This weakness is not unique to AfDB but others have taken steps recently to improve monitoring of implementation in priority areas, such as fragility and gender.

Table 5.4: Staff view on monitoring and results frameworks

	Interview Data			Staff Survey Data	
	Managers & Staff	Senior Managers	Executive Directors	Managers	Staff
Effectiveness of monitoring progress in implementing policies and strategies					
Strategies have an adequate results framework	NA	NA	NA		

Source: Staff Survey and Interviews

Progress is monitored for some policies and strategies during the mid-term evaluation, though this is not regularly carried out and is generally not sufficient. A separate question was included in the survey about the adequacy of the results framework for the operational strategies. Slightly more than 80% of those responding to this question agreed or somewhat agreed that the frameworks were adequate. However, a careful

³⁰ A full evaluation of the energy sector is planned for 2015 and one of regional integration strategies in 2016. Covering the period 2000-10 the 2012 evaluation “Fostering Regional Integration” was conducted before any changes would likely be seen.

assessment of results frameworks as part of the case studies found some of them to be overly complex, missing baselines and quantifiable targets, lacking meaningful and attributable impacts and outcomes indicators, and inadequately linked to the Bank-wide RMF.

Although the evaluation team did not assess the extent to which IDEV is regularly evaluating the impact of strategies and policies on Bank operations and activities, the coverage is clearly not universal. In the absence of such evaluations or other detailed reviews it is difficult for the Bank to assess the extent to which its various policies and strategies are having their intended impact.

Overall Assessment

Four aspects of the effectiveness of policy and strategy implementation were assessed in this chapter (Table 5.5). The first is dissemination and access – which was found to be frequently insufficient, the result can be seen from the limited awareness on the part of staff and managers about the content and requirements of key documents. The historical lack of easy access to policies and strategies has also been a negative factor. Dissemination and access is therefore rated moderately unsatisfactory.

The second sub-criterion is implementation support. All three components of implementation support—supporting documents, staff training, and availability of resources—were found inadequate to support the effective implementation of policies and strategies, although there are some good examples. Therefore, the overall rating for implementation support is moderately unsatisfactory.

The third aspect is policies and strategies as drivers of change. The TYS is influencing the preparation of Country Strategy Papers and is well reflected in other recent operational strategies. However, despite relatively positive perception data from the staff survey, the case studies painted a less positive picture. However, there is limited evidence at this juncture of the effectiveness of many other policies and strategies in guiding operations and activities. Therefore, policies and strategies as drivers of change are rated moderately satisfactory; an assessment which gives the benefit of the doubt given that evidence on this aspect is limited.

On the fourth sub-criterion, evidence from the case studies, interviews, and the survey points to the absence of systematic attention to monitoring, evaluation, and reporting. This criterion is rated moderately unsatisfactory.

Table 5.5: Summary traffic light ratings for implementation

Implementation	Policies	Strategies
Dissemination and access	MU	MU
Implementation support	MU	MU
Drivers of change	MS	MS
Monitoring and reporting	MU	MU

Chapter 6 - Summary conclusions

The evaluation highlights a number of important findings, which indicate existing strengths as well as areas where concerted action would reap better results, based on a review and assessment of policies and strategies in terms of (i) the suites as a whole; (ii) the relevance and quality of the documents; (iii) the processes involved in formulating and approving them; and (iv) their effectiveness and implementation.

Overview

The evaluation used traffic light ratings to draw attention to the areas of strength and also where the Bank might do more to improve its policy and strategy making and implementation (Table 6.1). This highlights which areas the evaluation finds are most important for the Bank to address. Some of these are interlinked. In particular these relate to: (a) the lack of a framework and clear consistent nomenclature to structure the Bank's regulatory documents; (b) the challenge in managing the suites overall, which includes accessibility, updating, retiring and streamlining; (c) finding ways to streamline the process for document development and approval; and, (d) the lack of consistent attention to supporting and resourcing implementation, including monitoring progress. The evaluation proposes relevant recommendations to address these areas (see Executive Summary).

Table 6.1: Overall Traffic-Light Ratings

	Policies	Strategies
The overall suites		
Clarity of purpose and content	U	U
Coverage	S	S
Management of the suites (accessibility, retirement etc.)	U	U
Relevance and quality		
Relevance	S	S
Quality and content	MS	MS
Process and efficiency		
Process	MU	MU
Time efficiency	MU	MS
Implementation and effectiveness		
Dissemination	MU	MU
Implementation support	MU	MU
Drivers of change	MS	MS
Monitoring and reporting	MU	MU
S = Satisfactory; MS = Moderately Satisfactory; MU – Moderately Unsatisfactory; U = Unsatisfactory		

On the policy and strategy suites as a whole

The Bank can be commended for the comprehensive coverage of issues relevant to the Bank and RMCs in its policy and strategy suites. AfDB's policies are older than other MDBs, in part because the Bank lacks a systematic process for reviewing and retiring or updating older policies.

The Bank lacks a clear framework and an agreed nomenclature and definitions for its guiding documents. There is a lack of clarity within the Bank of the difference between the purpose and content of policies and strategies and indeed other documents, as well as about what should trigger their formulation. Key comparator organizations have frameworks set out the differences between the main regulatory and strategic papers, to inform decisions regarding which option is most suitable in each case. The confusion which results from such lack of such clarity at the Bank has practical implications, in terms of duplication, and implementation.

AfDB does not systematically separate the specific policy requirements from the remaining content of the policy paper. Consequently, the entire policy paper, including the section on implementation where the procedures to be developed in future are listed, is treated as policy. This additional content in the formally approved document has implications for the approval discussions as well as for compliance.

Unlike other MDBs, Bank staff has not benefited from an easy to access portal for operational and non-operational policies and strategies and the Bank lacks an updated, functional, publicly available, user-friendly repository for policies and strategies. Staff expressed concern regarding accessibility of the suite up until now, stating that they were not always aware of key documents.

Many policies and strategies are not accompanied by clearly developed procedures, operational plans, or good practice guidelines, which are typically prepared after approval rather than in parallel. The evaluation notes that one of the main reasons for this has been the resources available to produce the documents.

It is important to acknowledge recent progress made since this assessment was made. Most notably (i) the Bank has now launched Volume One of the Operations Manual – which lists policies, strategies and various guidance documents – and made it available to staff online; and (ii) following a request from CODE, the Bank is working on developing a framework document to help address the issue of nomenclature and clarity.

On the relevance, content and quality of policies and strategies

The current policies and strategies were found to be relevant to the current strategic priorities of the Bank and aligned with the broader Ten-Year Strategy. The operational policies are also aligned with the needs of RMCs, and the non-operational ones with the need to enhance the Bank's institutional effectiveness. While some of the older policies of the Bank need to be revisited, the relevance of the current policies and strategies is found to be mostly satisfactory.

The majority of both policies and strategies were found to be satisfactory in terms of key aspects expected to be included. For example, almost all of the documents in the standardized review were clear on their objectives and rationale. Both operational and non-operational policies were generally clear on stating what the Bank would do, but less so in proscribing what it would not. With respect to quality, the case studies – which delved deeper – indicate that there is some variation. For example, in the case of strategies results frameworks were not equally strong. Overall, however, the quality of the documents themselves was in the majority of cases adequate.

On the process

While the evaluation notes that the process is sometimes long and that there may be scope to remove steps or possibly whole phases in some cases, what is most striking about the process is the variation – some documents have been produced and approved much more quickly than others. Where an issue is particularly controversial, reaching a balanced document to reflect concerns of different stakeholders, obviously takes some time. However, the evaluation indicates a number of other factors that contribute to delays:

- A lack of clarity about what the proper process should be.
- Lack of a consistent technical quality assurance aspect to the process, beyond the internal peer review system – which can mean substantive aspects are addressed further along the process.
- The level of senior leadership and institutional coordination – where this type of push was present it helped the process.

On implementation

The effectiveness of implementation of these documents after they are approved was assessed across four aspects. The first aspect is dissemination and access. Dissemination of policies and strategies is frequently insufficient. The good practices exhibited with the dissemination efforts for the Ten-Year Strategy and the policy on Disclosure and Access to Information indicate that with resources and sustained attention the Bank can disseminate well, internally and externally. In terms of access the lack of an easy to navigate repository has been a barrier until now.

The second criterion is implementation support. All three components of implementation support—supporting documents, staff training, and availability of resources—were found inadequate to support the effective implementation of policies and strategies, although there are some good examples. Staff expressed concern with regards to: (a) supporting documents; (b) resources; and (c) especially training. The case studies confirmed these were areas of concern. Unlike at other MDBs, accompanying documents like procedures and implementation guidelines – where they are required -- are often not ready when the policy or strategy is

presented for approval. This makes full and immediate implementation more difficult. With regard to resources, the Bank has not always been able to match its stated level of ambition with appropriate resources. In too many cases training has been planned but not delivered – usually because of resource constraints. Not every new document will require training to support implementation, but some do expect changes in the way staff works and skill sets required. Examples show there is also variation by case on training: training to support implementation of the 2012 PBO Policy did not materialize; while more recently training for implementation of the 2014 fragility strategy has begun.

The third aspect was the extent to which the documents are driving change, and evidence here is limited. Despite raising concerns regarding implementation support, many staff felt that the policies and strategies that they were most familiar with were having a positive impact on their work and the Bank's work more broadly. Given problems with dissemination and implementation support, this impact falls short of potential. The role played by OpsCom – which allows for both the legal and policy departments to comment on proposed operations – is an important step to ensure there are no actual breaches of policy and that key strategic priorities are taken into account.

On the fourth criterion -- monitoring, evaluation, and reporting -- evidence from the case studies, interviews, and the survey points to the absence of systematic attention. Indeed, monitoring of the implementation of policies and strategies was perceived by staff and managers and found by the evaluation to be an area of weakness. A recurrent response to questions about processes for monitoring implementation of policies and strategies was that these are either not in place or ineffective. The case studies confirm that limited monitoring has been carried out, although regular reporting on progress monitoring on the more recent gender and people strategies bucks this trend.

Annex 1: Evaluation Matrix

Evaluation question	Sub-question	Indicators	Method	Evaluation Findings
RELEVANCE AND QUALITY				
1. Are the Bank's policy and strategy suites relevant and appropriate for its needs?	a. To what extent are the policy and strategy suites as a whole aligned to the Bank's priorities?	Strategic priorities (in the MTS/TYS) have up to date guiding documents. Sector/thematic policies and strategies link up to overarching Bank MTS/TYS.	Document review. Semi-structured interviews.	Recent policies and strategies respond to most of the operational priorities and three areas of special emphasis in the MTS/TYS. An agriculture and agribusiness policy and strategy under preparation. On infrastructure, an energy policy and urban strategy has been formulated. Of the two overarching strategic objectives – inclusive growth and transition to green growth – the Bank now has a Climate Change Action Plan but inclusive growth does not yet have a policy or strategy.
	b. Does the Bank provide clarity on the different purposes and expectations of policies/strategies /other guiding documents?	A clear definition for different types of document (policy/strategy/other) in terms of (i) purpose (ii) expected content. e.g. difference between a policy and strategy is clear.	Document review. Semi-structured interviews. Focus groups. Benchmarking with peer organizations. Electronic survey.	No explicit guidance on the purpose and content of different regulatory documents resulting in lack of clarity among staff and managers and proliferation of instruments.
	c. To what extent is the content and volume of policy and strategy documents relevant to the Bank's needs?	Decision to produce a policy or a strategy is based on identified need. Number of documents is appropriate, and seen as helpful by staff. Hierarchy between documents is clear. The effective period and when a document is superseded by another are clear.	Document review. Semi-structured interviews. Focus groups. Benchmarking with peer organizations.	Policies and strategies, particularly the recent ones approved since 2009, are relevant to the Bank's needs. There are a comparatively large number of strategies.

	d. To what extent are policy and strategy documents produced by the Bank of sufficiently high quality?	<p>Proportion of sample of documents that meet technical (sector/other) criteria (to be identified)</p> <p>Proportion of sample of documents that meet general quality criteria for a policy/strategy/other (to be identified, to include e.g. clarity of objectives, quality of M&E framework, roles and responsibilities, cross-cutting issues).</p>	<p>Document review.</p> <p>Expert panel.</p> <p>Semi-structured interviews.</p> <p>Literature review</p> <p>Benchmarking with peer organizations</p>	While mostly comparable to those from other MDBs, some strategies are unrealistic in relation to Bank capacity and some have weak results frameworks.
EFFICIENCY AND PROCESSES				
2. Does the Bank have efficient systems and processes in place to support policy/strategy making and implementation?	a. To what extent are appropriate (i) quality control and (ii) consultation mechanisms in place?	<p>Appropriate systems are in place on paper.</p> <p>Systems are used in practice and influence final documents.</p> <p>Extent to which (i) internal; and (ii) external stakeholders are satisfied with mechanisms.</p> <p>Role of Board and senior management is clear and adds value.</p>	<p>Document review and mapping of processes.</p> <p>Benchmarking with peer organizations.</p> <p>Semi structured interviews.</p> <p>Electronic survey</p>	While management and CODE reviews are carried out, they are not supported by written guidance for policy/strategy documents or technical reviews. Recent policies and strategies have benefited from external consultations.
	b. To what extent is the process for formulating and approving both policies and strategies time and cost efficient?	<p>Length of time taken to formulate and approve relevant documents (i) on paper (ii) in a sample of actual cases.</p> <p>Identification of steps in the process which are time consuming.</p> <p>Extent to which process is in line with comparators.</p> <p>Number of people involved.</p>	<p>Process mapping.</p> <p>Benchmarking with peer organizations.</p> <p>Resource mapping.</p> <p>Benchmarking with peer organizations.</p>	While cost information was not available, the preparation and review process is more cumbersome, and involves more steps than at other MDBs. AfDB is the only MDB that takes every strategy and some actions plans, frameworks and guidance documents to the Board.
QUALITY AND EFFECTIVENESS				

3. Are Bank policies and strategies effective in guiding the Bank's work?	a. To what extent are staff and other stakeholders aware of and using Bank policies and strategies?	Documents are shared, well organized and easily accessible to staff and stakeholders. Proportion of relevant staff aware of a sample of documents (sample tbc). (Awareness-to-use scale tbc) Level of awareness amongst key stakeholders (sample tbc)	Electronic survey Semi structured interviews.	On average about one fifth of Bank staff had read the key policy/strategy documents identified. 40-60% reported unfamiliarity with the policy or strategy (they either did not know it exists or were unfamiliar with its content). This understandably varies depending on the relevance of the document to their position.
	b. To what extent are policies and strategies having the intended effect on Bank operations and practices?	Extent to which project appraisal documents address the relevant strategic issues pre and post policy/strategy adoption. (Sample of policy/strategy documents tbc). Extent to which key stakeholders (documents owners, board, management, staff) perceive impact.	Document review, regression discontinuity analysis. Pre and post analysis of financial approvals data where relevant. Electronic survey. Semi structured interviews.	Effectiveness of implementation for most of the policies and strategies assessed by the case studies is weak. Nevertheless, for the documents they are most familiar staff are relatively positive. The TYS is having an impact on other documents, notably CSPs.
	c. To what extent does the Bank ensure effective monitoring of policies and strategies?	Proportion of relevant documents which include clear and appropriate monitoring framework or plan. Proportion of cases (in a sample) where monitoring is carried out as planned. Effective use is made of monitoring data. Extent to which Bank has appropriate overview of its active policy and strategy suites.	Document review. Benchmarking with peer organizations. Semi structured interviews. Electronic survey.	Monitoring of implementation is weak.
	d. To what extent does the Bank back policies and strategies with the necessary resources and tools to facilitate their implementation?	New/additional priorities are resourced (human and financial) The Bank builds internal capacity (skills and expertise) to support implementation Procedures or tools are defined to support implementation where necessary.	Electronic survey. Semi structured interviews.	Implementation suffers because the necessary tools and supporting documents are not ready in a timely manner. Staff and budget resources, and support particularly for training is not provided systematically for most of them.

LESSONS

4. What lessons can be drawn and recommendations made to support the Bank to ensure its policies and strategies support implementation of its current priorities?	a. What lessons can be identified to improve the relevance, efficiency and processes and effectiveness of policies and strategies in the Bank?	Factors associated with extent of (i) relevance; (ii) efficiency; and (iii) effectiveness. Both contextual and mechanistic factors. (e.g. use of realist CMO synthesis approach). Aspects that should be retained/enhanced/discontinued based on findings under EQs 1-3.	Analysis of findings from above methods. Emerging findings workshop	The lessons from other MDBs are that: (a) An Operations Manual that contains succinct statements of all operational policies and is easily accessible is an important aid to support effective implementation. (b) An explicit framework is essential to clarify definitions of all regulatory instruments and separate policies (which are mandatory) from strategies (which guide direction) in terms of their content, purpose and approving authority. (c) Effectiveness of implementation can be enhanced if operational procedures and guidelines are prepared in parallel with policy/strategy formulation, and implementation support and training is provided in a timely manner.
	b. What lessons can be identified regarding the role played by having ADF or GCI commitments associated with a policy or strategy?	Task managers' and stakeholders' perceived impact of link with GCI/ADF commitments on relevance/efficiency/ effectiveness of policy and strategy making and implementation.	Analysis of findings from above methods. Emerging findings workshop	GCI/ADF commitments can provide impetus to formulate and deliver priority policies and strategies. However, they can, strain institutional capacity and do little to help ensure implementation.

Annex 2: Active Policy and Strategy Suites

Title of Document		Year
POLICIES		
Financial Management Policy in African Development Bank Group Financed Operations -- Revised Version	Operational	2014
Diversifying the Bank's Products to Provide Eligible ADF-Only Countries Access to the ADB Sovereign Window	Non-Operational	2014
ADF-13 Accelerated Repayment and Voluntary Prepayment of Loans	Non-Operational	2014
Private Sector Development Policy of the African Development Bank Group	Operational	2013
African Development Bank Group's Integrated Safeguards	Operational	2013
Bank Group Policy on Program Based Operations (PBOs)	Operational	2012
Energy Sector Policy of the African Development Bank Group -- Revised Version**	Operational	2012
Policy on Disclosure and Access to Information	Non-Operational	2012
Rules and Procedures for Procurement of Goods and Works	Non-Operational	2012
Revised Guidelines On Cancellation Of Approved Loans, Grants And Guarantees	Operational	2011
Rules and Procedures for the Use of Consultants	Non-Operational	2012
Policy for the Bank's Use of Technical Assistance Personnel -- Revised Version	Operational	2011
Capital Adequacy Framework and Exposure Management Policy	Non-Operational	2011
<i>2014 Additional Proposals on Capital Adequacy Framework and Exposure Management Policy</i>	<i>Non-Operational</i>	2014
Transition Framework for Countries Changing Credit Status	Non-Operational	2011
Proposal for a Definition of the Bank's Risk Appetite, Risk Dash Board and Enhancement of Credit Risk Governance	Non-Operational	2011
Proposal for an Income Model for the Bank - Revised Version	Non-Operational	2011
Proposal for a Revised Loan Pricing Methodology for Sovereign and Non-Sovereign-Guaranteed Operations	Non-Operational	2010
Revised Policy Guidelines and Procedures for Emergency Relief Assistance	Operational	2009
Policy on Expenditures Eligible for Bank Group Financing	Operational	2008
Bank Group Policy on Non-Concessional Debt Accumulation	Non-Operational	2008
<i>The Bank Group Policy on Non-Concessional Debt Accumulation - Amendment</i>	<i>Non-Operational</i>	2011
Whistle Blowing and Complaints Handling Policy -- Revised	Non-Operational	2007
Independent Evaluation Policy	Non-Operational	2007
Policy Framework for Bank Lending in RMC Currencies	Non-Operational	2006
Bank Group Policy on Poverty Reduction	Operational	2004
Bank Policy on Guarantees	Operational	2003
The Gender Policy	Operational	2001
Risk Management Policies and Processes	Non-Operational	2001
Policy for Integrated Water Resources Management	Operational	2000
Agriculture and Rural Development Sector Bank Group Policy	Operational	2000
Bank Group Policy on Good Governance	Operational	2000
Education Sector Policy Paper (ESPP)	Operational	1999
Policies for Lines of Credit, Agency Lines, and Guarantees to Private Sector Financial Institutions	Operational	1998
Bank Group Credit Policy	Operational	1998
Revised Policy on Loan Arrears Recovery	Operational	1997
Bank Group Policy and Procedures for Supplementary Financing	Operational	1997
Bank Policy on Financing Enclave projects	Operational	1996
Health Sector Policy Paper	Operational	1996
Revised Private Sector Operations Policies	Operational	1995
Bank Group Policy on Portfolio Review and Restructuring	Operational	1995
Transport Sector Policy	Operational	1993

Forestry Policy Paper	Operational	1993
On-lending Policy	Operational	1990
Bank Group Utilization of Loan Savings	Operational	1990

STRATEGIES

Addressing Fragility and Building Resilience in Africa: The African Development Bank Group Strategy 2014-2019	Operational	2014
AfDB Human Capital Strategy for Africa 2014-2018	Operational	2014
Private Sector Development Strategy 2013-2017—"Supporting the Transformation of the Private Sector in Africa"	Operational	2013
Bank Group Gender Strategy 2014-2018 -- Revised	Operational	2013
People Strategy 2013-2017 - Revised	Non-Operational	2013
Governance Strategic Framework and Action Plan (GAP II) 2014-2018*	Operational	2013
Independent Evaluation Strategy 2013-2017 -- Revised	Non-Operational	2013
At the Centre of Africa's Transformation: Strategy for 2013-2022	Non-Operational	2012
Framework for Enhanced Engagement with Civil Society Organizations -- Final Version	Operational	2012
Information Technology Strategy 2013-2015	Non-Operational	2012
Decentralization Roadmap	Non-Operational	2011
Bank Group Urban Development Strategy	Operational	2011
Climate Change Action Plan (CCAP) 2011-2015	Operational	2011
Agriculture Sector Strategy 2010-2014	Operational	2010
Strengthening Country External Audit Systems in Africa: A Joint Strategy of the Africa Development Bank and the World Bank	Operational	2010
Bank Group Climate Risk Management and Adaptation Strategy (CRMA)	Operational	2009
Bank Group Capacity Development Strategy	Operational	2009
Communication and External Relations Medium Term Strategy	Non-Operational	2009
Strategic Directions to Improve the Bank Group's Business Continuity Management - Revised Version	Non-Operational	2009
Strategy for Higher Education, Science & Technology	Operational	2008
Strategic Framework for Enhancing Bank Group Support to Middle Income Countries	Operational	2008
Corporate Governance Strategy	Operational	2007
Strategy for the Prevention of Money Laundering and Terrorism Financing in Africa	Operational	2007
Bank Group Malaria Control Strategy	Operational	2002
<i>Bank Group Malaria Control Strategy -- Addendum</i>	<i>Operational</i>	2002
HIV Strategy Paper for Bank Group Operations	Operational	2001
Bank Group Strategy Paper on Law for Development	Operational	2001
<i>Note: The ADB Group Regional Integration Strategy, 2009-2012 (approved in 2009) was included as part of the standardized review, but since it has been superseded by the Regional Integration Policy and Strategy (2014) is not part of the active policy and strategy suites.</i>		

POLICIES & STRATEGIES

Financial Sector Development Policy & Strategy 2014-2019	Operational	2014
Bank Group Regional Integration Policy and Strategy 2014-2023	Operational	2014
Microfinance – Policy and Strategy for the Bank Group	Operational	2006
Policy on Population and Strategies for Implementation	Operational	2000

Denotes policies and strategies approved in 2009-2014 that were included in the standardized review

Annex 3: Methodology

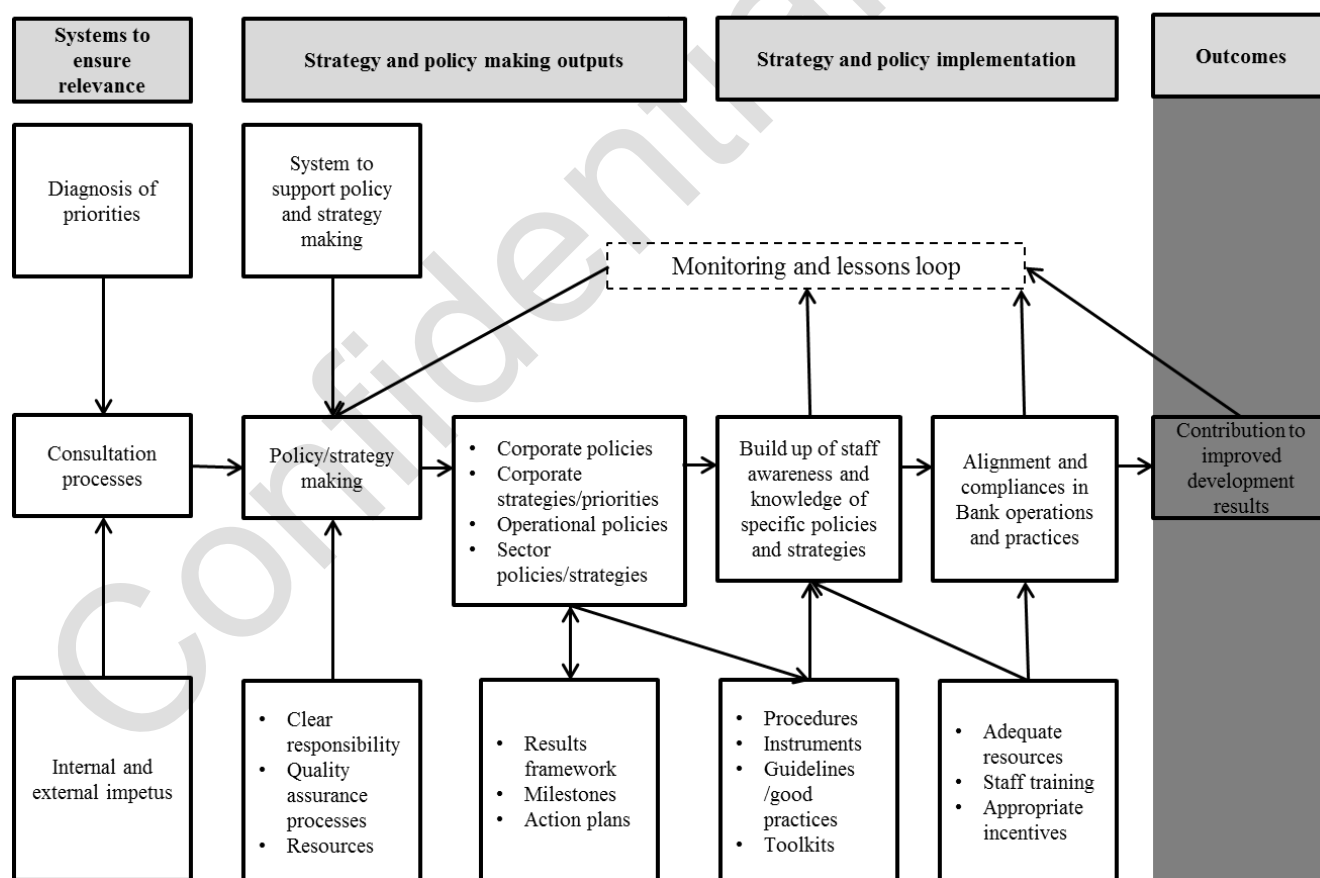
Evaluation Process

The evaluation included three phases: inception, data gathering and analysis, and report preparation. During the inception phase, the overall scope, approach, and methodology was discussed with Executive Directors, and Bank/IDEV staff and managers in the course of an inception mission to Tunis. The list of people interviewed is included in the technical report. A reference group was also established with representation from different parts of the Bank. The data gathering and analysis phase included a two-week visit to Bank headquarters in Abidjan to conduct key informant interviews, meetings with representatives of comparator organizations in Washington (World Bank, IADB, GAVI) and Rome (IFAD) and audio/video meetings with representatives of ADB, audio and video interviews with Deputies, as well as surveys and a document and literature review.

Approach and Methodology

The evaluation used the following conceptual framework (Figure A3.1), which also served as a theory of change. The evaluation focused on the Bank itself, gathering views from internal stakeholders since its scope did not include an attempt to show contribution of the policies and strategies to development results on the ground.

Figure A3.1: Theory of Change for Policy and Strategy Making and Implementation



The Inception Report of September 8, 2014 summarized the agreed methodology and evaluation plan. Detailed information is also provided in the Technical Report, on which this summary report is based.

The evaluation used the following data collection and analysis methods.

Document and Literature Review covering documentation from both the Bank and comparator organizations as well as selected literature related to policy and strategy making more generally.

Key Informant Interviews (semi-structured) with a broad range of internal and external stakeholders, using a customized template. The key informants interviewed are shown in Table A3.1. For the interview results see Annex 6.

Table A3.1: Key Informant Interviews

Group	Number at interviewees
Executive Directors	9
Bank senior managers	21
Bank staff	33
Comparator organizations	14
Total	77

Electronic Survey was administered to Bank staff and managers to gather: (i) perspectives on current practices; and (ii) views, level of awareness, and use of policy and strategy documents. Despite several reminders just 195 staff and managers out of 1170 potential respondents (equivalent to 17% response rate) completed the survey.³¹ Seventy-nine percent of staff and managers were at HQ and in Field offices, 21% The survey questions, tested during the Inception phase, as well as the survey results are shown in Annex 5.

Focus Groups with staff from: the regional operations complex, including staff in the Southern Africa and Eastern Africa Regional Resource Center; and staff from the sector operations complex.

Emerging Findings Presentation to a Reference Group toward the end of data collection and analysis. The emerging findings were also discussed at an informal meeting of CODE. The report incorporates feedback, received during these meetings.

Expert Panel Standardized review of Relevance and Content of the majority of Policies and Strategies approved during or after 2009 against specific criteria (**Annex 8**). The reference suites' period (Table 1.4) coincides with the resource mobilization processes and implementation of GCI-VI, ADF-12, and ADF-13. The standardized review only allows an assessment of the relevance and content of each policy or strategy. This analysis was supplemented by case studies (below).

The expert panel was comprised of three independent experts, assembled by Centennial. These were:

Name	Relevant previous experience
Anil Sood	World Bank
Amnon Golan	IFAD
Anis Dani	Independent Evaluation Group

Process Mapping of the formulation, quality assurance, and approval of policies/strategies including number of steps, extent of consultation, added value, people involved, and expected duration.

Reviewing Organizational Models for Policy and Strategy Formulation and Implementation including the related division of responsibilities for policy and strategy formulation.

³¹ The staff list provided predated the main phase of the move to Abidjan therefore some staff members on the list had left by the time the survey was conducted. We estimate that the response rate is likely to be closer to 20% on this basis.

Benchmarking with peer organizations (Asian Development Bank, Inter-American Development Bank, International Fund for Agricultural Development and the World Bank) of a number of aspects – notably in relation to the overall suites.

Case Studies of Selected Policies and Strategies

Case studies were undertaken to assess the quality of the content drawing on examples of similar policies or strategies at comparator organizations as benchmarks. Eleven case study policies and strategies were selected through purposive sampling (Table A3.2) and representing 30% of policies and strategies approved since 2009. Table A3.3 lists the documents. The results of the case studies are included in Volume II of the Technical report.

Table A3.2: Distribution of Operational and Non-Operational Policies and Strategies³²

	Typology	Operational	Non-operational	Total
Standardized review	Policies	7	9	16
	Strategies	14	6	20
Case Studies	Policies	3	1	4
	Strategies	6	1	7

Table A3.3 Case studies

Policies	
Private Sector Development Policy of the African Development Bank Group	May 22, 2013
Bank Group Policy on Program-Based Operations (PBOs)	March 14, 2012
Energy Sector Policy of the African Development Bank Group	September 26, 2012
Diversifying The Bank's Products To Provide Eligible ADF-only Countries Access To The ADB Sovereign Window ³³	May 13, 2014
Strategies	
Addressing Fragility and Building Resilience in Africa: The African Development Bank Group Strategy 2014 – 2019	June 18, 2014
Private Sector Development Strategy 2013-2017 “Supporting the Transformation of the Private Sector in Africa”	July 10, 2013
Bank Group Regional Integration Strategy, 2009-2012	March 4, 2009
Framework for Enhanced Engagement with Civil Society Organisations (CSOs)	October 3, 2012
Bank Group Urban Development Strategy	April 27, 2011
Bank Group Gender Strategy 2014-2018	January 22, 2014
People Strategy 2013 - 2017	May 15, 2013

While the standardized reviews allowed a judgment of relevance and content, the comparative analysis in the case studies allowed a judgment of relevance and quality. In addition, the case studies included a further evaluation of efficiency of policy or strategy formulation, and the effectiveness of their implementation in driving intended changes in Bank operations.

The assessment included more detailed document review of all background documents including preceding policies, papers prepared for the resource mobilization processes (if relevant), preceding analytical work or evaluations, minutes of management review meetings, CODE discussions, and Board meetings, and interviews with key managers and staff involved in policy preparation or implementation. The analysis in the case studies also benefited from review of similar policies and strategies at other MDBs to establish comparators.

³² The Financial Sector Development Policy and Strategy 2014-2019, approved in 2014, is called a hybrid, and is therefore included in both lists for the purposes of the standardized review.

³³ This policy is sometimes referred to by the Bank as the Credit Policy.

The case studies were undertaken by subject-matter specialists who carried out a more in-depth assessment of the content of the policies. A customized Assessment Framework was prepared with specified indicators for each of the four dimensions evaluated (Table A3.5). An internal peer review process within the evaluation team ensured consistency in application of the evaluation criteria and comparability across the case studies. Summary results findings from the case studies are consistent with those from the standardized review of the 2009-onward strategy suite on relevance but the comparative analysis of quality and review of Bank experience and capacity brought out deficiencies that could not be captured fully by the standardized review.

Criteria and Evaluation Rating

All viable evidence was triangulated and used to inform the overall assessment against the four main evaluation questions, which align with four of the OECD DAC standard evaluation criteria. The evaluation focused on three criteria (relevance, efficiency and effectiveness) – only noting some issues pertaining to impact and sustainability. In addition the evaluation looked at the policy and strategy suites as a whole, separately from the relevance and quality of individual documents. In order simply to highlight areas of strength a weaknesses, a four point traffic-light rating scale was used, as described in table A3.4. Table 1 (in the Executive Summary) summarizes the results, against a total of 11 criteria.

Table A3.4: Summary of Rating Scale

Rating and color code	Summary
Satisfactory	Good performance against all or nearly all aspects reviewed.
Moderately Satisfactory	Good performance against the majority but not all aspects.
Moderately Unsatisfactory	Good performance against only some aspects.
Unsatisfactory	Good performance against few or no aspects.

Data limitations and Challenges

This evaluation has broken new ground in its attempt to evaluate policy and strategy making and implementation across the institution. One important limitation, or aspect that was deliberately excluded from the scope of this evaluation, is the effect on development outcomes (see figure 1.1). To assess this requires specific in depth evaluations in each area – which IDEV does in other parts of its work program. In addition to the challenges regarding scoping the evaluation and establishing the evaluation universe described under purpose scope and objectives, the evaluation faced various challenges relating to data availability. Furthermore, the evaluation was scoped to be somewhat inward looking and views of various internal stakeholders have been collated. While benchmarking was done, the views of the Bank's external stakeholder's were not systematically collected. The team mitigated these challenges by using multiple data sources to allow triangulation of evidence. The data constraints faced included:

- Availability of some documents, e.g., minutes of specific meetings, original approach papers or concept notes, in addition to the poor organization of the Bank's main document repository (DARMS).
- Inadequacy of cost data for the evaluation period, since the Bank has only recently initiated steps to introduce a system for recording staff time or tracking cost of outputs
- Turnover of key staff – given some of the documents examined date back some years; it has been challenging to ensure the full story from start to finish is clear in some cases.
- Unavailability of some staff due to the ongoing move from Tunis to Abidjan
- A limited response rate to the main survey (the sample size obtained gives us 90% confidence, with a 5.5% margin of error).
- Some of the documents under review were approved relatively recently; therefore information on implementation is limited.

Table A3.5: Case Study Assessment Framework

	Satisfactory	Moderately Satisfactory	Moderately Unsatisfactory	Unsatisfactory
1. RELEVANCE	Policy or Strategy (1) responds to a need identified by RMCs and operations, and (2) is underpinned by diagnostic work analyzing its scope and lessons from experience; (3) is consistent with the strategic priorities of the MTS and/or TYS, and (4) is considered a high priority by Management and the Board	Policy or Strategy responds to (1) a need identified by RMCs or operations, and (2) is underpinned by diagnostic work analyzing its scope or the lessons from experience, and (3) is consistent with the strategic priorities of the MTS and/or TYS, and (4) considered a priority by Management or the Board	Policy or Strategy (1) responds to a need identified by operations or by RMCs, but (2) lacks diagnostic work and lessons from experience to justify new policy or strategy, (3) is consistent with the strategic priorities of the MTS and/or TYS, or (4) is considered a priority by Management or the Board	Policy or Strategy (1) lacks evidence of demand from RMCs or operations, and (2) is not underpinned by diagnostic work and lessons from experience to justify policy or strategy, but (3) is consistent with the strategic priorities of the MTS and/or TYS, or (4) is considered a priority by Management or the Board
2. QUALITY				
2.a QUALITY OF POLICY	Policy has (1) clear objectives, (2) transparent requirements and criteria for application, (3) includes or is accompanied by explicit procedures and assignment of responsibilities, and (4) it meets good practice policy standards among comparators	Policy has (1) clear objectives, but meets only two of the following three criteria: (2) transparent requirements and criteria for application, (3) explicit procedures and assignment of responsibilities, or (4) comparability to good practice policy standards among comparators	Policy lacks (1) clear objectives, or (2) transparent requirements and criteria for application, and meets only one of the following two criteria: (3) explicit procedures and assignment of responsibilities, or (4) comparability to similar policies among comparators	Policy lacks (1) clear objectives, or meets none of the following three criteria: (2) transparent requirements and criteria for application, (3) explicit procedures and assignment of responsibilities, and (4) comparability to similar policies among comparators
2.b QUALITY OF STRATEGY	Strategy has (1) clear and realistic objectives, and (2) or is accompanied by essential procedures, guidelines, and responsibilities, (3) an explicit results framework and implementation plan, and (4) comparability to good practice	The Strategy has (1) clear and realistic objectives, and (2) is accompanied by some procedures, guidelines, and responsibilities, or (3) has a results framework and implementation plan, and (4) comparability to strategies	The Policy or Strategy has (1) unrealistic objectives, and (2) lacks clarity on procedures, guidelines and responsibilities, or (3) lacks a results framework and implementation plan, and (4) does not compare favorably	The Policy or Strategy has (1) vague or unrealistic objectives, (2) lacks clarity on procedures, guidelines and responsibilities, and (3) lacks a results framework and implementation plan, or (4) compares poorly with good

	Satisfactory	Moderately Satisfactory	Moderately Unsatisfactory	Unsatisfactory
	standards among comparators	among some comparators	with those among comparators	practice standards on policy or strategy
3. EFFICIENCY OF PROCESS	Policy or Strategy (1) is delivered in a timely and cost-effective manner in accordance with an agreed schedule and budget, and (2) followed a structured process involving staff and managers of all relevant units, (3) a deliberate process of external consultations, and (4) identified explicit resources, incentives and support for implementation	Policy or Strategy is delivered with at least three of the following four conditions fully met: (1) on schedule and within the agreed budget, (2) followed structured consultations with managers and staff, (3) thorough consultations with external stakeholders, and (4) identified some resources, incentives and support for implementation	Policy or Strategy is delivered with two of the following conditions unsatisfactory: (1) delivered with delay or at higher than budgeted cost; (2) limited or no internal consultations, and (3) inadequate consultations with external stakeholders; or (4) resources, incentives or support for implementation are insufficient	Policy or Strategy (1) not delivered or delivered with considerable delay or at high cost; and (2) inadequate consultations with internal stakeholders, or (3) inadequate or no consultations with external stakeholders; and (4) resources, incentives or support for implementation non-existent or grossly inadequate
5. EFFECTIVENESS OF IMPLEMENTATION				
4.a EFFECTIVENESS OF POLICY IMPLEMENTATION	Policy is (1) thoroughly disseminated to all managers and staff, and (2) applied systematically to all relevant Bank operations and activities; (3) policy implementation is systematically monitored and reported to senior management and the Board, and (4) policy is having intended impact on the Bank and/or RMCs	Policy is (1) known to most managers and staff, and (2) applied to many Bank operations and relevant activities; (3) policy implementation is being monitored, and (4) policy impact on the Bank and/or RMCs is being tracked but not fully evident	Policy awareness exists but (1) most managers and staff either do not have full knowledge of the policy and its requirements, or (2) don't use the policy in Bank operations and relevant activities; (3) monitoring of policy implementation is weak, and (4) policy impact on the Bank and/or RMCs is either not being assessed or not being achieved	(1) Most managers and staff lack awareness of the policy and knowledge of its requirements; and (2) rarely use the policy in Bank operations and relevant activities; (3) Monitoring of policy implementation is ad hoc or non-existent; and (4) Policy impact on the Bank and/or RMCs is either not being achieved or has led to adverse, unintended consequences

	Satisfactory	Moderately Satisfactory	Moderately Unsatisfactory	Unsatisfactory
4.b EFFECTIVENESS OF STRATEGY IMPLEMENTATION	Strategy is (1) well known to relevant managers and staff, and (2) reflected in all new CSPs and used in all relevant Bank lending and technical assistance operations; (3) outputs and outcomes of results frameworks are monitored regularly, and (4) evidence demonstrates that intended results are being achieved	Strategy is (1) well known to relevant managers and staff, and (2) reflected in many new CSPs and applied to some Bank lending and TA operations; (3) strategy implementation is being monitored, and (4) some progress toward intended results is evident	Strategy is (1) not well known to managers and staff, and (2) is applied to some new CSPs and Bank lending and TA operations but not used in other relevant cases; (3) strategy outputs and outcomes are not regularly monitored, and (4) little evidence of outcome monitoring or achievement of intended results	(1) Most managers and staff lack knowledge of the strategy and its guidelines; and (2) rarely use the strategy in CSPs and relevant Bank operations; (3) Monitoring of strategy implementation is ad hoc or non-existent; and (4) intended results of the strategy are either not being achieved or have led to unintended consequences

Annex 4: Recent Developments at Other MDBs

IADB: Rationalizing Regulatory Instruments governing sector activities

In 2012, IADB undertook to “rationalize, ensure consistency and streamline the regulatory instruments that governs the Bank’s operational work” (“Strategies, Policies, Sector Frameworks and Guidelines at the IDB,” September 2012). The framework applies specifically to instruments governing sector interventions and notably excludes institutional policies such as human resources management, financial administration, procurement, etc. One of the main purposes of formulating the new framework was to clarify “what is binding and what is not.”

The framework consists of four levels of sector instruments:

Sector strategies. Sector strategies are broad expressions of Bank operational and knowledge priorities on cross-cutting themes (e.g. regional integration, climate change, social policy for equity and productivity, and institutions for growth and social welfare) organized according to institutional mandates. Strategies define clear priorities for Bank action and establish goals. These documents are Board approved, subject to external consultation, consistent with the IADB’s Institutional Strategy, and not subject to compliance review.

Cross-sectoral policies. Cross-sectoral policies are unambiguous statements of specific rules that govern sector work (such as environmental and safeguards compliance, involuntary resettlement, disaster risk management, gender equality in development, and indigenous peoples) that should be applied in every circumstance, except when the Board grants a waiver on the basis of informed consideration of an exceptional circumstance. These policies are approved by the Board, and require external consultation, and are subject to compliance review.

Sector Framework Documents. SFDs are a new instrument that provides flexible guidance

in a given sector to provide a forum for sector-specific discussion and orientation. SFDs articulate the aspirational statements and directives to provide meaningful guidance to project teams while providing a sense of what the Bank is trying to accomplish in that sector. While accommodating the diversity of challenges facing the Bank’s 26 borrowing countries. SFDs will substitute for strategies of individual sectors. SFDs are approved by management, and are expected to be updated every three years. Because these are not normative in character, they are not subject to compliance review.

Sector Guidelines. Sector Guidelines provide technical or methodological advice to assist project teams in either applying specific policy mandates, SFDs or other norms required for Bank operations. Given their nature, Guidelines are approved by Management and sent to the Board for information, and are not subject to compliance review, as is presently the case.

Source: Internal IADB document

World Bank: Policy & Procedure Framework

In 2013, the World Bank adopted a new, single Policy and Procedure Framework (P&P Framework) for the policies, procedures, guidance and other documents that govern the activities of the World Bank Group. The P&P Framework has defined the following categories of regulatory instruments, organized in a hierarchical cascade. For each instrument category, the P&P Framework clarifies its issuing authority, purpose of the instrument, type of instruction (substantive, procedural or process), and adherence (mandatory or recommended):

(a) **Policy** – As is currently the case, the Board remains the source of policy. A Policy will address broad substantive principles designed to achieve wide institutional goals with respect to matters falling under

the Board's authority. Policies consist of:

- Operational Policies – Issued by Management based on a policy position adopted by the Board as is currently the case with Operational Policies.
- Non-operational policies, such as Human Resources – Issued by the Board as is currently the case with Principles of Staff Employment in Human Resources (“HR”), and General Borrowing, General Liability Management, General Equity Management, and General Investment policies in Finance.

(b) **Directive** – Issued by Management. A Directive contains more detailed statements on how to implement a Policy, with a focus on methods, definitions, criteria and technical aspects of fulfilling the Board's mandate

(c) **Procedure** – Issued by Management. A Procedure contains procedural statements (as opposed to substantive ones) to inform staff how to implement a Policy or a Directive, or both. This type of document describes the mechanics of business transactions, informs staff about the documents and information that needs to be prepared before various business decisions can be taken, and sets out to a large extent the roles of participants in various decision-making processes

(d) **Guidance** – Issued by Management. Guidance describes goals and aspirations of the Bank and other commentary and is designed to generally steer business activities in a particular direction. Guidance contains explanations issued by Management with regard to a Policy, a Directive or a Procedure. This type of document can include processing steps, recommended courses of action, best practices, sample documents, examples of successes and failures in various types of projects and initiatives, and other advice to assist staff in performing Bank activities..

Adherence to statements in Policies, Directives and Procedures is obligatory. Consequently, these documents only include essential elements and provisions that the Bank can comply with and can be held accountable for. They describe (a) actions that are prohibited; (b) actions that are required or permitted; and (c) limitations and exceptions to such actions, permissions and prohibitions.

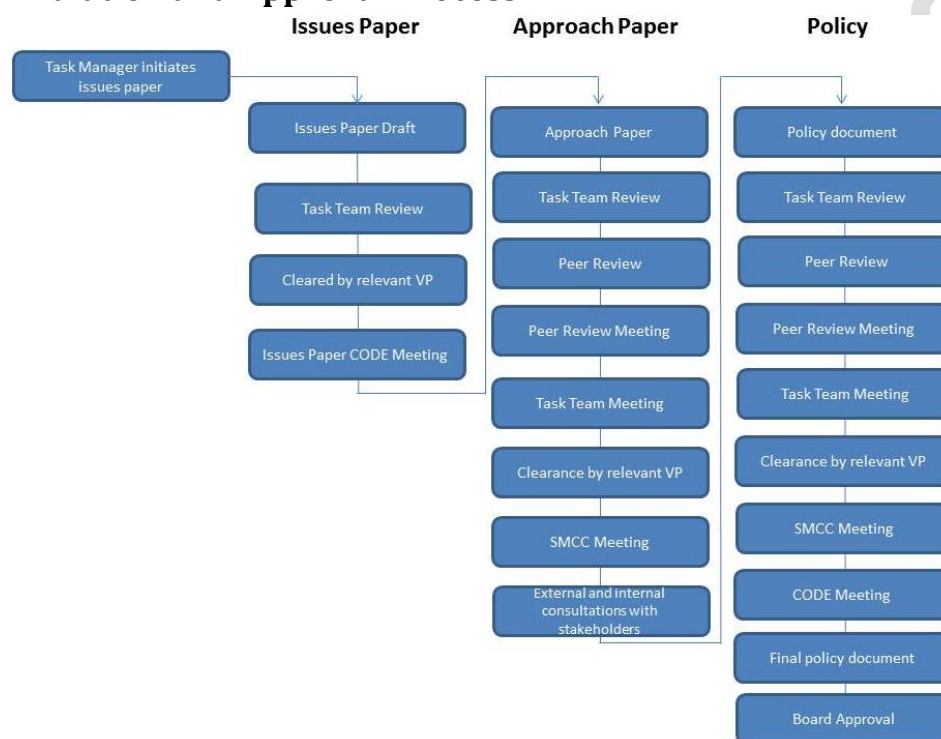
The P&P framework draws an important distinction between operational and non-operational policies and clearly maps out all of the Bank's regulatory instruments. However, it does not clarify which of these instruments would be subject to review by the Inspection Panel.

Source: Internal World Bank Document

Annex 5: Policy and Strategy Formulation and Approval Processes/Benchmarking

	AfDB	World Bank	IADB	ADB	IFAD
Initiation	Management, Board, replenishment/ capital increase processes	Management, Board, replenishment/ capital increase processes	Management, Board, capital increase process	Management, Board, replenishment/ capital increase processes	Management, Board, replenishment process
Decision to prepare	Management, although guidance is ambiguous ³⁴	Management	Management	Management	President

Policy Formulation and Approval Process



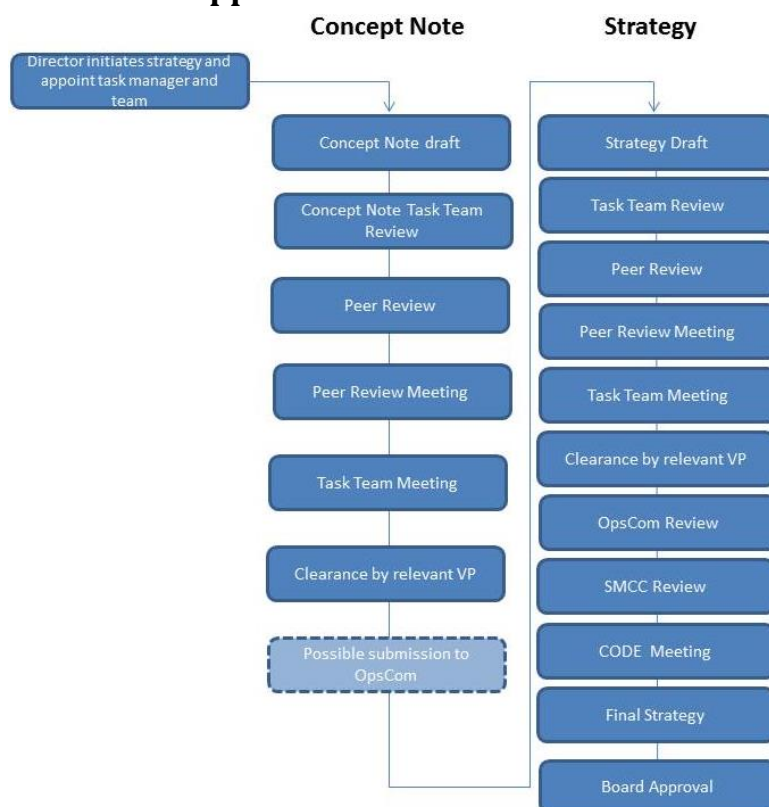
	AfDB	World Bank	IADB	ADB	IFAD
Responsibility for preparation	Until recently, one department – ORPC; and now COSP for operational policies	One department writes all operational policies	Management	Strategy and Policy Department	Management with supporting policy reference group
Oversight	COSP for operational policies	OPCS for operational policies	Director of Strategy	Strategy and Policy Department	Associate VP for relevant department
Process	Unclear documentation and varies in practice	Standard practice	Recently changed as part of new framework, but follows standard process	Input from Communities of Practice	Guidelines for preparation process clear
Reviews	Internal review only; Management reviews several times ³⁵	Internal and external review; Management review	Internal and external review; Management review	Internal and external review; Management review	Internal and external review, including by Evaluation Dept.; Management reviews
Board Committee engagement	Active CODE review and direction	CODE reviews early in cycle	Board committee only at end of process	Board committee only at end of process	Board committee only at end of process
External	Yes	Yes	Yes	Yes	Yes

³⁴ DAM could be interpreted as suggesting that Task Manager can initiate.

³⁵ External consultation is undertaken by AfDB, as it is in other MDBs. External reviews are different, involving technical reviews of a policy or strategy by outside experts or peer reviewers. AfDB is unique among MDBs in not requiring this.

consultation					
Approval	Board	Board	Board	Board	Board
Guidance for preparation and approval	No (in the sense that only contradictory guidance is available from various sources)	Yes	Yes	Yes	No (prior to 2014 reorganization)

Strategy Formulation and Approval Process



	AfDB	World Bank	IADB	ADB	IFAD
Responsibility for preparation	Relevant department leads, with support from COSP	Sector Boards prior to 2014 reorganization	Relevant Unit	Strategy and Policy Department Community of Practice (CoP)	Management, with relevant department
Oversight	Management/COSP	Vice Presidential Unit responsible	Department for Strategy	Head of Strategy and Policy Department	Senior Management
Internal reviews	Internal review only; Strong management review	Internal review and external review; Review by VP Unit responsible, and by OPCS	Review by Management Department for Strategy	Internal review and external review	Internal staff review and external peer review, and review by Office of evaluation; Management review
Committee engagement (e.g. CODE)	Strong engagement	Engagement only at end of process	Engagement only at end of process	Engagement only at end of process	Engagement only at end of process
External consultation	Yes	Yes	Yes	Yes	Yes
Approval	Board	Management for most	Board only for selected cross-sectoral strategies	Management Committee chaired by President	Board
Guidance for preparation and approval	No	Yes	Yes	Yes	No

Annex 6: Survey and Interview Results

Survey Results

Figure A6.1

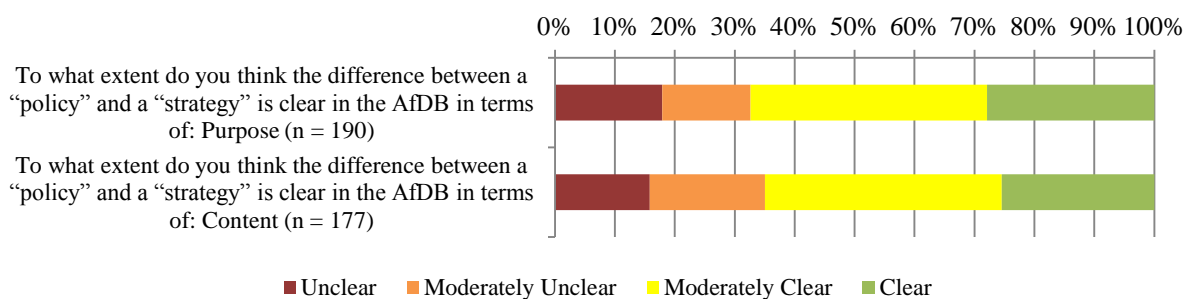


Figure A6.2

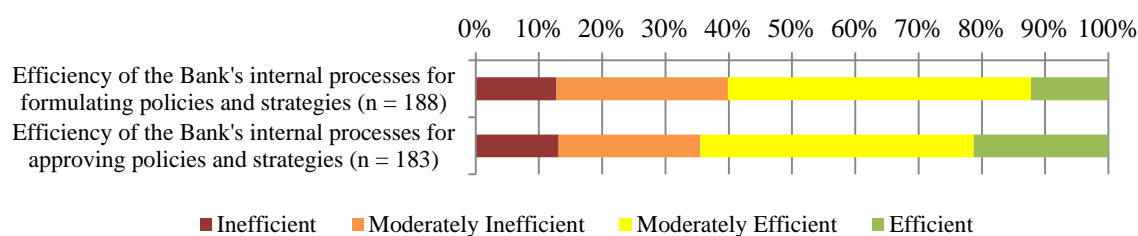


Figure A6.3

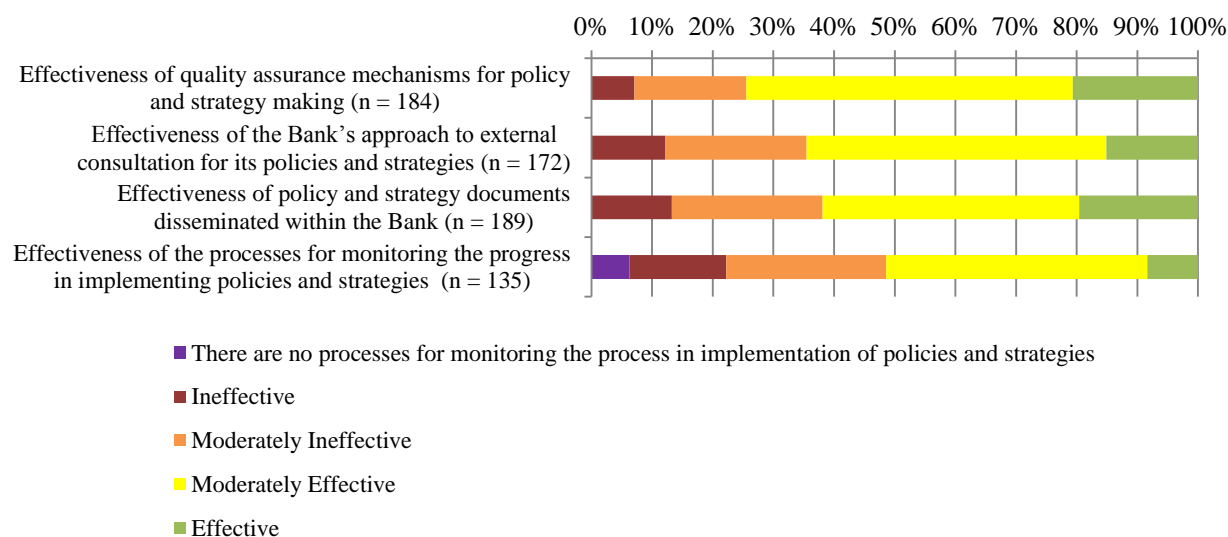


Figure A6.4: To what extent are you familiar with the following policies and strategies?

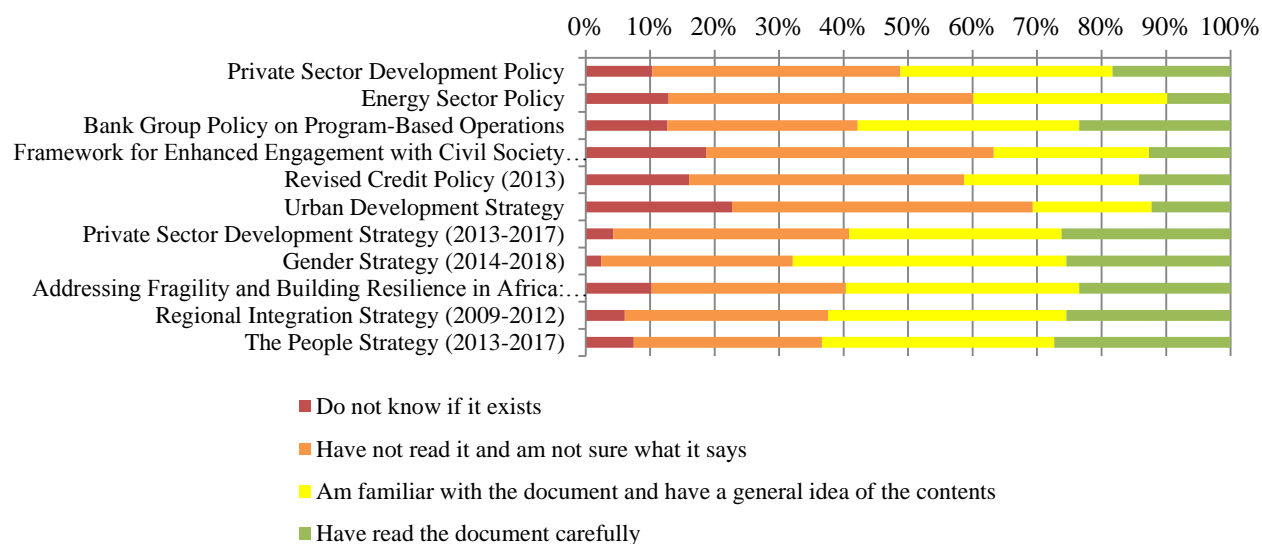


Figure A6.5: Policy you are most familiar with

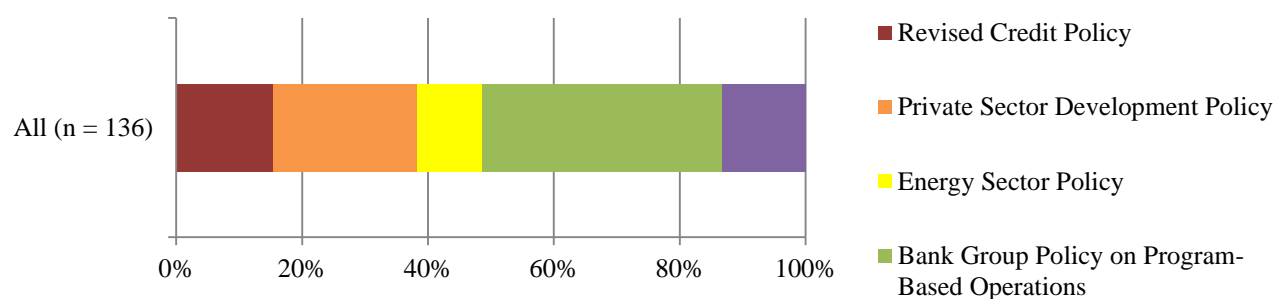


Figure A6.6: Strategy you are most familiar with

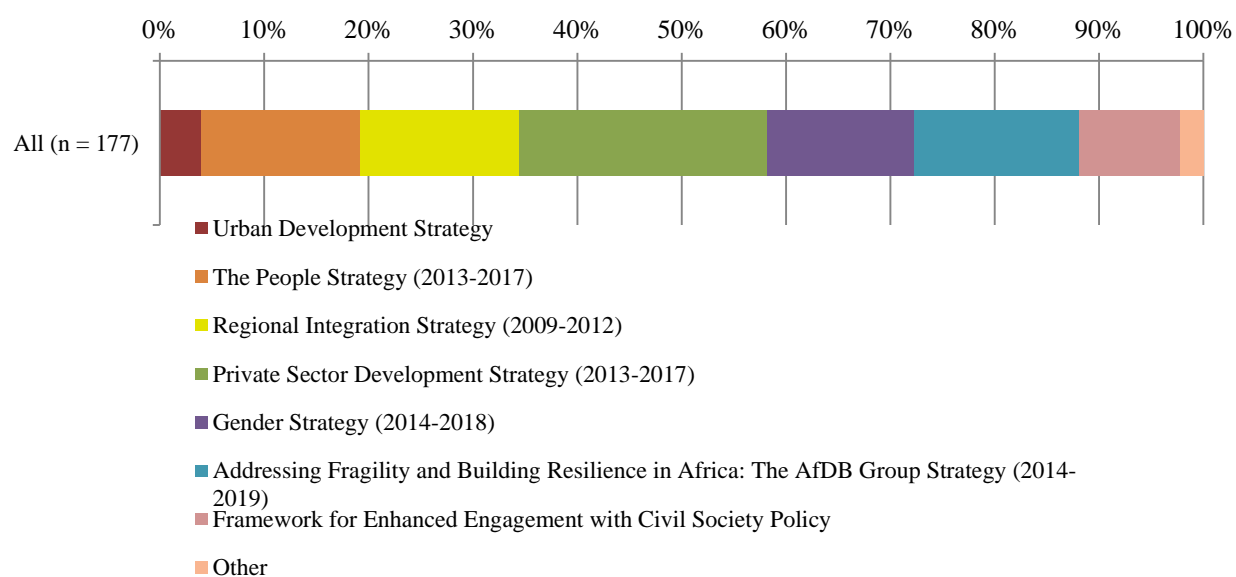
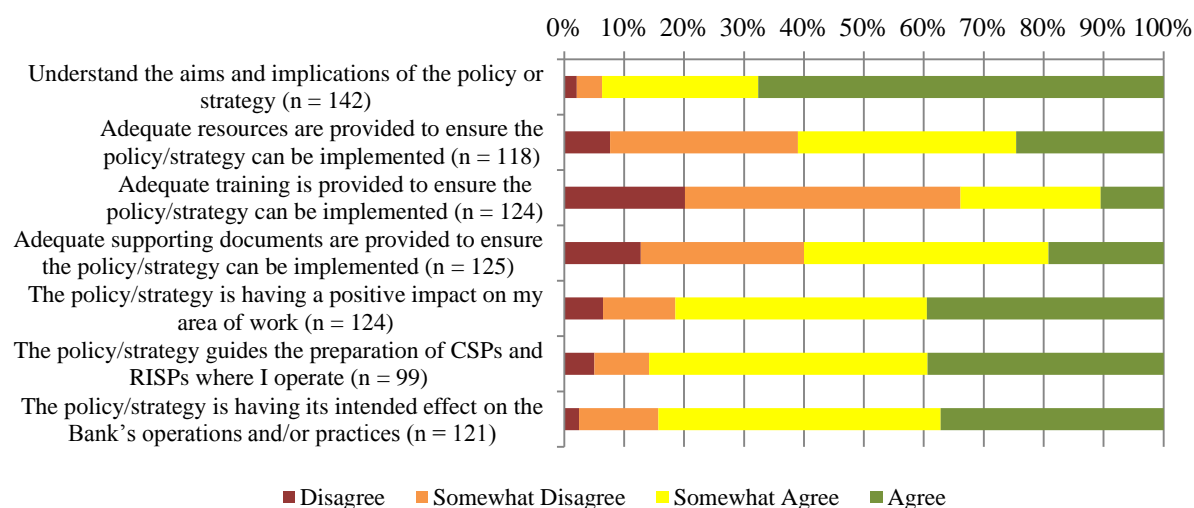
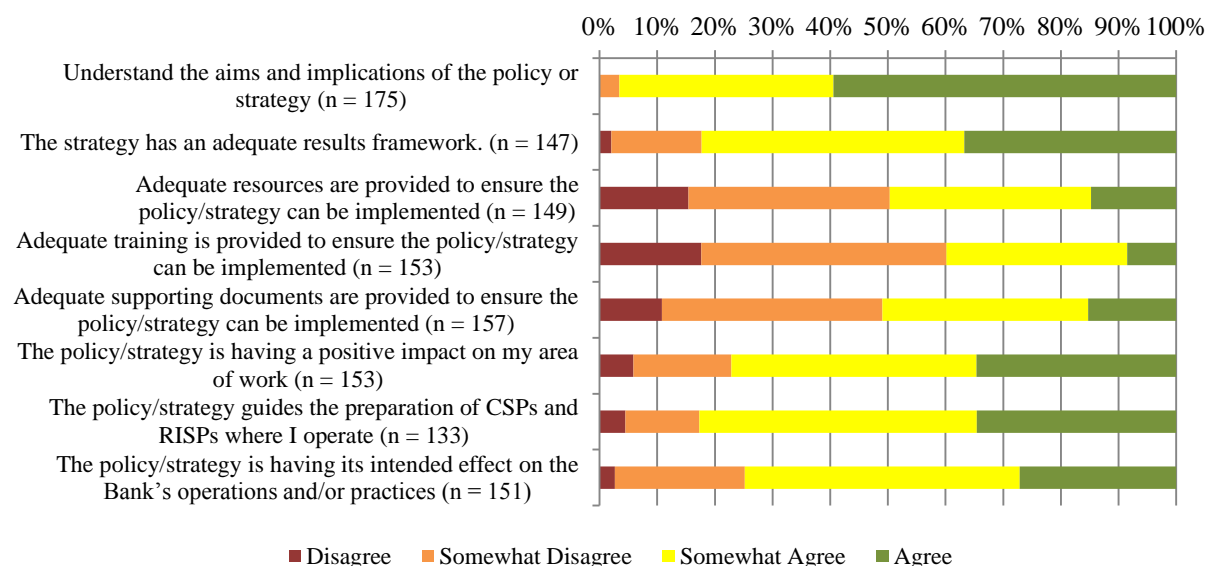
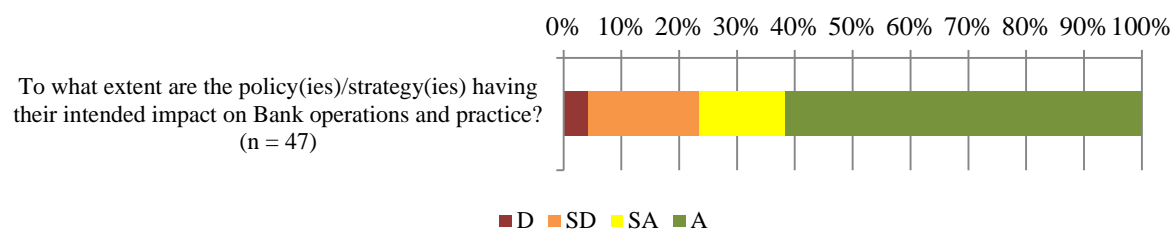
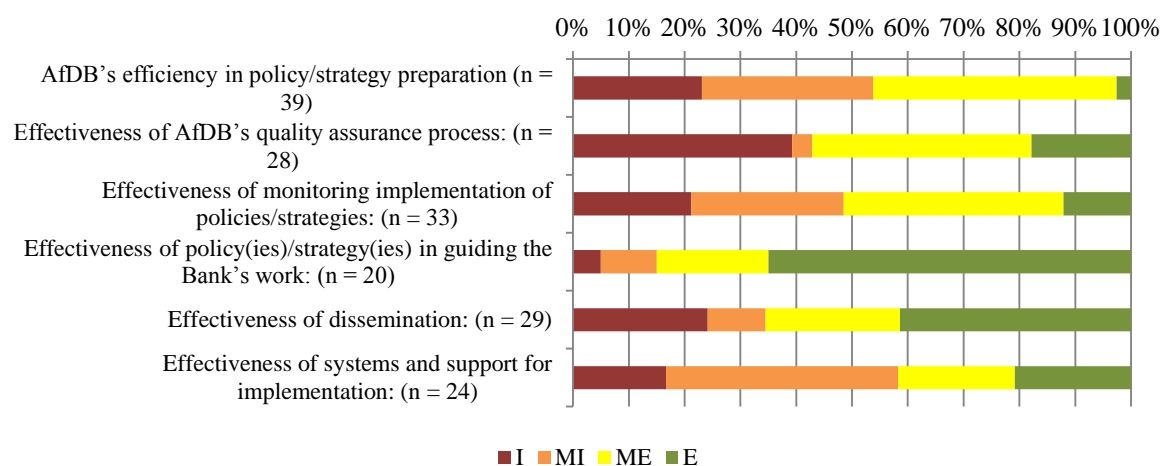
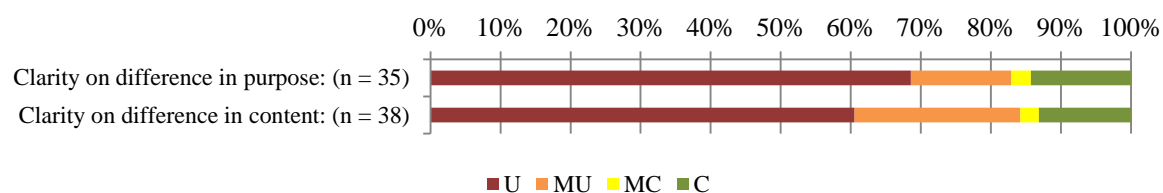


Figure A6.7: Implementation of Policies**Figure A6.8: Implementation of Strategies**

Interview Results



Annex 7: Analysis of Reflection of Policy/Strategy Topics in Country Strategy Papers

	Pre-Policy/Strategy		Post-Policy/Strategy	
	MS+	S+	MS+	S+
Civil Society (pre: n=25; post: n=20)				
Consultation with country stakeholders (beneficiaries, government partners, other donors and civil society) during the CSP process	75%	21%	75%	40%
Attention to capacity building measures for Civil Society	4%	0%	24%	12%
Gender (pre: n=41; post: n=4)				
Alignment with the Bank Group's corporate strategic priorities: Gender	35%	8%	75%	25%
Regional Integration (pre: n=1; post: n=44)				
Alignment with the Bank Group's corporate strategic priorities: Regional Integration	100%	0%	90%	52%
PSD (pre: n=34; post: n=11)				
Alignment with the Bank Group's corporate strategic priorities: PSD	73%	24%	91%	27%
Relevance/effectiveness of proposed Bank program: Integration of Bank-supported private sector operations in the country program	38%	9%	73%	18%
Energy (pre: n=25; post: n=20)				
Alignment with the Bank Group's corporate strategic priorities: Transition to Green Growth	52%	12%	95%	35%
Alignment with the Bank Group's corporate strategic priorities: Environment/Climate Change	42%	17%	89%	53%

Note: This was based on the evaluation team's assessment of the CSPs' quality-at-entry, which used a six-point scale (highly unsatisfactory, unsatisfactory, moderately unsatisfactory, moderately satisfactory, satisfactory, highly satisfactory).

Annex 8: Standardized Review Template

	Name of document	
	Date of Board approval	
	Which (if any) replenishment/GCI process is it linked to?	
1. Lessons from previous policies/strategies	a. Are lessons from previous policies/strategies based on substantive analysis or evaluations?	(Yes/No)
	b. Are lessons from previous policies/strategies based on operational experience?	(Yes/No)
	c. Are lessons from previous policies/strategies based on experience outside the Bank?	(Yes/No)
	Comments	
2. Rationale for new policy or strategy	Is there a meaningful explanation of why a new policy or strategy is being prepared?	(Yes/No)
	Comments	
3. Diagnosis/understanding of challenges in RMCs	a. Is there a discussion of RMC needs?	(Yes/No)
	b. Is there a discussion of constraints in RMCs?	(Yes/No)
	Comments	
4. Objectives	a. Are the objectives clearly stated?	(Yes/No)
	b. How many objectives (including sub-objectives) are listed?	(Number)
	Comments (list key objectives)	
5. Alignment with TYS	a. Is the policy or strategy directly linked to inclusive growth and/or the gradual transition to green growth?	(Yes/No)
	b. Is the policy or strategy directly linked to fragile states, agriculture and food security, and/or gender?	(Yes/No)
	c. Is the policy or strategy directly linked to any of the following: infrastructure development, regional integration, private sector development, governance and accountability, and skills and technology?	(Yes/No)
	d. Is the policy or strategy directly linked to new ways of strategic engagement, such as "One Bank," leveraging partnerships, and knowledge?	(Yes/No)
	Comments (list which one(s) it is linked to)	
6. Linkages and redundancies	a. Does the policy or strategy explicitly acknowledge linkages to other strategies and policies?	(Yes/No)
	b. Is it clear if all of part of a policy or strategy is being superseded or retired?	(Yes/No)
	Comments (If yes, list which one(s) in comment box)	
7. Classification	Based on the answers to the first six questions, is this a policy, or a strategy, or a hybrid paper?	Policy/Strategy/Hybrid)
If the paper is a policy answer questions 8-11; If the paper is a strategy skip to question 12 and answer 12-15; If the paper is a hybrid answer all questions 8-15.		
8. Clarity of requirements	a. Does the policy clearly lay out prescriptions (rules) for what people should do?	(Yes/No)
	b. Does the policy clearly lay out proscriptions (exclusions) for what people should not do?	(Yes/No)
	Comments	
9. Clarity of criteria for application	Are the criteria for who the policy applies to clear?	(Yes/No/NA)
	Comments	

10. Clarity of follow-up actions or guidance documents	Are the follow-up actions or guidance documents clearly listed?	(Yes/No)
	Comments (<i>indicate WHAT and WHEN in comments</i>)	
11. Clarity of responsibility for implementation	Is there clear organizational responsibility for implementation, monitoring, and reporting?	(Yes/No)
	Comments (<i>indicate WHO and FREQUENCY in comments</i>)	
12. Bank positioning and selectivity	a. Does the strategy indicate selectivity among strategic areas?	(Yes/No)
	b. Does it differentiate among RMCs?	(Yes/No)
	c. Are choices explicitly linked to a specific comparative advantage of the Bank?	(Yes/No)
	Comments	
13. Time frame	Is there an explicit time frame for the strategy?	(Yes/No)
	Comments	
14. Bank implementation plan	a. Does the plan include an implementing organization?	(Yes/No)
	b. Does the plan include resources?	(Yes/No)
	c. Does the plan include skills?	(Yes/No)
	d. Does the plan include incentives?	(Yes/No)
	e. Does the plan include an implementation schedule?	(Yes/No)
	Comments	
15. Results and M&E framework and provisions	a. Is there a results framework?	(Yes/No)
	b. Is there an M&E design with specified indicators?	(Yes/No)
	c. Are there provisions for monitoring and evaluation?	(Yes/No)
	Comments	

Annex 9: Summary of ratings from the case studies

POLICIES	Relevance	Quality & content	Process	Effectiveness
Private Sector Development Policy	S	S	U	MU
Policy on Program Based Operations	S	S	MU	MU
Energy Sector Policy	S	S	MS	MU
Revised Credit Policy ³⁶	S	MS	MS	Too early to rate
STRATEGIES				
Fragility and Resilience Strategy	S	MS	S	Too early to rate
Private Sector Development Strategy	S	MS	MU	MU
Regional Integration Strategy	S	MU	MS	MU
Civil Society Engagement Framework	MS	MU	MS	U
Urban Development Strategy	S	MS	U	U
Gender Equality Strategy	S	S	MS	MS
People Strategy	MS	MU	S	Too early to rate

³⁶ Full name: Diversifying the Bank's products to provide access of eligible ADF countries to ADB sovereign loans