



MOPAN 2015-16 Assessments

African Development Bank (AfDB)

Institutional Assessment Report



For any questions or comments, please contact:

The MOPAN Secretariat

mopan@oecd.org

www.mopanonline.org

Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of donor countries with a common interest in assessing the effectiveness of multilateral organisations. Today, MOPAN is made up of 18 donor countries: Australia, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, the Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland, the United States of America, and the United Kingdom. Together, they provide 95% of the OECD DAC's development funding to multilateral organisations.

The mission of MOPAN is to support its members in assessing the effectiveness of the multilateral organisations that receive development and humanitarian funding. The Network's assessments are primarily intended to foster learning, and identify strengths and areas for improvement in the multilateral organisations. Ultimately, the aim is to improve the organisations' contribution to overall greater development and humanitarian results. To that end, MOPAN generates, collects, analyses and presents relevant information on the organisational and development effectiveness of multilateral organisations. This knowledge base is intended to contribute to organisational learning within and among multilateral organisations, their direct clients/partners and other stakeholders. MOPAN members use the findings for discussions with the organisations and with their partners, and as ways to further build the organisations' capacity to be effective. Network members also use the findings of MOPAN assessments as an input for strategic decision-making about their ways of engaging with the organisations, and as an information source when undertaking individual reviews. One of MOPAN's goals is to reduce the need for bilateral assessments and lighten the burden for multilateral organisations. To that end, MOPAN members are closely involved in identifying which organisations to assess and in designing the scope and methodology of the assessments to ensure critical information needs are met.

MOPAN 3.0 — A reshaped assessment approach

MOPAN carries out assessments of multilateral organisations based on criteria agreed by MOPAN members. Its approach has evolved over the years. The 2015-16 cycle of assessments uses a new Methodology, MOPAN 3.0. The assessments are based on a review of documents of multilateral organisations, a survey of clients and partners in-country, and interviews and consultations at organisation headquarters and in regional offices. The assessments provide a snapshot of four dimensions of organisational effectiveness (strategic management, operational management, relationship management, and knowledge management), and also cover a fifth aspect, development effectiveness (results). Under MOPAN 3.0, the Network is assessing more organisations concurrently than previously, collecting data from more partner countries, and widening the range of organisations assessed. Due to the diversity of the organisations' mandates and structures, MOPAN does not compare or rank them.

MOPAN assessed 12 multilateral organisations in the 2015-16 cycle. These are: the African Development Bank (AfDB); Gavi; the Global Fund to Fight Aids, Tuberculosis and Malaria (The Global Fund), the Inter-American Development Bank (IDB), the International Labour Organization (ILO), the Joint United Nations Programme on HIV/AIDS (UNAIDS), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), UN-HABITAT, the United Nations Children's Fund (UNICEF), the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), and the World Bank.

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We would like to thank all participants in the MOPAN 2015-16 assessment of the AfDB. The AfDB's senior management and staff made valuable contributions throughout the assessment, in particular in relation to the document review and headquarters interview processes, and they provided lists of their direct partners and cosponsors to be surveyed. Survey respondents contributed useful insights and time to respond to the survey. The MOPAN Institutional Lead, France, represented MOPAN in this assessment, liaising with the AfDB throughout the assessment and reporting process. MOPAN members provided the MOPAN Country Facilitators, who oversaw the process in the partner countries where the survey took place.

Roles of authors and the MOPAN Secretariat

The MOPAN Secretariat, led by Björn Gillsäter (until early May 2016) and Chantal Verger (since then), worked in close co-operation with the MOPAN Technical Working Group and IOD PARC on all methodological aspects. Together they developed the Key Performance Indicators (KPIs) and micro-indicators (MIs), designed the survey and its methodology and defined the approach to the document review. The MOPAN Secretariat drew up lists of survey respondents with the help of MOPAN members and the multilateral organisations being assessed, and approved the final survey questionnaire. IOD PARC carried out the survey partnering with Ipsos mori, and analysed it. IOD PARC also carried out the document review, undertook the interviews, analysed the data and drafted the reports. The MOPAN Secretariat oversaw the design, structure, tone, and content of the reports, liaising with MOPAN's Institutional Leads and the focal points of the multilateral organisations. Jolanda Profos from the MOPAN Secretariat provided the oversight for this report.

IOD PARC is an independent consultancy company specialising in performance assessment and managing change in the field of international development. Through this blended expertise IOD PARC helps organisations, partnerships and networks identify the needs, chart the journey and deliver improved performance to achieve greater impact.

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Acronyms and abbreviations

ADER	Annual Development Effectiveness Review	DER	Development Effectiveness Review
ADF	African Development Fund	DG	Director General
ADI	African Development Institute	DoA	Delegation of authority
ADOA	Additionality and Development Outcomes Assessment	EBRD	European Bank for Reconstruction and Development
AfDB	African Development Bank	ECON	Chief Economist Complex
ANRC	African Natural Resources Center	EDRE	Development Research Department
ATRS	Activity time recording system	ERP	Economic Rehabilitation Programme
CAS	Cost accounting system	ESAP	Environmental and Social Assessment Procedures
CCAP	Climate Change Action Plan	FO	Field office
CEDR	Comprehensive evaluation of development results	GBS	General budget support
CIF	Climate Investment Funds	GCI	General Capital Increase
CIR	Credit to income ratio	GCC	Governors Consultative Committee
COPM	Delivery and Performance Management Office	GEF	Global Environment Facility
CPIA	Country policy and institutional assessment	HIV/AIDS	Human immunodeficiency virus/ acquired immunodeficiency syndrome
CPPR	Country Portfolio Performance Review	IATI	International Aid Transparency Initiative
CRFA	Country resilience and fragility assessment	IDB	Inter-American Development Bank
CRMA	Climate Risk Management and Adaptation Strategy	IDEV	Independent Development Evaluation
CSP	Country Strategy Paper	IFC	International Finance Corporation
CSPE	Country Strategy and Program Evaluations	IFI	International finance institution
DAI	Disclosure and Access to Information	IIA	Institute of Internal Auditors
DBDM	Development and business delivery model	IMF	International Monetary Fund
		INGO	International non-governmental organisation
		IRM	Independent Review Mechanism
		ISS	Integrated Safeguards System
		JCAS	Joint Country Assistance Strategy
		KPI	Key Performance Indicator

MARS	Management Action Record System (MARS)	PBA	Performance-based allocation
MDB	Multilateral development bank	PCR	Project Completion Report
MDG	Millennium Development Goal	PRA	Project Results Assessment
MOPAN	Multilateral Organisation Performance Assessment Network	QCPR	Quadrennial Comprehensive Policy Review
MI	Micro-indicator	RBM	Results based management
MTR	Mid-Term Review	REC	Regional economic community
NEPAD	New Partnership for Africa's Development	RISP	Regional Integration Strategy Paper
NGO	Non-governmental organisation	RMC	Regional Member Country
NTF	Nigeria Trust Fund	RMF	Results Measurement Framework
ODA	Official development assistance	RRS	Results Reporting System
OECD DAC	Organisation for Economic Co-operation and Development Development Assistance Committee	SEOG	Special Envoy on Gender
OPSCOM	Operations Committee	SMCC	Senior Management Coordinating Committee
OPSM	Private Sector Operations Department	SRAS	Strategic Resources Assessment System
ORQR	Quality Assurance and Results Department	SME	Small and medium-sized enterprises
		UA	Unit of aid
		UNDP	United Nations Development Programme

Executive summary

This institutional assessment of the African Development Bank covers the period from 2014 to mid-2016. Applying the MOPAN 3.0 methodology, the assessment considers organisational systems, practices and behaviours, as well as the results the African Development Bank achieves. The assessment considers five performance areas: four relate to organisational effectiveness (strategic management, operational management, relationship management and performance management) and the fifth relates to development effectiveness (results). It assesses the African Development Bank's performance against a framework of key indicators and associated micro-indicators that comprise the standards that characterise an effective multilateral organisation. The assessment also provides an overview of its performance trajectory. MOPAN assessed the AfDB in 2012.

Context

THE AFRICAN DEVELOPMENT BANK

- It has grown significantly since its establishment in terms of volume of lending, number of operations and staff, and the complexity of its engagements and environment
- Its strategy for 2013-22 focuses on two objectives to improve the quality of Africa's growth: achieving growth that is more inclusive and ensuring that inclusive growth is sustainable
- It provides a combination of financial resources, knowledge and technical services, and strategic advice to its member states, and will focus its engagement in five operational priorities
- A Board of Governors representing all member countries meets annually
- It is seen as one of Africa's primary financiers and at the centre of Africa's transformation
- It recently returned to Abidjan after an 11-year "temporary" relocation (2003-14) to Tunis

Organisation at a glance

- Established: 1964
- Over 1 800 staff
- Commitments 2015: UA 6.33 billion
- Disbursements 2015: UA 3.03 billion
- Active in 54 African member countries
- Operates through:
 - Headquarters in Abidjan, Côte d'Ivoire
 - 5 regional hubs
 - Presence in 38 countries

Overall performance

The overall conclusion of the 2016 MOPAN assessment is that the African Development Bank (AfDB) meets the requirements of an effective multilateral organisation and is fit for purpose. The Bank is a robust and resilient organisation that, while operating in a particularly difficult environment, is able to continually adjust and improve to meet the changing conditions.

Its strategic direction and framework are clear; its business model is strong; and its internal structures, processes and procedures overall support a reasonably efficient and effective delivery of services in line with the organisation's mandate. The AAA rating is testimony to its financial solidity, and its compliance with fiduciary, social and environmental requirements and safeguards is also strong.

The AfDB is a very significant source of funding for Africa's development, and also provides strong policy advice and intellectual leadership on a range of issues. The Bank recognises its catalytic and transformative role for the continent and its comparative advantage of providing both financing and knowledge to its clients. It understands the context including the opportunities and challenges of African economies. Decentralisation is at the core of the Bank's business model, and its successful realisation will be pivotal to the Bank's ability to achieve its goals.

Expectations are high for such a significant player in Africa's development, and the AfDB meets these expectations to a large extent. As the Bank's role evolves and grows in significance, performance in some areas needs to be strengthened and improved. These areas include results-oriented and performance-based human resources systems and policies; more consistent attention on good governance and increased resources for addressing cross-cutting issues; results management and budgeting frameworks where weaknesses have been identified; and capacity analysis, capacity development, and sustainability.

Key strengths and areas for improvement

Key strengths

- **Clear long-term vision well aligned to the needs and priorities of regional member countries and increasingly to wider global challenges** – AfDB has a well-defined strategy in line with continent, region and country priorities and supported by a clear articulation of its comparative advantages.
- **Continued move towards decentralisation** – Its new 2016 development and business delivery model is more decentralised. It provides more autonomy to the five regional hubs, and is supported by a new delegation of authority matrix and establishment of more field offices.
- **Healthy, dynamic and efficient financial framework and resource mobilisation geared towards the Bank's priority areas** – It demonstrates strong financial performance in challenging circumstances, such as the well-managed return of headquarters to Abidjan, successfully leverages additionality with private sector lending.
- **Comprehensive, well-regarded and high-standard Integrated Safeguards System facilitating delivery of social and environmental standards** – This ensures screening of all Bank projects against gender, environment and climate change criteria, with mitigation measures taken where required.
- **Strong commitment to Busan Partnership increasingly evidenced in Bank actions, including in challenging areas such as use of country systems** – It carefully considers risks in using country systems, for example in procurement, and recognises the need for building the capacity of national systems.
- **Clear independent evaluation function with increasing quality of evaluations** – The Independent Development Evaluation (IDEV) unit is independent and has a clearly defined role reflected in corporate strategic documentation; in response to previously identified shortcomings, specific measures have been introduced to increase the quality of evaluations.

Areas for improvement

- **Demonstrating results-oriented and performance-based HR systems and policies** – Limited information is available on performance-based HR systems and policies and how well they work in practice. Further work is required, for example on "results-based contracts" for staff.
- **Increasing focus on good governance and resources for addressing cross-cutting issues** – Integration of governance and fragility into project design is not yet systematic. Further resources are required to support analysis of cross-cutting issues more generally, and stronger monitoring of gender and climate-relevant results.
- **Improving results-based management and budgeting frameworks** – While performance-based decision-making processes are in place, areas to improve include integration of results-based management considerations within country strategies and at the design stage; realistic and outcome-focused target setting; and monitoring and evaluation systems that demonstrate AfDB's specific contribution to observed results.
- **Delivering stronger results on regional integration** – The AfDB initially struggled to execute clear thinking and coherent steps in implementing its regional integration strategy, leading to limited results being achieved in this increasingly important area. More recently the Bank has committed more resources and is engaging more actively with stakeholders and using a wider set of processes to advance regional integration.
- **Addressing capacity analysis, capacity development and sustainability approaches** – Despite being a routine part of the Bank's operations, capacity analysis is not yet fully developed nor fully utilised. The AfDB has struggled to deliver on its 2011 capacity development strategy, and the envisaged role of the African Development Bank as the focal point is not being realised. Sustainability has not always been adequately considered or addressed in the Bank's operations.



INTRODUCTION



1.1 THE AFRICAN DEVELOPMENT BANK

Mission and mandate

The African Development Bank (AfDB) Group is a regional multilateral development finance institution. It has 54 shareholding African member countries and 26 non-regional members. The Bank's mission is to promote sustainable economic growth and reduce poverty in Africa.

The AfDB aims to achieve these objectives by:

- Mobilising and allocating resources for investment in regional member countries
- Providing policy advice and technical assistance to support development efforts

The AfDB has three constitutional institutions: the African Development Bank, the African Development Fund and the Nigeria Trust Fund. This assessment is focused on the performance of the African Development Bank and the African Development Fund.

Governance

The AfDB's Board of Directors is comprised of 20 members who are responsible for the conduct of the institution's general operations. The governors of regional countries elect 13 members of the Board, and governors of non-regional members elect the other seven Board members.

The AfDB's President is elected for a five-year period and, as Chief Executive, he/she chairs meetings of the Board of Directors of the AfDB and that of the African Development Fund. At the time of drafting of this report, the President was assisted by the Senior Vice President and a team of seven Vice Presidents, an increase of two since a reorganisation in early 2016.

Organisational structure

The AfDB is headquartered in Abidjan, Côte d'Ivoire, and as of 2015 has a physical presence in 38 Regional Member Countries (RMCs) across Africa. The Bank has Research Centers in Burundi, Kenya, Rwanda, Seychelles, Tanzania and Uganda, and Resource Centres in Botswana, Lesotho, Namibia, South Africa, Swaziland and Zimbabwe.

Strategy and services

The AfDB's strategy for 2013-22 focuses on two objectives to improve the quality of Africa's growth:

- Achieving growth that is more inclusive
- Ensuring that inclusive growth is sustainable

This strategy has five operational priorities:

- Infrastructure development
- Regional economic integration
- Private sector development
- Governance and accountability
- Skills and technology

The strategy also has areas of special emphasis:

- Fragile states
- Governance
- Gender
- Climate change

In April 2016, the AfDB Board approved a new development and business delivery model (DBDM) for the Bank. This is designed to take forward the High 5s representing five priority areas of focus identified in ten-year strategy; light up and power Africa, feed Africa, industrialise Africa, integrate Africa, and improve the quality of life of Africans. In June 2016, the Board also approved the Update of the Decentralization Action Plan in line with the new DBDM. These important changes took place at the end of the period under review for the MOPAN assessment, and an associated revised organisational structure with new acronyms for departments is now in place. This report uses the organisational titles and acronyms that were current for departments during the period of review.

Finances

The AfDB's 2014 Annual Report points to strong financial performance that is designed to support regional members' interests. It finds that despite a challenging global economic environment, the Bank reported a satisfactory operational outturn for 2014, with new commitments of USD 7.3 billion for projects and programmes, a 15.1% increase over the previous year. The Bank's *2015-2017 Rolling Plan and Budget Document* finds that the financial portfolio may deteriorate slightly but that the Bank's credit to income ratio remains comparable to that of other multilateral development banks.

The Bank's ADF-13 Report sets out how approximately 62% of African Development Fund resources will be channelled to eligible countries through the performance-based allocation (PBA) framework whose main determinants are need and country performance.

In line with the Bank Group's Ten-Year Strategy, infrastructure operations, mainly transport and energy, have continued to receive the bulk of the financial resources. In 2015, total approvals of Bank Group operations amounted to UA 6.33 billion at the end of December 2015, a 25.4% increase over approvals of UA 5.05 billion in 2014. Total Bank Group approvals for 2015 comprise total African Development Bank (AfDB) public and private approvals (UA 4.52 billion), African Development Fund (ADF) approvals (UA 1.52 billion), Nigeria Trust Fund (NTF) approvals (UA 12.5 million), and Special Funds (UA 288.9 million).

Organisational change initiatives

The Bank's headquarters is in Abidjan, Côte d'Ivoire. It should be recognised that this assessment was conducted during the period from September 2013 to December 2015 that was marked by the return of the Bank from its temporary location in Tunis to Abidjan. By December 2015, a total of 1 126 staff had been successfully moved and settled in Abidjan, according to the 2015 Annual Report.

During this challenging period, the Bank continued to enact institutional reforms including budget reforms aimed to align resource allocation to the Bank's ten-year strategy and to provide for flexibility in the implementation of the Bank's work programmes.

1.2 The assessment process

Assessment framework

This MOPAN 3.0 assessment covers the period 2014 to mid-2016. It addresses organisational systems, practices and behaviours, as well as results achieved during the relevant period of the 2013-22 strategy. The assessment focuses on five performance areas. The first four performance areas, relating to organisational effectiveness, each have two Key Performance Indicators (KPIs). The fifth performance area (results), relating to development and humanitarian effectiveness, is comprised of four KPIs.

Each KPI is based on a set of micro-indicators (MIs) that, when combined, enable assessment against the relevant KPI. The full set of KPIs and MIs is available in Annex 1.

Table 1: Performance areas and Key Performance Indicators

Performance Area	KPI
Strategic Management	KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results
	KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels
Operational Management	KPI 3: Operating model and human/financial resources support relevance and agility
	KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/ accountability
Relationship Management	KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)
	KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources
Performance Management	KPI 7: Strong and transparent results focus, explicitly geared to function
	KPI 8: Evidence-based planning and programming applied
Results	KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate-wide and regional/country level, with results contributing to normative and cross-cutting goals
	KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries
	KPI 11: Results delivered efficiently
	KPI 12: Sustainability of results

Lines of evidence

Four lines of evidence have been used in the assessment: a document review, a survey, interviews and consultations. These evidence lines have been collected and analysed in a sequenced approach, with each layer of evidence generated through the sequential assessment process, informed by and building on, the previous one. See Annex 2 for a list of documents analysed as part of the AfDB assessment and Annex 3 for process map of the assessment.

The full methodology for the MOPAN 3.0 assessment process is available at <http://www.mopanonline.org/ourwork/ourapproachmopan30/>.

The following sequence was applied:

- The assessment began with the collection and analysis of 62 documents including external assessments and pieces of internal management information. An interim version of the document review was shared with AfDB. It set out the data extracted against the indicator framework and recorded an assessment of confidence in the evidence for each of the micro-indicators. AfDB provided feedback and further documentation to enable finalisation of the document review, which was completed in September 2016.
- An online survey was conducted to gather both perception data and an understanding of practice from a diverse set of well-informed partners of AfDB. The survey generated a total of 39 responses drawn from five countries (Burkina Faso, Liberia, Mozambique, Nigeria, Somalia) including from donor and national government representatives, UN agencies and INGOs/NGOs. An analysis of both the quantitative and qualitative survey data has informed the assessment. Annex 4 presents results of the Partner Survey.
- Interviews and consultations were carried out at AfDB headquarters in Abidjan, Côte d'Ivoire with 49 members of AfDB staff, ensuring coverage of all of the main parts of the organisation. The interviews were conducted in a semi-structured way, guided by the findings and evidence confidence levels of the interim document review.
- Discussions were held with the Institutional Lead of the MOPAN 3.0 AfDB assessment, as part of the analytical process, to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

Analysis took place against the MOPAN 3.0 scoring and rating system, which assessed data from all the evidence lines combined. The scores and the evidence that underpins them form the basis for this report. Annex 1 presents the detailed scoring and rating system as applied to the AfDB.

The main limitations of the report are the limited documented evidence – in particular from independent reviews/evaluations – on the extent to which changes that are being actively implemented within the 2013-22 strategic plan period are having the intended effect on organisational practice, and on the results of the AfDB. A comprehensive evaluation of development results (CEDR) designed to provide a theory-based synthesis evaluation of the last ten years of AfDB development results was completed in late 2016, which was outside the reference time period for this MOPAN assessment. This assessment report therefore represents only a snapshot view of the AfDB at a particular moment in time.

1.3 Structure of the report

This report has three sections. Section 1 introduces AfDB and the MOPAN 3.0 assessment process. Section 2 presents the main findings of the assessment in relation to each performance area. Section 3 presents the conclusions of the assessment.



2. ASSESSMENT OF PERFORMANCE

2.1 Organisational effectiveness

PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

Strategic management: The AfDB is an African institution with a clear mandate for the continent that is reflected in its long-term vision. Its organisational architecture and financial framework are well structured and continues to evolve to adjust to changes and to seize new opportunities in the context. The organisational structure increasingly supports the engagement of member countries with a deliberate and concerted move to decentralise the Bank's operations. This was amplified and accelerated in April 2016 by the approval of the Bank's new development and business delivery model, which is more decentralised, expands the number of country offices and regional hubs, and provides these more autonomy. Given the challenging circumstances in which it operates, the AfDB has a healthy and dynamic financial framework. It has taken a number of positive steps to ensure that its financing can remain in step with demands for mandate implementation. The AfDB has made clear commitments guided by strategies for all three cross-cutting issues of gender equality, climate change and good governance. Some aspects of the Bank's operationalisation of this commitment remain works in progress.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
KPI 1: Organisational architecture and financial framework to enable mandate implementation and achieve expected results			
KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels			

KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results

The AfDB's performance against this KPI is rated as **highly satisfactory**.

The AfDB is an African institution. The AfDB Group structure includes the African Development Bank (AfDB) and the African Development Fund (ADF), establishing the Group as both a lender and technical specialist / policy adviser in the region. Sixty per cent of its shareholders are African countries, and 40% are non-regional countries. Governments in Africa are eligible for and very open to, engaging with the Bank in pursuit of national and regional development goals in a variety of ways. AfDB staff indicated that African governments now regard the Bank as the preferred multilateral financing partner in public sector activities and, increasingly, in private sector activities in Africa. The AfDB has a very clear mandate on the continent, a long-term vision that reflects this, and an organisational architecture and financial framework that are well structured and continue to evolve to adjust to changes in the international and regional context and the international development architecture.

A clear long-term vision, reflecting careful consideration of comparative advantage and anchored in a progressive, transformative perspective for Africa: The AfDB has a well-defined strategy, contained in its 2013-22 strategic plan and supported by clear objectives and a clear articulation of its comparative advantage across different sectors. The strategic plan shows considerable effort to understand the AfDB's comparative advantages, work in areas where it has demonstrated strengths and not concentrate in areas where it does not have an advantage. The Ten-Year Strategy corresponds to an overall vision that the Bank has articulated in line with goals for the continent. The new presidency's Good to Great initiative focuses on the Bank's capability to meet the continent's needs, given the contributions from other partners and actors and potential gaps. The High 5s strategy was developed through matching the Bank's strengths with the continent's needs. Underpinned by the strategic plan, it provides a clear and concentrated focus. It also reflects a proactive stance on the 2030 Agenda for Sustainable Development and the High 5s align with the 2063 Agenda of the African Union.

New sector strategies are now being established under the new High 5s business delivery model. For example, the Board approved a new energy strategy in May 2016 — the New Deal on Energy for Africa — to achieve full energy access across the continent by 2025. The AfDB President deliberately set an accelerated target date, in advance of the 2030 target for the SDGs. This reflects a positive response to the conclusions of an earlier independent evaluation which found that the Bank was often taking a conservative approach in terms of strategic focus, e.g. only relatively recently moving into the area of renewable energy.

Work is underway to further operationalise the High 5s business delivery model. An important consideration is how the Bank can best use its resources to achieve impact at scale, an area which to date has not figured as a strategy objective. This is likely to involve reflection on the extent to which current proportions of lending across sectoral portfolios best draw on the AfDB's comparative advantage.

Organisational structure increasingly supports member country engagement: There has been a deliberate and concerted move to decentralise the Bank's operations. This was amplified and accelerated in April 2016, when the Bank approved a new development and business delivery model that is more decentralised and provides more autonomy to the five regional hubs. The model is supported by the new delegation of authority (DoA) matrix that delegates full authority to the five regional Director Generals. The establishment of additional field offices aims to offer better follow-up while requiring fewer field missions. The regional hubs are intended to empower the regions and countries, concentrating expertise and offering greater responsiveness to clients. Strengthened field offices (FOs) managed a larger share of the AfDB operations portfolio, according to the 2015 annual report, with projects managed locally increasing to 60% of the total active portfolio in 2015 from 51% in 2014; under the new DoA matrix this proportion should gradually increase to 90%. The DoA matrix shows more power has been accorded to the field level and staff, as a result, have observed a reduction in project-related problems and fewer non-performing projects. Yet there is a perception among partners and staff that more could still be done and that some staff are reluctant to fully assume the new responsibilities and use the power invested in them to the full extent, for example in terms of reaching out to new partners.

Healthy and dynamic financial framework: The evidence points to strong financial performance that is designed to support regional members' interests. Evidence from the MOPAN Partner Survey supports this. Despite a challenging global economic environment, the Bank reported a very satisfactory operational outturn for 2015, where total approvals of Bank Group operations, according to the 2015 annual report, amounted to UA 6.33 billion, a 25.4 % increase over 2014 approvals of UA 5.05 billion. Total Bank Group

approvals for 2015 are made up of total African Development Bank (AfDB) public and private approvals (UA 4.52 billion), African Development Fund (ADF) approvals (UA 1.52 billion), Nigeria Trust Fund (NTF) approvals (UA 12.5 million) and Special Funds (UA 288.9 million). In 2015, Bank Group loan and grant disbursements (excluding equity participation, guarantees, and Special Funds) amounted to UA 3.03 billion.

The 2015 report also described institutional reforms enacted. These include budget reforms aimed at aligning resource allocation to the Bank's Ten-Year Strategy and providing for flexibility in the implementation of the Bank's work programmes. Bank management undertook a reform of the administrative budget to achieve strategic prioritisation of resources and efficient and effective delivery of its development programmes, aggregate fiscal discipline, and establish clear lines of accountability. Key budgeting tools and processes were introduced such as the Activity Time Recording System (ATRS), the Cost Accounting System (CAS) and the Strategic Resources Assessment System (SRAS).

The *2015-2017 Rolling Plan and Budget Document* noted a positive trend for the credit to income ratio (CIR). The Bank has a target threshold of 30%. For 2014, the CIR with and without the impact of the return of headquarters to Abidjan is projected to be 42.68% and 36.72%, respectively, although management expects the actual performance to be better than the projections. It is also expected that the cost rationalisation and business development efforts will help sustain the positive trend of the CIR.

The Bank has taken a number of positive steps to ensure that its financial framework remains in step with the demands of mandate implementation. These takes into account the Treasury's challenging credit to income ratio environment, which is largely due to low interest rates. In this respect the ADF-13 and General Capital Increase (GCI-VI) significantly increased resources and approvals to a target of USD 7 billion in 2020 from expected approvals in 2010 of USD 3 billion, a very significant increase with institution-wide implications. The ADF-13 report sets out how approximately 62% of ADF resources will be channelled to eligible countries through the performance-based allocation (PBA) framework, whose main determinants are need and country performance. Notwithstanding this capital injection, the trajectory of growth has been faster than expected, and the Bank is now seeking ways to make smarter, more efficient use of its capital. These include development and application of new tools, credit policy and pricing of products that have already helped to support the Bank's financial sustainability. The triple challenge of the growth of the lending volume, the relocation to Abidjan from Tunis, and the accelerated decentralisation process has placed pressure on the administrative budget. A process of cost rationalisation has been undertaken and the budget reform has supported this process.

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues

The AfDB's performance against this KPI is rated as **satisfactory**.

The AfDB has made commitments guided by strategies for the cross-cutting issues of gender equality and climate change; its governance strategic framework and action plan for 2014-18 recognises the critical importance of effective institutions, good governance and regulations for economic growth. Partner Survey responses endorse the view that the AfDB is demonstrating its commitment to the promotion of gender equality, climate change and good governance within its work (see Figure 1). However some aspects of how it is operationalising this commitment remain works in progress. These include the limited staffing to support environmental and social issues compared to ratios achieved within other multilateral development banks (MDBs), and the inadequate skills base on these issues in Bank operations and within the regional member countries (RMCs). Recruitment is underway to address this critical issue.

Comprehensive and high-standard Integrated Safeguards System demonstrates commitment to ensure delivery of social and environmental standards: The AfDB maintains the high standard of its Integrated Safeguards System (ISS) through periodic reviews every two to three years. Its ISS practice is well regarded by other MDBs. The ISS ensures that all AfDB project documents are screened against criteria on gender, environment and climate change, with implementation and follow-up of mitigation measures taken where required. Notably the AfDB was the first MDB to make climate vulnerability assessment mandatory for its operations.

Gender equality: The AfDB has a clear understanding of the importance of gender and its equity dimensions, well in line with normative frameworks and reflected in its policies, programmes and sector strategies. The Bank's Ten-Year strategy establishes as a priority the need to reduce gender inequality. The AfDB's report, *Investing in Gender Equality for Africa's Transformation*, reinforces and operationalises this commitment and also sets out the Bank's Gender Strategy for 2014-18. The strategy has a dual focus, identifying how gender will be mainstreamed in the Bank's country and regional operations (the external gender strategy) and in its own structures and processes (the internal gender strategy).

Corporate indicators on gender have been established through the Bank's results monitoring framework and these are reported in the annual development effectiveness review (ADER). The ISS ensures that all project documents are screened against criteria on gender and that mitigation measures are implemented where required. The Bank also publishes gender country profiles that take cognizance of the importance of context.

The AfDB has established the Office of the Special Envoy on Gender, and its Gender Strategy sets out intentions for further capacity increases within the Bank including recruitment of additional gender specialists. The extent to which these intentions will be taken forward remains to be seen.

Environmental sustainability and climate change: Climate change is a clear cross-cutting priority for the AfDB's work, with policies aligned with the Rio+20 global agenda and with a growing portfolio of work on climate change. The AfDB reports on its greenhouse gas emissions in the development effectiveness review (DER). The African Natural Resources Center (ANRC), established in 2013, delivers capacity-building programmes to RMCs in natural resources management, such as supporting integrated natural resource development planning and good governance of natural resources.

The AfDB's climate change strategy covered the period 2011-15. This Climate Change Action Plan (CCAP) is informed by and guides the implementation of the Bank's Climate Risk Management and Adaptation Strategy (CRMA) and Clean Energy Investment Framework, which address the broader issues of climate change adaptation and mitigation respectively. A progress report was published in 2013, and a new climate change action plan has been drafted and was under review at headquarters at the time of this 2016 MOPAN assessment. Staff reported that the CCAP objectives were mostly met. In terms of organisational structure, the climate change co-ordination committee, led by the environmental and social team, is considered effective, although some staff regretted the limited director attendance. In addition to its normative and strategic responsibility, the environmental and social team also has operational responsibility in that it manages climate investment funds (CIFs), renewable energy work, and green growth and Green Climate Fund operationalisation. Such wide responsibility requires substantial staffing resources and further capacity building seems required across the operational staff, particularly to assess environmental issues for private sector operations. In this respect, the planned updating of the environmental and social assessment procedures (ESAP) is welcome.

Good governance: In the ADF-13 report and in its strategy for 2013-22, the AfDB states: “The Bank will support the development of capable states founded on effective institutions, good governance and regulation for economic growth — specifically, property rights, equal access to effective justice and greater participation in decision-making.” Despite the governance strategic framework and action plan for 2014-18, which recognises the critical importance of effective institutions, good governance and regulations for economic growth, documentary evidence of AfDB’s attention to good governance as a cross-cutting issue is somewhat limited. However, the MOPAN Partner Survey showed a largely satisfactory assessment by partners. Examples have also been highlighted of positive moves on the mainstreaming of good governance within country and regional-level work, for example a general budget support (GBS) operation in Ghana. Other positive moves include embedding the issue of good governance within the AfDB’s broader strategies for the agricultural sector and climate change, signalling the importance the Bank gives to an integrated response. However, compared to the other cross-cutting themes of gender, environment and sustainable development, good governance has been given less explicit attention across AfDB’s strategies.

Figure 1: Partner Survey Analysis – Strategic Management
 An illustration of aggregated partner views from across the countries



PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results to ensure relevance, agility and accountability

Operational management: The AfDB has continued to adjust its internal structures and staffing to match the operating model, thereby ensuring that its assets and capacities remain closely aligned to its strategic direction. Resource mobilisation is explicitly geared towards the Bank's priority areas, and the regular replenishments constitute a significant policy- and strategy-setting forum. The strong advance towards decentralisation has made the Bank more responsive to the needs and demands of RMCs. The rapid response to the Ebola crisis in 2014 signals welcome agility and ability in an emergency situation. Results-oriented and performance-based human resources systems and policies show clear intent but are still to be consistently implemented. The AfDB shows strong performance in terms of transparent processes for both resource mobilisation and allocation. An area for concern is the systemic low levels of disbursement across the Bank portfolio. However, the reasons, both external and internal factors, are increasingly better understood and measures are being taken to respond to this challenge, taking account of the different contexts in which the Bank operates. A key objective of the decentralisation process is to speed up delivery and implementation of projects and programmes and hence disbursement. The Bank's audit and anti-corruption policies and framework are strong and in compliance with the requirements of the Institute of Internal Auditors (IIA). In 2016, the AfDB achieved an IIA level of general compliance, which is the highest level possible.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
KPI 3: Operating model and human/financial resources support relevance and agility			
KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability			

KPI 3: Operating model and human/financial resources support relevance and agility

The AfDB's performance against this KPI is rated as **highly satisfactory**.

Continuing to evolve structures and staffing within the operating model: The AfDB has continued its efforts to make staffing and structures responsive to changing demands on its operating model. This is particularly significant with respect to its increased decentralisation: in 2015, 41% of operational staff were in the field.

These efforts will enhance alignment and results further through achieving greater and faster client responsiveness and more efficient delivery of Bank services. Staff report that better country dialogue is being achieved through field offices and the Partner Survey indicated a reasonably high level of confidence in the numbers and requisite experience of staff committed by the Bank at the country level to deliver intended results (see Figure 2).

The 2015 Independent Development Evaluation (IDEV) report, *Strategizing for the 'Africa We Want': An Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies*, noted that around 90% of the country strategy papers (CSPs) were assessed as moderately satisfactory or better in 2013, compared to only 50% in 2005–08. This remarkable progress is consistent with the findings of the Bank's Readiness Reviews (95%). According to the management response, progress has been the result of a combination of actions. These include the adoption of Quality at Entry standards for CSPs (2010), the introduction of the Readiness Review process (2011) and the revised Presidential Directive on the review process (2013). Decentralisation has been another important driver of progress by improving the quality of field-level engagement in designing and preparing CSPs. Quality at Entry was found to be higher among CSPs for countries where the Bank has a large and active portfolio, and CSPs prepared by large Bank country teams (>20 members) were rated as having higher quality at entry than those prepared by smaller country teams.

At headquarters under the new presidency, the economic vice presidency is being strengthened by clustering strategic areas with a particular focus on knowledge generation, with feeds to and from the regional offices and policy dialogue that is enhanced by good research at the country level through the country offices. These generally support the Bank's high-level engagement in and for the region and include a research focus designed to sharpen the Bank's own strategy and influence policy in country.

Recruitment and skills mix: The Bank's People Strategy 2013-2017 sets the priorities and direction for the Bank's HR management, and includes a timebound implementation plan to position the Bank as the "employer of choice" for those working on African growth and development. Recruitment was frozen during relocation, with Bank vacancies being filled with consultants. Subsequently recruitment has resumed but filling vacancies is not easy and the Bank recognises that during a transition period, going forward, it is likely that it will not always have access to the right people. A staff skills audit now underway will be used to set direction for building the requisite capacity to meet new demands in new areas (e.g. agro-processing and access to finance for agriculture). The AfDB operations manual reflects increasing efforts to support staff through capacity building in new areas of strategic focus. The ADER includes important HR targets. For 2015 the net vacancy rate was 16%, slightly above the target of 15%. In terms of gender balance the Bank has made progress: 27% of professional staff and 31% of management staff are women. An indicator on time to recruit new staff is not populated, but the time in the baseline year, 2012, was 223 days.

Resource mobilisation is aligned with and contributes to frame priority areas: The general capital increase and replenishment exercises constitute the most important resource mobilisation fora for the Bank. These are also simultaneously policy setting and strategy setting, thus ensuring close alignment between priorities and resources. The effectiveness and efficiency of these processes were the subject of an independent evaluation in 2015, that evaluated the GCI IV, ADF-12 and ADF-13 commitments. It concluded:

"Efficiency of the GCI-VI process is reflected in the number and management of meetings, the small number of papers, and the Bank's internal management of the overall process. Given the resulting 200% increase in capital, the time and effort invested in this process was cost effective. In addition the process was inclusive – involving all shareholders through an extended Governors Consultative Committee (GCC) and regional and civil society consultations."

Regarding delivery of commitments, the evaluation also found that the vast majority of the GCI-VI, ADF-12 and ADF-13 commitments that were due had been delivered. However, the evaluation also found a weakness in terms of timeliness of delivering the commitments. This was sometimes due to an unrealistic initial timeframe and a certain front loading that forced the Bank to act on too many fronts at the same time.

Internal documentation clearly supports performance-based aid allocation, eligibility frameworks and mobilisation of resources for strategic priorities including specific attention to cross-cutting areas of work such as fragile states. In addition, the terms for financing of country portfolios are clearly set out and provide a clear rationale for mobilising resources for specific countries. However, there is a lack of evidence from independent sources on the effectiveness of these systems and the implication for meeting the Bank's mandate.

Decentralisation supports responsive decision making: Considerable effort is being made to enhance the level of decentralisation of the AfDB's operations. Evidence points to decentralisation facilitating a higher level of client responsiveness and strengthening country working relationships (e.g. Ethiopia). There is a strong strategic orientation towards increased decentralisation to improve the effectiveness and efficiency of operations. The Bank's new business delivery model is more decentralised and provides more autonomy to the five regional hubs, with full authority held by the five regional Director Generals (DGs) according to the new delegation of authority (DoA) matrix. This has not yet been fully implemented. The regional hubs are intended to empower the regions and field offices, offering greater responsiveness.

The move towards decentralisation is clear and strong. However, the effectiveness of the DoA within the Bank is dependent on having the right people in the right place, with clear accountability and a culture of performance enabled by a set of processes and procedures and a functioning IT system. While the DoA matrix shows that more power has been accorded to field level, it is not clear that staff are as yet fully assuming the power vested in them. There are also concerns from staff that the DoA matrix is not aligned to budget lines, so that dual reporting still exists. Evaluations have in the past noted concerns that decentralisation, in practice, had yet to deliver the hoped-for returns; these concerns were raised prior to the new business delivery model being outlined and the expectation of staff is that future evaluations will show a significant impact.

Evidence from the Partner Survey indicates that the AfDB's performance in this area is strong, with the majority of respondents responding positively to the statement that the AfDB's staff "can make the critical strategic or programming decisions locally in the country" (see Figure 2). An example of the Bank's ability to be flexible and responsive is the Ebola crisis (see Box 1). Staff expressed reservations about their ability to be responsive so quickly in minor emergencies, but felt that this would become easier with the new decentralised lines of authority.

Results-oriented and performance-based HR systems and policies yet to be confidently and consistently applied: As noted above, the Bank's People Strategy 2013-17 sets the priorities and direction for the Bank's HR management. It includes a timebound implementation plan to position the Bank as the "employer of

Box 1: Flexibility in the context of major emergencies

The AfDB response to the Ebola crisis: The AfDB was among the first organisations to respond to the outbreak of Ebola, in March/April 2014. Many different instruments were used to fund the response including grants, loans and regional envelopes. The initial emergency assistance for the Ebola-affected countries was drawn from the Bank's Special Relief Fund (SRF). The SRF is replenished from the Bank's unallocated income by the Board of Governors. Governments can request a maximum of USD 1 million per operation, with such assistance being approved by the Board on an Lapse of Time Basis. As the Ebola crisis required a higher level of

funding, the Bank was able to fast-track operational design and Board approval – for example, within one week in August 2014 – due to the exceptional circumstances. This involved working within the normal scope of rules but significantly cutting timelines and non-essential aspects of the operation design such as the extent of technical analysis. The Ebola emergency was the first time in the Bank's history that the Board approved a response in a virtual meeting, as Board members were on recess at the time. To co-ordinate the Bank response one staff member was very quickly relocated to the crisis area for three months.

choice” for those working on African growth and development. At the end of December 2015, total AfDB staff strength stood at 1 841. Of these, 63.4% were male and 36.6% were female; of the 1 215 professional staff, 26.7% were female; and of the 587 general service staff, 57.2% were female.

The AfDB’s HR systems and policies are performance-based and geared to the achievement of programme results. These include the use of performance-based salaries and contracts including for managers. In 2015, the comprehensive Complex Framework Papers (CFPs) that discuss strategic orientation and resource needs at each Complex level were introduced. These are designed to better align work programmes with corporate priorities. The use of CFPs has been further consolidated by linking them to performance contracts signed by Vice Presidents at the beginning of the budgeting exercise. Based on the CFPs, execution of Complex work programmes, budget efficiency and effectiveness are monitored regularly.

Evidence is limited on the details of these new processes and how well they are working in practice, and there are concerns that these require transparent monitoring and accountability to be effective. Staff suggested that the analysis undertaken for the AfDB by McKinsey in 2014 identified insufficient incentives for staff and a weak performance-based culture.

Further development of performance-based contracts appears to be a work in progress, with the Bank working to develop the indicators against which performance is measured. Country-level performance is tracked over time and therefore changes over time might be used to feed into performance contracts.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/ accountability

The AfDB’s performance against this KPI is rated as **highly satisfactory**.

The Partner Survey response (see Figure 2) shows a high level of satisfaction with the way the AfDB openly communicates the criteria for allocating financial resources (transparency) and provides reliable information on how much and when financial allocations and disbursement will happen (predictability). The AfDB recently moved into the top ten on the Aid Transparency Index and continues to publish monthly data in the International Aid Transparency Initiative (IATI) registry.

Transparent processes for lending to private sector operations: The AfDB opened a private sector lending window in 2009 with clear criteria on eligibility, reflecting the Bank’s aims on “leveraging additionality” and “delivering social benefits”. The Bank’s research institute annually assesses close to 100 private sector requests under an Additionality and Development Outcomes (ADOA) framework of indicators. These provide an independent assessment of suitability – resourced through staff field visits, client consultations, etc. – prior to the pre-step before Board approval. This approach is judged to be effective and the Board is now reported to be considering the same assessment approach for the Bank’s public sector investments as an additional, standardised, ex-ante assessment. Processes and protocols are clearly in place for resource allocation at the country and sector level, suggesting that well-articulated, transparent decision-making processes are standard. In terms of the administrative budget, the IDEV evaluation of the AfDB’s administrative budget management pointed to some concern that priorities for resource allocation were not fully fleshed out at the senior management level, and that the processes to decide on funding were not always fully explained or aligned with strategic priorities.

Low levels of disbursement across the Bank portfolio: The challenging and to date systemic issue of low disbursement levels is referred to in the 2015 annual report, the 2011-15 Regional Integration Strategy for Southern Africa, and the 2015-19 country strategy for Mali, inter alia. The 2015 annual report found that since 2012, actual disbursements against targets have diverged, as indicated by the decline of the disbursement rate from 81.9% in 2015 from 98% in 2012. Disbursement delays have been caused by weak institutional and management capacity in some RMCs, and fragility situations and conflicts, among other factors. The Bank Group has been making concerted efforts to address the disbursement delays including strengthening the monitoring and reporting of recurring issues and streamlining the operational business processes affecting disbursements. Other reasons for delays raised in evaluations include bureaucratic bottlenecks/burden, changes in staffing and poor communication.

Some progress in applying results-based budgeting across operations: There is a clear commitment and strong ongoing effort within the AfDB to more closely link resource allocation with results. Overall the effectiveness of the systems that are currently in place is rated as moderately unsatisfactory and the IDEV evaluation of the Bank's administrative budget management identifies the need to strengthen this for a more performance-driven management culture to inform decision making. The evaluation concludes that "the Bank is still in the initial stages of making the shift to a data-driven performance management culture; KPIs and other reporting data are not actively used in making budgetary decisions".

During 2015, according to the annual report, the AfDB continued to reinforce the tools, processes and systems that underpin its Results Measurement Framework. These include the Results Reporting System (RRS), developed in 2013. The RRS tracks portfolio performance by sector, region and country, providing management with critical information to improve performance. The framework was refined in 2015 and will be ready for a full rollout once the SharePoint infrastructure to integrate the information technology applications (SAP, Microsoft Exchange and Oracle, among others) is complete. In support of the aim of fully establishing a results-oriented culture across the institution, training workshops on results-based management have been developed and delivered to Bank staff.

Comprehensive measures on external and internal audit and responding to issues raised: Overall there is strong adherence to international standards on auditing practice and the Bank Group's financial management rules, regulations and policies. A strong process is in place for conducting independent audits of AfDB's financial records, and data and evidence point to the timeliness of audits undertaken. However, it does not appear that all systems are audited (e.g. procurement audits), a concern that was raised in the IDEV evaluation of AfDB administrative budget management. Internal audit practice is in line with the requirements of the Institute of Internal Auditors (IIA) that internal audit mechanisms be internally reviewed every two years and an external quality assessment of the audit function be conducted every five years. In 2016, the AfDB achieved an IIA level of general compliance, the highest level possible.

Audit reports go to the Board and the President, with Bank management providing comment and an action plan in response to recommendations. All recommendations are to be followed up within a set time period of usually one year to implement changes. The Office of the Auditor General produces a report every six months that shows the status of follow-up actions and is submitted to the Board's Audit and Finance Committee.

Policies and procedures are effective in preventing fraud: The AfDB Group has put strong and comprehensive policies and procedures in place to prevent, detect, investigate and sanction any cases of fraud or corruption at all levels. These include the Whistle Blowing and Complaints Handling Policy; an Internal Investigation Manual and a computerized Case Management System; the Disbursement

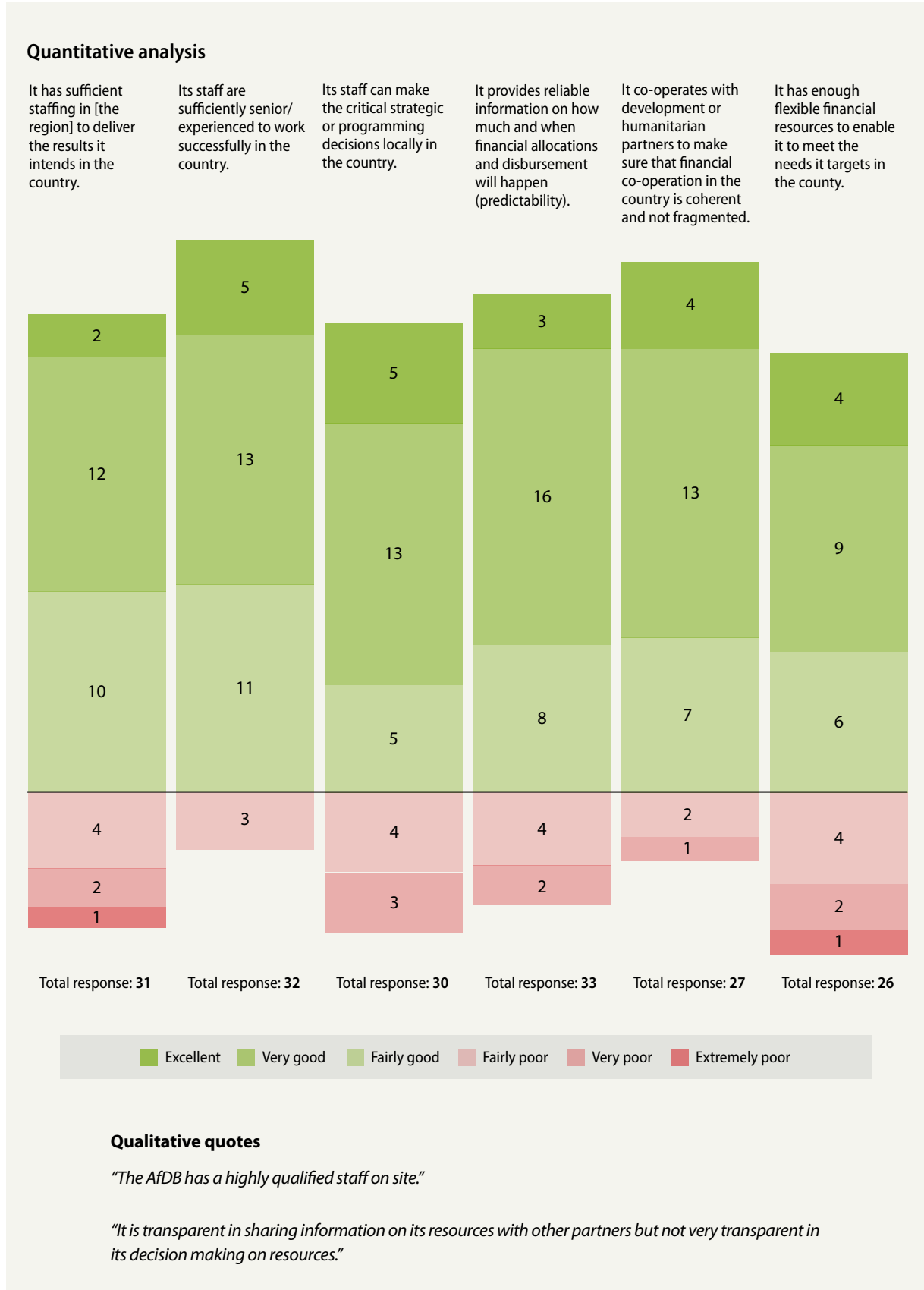
Handbook; and the Revised Guidelines on Cancellation of Approved Loans, Grants and Guarantees. A range of different structures implement these policies, including the Integrity and Anti-Corruption Department, Staff Integrity and Ethics Office, the Sanctions Office and the Sanctions Appeals Board.

The 2015 annual report states that investigations during 2015 led to the closure of 19 cases, and that four reports of “findings of sanctionable practices” on entities found to have engaged in these were submitted for the Sanction Commissioner’s determination. Three entities concluded Negotiated Settlement Agreements with the Bank to resolve allegations of sanctionable practices in Bank-financed projects. These settlements resulted in debarments for the entities and the imposition of fines totaling over USD 13.6 million, which will be used exclusively to finance integrity and anti-corruption programs and activities in the RMCs.

However, the 2014 IDEV evaluation summary report on operational procurement policies and practices raised as a concern the availability of data, stating:

“It is highly desirable to have more data about the incidence of suspected infractions of the Bank’s stringent rules on fraud and corruption. The very small number of reported occurrences does not seem consistent with expectations based on the published ratings of Transparency International for the Bank’s RMCs or with comments by a number of interviewees in the Country Case Studies.”

Figure 2: Partner Survey Analysis – Operational Management
 An illustration of aggregated partner views from across the countries



PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, leverage effective solutions and maximise results in line with Busan Partnership commitments

Relationship management: A key strength of AfDB's work is its active participation in national processes to ensure alignment and coherence between Bank strategies and country and regional priorities and processes. Contextual analysis generally informs intervention design so interventions are tailored to context. Capacity analysis, including procurement capacity, is a routine part of the Bank's operations, although it is not yet fully developed or fully utilised. The country policy and institutional assessment (CPIA) annually assesses the quality of policies and performance of institutional frameworks in RMCs. There is improving practice in the AfDB on systematically integrating cross-cutting issues and specific measures are being operationalised to support speedier project implementation. The Bank's strong commitment to partnerships is reflected in its application of the Busan Partnership principles. Leveraging financing and creating synergies with others to achieve greater development results are considered key to the Bank's operations; the Bank has a strong record in partnering with the private sector and leveraging its financial resources. The Bank's knowledge base is increasingly being deployed in support of AfDB engagement. It is playing an important role as a knowledge broker for the African continent, both convening and contributing to policy dialogue. The Bank chairs a large number of donor co-ordination fora, attesting to its strong performance as a respected partner.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

The AfDB's performance against this KPI is rated as **satisfactory**.

Strong alignment of interventions with national/regional priorities and results: A strength of AfDB's work is its active participation in national processes to ensure maximum alignment and coherence between Bank strategies and country and regional priorities. This is supported by documentation and by positive Partner Survey responses (see Figure 3). Most survey respondents rated the AfDB's performance "very good" against two statements: that its "interventions are designed and implanted to fit with national programmes and intended results" and that its "interventions are tailored to the specific situations and needs of the local context". Country Strategy Papers (CSPs) are jointly developed with partner countries. The 2015 corporate evaluation Strategizing for the 'Africa We Want': *An Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies* concluded that some of the greatest strengths of the CSPs are their alignment with government development plans and priorities and their frameworks for co-operation and co-ordination with other development partners.

The continued focus on decentralisation is bringing the AfDB closer to its clients' needs. Interviews with different operational departments within the Bank confirmed its demand-driven approach and efforts to align projects with country strategies, such as intended nationally determined contributions (INDCs) for energy sector projects.

Contextual analysis generally informs tailoring of intervention design to context: The heterogeneous nature of the region is a challenge for the Bank's operations and thorough contextual analysis is therefore carried out in the design of programmes to ensure that they are tailored to the specific circumstances of each country. This analysis is reflected in five-year Country Strategy Papers and Regional Integration Strategy Papers (RISPs). Various diagnostic tools are also used for contextual analysis and these are shared with partners. Among these are country resilience and fragility assessments (CRFAs) that specifically assess fragility and governance issues with a multi-risk approach to monitor fragility and resilience. However, a recent evaluation of quality at entry raised a concern on this issue and recommended that the analysis of fragility and its underlying causes be strengthened. It noted that a benchmarking study found that the International Monetary Fund and the World Bank conduct a more rigorous analysis of fragility issues than does the Bank.

The AfDB's research unit also provides contextual analysis under the Additionality and Development Outcomes Assessment (ADOA) for private sector operations. Contextual analysis of gender, environmental sustainability and climate change is to some extent required for compliance with the systems that assess cross-cutting issues for operations including the ADOA and the Integrated Safeguards System (ISS). These, however, are not specifically assessing responsiveness of design to contextual analysis but rather to international standards. Survey results shows that partners feel very positively about the AfDB's interventions being tailored to the local context (see Figure 3). Evaluations show some concerns have been raised that contextual analysis is not always used to inform implementation approaches.

Capacity analysis is still work in progress: Capacity analysis is a feature of Country Strategy Papers (CSPs). The AfDB carries out analysis of country systems in order to assess absorptive capacity and needs for capacity-building support. Capacity analysis covers all levels of the programme implementation cycle from design capabilities and capacity through to monitoring and evaluation (M&E) capacity. Partner Survey responses indicate positive performance with respect to the realism of the Bank's analysis, although not consistently. Responses regarding alignment and the tailoring of interventions to the local context are more consistently positive (see Figure 3). The AfDB's new procurement policy emphasises capacity building and national systems, requiring capacity analysis in country and use of country systems where possible. Procurement assessment reports and action plans are produced to address capacity constraints. The country policy and institutional assessment (CPIA), which is the basis for the country allocations, annually assesses the quality of policies and performance of institutional frameworks in RMCs to minimise the risk of absorption and effectiveness problems. The Quality at Entry evaluation found that one of the CSP's greatest strengths is the attention paid to activities designed to develop government capacity. However, this assessment found that in some instances the capacity needs assessment is not fully articulated and the importance of capacity building is stated rather than explicitly analysed. The budget lines for capacity development within projects are not always being used for capacity development.

Strengthening risk management: Adequate risk management systems are in place and operational at the project level and to monitor fiduciary risks. Criteria to assess the level of risk for all countries have been established and risk assessments are part of the CSP process and reflected in CSP mid-term reviews (MTRs). When a project document is prepared, it is screened and categorised based on risk level by the ISS unit, with this determining the risk mitigation methods required. It is followed up in project

monitoring reports and project completion reports (PCRs). The ISS unit carries out audits yearly on a risk-based sample of projects to check whether environmental and social management plans are being followed. The Safeguards tracking system, which became operational in 2015, makes these transparent. Some earlier evaluations raised concerns that risk management procedures were not always adequate for monitoring project risk and in some cases the intervention design did not reflect emerging issues that posed a risk to implementation due to capacity issues. These concerns are being addressed by the Group Chief Risk Officer (GCRO) through a consolidation of the Bank's risk management activities including through actively monitoring the loan portfolio and providing periodic reports on credit risk. The Bank is also participating in the multilateral development bank (MDB) exposure exchange with the Inter-American Development Bank and the World Bank.

At the portfolio level the AfDB uses the performance management tool of the Executive Dashboard as a live early warning system designed to anticipate slippages and allow corrective action to be taken. The Flashlight ranks country performance and sector performance, with risk being one of the performance criteria. Teams are required to develop "turnaround plans" for those countries/sectors that are most critical.

Improving practice on systematically integrating cross-cutting issues of gender and environmental sustainability into programming: Effective steps have been taken to improve the systematic integration of cross-cutting themes into project design. The more long-standing areas (e.g. gender and environment) now tend to be well embedded in project design with design documents including specific sections on climate change, environment, gender and resettlement that are supported by the ISS process. For private sector operations, environment and gender are ADOA criteria, while the readiness review for public sector operations similarly has environment, gender and climate change criteria. Headquarters staff have noted improvements in terms of climate-informed design, for example, but not all CSPs are as yet climate-informed. The AfDB is developing a climate change screening system to specifically categorise climate change risks. There is still progress to be made in terms of systematic approaches to integrate governance and fragility into project design. However, some examples of governance being mainstreamed in operations and the systems for contextual analysis show that the knowledge base is available for this to happen. The AfDB's environment and social team provides support during project preparation, but there is a need for greater resources to support analysis of cross-cutting issues. This includes increasing the number of experts on cross-cutting issues who are available to support operational teams, as well as capacity building to increase the technical knowledge of operational teams on cross-cutting issues including in RMCs.

Consideration of sustainability in intervention designs: The AfDB has specific systems and protocols to ensure sustainability. The operations manual sets out how the assessment of sustainability considers the extent to which the project has addressed risks and put in place mechanisms to ensure that benefits will continue after completion. This also includes the financial sustainability of the funding mechanisms and modalities. Evidence of sustainability measures having been taken can be seen in various Bank projects, particularly in the transport, energy and agricultural sectors. However, some independent evaluations have suggested that sustainability has not always been adequately considered, and that the Bank does not systematically or adequately either put in place or fully use established systems to further strengthen support over time. Similarly, project results assessments, introduced in 2015, have shown limited upfront critical thought in project design on the issue of sustainability. Indeed, the IDEV evaluation of Quality at Entry found that an area for improvement was attention to sustainability as part of lessons learned. Capacity development plans within projects are not always implemented, which can have a knock-on impact on delivering sustainable outcomes.

Specific measures to speed of project implementation: The performance of the Bank in terms of the efficiency of its operations is mixed, with gaps and variability in the efficiency of the portfolio overall. For example the effectiveness of disbursing payments between the private and public sectors varies; cross-country co-ordination for projects involving two or more countries is recognised as a continuing weak link. This mixed picture is supported by the varied response from the Partner Survey regarding the extent to which Bank bureaucratic procedures cause delays in implementation for national or other partners. The 2015 Annual Development Effectiveness Review (ADER), however, reports good progress on reducing the time to first disbursement 10.6 months in 2014 from 13 months in 2012, exceeding the target of 11 months. This may be the result of recent steps to reduce bureaucracy and streamline operational procedures to speed up implementation, but the rate of disbursement also reflects the realities in which the Bank operates, namely often with weak and ineffective institutions. Procurement processes were acknowledged as a particular constraint, often due to capacity lags in countries. To address the issue, the AfDB now requires capacity analysis of procurement processes in country, and encourages use of country systems, although these can sometimes be slower than alternatives.

As tracked internally, there has been satisfactory performance overall on the speed of project implementation, possibly as result of greater delegation to decentralised offices and increased field presence. For example, 60% of water and sanitation sector staff are now field-based, following through on a 2015 Presidential Directive on project delivery to increase the proportion of operational staff in the field. Field offices are encouraged to speed up processes on the ground including through capacity building and meetings to encourage government follow-through on blockages. Directive PD02/2015 specifically addresses the issue of disbursement timeframes and aims to increase the work carried out prior to approval so that disbursement can start as soon as the project is approved. Another change is that new projects in the sector/country cannot get approval if there are disbursement delays for existing projects, providing an incentive to address those delays. Improvements from these initiatives are expected to be seen in one to two years. Under the Bank's new structure, regional departments will be responsible for project development and this should lead to further improvements.

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

AfDB's performance against this KPI is rated as **satisfactory**.

Partner Survey responses indicate partners' consistently strong, positive view of the AfDB's performance across many different aspects of partnering behaviour. These include the way in which the Bank engages with country systems; how it seeks to synergise its bureaucratic procedures with those of other external partners operating in country; and what it brings to, and how it engages on, policy dialogue at both a regional and country level. This overall impression is nuanced by findings that indicate room for improvement in some areas of partnering (see Figure 3).

Extent to which procedures enable agility in partnerships is relatively untested: Limited evidence was found regarding the effectiveness of the planning, programming and approval procedures in terms of enabling agility within the Bank for partnership working. Evaluations provided some description of specific examples where the allocation of funds was changed when conditions shifted. Overall there is a strong sense that the intent of the Bank is to be agile within its partnerships, but this remains relatively untested and unproven. As shown in Box 1 above, the recent Ebola crisis in West Africa stands as a clear example, in exceptional circumstances, of the Bank's ability to be flexible and responsive when working with a number of partners. The AfDB was among the first organisations to respond to Ebola and used

various instruments to fund its response, including from the Bank's Special Relief Fund. For the larger funding needs in the case of Ebola, the Bank was able to fast-track operational design and Board approval by significantly cutting timelines and non-essential aspects of the design process. There is no evidence that demonstrates whether or not the Bank has the capacity to achieve a similar level of agility in minor emergencies. It is anticipated that the new decentralised lines of authority will make this type of agility easier.

Opportunities to strengthen strategic partnerships: The Bank's strategy documents clearly demonstrate the Bank's role, based on its mandate, as a convener with other organisations and the need to strengthen existing strategic partnerships. In terms of building partnerships to mobilise and leverage resources, the Annual Report 2015 noted that in 2015 the Bank Group managed 40 Trust Funds (TFs) to a cumulative value of UA 865 million. These are primarily used for pre-investment feasibility studies, project cycle work and capacity-building activities. While the largest share of Thematic Trust Fund approvals was allocated to infrastructure operations, in 2015 the largest share of Bilateral Trust Fund approvals went into financing capacity-building activities. These resources complement the Bank's other resources and allow for flexibility and agility. Furthermore, the Bank's engagement with private sector partners is significant. According to the 2015 annual report, total Bank Group approvals of private sector-financed operations in 2015 amounted to UA 1.56 billion, a marginal decline of 1.9% from the UA 1.59 billion recorded in 2014. Of the total private sector approvals, finance sector approvals (lines of credit, trade finance, etc.) accounted for the largest share (42.9%), followed by energy (22.7%) and transport operations (19.5%).

In terms of operational partnerships, the IDEV summary report, *Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies*, suggests that country strategy documents do not consistently or systematically integrate solid analysis of the Banks' positioning or comparative advantage into the partnering perspective.

In terms of the Bank's role in donor co-ordination and as a convener and leader at the country level, the Bank belonged to some 250 sector or thematic groups across Africa in 2015, or an average of five per country. In 2014, the Bank chaired 74 of these groups, according to the 2015 ADER.

Strong commitment to Busan Partnership increasingly evidenced by Bank action in such challenging areas such as procurement: The AfDB adheres to the principles of the Busan Partnership for effective development co-operation. Among these is the principle of enhancing the use of country systems, and Bank activity on this has increased significantly since 2011. Evidence from internal reviews shows careful consideration of risks in the use of country systems, for example in procurement, and recognition of the need for building the capacity of national systems in order to use them for monitoring and evaluation. Several independent evaluations provided evidence of challenges in certain areas of national systems such as weak procurement capacity. Despite this, 80% of AfDB's procurement transactions are now reported as going through national systems, representing 30% by volume. This is gradually increasing, and has been supported by specific measures such as simplified procurement procedures, improved bidding processes and the presence of procurement staff at the country and regional levels to enhance capacity. Large projects are still procured from headquarters, however.

A significant shift has taken place in AfDB's approach to procurement, reflected in a new procurement policy approved in 2015. The aim has been to have a more dynamic policy and procedures that fully support development effectiveness within an acceptable fiduciary compliance framework. This is in response to the changing circumstances of the Bank's RMCs that require the Bank to address a triple challenge – the increasingly complex set of development objectives of the Bank's RMCs, the expanding

role of procurement in public expenditure management and the rising interests of governments in ensuring value for money in procurement. The Bank's policy and efforts to strengthen systems and institutions dealing with procurement can in this perspective be seen as one of the aspects of its support to good governance.

For the Bank's Integrated Safeguards System (ISS), governments ensure environmental and social compliance with their own systems. The ISS then provides an extra layer of quality assurance and due diligence, setting loan conditions if any issues are identified. The AfDB supports governments to develop the capacity to achieve ISS compliance. Similarly, before financial institutions can receive loans, the Bank checks that they have environmental and social management systems that meet the Bank's standards or helps them to develop these systems

A strong intent to leverage financing and create synergies with others to achieve greater development results that has yet to be fully capitalised on: The AfDB has strategies in place, notably in its 2013-22 strategy, to co-ordinate with the private sector and multilateral actors to leverage financing to achieve greater development results. These include creating synergies with other actors and capitalising on joint financing opportunities for catalytic use of resources. There is also clear evidence of efforts to harmonise activities in partnerships for better results. For example, AfDB staff in the economic research referred to the way in which the unit works closely with the World Bank, International Monetary Fund, African regional think-tanks, universities and country-level think-tanks (e.g. in Uganda, Nigeria, Ethiopia, Senegal and Tunisia) so that Bank operations are supported by strong economic and sector work. The AfDB is particularly looking to leverage financing from the international community's strategic drive to address climate change. The AfDB has responded by establishing the Africa Climate Change Fund and the Sustainable Energy Fund for Africa, undertaking Climate Investment Funds (CIF) work that now totals USD 8 billion and becoming accredited under the Green Climate Fund (GCF). These initiatives are allowing the AfDB to channel international climate finance to its RMCs. The AfDB also has a strong strategic focus on enabling private sector investment across the different sectors in which it works. For example, while in the past the AfDB's energy work has focused on generation and transmission infrastructure, the Bank is now moving towards improving the enabling environment to attract private investment in African energy markets. Two recent country evaluations indicate that the funds leveraged by the AfDB in the countries have been relatively modest and that there is still progress to be made in reducing fragmentation among donors.

Strong orientation and specific mechanisms to co-ordinate with relevant partners, but limited evidence of how well these are working in practice: The AfDB promotes co-ordination with relevant partners through its key business practices, principles and processes. Specific mechanisms for promoting co-ordination include processes for sharing lessons, for collaboration and dialogue, and for co-financing. For example, the AfDB Group Operations Manual describes the option to develop country programming instruments undertaken jointly with other development partners. Such papers have in the past been developed for Gabon, Gambia, Cameroon, Liberia, Ethiopia and Uganda. The AfDB Group's ISS policy statement sets out the Bank's "commitment to harmonise environmental and social safeguards among microfinance institutions and to co-ordinate with co-financing partners". There is limited evidence on how well the Bank's mechanisms to promote co-ordination with partners work in practice. Some individual reviews and evaluations point to a trend of more joint activities being undertaken. For example, the 2015 Development Effectiveness Review on Sierra Leone notes harmonisation of disbursement triggers, an increased prevalence of co-financed projects and more joint missions with development partners. The IDEV summary report, *Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies*, found that AfDB together with the World Bank had established a joint project implementation

unit for transport infrastructure which led to joint review and supervision missions and to improved coordination in the transport sector interventions of the two institutions.

Processes are in place to ensure the sharing of information. The Bank's Disclosure and Access to Information (DAI) Policy provides an overall statement of its commitment to transparency and the sharing of information on its activities, particularly through keeping the public in RMCs and other institutions informed of Bank Group activities as regularly and accurately as possible. A new Communications Strategy is under development (and being further revised to align communication with the new High 5s focus) to guide this; other documents and headquarters interviews confirmed further Bank processes for information sharing. For example, independent evaluation reports are shared with stakeholders both within the Bank and in RMCs, and the Bank Group's ISS requires that monitoring reports be made publicly available. The majority of respondents in the Partner Survey rated AfDB's performance as "excellent", "very good" or "fairly good" against the statement that the AfDB "shares key information (analysis, budgeting, management, results) with partners on an ongoing basis" (see Figure 3). There is no documentary evidence on the extent to which these sharing processes are being systematically followed with project partners or independent verification of the nature and frequency of information shared.

Clear policies and standards to ensure procedures for accountability to beneficiaries: The AfDB has policies and standards in place for ensuring clear procedures for accountability to beneficiaries. However, its 2014-18 Group Governance Strategic Framework and Action Plan suggests that while the policies are in place, the accountability mechanisms remain weak due to the Bank often working in contexts where there is a lack of capacity and poor demand-side governance on the beneficiary side. The Bank has an Independent Review Mechanism (IRM). The IRM's mandate is to provide people adversely affected by a project financed by the Bank with an independent mechanism through which they can request that the AfDB comply with its own policies and procedures. The IRM intervenes when people or communities affected submit a complaint. In this way, the IRM can be considered as a recourse instrument for project-affected people who have previously been unable to resolve their problems with the AfDB's management.

Intent and measures set out for mutual assessments of progress with partners, but inconsistent practice: AfDB operations guidance and policies set out measures for promoting synergies with partners through mutual assessments of progress. To this end, the Country Portfolio Performance Reviews (CPPRs) are key, as they constitute a holistic assessment of the Bank's operations in a particular country. CPPRs are conducted in a participatory manner, drawing together findings from stakeholder consultations, desk reviews, visits to project sites and discussions with executing agencies. They encompass public and private sector projects, regional operations, and economic and sector work, identifying patterns of performance across the portfolio and opportunities to strengthen the Bank's engagement. Partner Survey responses mostly rated AfDB's performance as "excellent", "very good" or "fairly good" against two statements: that it "conducts mutual assessments of progress in the country with national/regional partners" and that it "participates in joint evaluations at the country/regional level" (see Figure 3). However, evidence from the 2014 Energy Development Effectiveness Review suggests that there is scope to include stakeholders to a greater extent in assessments of progress and also to share findings and evaluation work with partners more systematically. Evaluation reports are shared with internal and external stakeholders once finalised, so they would be accessible to partners at that stage.

Knowledge base increasingly deployed in support of AfDB engagement: The AfDB is playing an important role as a knowledge broker for the African continent and plays a key and trusted role as a convenor for policy dialogue. The Partner Survey found favourable responses regarding the quality of the Bank's inputs into policy dialogue. Within the AfDB the knowledge generation activities are led by the

Development Research Department's (EDRE). The Bank produces a number of flagship publications every year including the African Economic Outlook (working with UNDP, OECD and others), which is closely reviewed by RMCs. The peer-reviewed journal, *African Development Review*, and a working paper series provide quick access to the ongoing work of the Development Research Department (EDRE). The Bank also undertakes and publishes thematic research including a five-year collaborative project on industrial strategy undertaken with the Brookings Institution and the United Nations. In an example of the positive influence of AfDB research at the country level, the Ethiopian Government stepped up tax regulation after the AfDB conducted thorough research into the extent of tax avoidance. The AfDB is now recognised as one of the top 20 think-tanks for Africa. Staff recognise that there are still areas where the Bank could do more on knowledge work to support programming at the sector level. The new reforms are designed to redress the weaknesses identified in this exercise.

Figure 3: Partner Survey Analysis – Relationship Management
 An illustration of aggregated partner views from across the countries



PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results, as well as the use of performance information including evaluation and lesson learning

Performance management: The leadership of the AfDB has strengthened its engagement to embed a results-based management (RBM) approach across the Bank. Positive developments in a number of related areas include a stronger results orientation to monitoring and evaluation practice and improvements in the use of results-based targets. Much of this remains a work in progress. Key challenges are embedding programme logic in country strategies, the consistent generation of high-quality performance data and the use of performance data in decision making. The AfDB recognises these challenges and a number of initiatives are underway as part of continuing efforts to build a stronger RBM culture. The extent to which this cultural shift is being achieved has not been independently assessed. The AfDB has a mature, independent evaluation function. Evaluation coverage is being expanded and effective measures have been or are being taken to address previously identified shortcomings in the quality of evaluations. A clear system is in place to identify poorly performing interventions. Steps are being taken to ensure an improved time-bound response and follow-up to evaluation reports, and there is a strong organisational response to improve the uptake of lessons learned from evaluations.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
KPI 7: Strong and transparent results focus explicitly geared to function			
KPI 8: Evidence-based planning and programming applied			

KPI 7: Strong and transparent results focus explicitly geared to function

AfDB's performance against this KPI is rated as **satisfactory**.

Strengthening engagement of leadership on embedding a results-based management approach: Key corporate documents express the explicit commitment by management to develop an organisation-wide focus on results-based management (RBM). The Partner Survey response shows that partners recognise this commitment. The Board in 2014 approved the 2013-16 One Bank Results Measurement Framework (RMF) specifically to underscore the importance of managing for results and to provide the framework for this. The RMF is updated and redesigned as and when needed, for example to better reflect priorities under the new business model and to track performance on delivering the High 5s. The RMF document notes the Bank's reinforcement of tools, processes and systems to underpin the RMF. Guidance to staff, such as the Operations Manual, requires that tools such as results-based logical frameworks (RLFs), effective monitoring and evaluation, and project completion reports are used in order to support RBM (see Box 2).

The Bank's flagship results report, the Annual Development Effectiveness Review (ADER), is structured around the AfDB Results Measurement Framework (RMF) and helps demonstrate how the institution's operations impact development effectiveness in the RMCs (see Box 2). While the ADER does indeed

Box 2: The Results Measurement Framework

The Results Measurement Framework (RMF) tracks around 100 performance indicators organised into four interconnected levels. Level 1 is development progress in Africa; Level 2 is the Bank's contribution to development in Africa; Level 3 is operational performance; and Level 4 is organisational efficiency. The sources of data include Bank and international

data for Level 1. Level 2 data is an aggregation of data from project completion reports (PCRs). For Levels 3 and 4 data are collected within the Bank's internal data systems. The quality of the portfolio is the proxy for the probability of results, providing the link from the AfDB's portfolio to level 1 results of the RMF.

report on a number of indicators at different levels of the results chain, the evaluation of the GCI, ADF-12 and ADF-13 found that “[b]oth Bank management and the Board, and as a result staff, are focused on delivery of outputs, with less attention paid to following through on ensuring implementation and therefore securing intended outcomes”.

The Delivery and Performance Management Office (COPM), was established in 2014, and is deliberately situated very close to the Board and the Presidency order to better support the results focus of senior management including through the preparation of the Executive Dashboard and the Portfolio Flashlight Report. These provide early warning on delivery slippage or poor performance, and propose corrective measures. Staff report that they now feel higher levels of engagement from the Bank leadership in relation to any reporting on performance and results. For example, when a new performance report is circulated, relevant regional directors will send follow-up e-mails to highlight steps needed to act on the findings. There is also some independent evidence that monitoring and evaluation practices are improving to be more attuned to results, although no overall evaluation has been conducted of the extent to which an RBM culture has been achieved. The evaluation of the administrative budget found that “[p]erformance monitoring has been reinforced by greater use of Key Performance Indicators (KPIs) throughout the institution, although there is further room to improve their quality. ... However, the Bank is still in the initial stages of making the shift to a data-driven performance management culture; KPIs and other reporting data are not actively used in making budgetary decisions”.

Weaknesses in results management frameworks: While results frameworks are in place and results-based tools complement performance-based decision-making processes across the programme cycle, there is still progress to be made. Country strategies do not all have a portfolio orientation and results are not firmly embedded in all aspects of the Bank's operations. Particular areas for improvements include integrating RBM considerations at the design stage; setting realistic targets with a focus on outcomes as well as outputs; and ensuring that information gathering allows analysis and reporting of AfDB's specific contribution to observed results. These issues have been acknowledged and efforts are being made to address them, but there are indications that it will require further enhancements of operational staff capacity on RBM. In 2015, the focus was on improving the quality of project data. The 2015 annual report noted that the AfDB further broadened its results culture by monitoring the quality and level of confidence in project rating through its readiness reviews, implementation progress and review reports, and project completion reports. Data were published quarterly in the Quality Assurance Dashboard and circulated to senior management and departments for follow-up action.

Continuing efforts to embed programme logic in country strategies: The One Bank Results Measurement Framework (RMF) 2013-16 and the AfDB Operations Manual stress the importance of ensuring that results targets are evidence-based and logical. Improvement is evident in the AfDB's use of results-based targets and quality programme logic. However, the theory of change and related assumptions between RMF Level 3 (operational performance) and Level 2 (the Bank's contribution to development in Africa)

are not yet systematically tested. Several independent assessments have indicated that there is room for continued improvement, highlighting inherent design weaknesses and the need to more deeply embed appropriate programme logic in country strategies, for example. Results targets may appear too ambitious, with indicators primarily focused on the output level and relying on a leap of faith to link them to observed changes at the country level. Targets and indicators could therefore be strengthened to provide a more robust outcome focus. These recognised challenges may be addressed further as the Bank's decentralisation continues, increasing the opportunity to test the evidence base for the assumptions made in country strategy programme logic. The new 2017-25 RMF is also being designed to adjust the Bank's monitoring to reflect the five priority areas under the High 5s. It will maintain the four-level structure of the current RMF, but the internal architecture will be redesigned to fit the new business model.

Monitoring systems that produce high quality or useful performance data remain a challenge:

The 2013-16 RMF provides plans for solid monitoring and evaluation (M&E) systems for the AfDB that have a strong performance and results-based orientation. However, independent evaluations have identified gaps in the Bank's M&E systems, with instances of weak indicators and/or data. This means that the monitoring systems are not as yet consistently producing high-quality or useful performance data. Management is responding to this. The Delivery and Performance Management Office (COPM) has developed several tools to aggregate and present monitoring data in a user-friendly format, with a priority being real-time performance operational data against delivery indicators. A key tool is the Executive Dashboard, which provides early warning signals, anticipates delivery slippages and allows corrective actions to be taken. The live display is also reported to motivate staff to keep updating project entries. The Portfolio Flashlight report is another tool that provides portfolio-level analysis and monthly reporting, ranking performance by country and sector. It is uploaded to the AfDB intranet, highlighting the top and bottom three performers for each country and sector and covering other aspects related to HR, risks, travel, etc. Relevant teams are required to develop turnaround plans and prioritise actions for those countries/sectors that are most critical. Quarterly, half-yearly and annual reporting from the Portfolio Flashlight report goes to the Board. The Quality Assurance and Results Department (ORQR) is responsible for results reporting, which is done through the ADER reports and with a results dashboard that was intended to be launched in late 2016.

Partial use of performance data in planning and decision making: Evidence from the Partner Survey indicates that performance in this area is strong (see Figure 4). Most respondents rated the AfDB's performance as "excellent", "very good" or "fairly good" against the statement that AfDB "insists on basing its guiding policy and strategy decisions for its work in the sub-region on the use of robust performance data". The documentary evidence available is fairly light, but there is some evidence that annual performance data is used to inform decision making for the following year through the processes set out in the 2013-16 RMF and the Operations Manual.

Nonetheless, evaluations have highlighted concerns about the degree to which results monitoring contributes to results management and decisions. Forthcoming additions such as the intended results dashboard suggest that the AfDB recognises this as a gap. The Executive Dashboard is intended to allow for anticipatory decision making in terms of actions required to maintain operational and corporate performance, but there is currently a lack of a similar system for results delivery.

KPI 8: Evidence-based planning and programming applied

The AfDB's performance against this KPI is rated as **highly satisfactory**.

A strong independent evaluation function: The AfDB's Independent Development Evaluation (IDEV) function has a clearly defined role reflected in the AfDB's corporate strategic documentation. The Bank's evaluation policy was revised in 2012. Since 1993, the evaluation office has reported directly to the Board to explicitly ensure its independence. The AfDB takes steps to self-assess the independent evaluation function to ensure that the function adds value. The last self-evaluation took place in 2013, and IDEV staff report that actions continue to be implemented to address the issues it raised. A peer review led by the heads of evaluation of the Inter-American Development Bank (IDB) and the European Bank for Reconstruction and Development (EBRD) was under way in late 2016. An external evaluation of the evaluation function is planned to take place in 2018.

Expanding and refocused coverage of evaluation activity: The work of the IDEV is covered by a three-year rolling work plan; the current work plan covers the 2016-19 period. The 2013-17 AfDB Independent Evaluation Strategy points to Bank efforts to use resources effectively to ensure sufficient coverage while also ensuring that learning is maximised. The review of the AfDB programme evaluation reporting for the period 2007-12 identified concerns and a need to expand the coverage and quality of the AfDB's evaluation function. The Bank has responded to these concerns and has significantly increased the evaluation coverage, delivering in 2015 the highest number of evaluations since the creation of the evaluation function. In addition to the 12 evaluations carried out in 2015, IDEV launched nine additional country strategies, two cluster evaluations, one sector evaluation and more than 200 project results assessments (PRAs). The PRA is a new tool developed to systematically collect reliable development results data. IDEV is also moving away from full stand-alone project evaluations and towards evaluating a representative sample and/or thematic clusters. For example, it has undertaken a thematic evaluation in the energy sector for the period 2000-14 and a cluster evaluation of rural electrification projects. The AfDB's coverage also includes corporate evaluations (e.g. the budget management system) and policy and strategy evaluations. IDEV has not routinely undertaken impact evaluations, but the AfDB reports pressure from donors in this regard. Two impact evaluations have now been completed and a commitment has been made to the Board to undertake at least one of these each year. The Partner Survey results show that stakeholders perceive the AfDB as performing well in terms of clarity of evaluation coverage and delivery of evaluations for country operations.

The PRA uses and builds on OECD DAC criteria and is used for project completion reports (PCRs or XSRs for private sector operations). This provides greater coverage than is possible with evaluations. Interviews with staff indicated that the learning that could be derived from the PCRs in the past was much more limited, than what is now available from PRAs. As there have also been quality issues, IDEV in 2016 began validating all PCRs, with 25% going through field validation. A comprehensive evaluation of development results (CEDR) was being completed in 2016 and will provide a theory-based synthesis evaluation of the last ten years of AfDB development results, including 14 country strategy evaluations, transport and energy thematic evaluations, and 175 PRAs.

Effective measures raising the quality of evaluations: In response to previously identified shortcomings in the quality of evaluations, including through IDEV self-evaluation (2012), the AfDB has taken a number of measures to ensure quality. These include creation of a peer review function; use of evaluation workshops to discuss preliminary findings with key stakeholders; publication of an evaluation manual; and use of a reference group for each evaluation to ensure factual correctness, provide additional contextualisation

and assist in developing recommendations. The use of workshops and evaluation reference groups means that there is now virtually no disagreement on the recommendations received from evaluators.

The IDEV has also organised training for operations staff on impact evaluations, and is setting up an accreditation programme for evaluators to work with IDEV. Specifically to address quality concerns, IDEV is ramping up its review and validation of PCRs, which are considered self-evaluations, to 100%. Of these, 25% are subject to field validation. This follows discrepancies between IDEV and self-evaluation ratings of project performance.

Uncertainties over the extent to which the evaluation evidence base feeds routinely into design of new interventions: The AfDB's evaluation strategy demonstrates the intent to draw upon evaluation recommendations when designing new interventions. The expressed reason for moving away from full stand-alone project evaluations and towards evaluating thematic clusters is specifically to generate more relevant and consolidated lessons for future project design. The Management Action Record System (MARS) tracks the response of the AfDB to IDEV evaluation recommendations. There are specific examples of the evidence base explicitly influencing new intervention designs. There is no evidence on how compliance is ensured. The ex-ante Additionality and Development Outcome Assessment (ADOA) for private sector operations does consider on what evidence the design was based, but this is a subjective assessment.

Clear system operating for the identification of poorly performing interventions: The AfDB has mechanisms in place to identify and provide corrective action to underperforming projects. These include deliberate improvements to the quality of project supervision, for example with an electronic supervision processing tool, and a system for tracking projects at risk. The COPM has several monitoring tools, although these report on delivery rather than results. The Executive Dashboard provides live information and early warning, so that slippages in delivery can be anticipated and corrective action taken. The Portfolio Flashlight Report provides a portfolio-level analysis that highlights the top and bottom performers by country and sector, which leads to the development of turnaround plans for the most critical. Evidence suggests that the mechanisms in place have worked in practice, for example with the cancellation of poorly performing projects and reallocation of funds. Evidence from the Partner Survey also indicates strong performance (see Figure 4). One evaluation reviewed, of the ADOA, identifies a need for earlier corrective action for underperforming private sector operations.

Steps being taken to ensure an improved time-bound response and follow-up to evaluation reports: The originating entity is responsible for providing management responses to evaluations, and has 60 days to respond. It is reported that on average, management responses which are reviewed by the Operations Committee and cleared by CODE take 66 calendar days. Following the introduction of Evaluation Reference Groups, few recommendations are rejected, so this is an unlikely cause of delay. IDEV data show that AfDB management has agreed with 93% of evaluation recommendations and partially agreed with the remaining 7% during the time that the Management Action Record System (MARS) has been active. Every evaluation management response is checked by the Operations Committee and sent on to the Senior Management Coordinating Committee (SMCC). Issues with the quality of the management response have been reported, and IDEV is pushing for more consistency on this.

MARS was introduced around 2013 to track actions to which the Bank committed in response to IDEV evaluation recommendations. The first report assessing MARS was due to be presented to the Board in September 2016, following delays in transferring the system to Abidjan. The AfDB management has ownership of MARS, so it is management's responsibility to update the system and undertake periodic

validations of compliance. Evidence from the Partner Survey indicates that performance in this area is strong. The majority of respondents rated AfDB's performance as "very good" or "fairly good" against the statement that the AfDB "follows up any evaluation recommendations systematically".

Strong organisational response to improve the uptake of lessons learned from evaluations: The AfDB has both clear intent and systems in place or in development, to support the uptake of lessons. Improving the uptake of lessons in practice continues to be a work in progress. Recognition across the Bank of the need to better integrate lesson learning in the design of interventions and programmes has resulted in the fairly recent development of various systems. These include a database of projects completed since 2000 with project completion reports, independent review notes, project performance evaluation reports, and lessons learned from project design and implementation; a newly created IDEV division which has responsibilities in knowledge management and learning, among others; a new evaluation manual; an evaluation knowledge management programme; and new guidelines for regional integration strategy papers (RISPs) to ensure that lessons from mid-term reviews of current RISPs inform future RISPs.

Specific products that bring together evaluative learning and thus facilitate its uptake are also under development. These include the lessons learned database, the annual development effectiveness review (ADER), the comprehensive evaluation of development results (CEDR) and thematic evaluations. To facilitate lesson learning from the Integrated Safeguards System (ISS), four years of audit reports are being compiled into results to disseminate as learning points. The lessons learned are integrated into the ISS's capacity-building approach. IDEV also has a system, now two years old, of communicating lessons learned from other multilateral development banks to its operational teams.

Some direct evidence of the application of lessons has been observed. For example, the AfDB's fragile states evaluation learning specifically led to the creation of a new committee, and lessons from the current (2016) evaluation on energy were used to inform the AfDB's new energy strategy. There are instances where lessons are learned but capacity issues continue to constrain the AfDB's ability to immediately address the problem. These issues include, for example, weak results-based management, a recurrent issue often highlighted by evaluations that note weak target setting and inadequate results monitoring in project designs.

Figure 4: Partner Survey Analysis – Performance Management
 An illustration of aggregated partner views from across the countries



Organisational Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
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PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

KPI 1: Organisational architecture and financial framework	MI 1.1	MI 1.2	MI 1.3	MI 1.4
KPI 2: Implementation of cross-cutting issues	MI 2.1	MI 2.2	MI 2.3	

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

KPI 3: Operating model and human/financial resources	MI 3.1	MI 3.2	MI 3.3	MI 3.4		
KPI 4: Financial transparency/ accountability	MI 4.1	MI 4.2	MI 4.3	MI 4.4	MI 4.5	MI 4.6

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Planning and tools support relevance and agility	MI 5.1	MI 5.2	MI 5.3	MI 5.4	MI 5.5	MI 5.6	MI 5.7		
KPI 6: Leveraging/ensuring catalytic use of resources	MI 6.1	MI 6.2	MI 6.3	MI 6.4	MI 6.5	MI 6.6	MI 6.7	MI 6.8	MI 6.9

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: Strong and transparent results focus	MI 7.1	MI 7.2	MI 7.3	MI 7.4	MI 7.5		
KPI 8: Evidence-based planning and programming	MI 8.1	MI 8.2	MI 8.3	MI 8.4	MI 8.5	MI 8.6	MI 8.7

2.2 Development effectiveness

PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

Results: The AfDB is effective in delivering development results. Its demonstrated ability to contribute to results of strategic value within partner-led development is of particular note, with AfDB interventions contributing to the realisation of national development goals and objectives.

However, challenges remain: first, in terms of achieving consistent performance on results, and second in terms of determining the nature of the outcome-level results that the Bank should aim for and achieve, given its resources and positioning. Similarly, the AfDB has made significant progress in implementing its commitment to cross cutting issues, but that commitment has yet to be translated into results at scale in gender and other strategic agendas such as climate change. The Bank has become more responsive to the needs and priorities of target groups in fragile situations. More widely, it is delivering results reasonably efficiently, and has improved the timeliness of operations. There is a mixed picture of the likelihood that benefits will be sustained after country programme completion. The AfDB's way of staying engaged at a country level is a key asset for achieving results in an efficient way.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
KPI 9: Achievement of development and humanitarian objectives and results			
KPI 10: Relevance of interventions to needs and priorities of partner countries and beneficiaries			
KPI 11: Results delivered efficiently			
KPI 12: Sustainability of results			

KPI 9: Achievement of development and humanitarian objectives and results

The AfDB's performance against this KPI is rated as **satisfactory**.

Clear ability to deliver results but yet to consistently perform at a high level: The Bank largely meets or exceeds its development objectives against its results measurement framework. This view is supported in internal reviews of country performance that found many of AfDB's projects performed well. Strong strategic achievement is evident, with the Bank meeting all the transition management support objectives set out in its current strategy. The AfDB has met or exceeded the majority of its delivery indicators for the period 2013-15.

Nevertheless, independent evaluations and internal reviews highlight some concerns including in the programming areas of energy and access to finance in rural areas. These also note mixed performance in the private sector. For example, a private equity investments evaluation reported that “the Bank’s support to private sector development was limited and below initial expectations, although the few private sector operations funded were largely effective and fully viable”. An independent evaluation of the Bank’s Additionality and Development Outcomes Assessment for private sector operations also noted that the AfDB’s development outcome ratings are lower than what should be acceptable, given the Bank’s institutional objectives. And, as previously noted, the evaluation of GCI IV, ADF-12 and ADF-13 commitments also found that there is too much attention to delivery of outputs, with less attention paid to following through on ensuring implementation and therefore securing intended outcomes.

In terms of realising benefits for target groups, the evidence suggests that attainment in some areas is below expectations. The Bank’s performance was judged positively in terms of private sector support and helping to meet the demand of small borrowers and microfinance institutions. The Bank met some of the 2013-15 delivery indicators in the areas of creating or improving access to water and education, but it fell short on indicators related to, among others, access to health services and vocational training.

Contributes to results of strategic value within partner-led development: There are clear examples of the AfDB supporting significant changes in national policy and capacity development for national authorities through an effective engagement based on the delivery of valued analytical outputs. Such cases demonstrate a clear understanding within the Bank of how to effect change in national development agendas and processes.

Commitment to gender equality still a work in progress in terms of achieving results: The AfDB’s interventions are helping to improve gender equality and the empowerment of women, with 78% of Bank projects recording satisfactory gender equality outcomes. Internal documentation indicates that more than half of the AfDB’s public sector projects have reported gender equality results; these signal significant progress. However limitations remain. For example, in Ethiopia and Tanzania the majority of the Bank’s interventions reportedly did not integrate inclusiveness issues satisfactorily. The Bank has good and improved gender analysis, especially at the project level, but country evaluations have found that the Bank has struggled to consistently translate this into concrete results. A lack of gender-disaggregated indicators largely prevented the measurement of gender-related outcomes such as improved access to social services or the reduced burden for fetching water/fuelwood. An internal review noted that the Bank still needs to promote innovative solutions to enable women to be more active in business and more engaged in the economic, social and institutional areas of public life. In practice, the AfDB’s work is not sufficiently inclusive and it is not as yet delivering commensurate benefits, in terms of what is expected, towards women’s empowerment and gender equality. There are positive trends on improvement. The 2015 ADER report indicated that in 2014 the proportion of new projects with gender-informed design was 89%, compared to a target of 83%, while 78% of projects had satisfactory gender-equality outcomes, more than meeting the target of 71%. However the report also acknowledged that this is a complex area and the AfDB still had some way to go to ensure a focus on gender equality throughout the portfolio.

Limited scale of activity on environment sustainability and climate change: There is a reasonable body of evidence of positive performance in the AfDB’s efforts to improve environmental sustainability and help tackle the effects of climate change. The AfDB’s climate change action plan sets out performance targets for investments in different sectors, and a mid-term review provided evidence of good performance in meeting its objectives. The 2015 reports that the Bank has provided climate-related support to eight countries and co-financed 20 projects with international climate funds. Three-quarters of new projects

now have climate-informed design, exceeding the 65% share in 2012 but falling short of the target of 90%. These projects use the Climate Safeguard System to identify climate risks and options for adaptation. Although the number of proactive interventions (e.g. supporting the transition to green growth) remains relatively limited, this is now changing, particularly in the field of renewable energy. However, the few concrete interventions in this field have either just been initiated or are still in the pipeline and consequently no results can be reported. At the project level, environmental issues have been generally considered only in relation to the required safeguards. The Bank does not routinely assess ex-post climate relevant outcomes.

High-level macro view on assessing results on good governance: The AfDB assesses its overall progress in promoting better governance and accountability by drawing on a Country Policy and Institutional Assessment score for each country. By comparing these scores before and after the AfDB's projects, the Bank can gauge whether these have a positive influence. The 2015 ADER reported that the AfDB judged that it has achieved its strongest results in the areas of improving the quality of public administration and improving procurement systems. This review also outlined credible results on budgeting and financial management and on public sector transparency, accountability, and corruption mitigation. The Bank has been less successful in helping countries improve their competitive environment. The IDEV's Tanzania Country Report found that the magnitude of the impact of the support in governance areas was reduced by shortcomings in the quality of policy dialogue. Reduced ownership on the part of the government of Tanzania, combined with a sometimes complex and cumbersome performance assessment framework process, hindered a more effective dialogue on reform.

KPI 10: Relevance of interventions to needs and priorities of partner countries and beneficiaries

The AfDB's performance against this KPI is rated as **highly satisfactory**.

Increasing responsiveness to the needs/priorities of target groups in fragile situations: The Bank's new approach to fragile situations is leading to quicker, more responsive disbursements to eligible low-income countries, suggesting increased flexibility to meet their needs. A specific example of the Bank responding quickly and effectively to need was the response to the Ebola crisis and the approval of USD 60 million in urgent funding to help local health systems respond to that crisis. This emergency funding helped break the transmission chain and support the response programmes of the three Ebola-affected countries. The AfDB then approved a three-year, USD 150-million project to address some of the deficits in national health systems exposed by the crisis. However, in general specific target groups are not always clearly identified and beneficiaries' needs are not always thoroughly documented.

Interventions contribute to the realisation of national development goals and objectives: Positive performance is seen in specific AfDB initiatives, for example in the area of road transport in Tanzania where the Bank's financial support was considered essential to improving a large proportion of the country's network (a key national development issue) and led to better outcomes for communities. Overall the evidence indicates that the Bank's work strongly aligns with successive national development strategies and that the AfDB is seen as a dependable partner to national governments. In this respect the Bank is generally able to deliver its commitments as part of a coherent response to identified problems, and in doing so it meets the different targets clearly set out in the AfDB's Development Effectiveness Framework. However evidence from one independent country evaluation points to fragmentation of support among different sub-sectors hindering the achievement of a critical mass of outcomes in any one of those sub-sectors.

KPI 11: Results delivered efficiently

The AfDB's performance against this KPI is rated as **satisfactory**.

Efficient disbursement through use of country systems and predictable disbursements, but still areas for improvement: Channelling funds through a government's own systems is known to be more efficient in terms of transaction costs and capacity strengthening. The 2015 ADER stressed that this reduces costs, and puts the AfDB in a better position to help strengthen those systems. The Bank reported achieving 75% predictable disbursements, which was close to its target of 76%. In addition to aligning with national systems, the AfDB has also increased its field presence and reduced fragmentation, measures that are designed to increase the Bank's efficiency in delivering results.

Administrative challenges to efficiency remain. These include a lack of clear guidelines for staff preparing policy and strategy documents, i.e. developing the Bank's regulatory framework. A recent evaluation found that "that the biggest challenge is ensuring effective implementation of the policies and strategies in order to drive the Bank's activities and operations." The evaluation also stated that "[s]hortfalls 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".

The absence of a consistent technical quality assurance process, which could be used to inform the internal management and staff review, has also been noted. In some cases inadequate planning and institutional space to prepare the policy and strategy exacerbate these problems, and in some cases the problems arise from overambitious timelines for complex tasks. When strategy or policy preparation has been efficient, this has been the result of effective senior and middle management support or even championing of excellent staff work, as well as of successful customisation.

Other specific gaps in efficiency include an absence of solid databases and the slow preparation of Country Strategic Papers. Overall challenges highlighted include challenges with respect to team composition and underlying incentives that do not systematically foster teamwork, and generic problems and specific project implementation difficulties. Overall, at the country level, several examples were noted where poor operational efficiency characterised the Bank's assistance. Independent Country Evaluations have highlighted concerns regarding operational and institutional efficiency.

Some improvements achieved in delivering effective and timely operations: Internal documents point to improved performance in timely disbursements and overall timeliness of the portfolio. The 2015 ADER reported that the time to first disbursement, in months, improved to 10.6 months in 2014 from 13 months in 2012 for AfDB projects, and to 10 months from 11 months for ADF, which operates in a more difficult environment. Furthermore, approval time for operations was slightly reduced for AfDB operations but increased slightly for ADF. However, independent sources suggest that in practice there is lag time in programme implementation and lack of progress in key areas. This is a concern that was echoed during the mid-term review of the ADF-13, in which ADF Deputies raised as major concerns the lower loan and grant disbursement rates and the slow uptake of innovative financing. However, such delays are sometimes due to delays outside the control of the Bank, such as parliamentary ratification, slow recruitment of experts and the need to secure loan approvals from other financiers.

The evaluation of GCI IV, ADF-12 and ADF-13 commitments highlighted a general problem of unrealistic timelines. It was noted that target dates for delivery are unrealistic for about one-third of the commitments. Factors contributing to delays include the complexity of commitments, lack of planning for timely delivery, and inadequate institutional resources and co-ordination.

KPI 12: Sustainability of results

The AfDB's performance against this KPI is rated as **satisfactory**.

Mixed picture of sustainability of benefits after programme completion: Independent evaluations of the AfDB that assess sustainability tend to focus on infrastructure. There is evidence of positive performance in projects assessed as having ensured sufficient technical capacity to maintain installed infrastructure. There is also evidence of poor performance in other projects due to unfinished infrastructure and poor maintenance capacity. In some cases, it is evident that contextual factors caused significant risks to sustainability. The evaluations also make it clear that contextual factors often add to the challenges of ensuring sustainability, such as changes in the responsibilities of ministries.

Evaluations show evidence of positive performance with regard to the AfDB's efforts to build national capacity for sustainability. Reviews and independent evaluations provide examples of interventions in which capacity building was specifically incorporated into intervention design for sustainability purposes. Some success in capacity building is demonstrated in cases where increased knowledge and technical skills among the country team and locally engaged staff were passed on to national counterparts. However, independent evaluations also identify examples of unmet needs for national capacity, such as a need for monitoring and evaluation capacity building within countries to improve development effectiveness in the longer term. Some headquarters staff expressed the view that while some Bank operations include budget lines for capacity development at the design stage, these may not always end up being used for capacity development during implementation. The 2014 IDEV independent evaluation of the AfDB's operational procurement policies and practices identifies concern around limited results from capacity building efforts within Bank initiatives in public procurement reform. Overall, the 2015 ADER found that completed operations with sustainable outcomes was at 82% for AfDB and 77% for ADF, meaning they were within 90% of achieving the target (this was a regression for ADF, which in 2012 had 85% with sustainable outcomes).

Documents note value of staying engaged: There is limited documented evidence around the extent to which the Bank is a positive contributor to the enabling environment for development. The AfDB's Annual Development Effectiveness Review states that a key principle underlying the Bank's work is the importance of staying engaged. This is in itself an important ingredient in the process of building a more enabling environment for development and it is one that plays to the Bank's strengths. Even in deteriorating situations the Transition Support Facility (formerly the Fragile States Facility) continues to play a vital role, providing additional resources and a flexible instrument with which to engage in fragile environments. The Bank's engagement with the private sector and its budget support operations also have strong impacts on the enabling environment for development.

Development Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
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PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Achievement of results	MI 9.1	MI 9.2	MI 9.3	MI 9.4	MI 9.5	MI 9.6
KPI 10: Relevance of interventions	MI 10.1	MI 10.2	MI 10.3			
KPI 11: Results delivered efficiently	MI 11.1	MI 11.2				
KPI 12: Sustainability of results	MI 12.1	MI 12.2	MI 12.3			



3. CONCLUSIONS

3.1 CURRENT STANDING OF THE ORGANISATION AGAINST REQUIREMENTS OF AN EFFECTIVE MULTILATERAL ORGANISATION

This section brings together the findings of the analysis against the micro-indicators and Key Performance Indicators (KPIs) of the MOPAN assessment methodology to report against MOPAN's understanding of the current requirements of an effective multilateral organisation. These are reflected in four framing questions corresponding to relevance, efficiency, effectiveness and impact/ sustainability.

Illustrative Quotes from Partner Survey on overall performance

"I think AfDB truly is the 'trusted partner' for African governments. I think they listen more intently and trust AfDB more than the advice they receive from the WB and IMF. That said, the Bank doesn't utilise this status as much as they could. I would like to see them do more to push governments in the right direction."

"From our perspective, its greatest strength is mainly transparency; it is very open with sharing its financial data."

"There is room for improvement in attaining a higher degree of operational efficiency at the project level in terms of implementation at country level and to diminish project preparation time."

"It seems to lack resources to drive work forward at the pace required; the Trust Fund will be a welcome addition but it has been a long time in the making."

RELEVANCE

Does the AfDB have sufficient understanding of the needs and demands it faces in the present, and may face in the future?

The AfDB has a very clear mandate for the development of Africa. It occupies a unique position in this context: it is as a multilateral organisation that is principally owned by the regional member countries (RMCs), its President is always an African national, and the majority of its staff are from the region. These attributes provide a platform of trust that the Bank capitalises on to maximum effect through partnerships with RMCs and with the wider donor and investment community.

The AfDB is consistently well aligned to the needs and priorities of the RMCs and increasingly to the wider global challenges (e.g. climate change) that have an impact on the path of Africa's development. Over the last two years it has adjusted its engagement approach to be more in step with the new dynamic of Africa. More recently, the High 5s also reflect a bigger-picture view and the application of transformative approaches – more coherent and less fragmented – that actively build on learning. The Jobs in Africa agenda is an example of this. Initially the Bank worked with RMCs on national job strategies, but a fragmented approach and limited institutional capacity resulted in limited progress. The new AfDB approach focuses on investing in existing opportunities to unlock potential. It looks at jobs in a more transformational way that recognises how jobs are a key political issue in fragile states and are linked to outmigration from Africa.

Another example is agriculture, where the AfDB is now better positioned and equipped to respond to a demand-driven approach from RMCs on the transformation of agriculture. This involves Bank investments positioning and scaling in a way that seeks bigger reach in a particular locality through system change to achieve impact. The approach recognises the need to go "beyond ODA" and the key role of the AfDB's innovative financing mechanisms as a catalyst for this.

The AfDB is also demonstrating its ability to remain relevant through the innovation it is bringing in the financial area, and in particular with its private sector engagement. The Bank's engagement includes new initiatives, such as loans and technical assistance to Tier 2 and Tier 3 banks in the region so they on-lend to small and medium-sized enterprises (SMEs) to help in energy efficiency – an approach that recognises the niche space in which the AfDB can play a leveraging role. The AfDB's efforts to encourage banks to take on more risk include new thinking on using local savings (bond markets) to fund infrastructure projects. Given the informality of financial systems in the region, this is recognised as particularly challenging. Therefore the AfDB is now working more collaboratively with the World Bank on complementary moves to strengthen financial governance in RMCs. More broadly in the finance area, the AfDB is trying to make more innovative use of the financial instruments at its disposal in order to be more relevant to the conditions of different contexts and sectors.

The above examples show how the Bank continuously scans the horizon and understands the global changes that have implications for the continent, and hence for the Bank as one of the major financiers and development partners. The Bank has demonstrated the ability to adjust its corporate structure, business model, policies and strategies, and approaches to meet the challenges of a constantly changing global context. Its significant efforts towards decentralisation have also better positioned it to understand the needs and demands of RMCs, and thus where the Bank may best add value and fully use its comparative advantage. The operationalisation of the High 5s strategy will be an immediate test of the extent to which this improved positioning results in a further sharpening of programming and better delivery of timely results.

In terms of relevance as a Bank, i.e. the Bank's financial competitiveness, the AfDB has taken a number of successful steps to use its financial assets. These include the pricing of products, credit policy, cancellation policy and smarter use of its capital to leverage the resources of others.

One area needs more attention, however. Insufficient or weak capacity is a fundamental issue for many of the Bank's RMCs and programmes. The AfDB has struggled to be relevant and to use its assets and comparative advantage to maximum effect on delivery of the Bank's 2011 strategy on capacity development. The establishment of the African Development Institute (ADI) within the overall Bank structure was intended to spearhead an approach by which all Bank operations would contribute to the delivery of the Capacity Development Strategy. In practice the strategy has yet to find a firm footing within the AfDB's operational approach; the work undertaken by ADI is largely focused on training with very little institutional support on the larger capacity question or on co-operation with other Bank departments for the delivery of training. The envisaged role of the ADI as the focal point for capacity development in the Bank has not been realised and a lack of clear instruments contributes to the concern that the Bank does not have the corporate structure, tools and resources needed to ensure strong performance on this fundamental aspect of development.

EFFICIENCY

Is the AfDB using its assets and comparative advantages to maximum effect in the present, and is it prepared for the future?

A major achievement in 2013-16 in terms of overall efficiency and resilience has been the Bank's well-managed return of its headquarters to Abidjan from Tunis, while concurrently generating USD 9 billion of new commitments by maintaining a level of service to clients. The move was complex and difficult: for 70% of the staff, it was "a move from Tunis, not a return to Abidjan". The Bank demonstrated clear and integrated thinking and an approach to on-board staff with the move. This approach included adequate

support mechanisms and the use of IT automated systems that provided a single window for staff on everything they needed to know and navigate throughout the relocation process.

More broadly, the Bank is now working at increased levels of commitments but with the same staff levels. The AfDB's proportion of lending to fragile states and weak-capacity partner government settings is higher than other multilateral development banks (MDBs). There is a growing understanding across the AfDB's operations of what measures can be applied to speed up disbursement given the varying operating conditions. The accelerated decentralisation is likely to have a positive impact on disbursement levels.

As a result of business streamlining measures, the Bank has made good progress in keeping costs at reasonable levels and achieved the targets for three out of four value-for-money indicators in 2015. These include reducing the cost of preparing a lending project to UA 71 000, from UA 74 000 in 2012, and decreasing the cost of supporting project implementation to UA 14 000 from UA 21 000 – well below the target of UA 20 000. The AfDB is leading the joint effort by multilateral development banks to develop a new conceptual framework to provide a common approach to value for money. This work will determine the actions needed to ensure that each development bank maximises value for money and has systems in place to track its progress.

In terms of use of staff assets, the AfDB has moved forward in a deliberate and coherent way with the implementation of the different elements of its People Strategy. There are a number of operational areas in the AfDB where getting the right competencies in the right places remains a critical challenge. This includes ensuring that there are staff with the right soft skills to work in sensitive and/or difficult policy spaces, thereby allowing the AfDB to be able to play to maximum effect an honest broker role — a role that is particularly important in a regional programme context. In terms of its approach and the nature of its investment portfolio, the AfDB is moving in a direction that places greater emphasis on how the staff can work effectively and efficiently as a one-team operation.

EFFECTIVENESS

Are the AfDB's systems, planning and operations fit for purpose? Are they geared in terms of operations to deliver on their mandate?

In April 2016, the Board identified and approved five internal foundations that a development bank with commercial aims needs in order to achieve the five big goals (the High 5s):

- Getting closer to clients, i.e. going further with the AfDB's decentralisation
- Recasting the role of headquarters to one of providing more support to regions, and establishing more regional centres
- Strengthening the performance culture through HR management including retaining the best people
- Streamlining the procedures (conception to launch/approvals versus disbursements)
- Improving financial performance.

The AfDB has achieved important improvements to key aspects of its systems, planning and operational processes, and many of the past and ongoing reform initiatives fully support the foundations highlighted by the Board; in this sense there is strong continuity to the transformative process of the Bank, much of which is about bringing aspects of the organisation in sync with the wider moves on decentralisation. The improvements of particular note include:

- The introduction of a new delegation of authority (DoA) matrix and recognising that further adjustments will need to be made including refinements to the business model in support of the High 5s.
- The budget reform and the move to the cost accounting system, which will also help to empower the country offices within the new business model.
- The upgrading of capabilities to work on fragile states including the upgrading to a new department within the AfDB and the introduction of new tools.
- The strengthening of procurement processes including the ability to work through Joint Mutual Reliance Agreements in co-financing arrangements with other MDBs and donors.
- The integration of a number of threads on safeguards into a comprehensive Integrated Safeguards System (ISS).

One area of the Bank's systems that is behind the curve in terms of improvements is communication. Initiatives are already underway to support a shift on internal communications including using intranet as a source of guidance for staff on external communications, establishing supplier contracts for communications tasks, and conducting internal training on communications. There is also recognition that a cultural shift is needed in how the Bank tells or animates its stories in external communications, including communicating its work to a wider audience. Some progress is being made, but not all the internal enablers are yet in place to initiate a grounded and systematic approach to external communications.

The AfDB is capable of moving to a different beat. The operating practices are increasingly geared to enabling the One Bank approach, with examples of cross-departmental work and complex work for delivery being completed in a reasonably seamless way. To continue this work, staff that are suitably skilled, incentivised and organised are needed. The AfDB recognises that this is still a work in progress, and a key issue going forward is the ability of the Bank to recruit the type of expertise and skill sets it requires. A related issue is how the Bank can use results-based staff contracts in ways that support strong team-based performance. There is still work to be done with respect to ensuring that the organisation is fully geared for a high-performance culture. For example, the re-framing of the KPIs behind an operationalisation of the High 5s strategy will need to address the concern that the current KPIs for the One Bank result are too department-specific and that, as these indicators cascade down through the organisation, the AfDB lacks a sufficiently strong set of incentives for the high level of performance required to work as a team.

IMPACT/SUSTAINABILITY

Is the AfDB delivering and demonstrating relevant and sustainable results in a cost-efficient way?

The AfDB is delivering relevant results and, critically, this includes instances of adding strategic value to partner-led development at the national level. The overall evidence base on the extent and nature of the results of the AfDB will be considerably enhanced by the comprehensive exercise looking at the Bank's development results, which was to be completed in 2016.

The evidence available indicates that the results being achieved by the AfDB are satisfactory but could be improved. In total, the results do not reflect the potential return, given the Bank's operational position as trusted partner at country and regional levels. The Bank's engagement with strategically important areas such as improving gender equality, response to climate change and promoting good governance is relatively small, as are the concomitant results it achieves in these areas.

The results achieved through the implementation of its strategy on regional integration – a key agenda for the Bank in the period of the current MOPAN assessment – have been limited over the period of review and have not matched the original expectations. This is an example of an area of the AfDB's work where the organisation to date has been unable to execute sufficiently clear thinking and deliberate steps; the Bank needs to strengthen its articulation of the business of regional integration and how it can be implemented across the Bank. Some progress has been made, but on the more straightforward aspects of engagement on regional integration. These include planning/scoping prioritisation exercises; partner engagement at the global and regional level such as with regional economic communities (RECs); project preparation; and provision of technical assistance to the regional centers of excellence. The harder aspects of the regional integration agenda such as the challenge of under-performing RECs, which are often labour-intensive for staff, have yet to be tackled. These include ensuring that aspects of regional integration are embedded from the start within investment projects, rather than being added in as subsequent soft components. A large number of projects within the Bank, estimated at 30% or more, involve at least two countries; within these projects the cross-country co-ordination aspect and the related aspects of policy and regulatory issues often prove to be the weak link in terms of results. The Bank has a comparative advantage in thinking and working these issues through in a cross-country setting, given the goodwill of national governments towards the Bank and the trust that RECs have in the Bank.

Action is being taken. In 2016, the Bank approved a total of USD 1.08 billion in multinational operations and systematically began to add soft interventions (policy reform, capacity building and technical support) to its operations. The Bank, in its efforts to make regional operations more effective, now works closely with a broad range of stakeholders – RECs, RMCs, the private sector, cross-border traders, local authorities, etc. – and includes interventions that promote integration in the design of projects. In transport operations, for example, the Bank is moving towards implementation of economic corridors, ensuring that its interventions include measures that promote the effective movement of goods and people across borders.

The AfDB is preparing for the "5 with 5" push, which is the High 5s with the five new internal foundations. It is also looking ahead to a significant scale-up of the Bank's work and an associated scale-up of the Bank's results. It is anticipated that much of this increase in results will come through a single investment operations approach in which everything is linked: investment operations, policy dialogue and knowledge activity, and with crowding in private sector financing. This will create a new set of challenges for the Bank in terms of delivering results in a cost-efficient way, and in more complex settings that have the potential for achieving greater impact. The AfDB can build on its strength as an organisation that is recognised for staying engaged with the development process in country and a proven resilience and ability to adjust to and adapt to changing circumstances.

3.2 THE PERFORMANCE JOURNEY OF THE ORGANISATION

The MOPAN 3.0 methodology has evolved significantly since the MOPAN assessment of AfDB in 2012. It is not therefore feasible to provide a direct comparison. Nonetheless it is possible, on the basis on the analysis presented here, to identify some areas of progression since 2012.

Table 2: Summary of strengths and areas for improvement from the MOPAN 2012 assessment

Strengths in 2012

- An organisational strategy that is based on a clear mandate and a demonstrated commitment to transparency, and strong alignment between Country Strategy Papers (CSPs) and national development plans
- Sound practices and processes in place for financial accountability, with strong external and internal audits that adhere to international standards and commendable policies and guidelines for combating fraud and corruption
- Use of performance-oriented programming, with clear evidence of how it uses the Performance Based Allocation system
- Independence of the Evaluation Unit (OPEV) and involvement of beneficiaries and clients in evaluations
- The updated results framework, its new reporting practices at the organisation-wide level through the Annual Development Effectiveness Review (ADER), and its organisation-wide reporting on key Paris Declaration performance indicators
- Progress towards output-level results in nine of the Bank's ten focus areas and in meeting most of its targets defined in the 2012 ADER

Areas for improvement in 2012

- Lack of compliance mechanisms around gender mainstreaming and need for better monitoring of results
- Linking organisation-wide results statements to higher-level outcomes or impacts and improving the consistency of Country Strategy Paper results frameworks in the formulation of results at outcome and output levels
- Establishing results-based budgeting as standard practice and improving the linkages between disbursements and results achieved
- Institutionalisation of performance management practices to fully instil a performance-based culture
- Delegation of authority to the country level
- Efficiency of the Bank's administrative procedures, its use of country systems, the extent to which it participates in joint missions, and the extent to which it provides financing through programme-based approaches
- Lack of a formal Evaluation Unit process for reviewing the quality of evaluations
- Reporting on its contributions to development outcomes including its contributions to higher-level results (outcome level) in its ten focus areas, its contribution to specific MDGs, and evidence of the Bank's contribution to countries' progress towards national goals

Since 2012, the AfDB evidently took action to address some of these areas identified for improvement while also maintaining its strengths. The period 2015-16 has seen a number of new tools either developed or under development, and lodged within ongoing reform processes such as decentralisation. These include:

- Accountability and performance management frameworks
- Country resilience and fragility assessment
- Borrower procurement assessment report
- Risk assessment
- Joint mutual reliance agreement (procurement aspect)
- Executive Dashboard.

The very significant 2015 independent evaluation of the General Capital Increase-VI and ADF-12 and ADF-13 commitments addresses the many change initiatives and the speed and direction of travel of the bank and concludes that “[i]n terms of recent developments and the direction of travel, the picture is more positive. Numerous recent developments indicate that despite initial problems and delays the Bank is moving in the right direction in all of the areas examined. For example, on people management, there have been a number of developments during 2014 which show a positive direction, even if progress was slower in the previous three years”.

This MOPAN assessment can echo that assessment. It finds overall that the position of the AfDB in 2016 reflects a clear sense of a positive and steady trajectory and momentum that consistently builds towards improved performance. The Bank demonstrates a continuity of purpose consistent with the Ten-Year Strategy and fine-tuning, sharpening and energising its work within this strategy. It is anticipated that the pace of internal change will need to quicken, given the increasing expectations of the RMCs and the ambitions that the Bank itself has set through the High 5s initiative. A critical next step is the re-engineering of Bank operations to deliver the High 5s and to enable its anticipated big push. This phase will need to move quickly, and will require staff to strategically focus on how to make the Bank an even higher performing organisation on all fronts, building from the platform already established through the effective implementation of much of the People Strategy, the decentralisation and other reform initiatives.

The AfDB is very conscious of the challenges and opportunities that it faces. It is confidently moving with the times and has an expectation of continuing to evolve the way it works. Its ability to continue to blend the characteristics of public and private sector client engagement into an effective work culture will be critical in this regard. However, it should also be recognised that the Bank works in a difficult environment, with a larger share of its RMCs affected by conflict or in arrears to the Bank than any other IFI. Comparisons with sister institutions therefore always should keep this in mind.

Table 3: Strengths identified in 2016**Strengths**

- **A clear long-term vision well aligned to the needs and priorities of RMCs and increasingly to wider global challenges** - The AfDB has a well-defined strategy in line with goals for the continent, supported by clear objectives and a clear articulation of its comparative advantage across different sectors. The Bank's active participation in national processes ensures maximum alignment and coherence between Bank strategies and country and regional priorities. The Bank occupies a unique position as the multilateral organisation that is principally owned by regional member countries and principally staffed by professionals from the region.
- **Healthy, dynamic and efficient financial framework** - The Bank has shown strong financial performance despite a challenging global economic environment and a complex relocation. During a well-managed return of the Bank's headquarters to Abidjan from Tunis in 2015-16, the Bank generated USD 9 billion of new commitments by maintaining a high level of service to clients. The AfDB's disbursement rates are a continuing challenge, and partly a reflection of the AfDB's comparatively higher proportion of lending into fragile states and weak-capacity partner governments than that of its sister organisations.
- **Resource mobilisation and priority setting closely aligned** - The core processes of resource mobilisation (the replenishments and GCI process) are also key policy and strategy setting processes and so ensure a close alignment between resources and strategic priorities. Specific attention is given to cross-cutting areas including fragile environments. The Bank's transparent processes include performance-based allocation and lending to private sector operations. The eligibility criteria of its private sector lending window reflect the Bank's aims of "leveraging additionality" and "delivering social benefits".
- **Continued move towards decentralisation and better delivery of country level results** - The Bank's new (2016) development and business delivery model is more decentralised, provides more autonomy to the five regional hubs and delegates authority to the five regional Director Generals (DGs) according to the new delegation of authority (DoA) matrix. More field offices are also being established, with the intention of requiring fewer field missions while offering better follow-up. The regional hubs are intended to empower the regions and countries, concentrating expertise and offering greater responsiveness to clients.
- **Comprehensive and high-standard Integrated Safeguards System ensures social and environmental standards** - The Integrated Safeguards System (ISS), which is well regarded by other multilateral development banks, ensures that all AfDB project documents are screened against criteria on gender, environment and climate change, with implementation and follow-up of mitigation measures undertaken where required. The more long-standing areas (e.g. gender and environment) now tend to be well embedded in project design, with design documents including specific sections on climate change, environment, gender and resettlement, and supported by the ISS process. For private sector operations, environment and gender are ADOA criteria. The readiness review for public sector operations also has environment, gender and climate change criteria.
- **Strong commitment to Busan Partnership principles including in challenging areas such as procurement** - The AfDB adheres to the principles of the Busan Partnership for effective development co-operation and uses country systems where possible and feasible. The Bank carefully considers the risks of using country systems, and builds capacity of national systems when required. The Bank takes a strong leadership role in donor co-ordination fora in Africa.
- **Clear independent evaluation function with increasing quality of evaluations** - IDEV is an independent evaluation function with a clearly defined role and comprehensive strategy. The scope of evaluations covers key areas and they contribute important lessons and strategic insights for the Bank. Recently focus has been on ensuring the quality of evaluations and better dissemination of lessons to ensure uptake.

Table 4: Areas identified for improvement/attention in 2016

Areas for improvement
<ul style="list-style-type: none"> ● Results-oriented and performance-based HR systems and policies remain work in progress - There is limited evidence on the details of performance-based HR systems and policies, which are intended to provide staff incentives and support the achievement of programme results. No clear evidence is available of how well they are working in practice and further work is required, for example on how results-based contracts for staff can help deliver strong team-based performance.
<ul style="list-style-type: none"> ● More consistent attention on good governance and increased resources for addressing cross-cutting issues - Compared to the other cross-cutting themes of gender, the environment and sustainable development, there is still progress to be made in terms of systematic approaches to integrate governance and fragility into project design. Some headquarters staff pointed to a need for greater resources to support analysis of cross-cutting issues, more generally including increasing the number of experts available to support operational teams. Commitments to cross-cutting issues at the design stage do not yet appear to systematically lead to results, and monitoring of gender and climate-relevant results is relatively limited.
<ul style="list-style-type: none"> ● Weaknesses in results management and budgeting frameworks - The AfDB's performance-based decision-making processes are complemented by results-based tools across the programme cycle, but there remain areas of weakness. Country strategies do not have a portfolio orientation across the board, for example; results are not firmly embedded in all aspects of the Bank's operations; RBM considerations could be better integrated at the design stage; targets often need to be more realistic with greater focus on outcomes as well as outputs; and information gathering (M&E systems) should be sufficient to allow analysis and reporting of the AfDB's specific contribution to observed results. There is limited clarity on the extent to which the performance evidence base feeds routinely into decision making and the design of new interventions.
<ul style="list-style-type: none"> ● Results on regional integration have been limited - The results achieved through the implementation of its strategy on regional integration – a key agenda for the Bank during the period of the current MOPAN assessment – have not matched expectations. This is an example of an area of the AfDB's work where the organisation has to date been unable to execute sufficiently clear thinking and coherent and deliberate steps.
<ul style="list-style-type: none"> ● Capacity analysis, capacity development and sustainability approaches need attention - While capacity analysis is a routine part of the Bank's operations, it is not yet fully developed or fully utilised. The AfDB has struggled on delivery of the 2011 strategy on capacity development, with the strategy not yet finding firm footing within the AfDB's operational approach. The envisaged role of the ADI as the focal point for capacity development in the Bank has not been realised. Evaluations suggest that sustainability has not always been adequately considered or addressed in the Bank's operations.



4. ANNEXES

1. Detailed scoring and rating on KPIs and MIs for AfDB
2. List of documents analysed for AfDB
3. Process map of the MOPAN 3.0 assessment of AfDB
4. Results of the MOPAN survey of partners of AfDB

Annex 1: Detailed scoring and rating on KPIs and MIs for AfDB

The Scoring and Rating was agreed by MOPAN members in May 2016.

Scoring

For KPIs 1-8: The approach **scores** each Micro Indicator per element, on the basis of the extent to which an organisation implements the element, on a range of 1-4. Thus:

Score per element	Descriptor
0	Element is not present
1	Element is present, but not implemented/implemented in zero cases
2	Element is partially implemented/implemented in some cases
3	Element is substantially implemented/implemented in majority of cases
4	Element is fully implemented/implemented in all cases

There is a small number of cases where for an element within an MI there is judged to be 'No Evidence' (NE). This means there is no basis on which to score the element. In such cases NE is viewed as neutral and is excluded from the calculation of the overall rating per MI.

For KPIs 9-12: An adapted version of the scoring system for the OECD DAC's Development Effectiveness Review is applied. This also **scores** each Micro Indicator on a range of 0-4. Specific descriptors are applied per score.

Score per	Descriptor
0	Not addressed
1	Highly unsatisfactory
2	Unsatisfactory
3	Satisfactory
4	Highly satisfactory

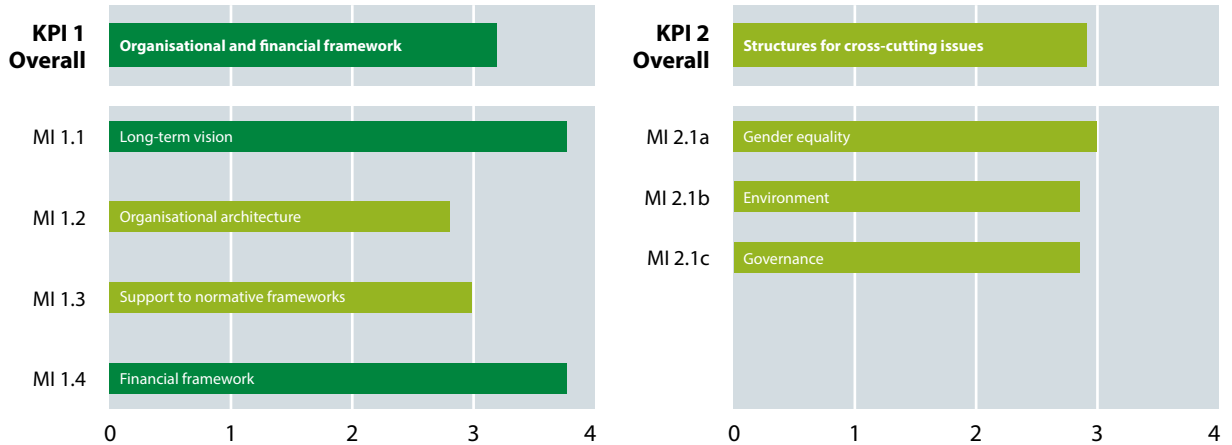
Rating

Taking the average of the constituent scores per element, an overall **rating** is then calculated per MI/KPI. The ratings scale applied is as follows:

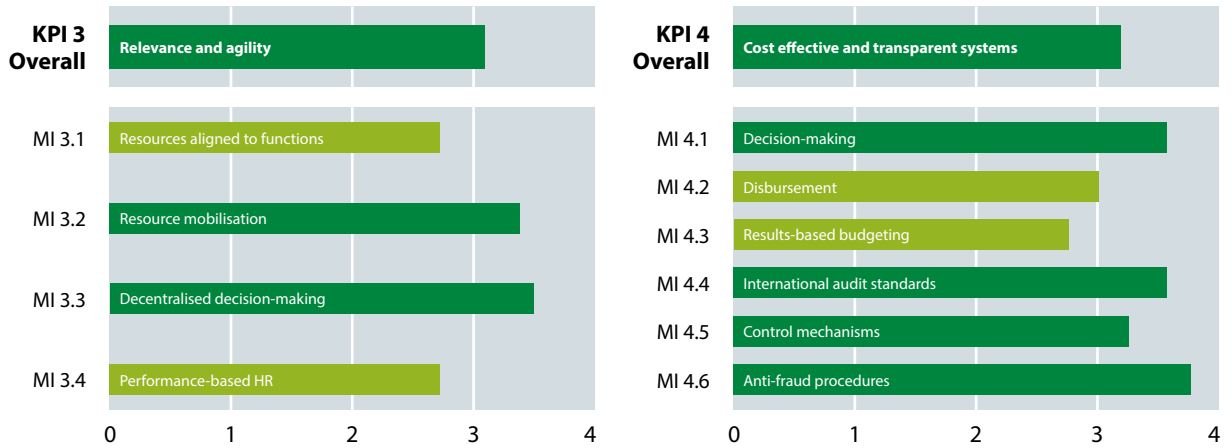
Rating	Descriptor
3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0-1	Highly unsatisfactory

MOPAN scoring summary

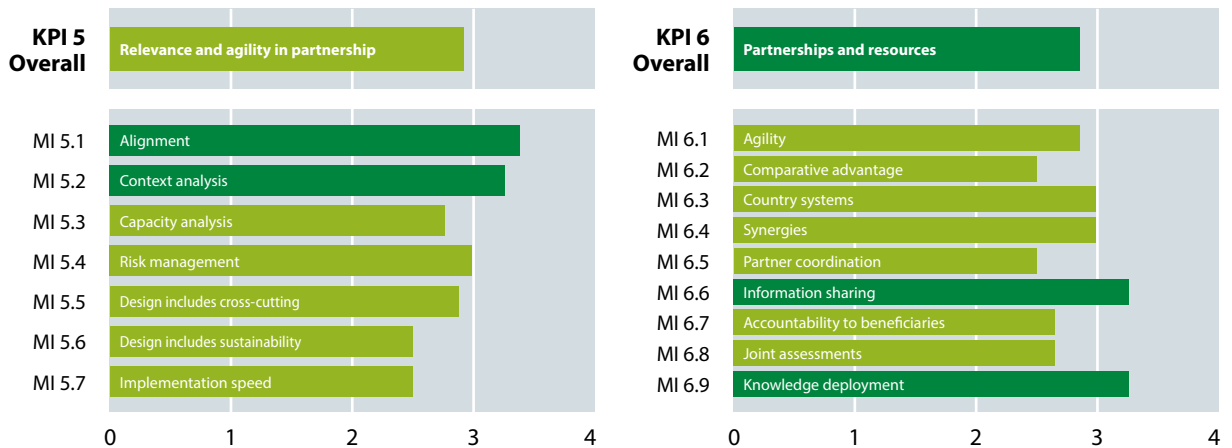
PERFORMANCE AREA: STRATEGIC MANAGEMENT



PERFORMANCE AREA: OPERATIONAL MANAGEMENT

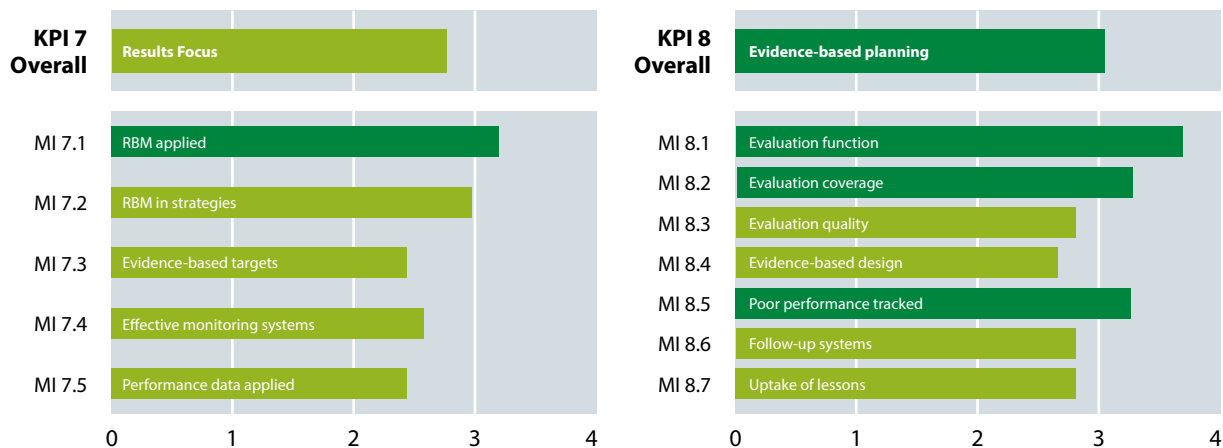


PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

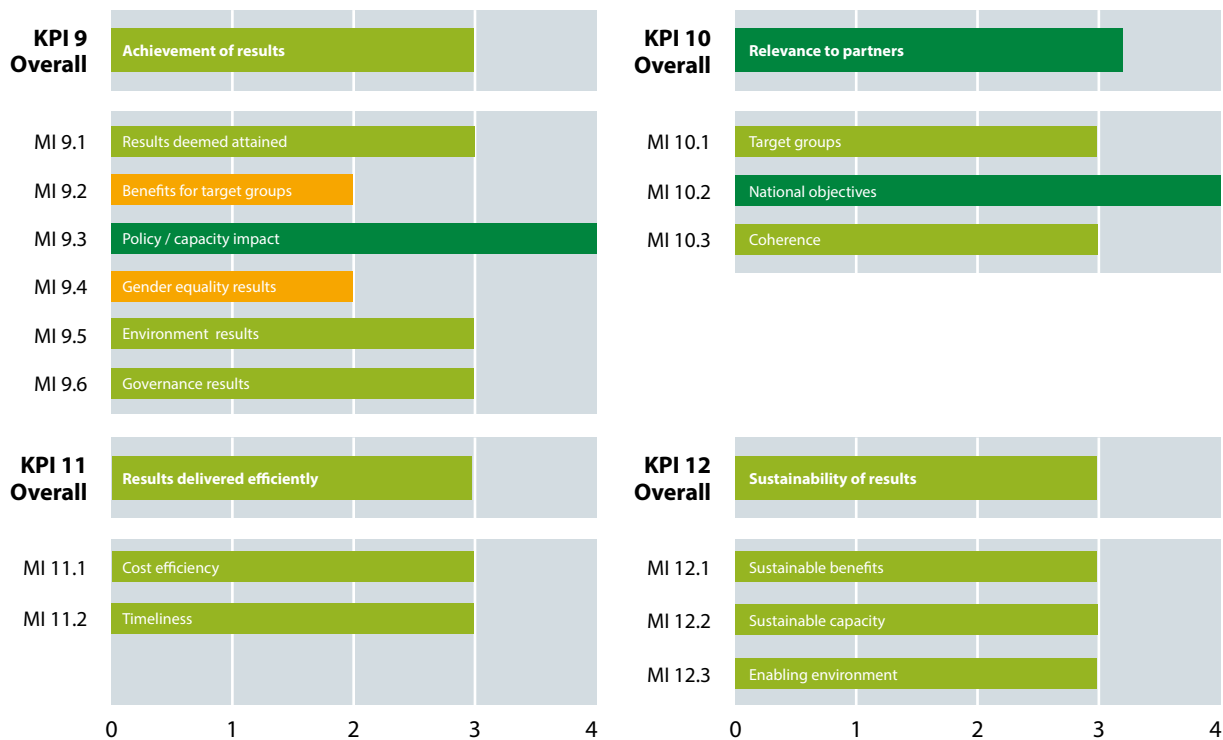


MOPAN scoring summary

PERFORMANCE AREA: PERFORMANCE MANAGEMENT



PERFORMANCE AREA: RESULTS



SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

Performance Area: Strategic Management

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

KPI 1: Organisational architecture and financial framework enables mandate implementation and achievement of expected results			
Overall KPI Score	3-34	Overall KPI Rating	Highly satisfactory

MI 1.1: Strategic plan and intended results based on a clear long term vision and analysis of comparative advantage

Element	Score	Narrative	Source Documents
Element 1: The Strategic Plan (or equivalent) contains a long term vision	4	AfDB has a well-defined strategy (Strategic Plan 2013-22), supported by clear objectives and a clear articulation of its comparative advantage across different sectors. The Strategic Plan 2013-2022 shows considerable effort to understand AfDB's comparative advantages and to work in areas where it has demonstrated strengths, and not to concentrate in areas where it does not have an advantage. The 10 year strategy corresponds to an overall vision which it has articulated in line with goals for the continent. The new presidency initiated the 'Good to Great' initiative, based on McKinsey's work in 2014 focusing on the Bank's capability to deliver, and what the continent needed, taking into account gaps in what is available from others. This was then matched to AfDB capabilities, to develop the High 5s strategy which provides a clear more concentrated focus for the AfDB, still underpinned by the Strategic Plan. However, it is less clear how the new focus will be operationalised.	11, 2, 3, 4, 5, 19, 44, 50, 52
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	4		
Element 3: A strategic plan operationalises the vision, including defining intended results	3	A key comparative advantage as recognised by staff members is the AfDB being an African institution, holding trust with African governments who are more readily open to partnership than they might be with non-African multilaterals. African members now make up 60% of its shareholders, compared to 40% non-	

Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	4	<p>regionals and AfDB staff indicated that the Bank is now the preferred financing partner in public sector and increasingly in private sector activities in Africa. The Bank's geographic positioning in the continent provides a strategic viewpoint to assess both needs and results, as exemplified by AfDB being among the first multilaterals to respond to ebola. They have a critical mass of expertise to take technical assistance forward, constituting people with direct contextual understanding. For example, staff indicated that the new agriculture strategy is drawing on that. It is not clear that the Bank's comparative advantages are effectively drawn on in terms of the relative funding it provides to different sectoral/ thematic areas. E.g., the Bank currently provides 50% of its total lending for infrastructure.</p> <p>One independent evaluation also suggests that the Bank has often taken a conservative approach in terms of strategic focus e.g. only relatively recently moving into the area of renewable energy where there is also no specific objective within the strategic documents, nor associated guidance, to achieving impact at scale.</p>	
Overall Score:	3.75		
Overall Rating:	Highly satisfactory		High confidence

MI 1.2: Organisational architecture congruent with a clear long term vision and associated operating model

Element	Score	Narrative	Source Documents
Element 1: The organisational architecture is congruent with the strategic plan	3	The AfDB Group structure includes the African Development Bank (AfDB) and the African Development Fund (ADF). This establishes the Group as both a lender and technical specialists/policy advisors in the region.	1, 3, 4, 5, 12, 18, 19, 20, 22, 64
Element 2: The operating model supports implementation of the strategic plan	3	The AfDB has an organisational structure that is designed to support member country engagement. There has been a deliberate and concerted move on decentralisation of the Bank's operations. This has been amplified and accelerated in April 2016 through the approved direction of the Banks new development and business delivery model which is more decentralised and provides more autonomy to the 5 regional hubs. Full authority is held by the 5 regional Director Generals (DG) according to the new Delegation of Authority (DoA) matrix. More field offices are being established, with the intention of requiring fewer field missions while offering better follow up and support. The regional hubs are intended to empower the regions and countries, concentrating expertise and offering greater responsiveness to clients. 60% of project activities are now managed from the field and, based on the new DoA, field offices/regional hubs should be taking 90% of related decisions.	
Element 3: The operating model is reviewed regularly to ensure continued relevance	3		
Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	3		
Element 5: The operating model clearly delineates responsibilities for results	2		
Overall Score:	2.8	While the DoA matrix shows more power is now held at field level, it is not clear that staff are using it yet. This suggests a lack of clarity in practice on responsibility for results. However, staff have observed a reduction in project-related problems and fewer non-performing projects.	High confidence
Overall Rating	Satisfactory		

MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results (i.e. the quadrennial comprehensive policy review (QCP), replenishment commitments, or other resource and results reviews)

Element	Score	Narrative	Source Documents
Element 1: The strategic plan is aligned to wider normative frameworks and associated results	4	AfDB's strategic plan explicitly supports the implementation of the MDG agenda, as well as the post 2015 development agenda. In addition, it is aligned to key normative Pan-African initiatives such as the NEPAD Infrastructure Project Preparation Facility document, the Abuja treaty etc. The AfDB's 2014 Annual Report sets out the Bank's support to the MDG agenda in Africa, including the implementation, facilitation and hosting of programs designed to improve access to water and sanitation, health and education, and also the preservation of natural habitats and the environment, and building resilience to the effects of climate-change. New sector strategies are now being established under the new 'High 5s' business delivery model. For example, a new energy strategy ('New deal on Energy for Africa') was approved by the Board in May 2016 to achieve full energy access across the continent by 2025. This is in line with the SDGs target for 2030, but the AfDB president has deliberately accelerated the target date.	1, 3, 4, 5, 12, 18, 19, 20, 22
Element 2: The strategic plan includes clear results for normative frameworks	2		
Element 3: A system to track results is in place and being applied	4		
Element 3: Clear accountability is established for achievement of normative results	2		
Element 4: Progress on implementation on an aggregated level is published at least annually	3		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation

Element	Score	Narrative	Source Documents
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3	The evidence points to strong financial performance which is designed to support regional members' interests. Despite a challenging global economic environment, the Bank in its Annual Reports for 2014 and 2015 reported a very satisfactory operational outcome for those two years. They noted new commitments of USD 7.3 billion for projects and programmes in 2014 – a 15.1% increase over the previous year, and another significant 25% increase in 2015 to a commitment level of USD 8.8 billion. The 2015-17 workplan and budget is geared to continue operationalisation of the TYS through 470 new projects. Aligned to the 5 priority areas.	3,4, 5, 6, 7, 19, 25, 31, 36, 42, 52
Element 2: A single integrated budgetary framework ensures transparency	4	The Bank has also enacted important institutional reforms, including budget reforms, aimed to align resource allocation to the Bank's Ten-Year Strategy, and to provide for flexibility in the implementation of the Bank's work programs. The proposed 2015 administrative budget amounts to UA 300 million, a decrease of 5.1 % (in nominal terms) from the 2014 approved budget of UA 316.14 million.	
Element 3: The financial framework is reviewed regularly by the governing bodies	4	The ADF-13 Report sets out how approximately 62% of ADF resources will be channelled to eligible countries through the Performance-Based Allocation (PBA) framework, the main determinants of the framework being need and country performance. Evidence from the survey indicates that performance on is strong when it comes to the flexibility of funding. For the statement "[AfDB's] has enough flexible financial resources to enable it to meet the needs it targets in the country" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	4	ADF-13 and GCI increased resources available and approval/new project commitments, but disbursement did not follow suit. In order to address this ADF/AfDB, are looking at tools such as credit policies, pricing of products and income. Another part of the strategy is a focus on Business development to increase volume, commitment fees, and spread between cost of capital and	

<p>Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas</p>	<p>4</p>	<p>pricing of products.</p> <p>Cost rationalisation has been required in order to pay for the Bank's relocation from Tunisia back to Côte d'Ivoire. Combined with the decentralisation, there have been implications for the administrative budget, but a decrease of 5.1% in the administrative budget for 2015 is projected and minimal growth for 2016-17.</p>	
<p>Overall Score:</p>	<p>3.8</p>	<p>General Capital Increase (GCI) in 2010 expected approvals of \$3 billion, now \$7 billion, and with the strategic aims to be accomplished by 2020 they may risk hitting capital limits.</p>	
<p>Overall Rating:</p>	<p>Highly satisfactory</p>	<p>The bank has a Credit to Income ratio (CIR) target of 30%. There is some pressure due to low income and/or low interest, and a trajectory of growth that has been faster than expected, Capital is expected to be committed by 2020. However, for 2014, the CIR with and without the impact of the return to Abidjan headquarters, is projected at 42.68% and 36.72%, although Management expects the actual performance to be better than the projections. It is also expected that the cost rationalisation and business development efforts will help sustain the positive trend of the CIR.</p>	<p>High confidence</p>

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels

Overall KPI Rating	2.89	Overall KPI	Satisfactory
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MI 2.1: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for cross-cutting issues.

a) Gender equality and the empowerment of women

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3	Overall, it appears that AfDB has an integrated understanding of the cross-cutting importance of gender and equity dimensions in line with normative frameworks, in its policies, programs, and sector strategies. The Bank's Strategy for 2013-2022 establishes the need to reduce gender inequality as a priority. The "Investing in Gender Equality for Africa's Transformation" document sets out the Bank's Gender Strategy for 2014 to 2018, identifying how gender will be mainstreamed in its country and regional operations (the external gender strategy) as well as in its own structures and processes (the internal gender strategy).	1, 2, 3, 4, 5, 9, 22, 23, 25, 27, 28, 29, 31, 32, 33, 34, 35, 42, 43, 44, 45, 49, 58
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3	Evidence from the survey also indicates that performance in this area is generally strong. For the statement "[AfDB] promotes gender equality, in all areas of its work" the majority of respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	3	Corporate indicators on gender have been established through the Bank's Results Monitoring Framework and these are reported against in the annual development effectiveness review (ADER). The Bank's Integrated Safeguards System (ISS) ensures that all project documents are screened against criteria on gender, and mitigation measures are implemented where required.	
Element 4: Gender screening checklists or similar tools used for all new intervention	3	The office of the Special Envoy on Gender (SEOG) has been established. The	
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	3		

Element 6: Capacity development of staff on gender is underway or has been conducted	3	Gender Strategy sets out intentions for further capacity increases within the Bank, including recruitment of additional gender specialists. However, evidence is limited on whether this has been taken forward.	High confidence
Overall Score	3		
Overall Rating:	Satisfactory		

b) *Environmental Sustainability and Climate Change*

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	3	Climate change is a clear cross-cutting priority for AfDB's work with a growing portfolio of work. Evidence demonstrates high performance of AfDB investments with regard to environmental and social impact of its work, and an increase in portfolio investments for climate change work. AfDB's policies are also aligned with Rio+20. Evidence from the survey indicates that performance in this area is strong. For the statement "[AfDB] promotes environmental sustainability and addresses climate change in all relevant areas of its work" the majority of respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	1, 2, 4, 6, 8, 9, 11, 15, 16, 17, 18, 28, 30, 31, 32, 38, 40, 41, 42, 46, 48, 49, 51
Element 2: Environmental sustainability and climate change indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3	AfDB's previous climate change strategy was the climate change action plan (CCAP) 2011-15. Staff at HQ reported that its objectives were mostly met, and an end of action plan report prepared. AfDB reports on its greenhouse gas	

Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	3	emissions in the development effectiveness review (DER). A new climate change action plan has been drafted and was under review at the time of the HQ visit. The ISS provides environmental and climate change safeguards for all AfDB operations, and implementation and follow up of mitigation measures where required. Staff report that AfDB was the first MDB to make climate vulnerability assessment mandatory for its operations.
Element 4: Environmental screening checklists or similar tools used for all new intervention	3	There is a climate change co-ordination committee, led by the environmental and social team (ONEC3). This was described by some staff as an effective tool but with limited director attendance. Climate change downstream operations (climate investment funds (CIFs), renewable energy work, green growth, Green Climate Fund operationalisation) are managed by the environment and social team. However, there was a feeling amongst staff that further capacity building is required across the operational staff, particularly to assess environmental issues for private sector operations.
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	3	While AfDB appears to have a growing portfolio of specifically climate change related activities, there appears to be uneven implementation of climate change programming across sector and country strategies more generally. Improvements have been noted by HQ staff in terms of climate informed design, for example, but not all CSPs are climate-informed yet. Energy and climate change were being discussed at the AfDB Group AGM (May 2016) with the aim of scaling up and developing a more comprehensive/holistic approach, including considerations of new areas such as energy efficiency.
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has been conducted	2	The African Natural Resources Centre (ANRC) has been established in 2013 to deliver capacity building programs to RMCs in natural resources management, such as supporting integrated natural resource development planning and good governance of natural resources.
Overall Score:	2.83	The Climate Change Action Plan (CCAP) is informed by and guides the implementation of the Bank's Climate Risk Management and Adaptation Strategy (CRMA) and Clean Energy Investment Framework , which address the broader issues of climate change adaptation and mitigation respectively. A progress report was published in 2013,
Overall Rating:	Satisfactory	

High confidence

c) *Good governance (peaceful and inclusive societies for sustainable development, reduced inequality, provide access to justice for all and build effective, accountable and inclusive institutions at all levels)*

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on good governance available and showing evidence of use	3	<p>There is some evidence of the AfDB's commitment to good governance. For example, in the ADF-13 report and in the Bank's Strategy for 2013-2022, which states that: "The Bank will support the development of capable states founded on effective institutions, good governance and regulation for economic growth - specifically, property rights, equal access to effective justice and greater participation in decision-making." - Evidence from the survey indicates good performance in this area. For the statement "[AfDB] promotes the principles of good governance in all relevant areas of its work (for example, reducing inequality, access to justice for all, impartial public administration, being accountable and inclusive at all levels)" the majority of respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".</p> <p>A Governance strategic framework and action plan for 2014-18 recognises the critical importance of effective institutions, good governance and regulations for economic growth</p> <p>Staff at HQ were positive regarding the mainstreaming of governance as a cross cutting issue of the Bank's work, both within country and regional-level work. A General Budget Support (GBS) operation in Ghana was cited as a positive example of this. There is limited documentary evidence of AfDB's attention to good governance as a cross-cutting issue, however. Some evidence of the consideration of good governance can be found in AfDB's broader strategies in the agricultural sector and climate change, signalling the importance of an integrated response. However, compared to other cross-cutting themes (gender, environment and sustainable development), good governance could be given more consistent attention across AfDB's strategies.</p>	3, 9, 19, 26, 31, 40, 41, 45, 49, 51, 65
Element 2: Good governance indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets	3		
Element 4: Good governance screening checklists or similar tools used for all new intervention	2		
Element 5: Human and financial resources (exceeding benchmarks) are available to address good governance issues	3		
Element 6: Capacity development of staff on good governance and climate change is underway or has been conducted	3		
Overall Score:	2.83		
Overall Rating:	Satisfactory		Medium confidence

Performance Area: Operational Management

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

KPI 3: Operating model and human/financial resources support relevance and agility			
Overall KPI Rating	3.11	Overall KPI	Highly satisfactory

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions

Element	Score	Narrative	Source Documents
Element 1: Organisational structure is aligned with, or being reorganised to fit the requirements of, the current Strategic Plan	3	<p>There is a strong body of evidence pointing to the enhanced efforts AfDB is making through its staffing and structures to respond to evolving priorities. This is particularly significant with respect to its increased decentralisation which is anticipated to enhance alignment and results further. The Operations Manual of the AfDB provides evidence for increased efforts to support staff through capacity building to support new strategic efforts. The ADF-13 Report, Supporting Africa's Transformation, notes the importance of decentralisation in achieving greater client responsiveness and delivering services efficiently. There is limited evidence from independent sources to clarify whether these efforts have had success or not. One independent report (IDEV Strategizing for the "Africa We Want": An Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies Summary Report) states that in spite of increased country staffing there has not been sufficient human and financial resources for successful improvement of Country Strategy Papers (CSPs).</p> <p>Evidence from the survey indicates that performance in this area is strong. For the two statements "[AfDB] has sufficient staffing the region to deliver the</p>	10, 11, 14, 15, 18, 20, 22, 23, 25, 27, 29, 35, 36, 37, 42, 43, 44, 46, 47, 48, 49, 50, 52, 53, 54, 55.

<p>Element 2: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan,</p>	<p>3</p>	<p><i>results it intends in the country” and “[AFDB’s] staff are sufficiently senior/experienced to work successfully in the country” the majority of respondents rated AfDB’s performance as “Excellent”, “Very good” or “Fairly good”.</i></p> <p>AfDB has just one Chief Economist who oversees all staff involved in knowledge production, capacity building and research. Under the new presidency, the economic complex has extended. This includes approval for a governance department to be based in the new complex (rather than operations where it is currently based), as well as bringing in the African Natural Resources Centre (ANRC). These changes considerably strengthen the economic complex and its work focused on generation of knowledge, policy dialogue, supporting the president.</p> <p>Decentralisation: The AfDB has a strong presence in field offices which supports high quality research. Also, policy dialogue is not located solely at HQ. Dissemination of relevant products across all field offices, particularly with regard to knowledge products such as the African Economic Outlook. Increasing decentralisation has resulted in an overall positive change for the Department, including through the production of regional reporting that is truly regional.</p>	
<p>Element 3: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan</p>	<p>2</p>	<p>The main problem for providing support on environmental and social issues is lack of people in team (ONEC3 which supports other operations on these areas) – but AfDB is now recruiting more staff, so this is being partly addressed. Need to do more capacity building in environmental and social issues for those working in operations, and build related capacity in RMCs.</p> <p>Though sufficient resources seem now to be available, capacity building will need to be part of re-organisation. There are new areas of focus with no capacity, e.g. agro-processing, or access to finance for agriculture. This will entail a transition period where AfDB does not have access to right people. It has already started doing staff audit. It is not finished yet but will be used to build the right capacity.</p> <p>With regard to the AfDB’s Ebola response, one staff member was very quickly</p>	

<p>Element 4: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan</p>	<p>3</p>	<p>relocated to the area for 3 months to co-ordinate the Bank's overarching response.</p> <p>The DoA matrix is not aligned to budget, and dual reporting still exists. The delivery on the Regional Integration Strategy Paper (RISP), however, is not well advanced.</p> <p>The AfDB lost many project support staff in the relocation, especially non-regional staff. Recruitment was frozen during relocation, with vacancies filled by consultants. However, there is arguably a better country dialogue from field offices and 50% of staff are now in the field.</p>	
<p>Overall Score:</p>	<p>2.75</p>		
<p>Overall Rating:</p>	<p>Satisfactory</p>		<p>High confidence</p>

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities

Element	Score	Narrative	Source Documents
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	3	The General capital increase and replenishment exercises constitute the most important resource mobilisation fora for the Bank, and are at the same time policy- and strategy-setting, hence ensuring close alignment between priorities and resources. The effectiveness and efficiency of these processes was the subject of independent evaluation in 2015 and the evaluation concluded that: "Efficiency of the GCI-VI process is reflected in the number and management of meetings, the small number of papers, and the Bank's internal management of the overall process. Given the resulting 200% increase in capital, the time and effort invested in this process was cost effective. In addition the process was inclusive – involving all shareholders through an extended Governors Consultative Committee (GCC) and regional and civil society consultations."	1,2, 3, 4, 5, 7, 9, 18, 20, 25, 26, 27, 29, 31, 32, 33, 34, 36, 42, 50
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector;	4	Furthermore, "With respect to the delivery of the commitments, the vast majority of the GCI-VI and ADF-12 commitments, and ADF-13 commitments that are due have been delivered." However, the evaluation also notes a weakness in terms of timeliness of delivering the commitments, sometimes due to an unrealistic timeframe in the first place and a certain front loading forcing the bank to act on too many fronts at the same time.	
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities.	4	Resource mobilisation is explicitly geared toward the Bank's priority areas, with specific attention to cross-cutting areas of work such as fragile states. Performance-based aid allocation and mobilisation of resources for strategic priorities is supported clearly in internal documentation. In addition, the terms for financing of country portfolios is clearly set out and provides a clear rationale for mobilizing resources for specific countries. However, there is a lack of evidence against the implications of this from independent sources.	
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/relevant country plan	3	Research outputs can generate funding interests, but research focus is not	

<p>Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent</p>	<p>3</p>	<p>specifically chosen to generate funding – knowledge is primarily for the Bank to sharpen own strategy and influence policy in country.</p> <p>It is important to have money in the emergency fund for situations such as Ebola. This is an issue to be discussed during the next annual meeting. The Ebola response included 7 grants from the emergency fund (max USD 1 million per project).</p>	
<p>Overall Score:</p>	<p>3.4</p>	<p>Income from treasury is declining, given the low interest rates. Currently 1/3 of the portfolio generates 2/3 of income, and new instruments now provide for risk-sharing between ADFand ADB.</p>	
<p>Overall Rating:</p>	<p>Highly satisfactory</p>		<p>High confidence</p>

MI 3.3 Aid reallocation/programming decisions responsive to need and can be made at a decentralised level

Element	Score	Narrative	Source Documents
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	4	Considerable effort is being made to enhance the level of decentralisation of the AfDB's operations. Evidence points to the increased level of client responsiveness that this has facilitated and that this has strengthened country working relationships (e.g. Ethiopia). There is a strong strategic orientation toward increased decentralisation to improve the effectiveness and efficiency of operations. The Bank's new business delivery model is more decentralised and provides more autonomy to the 5 regional hubs, with full authority held by the 5 regional Director Generals (DG) according to the new Delegation of Authority (DoA) matrix. The regional hubs are intended to empower the regions and field offices, offering greater responsiveness.	1, 2, 3, 4, 18, 20, 25, 42, 45, 47, 48, 50, 54, 50, 52, 53, 57, 58
Element 2: <i>(If the first criterion is met)</i> The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	4	However, while the DoA matrix shows more power is now held at field level, it is not clear that staff are using it yet. There are also concerns from staff that the DoA matrix is not aligned to budget lines, so that dual reporting still exists. Previous evaluations have similarly outlined some concerns that in practice, decentralisation was yet to deliver the returns that were hoped for – though these concerns were raised prior to the new business delivery model being outlined.	
Element 3: Evaluations or other reports contain evidence that reallocation / programming decisions have been made to positive effect at country or other local level, as appropriate	3	Evidence from the survey indicates that the AfDB's performance in this area is strong, with the majority of respondents responding positively to the statement: <i>"[AfDB's] staff can make the critical strategic or programming decisions locally in the country"</i> . An example of the Bank's ability to be flexible and responsive is during the ebola crisis. AfDB was among the first organisations to respond to ebola, in March/April 2014. Lots of different instruments were used to fund the response (grants, loans, fragile states fund, regional envelopes), a key source is the Bank's Emergency Fund. Governments can request emergency assistance up	

<p>Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels</p>	<p>3</p>	<p>to a maximum of USD 1 million per grant and it does not require Board approval. For the larger funding required in the case of ebola, the Bank was able to fast track operational design and Board approval (e.g. within 1 week in August 2014) due to the exceptional circumstances. This involved working within the normal scope of rules but by significantly cutting timelines and aspects such as the extent of the technical analysis in the operation design.</p>	
<p>Overall Score:</p>	<p>3.5</p>	<p>The ebola example shows that the Bank can be flexible in major emergency contexts. Staff expressed reservations about their ability to be responsive so quickly in minor emergencies, but felt that this would become easier with the new decentralised lines of authority.</p>	
<p>Overall Rating:</p>	<p>Highly satisfactory</p>		<p>High confidence</p>

MI 3.4: HR systems and policies performance based and geared to the achievement of results

Element	Score	Narrative	Source Documents
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	3	The Bank's People strategy 2013-17 sets the priorities and direction for the Bank's HR management, and includes a timebound implementation plan to position the Bank as the "Employer of Choice" for those working on African Growth and Development	3, 4, 5, 12, 25, 37, 43, 45, 49, 52
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	2	There is evidence that AfDB has HR systems and policies that are performance-based and geared to the achievement of programme results, with the use of performance based salaries and contracts including for managers. However, the body of evidence on the details of their design or to demonstrate how well these are working in practice is limited, and there are concerns that such a system is not effective without effective and transparent monitoring and accountability. Staff suggested that the analysis undertaken by McKinsey identified insufficient incentives for staff and a weak performance-based culture.	
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	3	Further development of performance contracts appears to be a work in progress, with the Bank working to develop the indicators against which performance is measured. Country-level performance is tracked over time and therefore changes over time might be used to feed into performance contracts.	
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions etc	3		
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	3		
Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

KPI 4: Organisational systems are cost and value conscious and enable financial transparency/accountability

Overall KPI Rating

3.27

Overall KPI

Highly satisfactory

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities

Element	Score	Narrative	Source Documents
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4	Overall, the evidence against this MI is mixed. It shows the processes and protocols in place for resource allocation at the country and sector level, and demonstrates that well-articulated, transparent decision making processes are in place. However, the IDEV evaluation of the AfDB's administrative Budget Management points to some concerns that priorities for resource allocation are not fully fleshed out at the senior management level, and that the processes to decide on funding are not always fully explained or aligned with strategic priorities.	4, 5, 27, 42, 53, 52, 54, 55, 57
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	3	Evidence from the survey indicates that performance in this area is strong. For the statement "[AfDB] communicates openly the criteria for allocating financial resources (transparency)" the majority of respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good". EDRE has private sector operational support role. Dept provides makes independent assessment on private sector operations prior to approval. Private sector window started in 2009, loans to private sector, idea has bothered board/bank though because not private bank hunting for profit, rather a development bank. So a loan to private sector has been agreed on same grounds as for governments, who cannot borrow capital markets. Same arguments applied to African private sector as they're constrained and cannot get same investments as private sector in other regions. But board requested that all private sector being supported must meet criteria: 1) can't get longterm loan from other sources ("leveraging additionalty"); 2) must be scrutinised for	
Element 3: The organisational policy or statement is regularly reviewed and updated	3		

Element 4: The organisational statement or policy is publicly available	4	developmental outcomes, need to have social benefits.(10) Every year the research unit assesses close to 100 private sector requests under ADOA Framework (Additionality and Development Outcomes). It has approximately 10 indicators on issues which include employment, gender, environment, and poverty related indicators. Once country teams develop a proposal, they then start to engage with the research institute. While final approval for a project is granted by the OPSCOM (operations committee), following which successful projects are sent to the board. The role for ADOA is to provide independent assessment and an oversight role for the research unit, and advice to the OPSCOM on individual projects. ADOA staff go on field missions, talk to clients, ask questions, and generally build up knowledge to inform decision making on private sector requests. ADOA is separate to ISS, and the bank is now considering implementing the same type of assessment process for public sector investments, as an additional standardised ex-ante assessment - there is, however, no documentary evidence of this potential.	
Overall Score:	3.5		
Overall Rating:	Highly satisfactory		High confidence

MI 4.2: Allocated resources disbursed as planned

Element	Score	Narrative	Source Documents
Element 1: The institution sets clear targets for disbursement to partners	4	<p>The evidence around this MI raises significant concerns about the disbursement practices and performance of the Bank. Documents point to chronic and systematic low levels of disbursement across the Bank's portfolio. The issue is referred to in the 2014 Annual Report, the 2011-15 Southern Africa Regional Integration Strategy, and the 2015-2019 Country Strategy for Mali which cite the following reasons for delayed disbursement and/or under expenditure: bureaucratic bottlenecks/burden, changes in staffing, and poor communication.</p> <p>Evidence from the survey indicates that performance in this area is strong. For the statement "[AfDB] provides reliable information on how much and when financial allocations and disbursement will happen (predictability)" the majority of respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".</p>	<p>3, 5, 6, 20, 31, 32, 33, 34, 35, 36, 39, 45, 47, 48, 50, 53, 54, 57, 58</p>
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	2		
Element 3 Clear explanations are available in relation to any variances	3		
Element 4: Variances relate to external factors rather than internal procedural blockages	3		
Overall Score:	3		
Overall Rating:	Satisfactory		
			High confidence

MI 4.3: Principles of results based budgeting applied

Element	Score	Narrative	Source Documents
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	3	<p>AfDB has made progress in applying results-based budgeting across its operations. There is a strong effort to link resource allocation with results.</p> <p>However, the IDEV evaluation of the Bank's Administrative Budget Management identifies the need to strengthen this for a more performance-driven management culture to inform decision making.</p>	1, 2, 3, 4, 5, 9, 42, 52
Element 2: A budget document is available which provides clear costings for the achievement of each management result	3		
Element 3: Systems are available and used to track costs from activity through to result (outcome)	2		
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	3		
Overall Score:	2.75		
Overall Rating:	Satisfactory		High confidence

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit

Element	Score	Narrative	Source Documents
Element 1: External audit conducted which complies with international standards	4	The evidence points to adherence of external audit to international standards and the Bank Group's financial management rules, regulations and policies. There is a strong process for conducting independent audits of AfDB's financial records and data and evidence pointing to timeliness of audits. However, it does not appear that all systems are comprehensively audited. For example a concern is raised in the IDEV evaluation of AfDB Operational Procurement policies and practices on how too few audits have been conducted to date to permit any generalisations about overall Bank procurement efficiency and effectiveness.	1, 5, 7, 42, 45, 48, 53
Element 2: Most recent external audit confirms compliance with international standards across functions	4	All activities of the Bank are under the purview of internal audit including operations, processes, instruments and field offices. The internal audit office, the Office of the Auditor General, uses a risk-based approach to select audit coverage, i.e. a risk assessment that identifies Bank as activities as high, medium or low risk. This approach is also used to develop a risk-driven annual work programme that is approved by the Board.	
Element 3: Management response is available to external audit	4	Audit reports go to the Board and the President, with Bank management providing comment and an action plan in response to recommendations. All recommendations are to be followed up within a set time period of usually one year to implement changes. The internal audit team produces a report every six months that shows the status of follow-up actions and is submitted to the Audit and Finance Committee of Board. The Office of First Vice President also monitors this follow-up in co-ordination with all Vice Presidents, which means management is also monitoring implementation of the responses.	
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	3		
Element 5: Internal audit functions meet international standards, including for independence	3	The approach of risk-based auditing is considered dynamic enough to adapt to further changes in the operating model. The extent to which the Bank effectively calculates risk has not been reviewed. The IDEV evaluation of the Bank's operational procurement policies and practices, flagged concerns on the speed of	

Element 6: Internal audit reports are publicly available	3	<p>the Bank's investigations of complaints re procurement and follow-up actions.</p> <p>Internal audit is in line with the Institute of Internal Auditors requirements. The Department belongs to IIA and therefore its 'Quality assurance and improvement programme' is subject to an internal review (usually peer review) of internal audit mechanism every 2 years, and the audit function is subject to an external quality assessment every 5 years. The IIA plaque for 2010 shows general compliance (highest standard possible). The one completed for 2016 similarly received general compliance rating. (IIA gives 3 ratings – general compliance, partial compliance or not compliant).</p>	
Overall Score:	3.5		High confidence
Overall Rating:	Highly satisfactory		

MI 4.5: Issues or concerns raised by internal audit mechanisms (operational and financial risk management, internal audit, safeguards etc) adequately addressed

Element	Score	Narrative	Source Documents
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	4	<p>Internal audit has a dual reporting line: to Board and to President. The internal audit operates independently of the Presidency.</p> <p>All activities of the Bank can be subject to audit: operations, processes, instruments, field offices etc. The internal audit office uses a risk-based approach to select audit coverage – drawing from the practice where everything in the bank is identified as high, medium or low risk activity. The risk-driven annual work programme for internal audit gets approved by the board. Each year about 35 audits are undertaken.</p>	41, 7, 15, 23, 36, 42, 53
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3	<p>Field offices can be subject to audit. Decentralisation increases the likelihood of an audit. This is because decentralisation entails adapting the risk assessment process, as changes in the delegation of authority are made (more authority is transferred to regional/field offices from HQ). This means, the way of looking at risks will change. The process of risk-based audit is considered dynamic enough to react to this.</p>	
Element 3: Clear guidelines are available for staff on reporting any issues identified	3	<p>Each audit goes through a process of planning, fieldwork and reporting. The report goes to Board and President. Management provides comments and action plans in response. All recommendations must be followed up on – management is usually given 1 year to implement changes in response. The internal audit team produces a report every 6 months that shows the status of follow-up actions. This is submitted to the OFI (Office of Finance and Auditing committee of Board). The Office of First VP also monitors follow-up in co-ordination with all VPs – i.e. management is also monitoring their own implementation.</p>	
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3	<p>Validation of follow-up: When actions are indicated as completed, the Auditor's office does a partial validation. During the next audit of the same area a full</p>	

Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	3	validation of previous recommendations is made.	
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting.	3		
Overall Score:	3.17		
Overall Rating:	Highly satisfactory		High confidence

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities

Element	Score	Narrative	Source Documents
Element 1 : A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	4	<p>Various internal documents, including the AfDB Group Annual Report 2014, Integrity and Anti-Corruption Department Annual Report 2014, Whistle Blowing and Complaints Handling Policy, Disbursement Handbook and Revised Guidelines on Cancellation of Approved Loans, Grants and Guarantees, show that the AfDB Group has put strong and wide-reaching policies and procedures (with roles of management and staff defined) in place to prevent, detect, investigate and sanction any cases of fraud or corruption at all levels. This includes staff training in these areas.</p> <p>A point of concern is raised in the 2014 IDEV Independent Evaluation of the Operational Procurement Policies and Practices of the AfDB, however. The evaluation Summary Report (IDEV (2014), <i>IDEV Operational Procurement Policies and Practices of the African Development Bank</i>) states: “It is highly desirable to have more data about the incidence of suspected infractions of the Bank’s stringent rules on fraud and corruption. The very small number of reported occurrences does not seem consistent with expectations based on the published ratings of Transparency International for the Bank’s RMCs or with comments by a number of interviewees in the Country Case Studies.” (p.40)</p> <p>Audit has increasing prominence within the AfDB with senior management examining internal audits on a quarterly basis.</p> <p>The Bank has just moved into the top 10 in the Transparency International assessment.</p> <p>There is a well-established whistle-blower procedure.</p>	3, 5, 7, 14, 16, 25, 27, 36, 39, 42, 53
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	4		
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	3		
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	4		
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and “whistle-blower” protection policy	4		
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	3		
Overall Score:	3.67		
Overall Rating:	Highly satisfactory		High confidence

Performance Area: Relationship Management

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)			
Overall KPI Rating	2.89	Overall KPI	Satisfactory

MI 5.1: Interventions aligned with national /regional priorities and intended national/regional results

Element	Score	Narrative	Source Documents
Element 1 : Reviewed country or regional strategies make reference to national/regional strategies or objectives	4	<p>A strength of AfDB's work is its active participation in national processes to ensure maximum coherence between Bank strategies and country and regional priorities. This is supported by documentation and positive survey responses. Most respondents rated AfDB's performance against the two statements "[AfDB's] interventions are designed and implanted to fit with national programmes and intended results" and "[AfDB's] interventions are tailored to the specific situations and needs of the local context" as 'very good'.</p> <p>The evidence points to the importance of alignment with, and joint development of, country strategy papers and a tailored approach to development activities in countries of operation.</p> <p>Continued focus on decentralisation is bringing AfDB closer to its clients' needs. Interviews with different operational departments confirmed AfDB's demand-driven approach and efforts to align projects with country strategies, such as intended nationally determined contributions (INDCs) for energy sector projects.</p>	2, 3, 18, 19, 20, 22, 23, 25, 26, 28, 29, 30, 31, 32, 33, 42, 54, 56, 57, 58
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3		
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process.	3		
Overall Score:	3.33		
Overall Rating:	Highly satisfactory		High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs contain a clear statement that positions the intervention within the operating context.	4	<p>The heterogeneous nature of the region is taken into consideration and a thorough contextual analysis is carried out in the design of programs. This is presented in 5 year Country Strategy Papers (CSPs) and Regional Integration Strategy Papers (RISPs). Various diagnostic tools are also use for contextual analysis and these are shared with partners, including specifically to assess fragility and governance issues: the Country resilience and fragility assessment (CRFA) monitors fragility and resilience through a multi risk assessment approach, while the Country policy and institutional assessment (CPIA) annually assesses the quality of policies and performance of institutional frameworks in RMCs. AfDB's research unit also provides contextual analysis under the Additionality and Development Outcomes Assessment (ADOA) for private sector operations.</p> <p>AfDB publishes gender country profiles. Contextual analysis of gender, environmental sustainability and climate change is to some extent required for compliance with the systems that assess cross-cutting issues for operations (e.g. ISS, ADOA) although these are not specifically assessing responsiveness of design to contextual analysis, rather to international standards. Survey results show that external respondents do consider AfDB's interventions to be tailored to the local context. Evaluations show some concerns have been raised that contextual analysis is not always used to inform implementation approaches, however.</p>	<p>3, 4, 19, 20, 23, 25, 28, 31, 32, 33, 34, 39, 35, 36, 42, 43, 47, 54, 56, 58</p>
Element 2: Context statement has been developed jointly with partners	NE		
Element 3: Context analysis contains reference to gender issues, where relevant	3		
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	3		
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	3		
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context.	NE		
Overall Score:	3.25		
Overall Rating:	Highly satisfactory		High confidence

MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weaknesses are employed

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs contain a clear statement of capacities of key national implementing partners	3	<p>Capacity analysis is a feature of CSPs, and AfDB analyses country systems in order to build confidence in them and to provide the appropriate level and orientation of capacity building support. Capacity analysis covers all levels of the programme implementation cycle from design capabilities and capacity to M&E capacity. AfDB's new procurement policy emphasises capacity building and national systems, requiring capacity analysis in country and use of country systems where possible. Procurement assessment reports and action plans are produced to address capacity constraints. The Country policy and institutional assessment (CPIA) annually assesses the quality of policies and performance of institutional frameworks in RMCs.</p> <p>Evidence from the survey indicates positive performance, though slightly less consistency of views compared to MIs 5.1 and 5.2. Most respondents rated AfDB as <i>“Very good”</i> or <i>“Fairly good”</i> against the statement <i>“[AfDB’s] interventions in the country are based on realistic assessments of national/regional capacities, including government, civil society or other actors.”</i> Documentary evidence suggests that in some instances the capacity needs assessment is not fully articulated and the importance of capacity building is generally stated rather than explicitly analysed. CSPs all comment on capacity development at sectoral and institutional (macro) levels but there is also a view from some HQ staff that capacity analysis is not given sufficient priority in the CSP process and that budget lines for capacity development within projects are not ultimately used for capacity development.</p>	<p>13, 18, 25, 27, 29, 33, 35, 42, 47, 49, 43, 38, 46, 47, 48, 49, 50, 53</p>
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3		
Element 3: Capacity analysis statement has been developed jointly where feasible	2		
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	3		
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	3		
Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs include detailed analysis of and mitigation strategies for operational risk	3	There appear to be reasonably adequate risk management systems in place at the project level as well as regular safeguards in place to monitor fiduciary risks. Criteria are in place to assess the level of risks for all countries and risk assessments are part of the CSP process and reflected on in CSP mid-term reviews (MTRs).	2, 3, 5, 7, 9, 15, 22, 25, 31, 32, 42, 53, 54, 55, 56, 58
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	3	When a project document is prepared, it is screened and categorised based on risk level by the ISS unit, with this determining the risk mitigation methods required. It is followed up in project monitoring reports and project completion reports (PCRs). The ISS unit carries out audits yearly on a risk-based sample of projects to check whether environmental and social management plans are being followed and this is made transparent through the Safeguards tracking system (which became operational in 2015).	
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	3		
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	3	AfDB also has performance management tools. The Executive Dashboard is a live early warning system designed to anticipate slippages and allow corrective action to be taken. The Flashlight provides portfolio-level monitoring and analysis, ranking country performance and sector performance, with risk being one of the performance criteria. Teams are required to develop 'turnaround plans' for those countries/sectors which are most critical.	
Element 5: Risks are routinely monitored and reflected upon by the partnership	3		
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	NE	Evidence from the survey indicates strong performance in this area. Evidence from previous evaluations shows concerns that risk management procedures have not always been adequate for monitoring risk and in some cases the intervention design has not reflected emerging issues which pose a risk to implementation due to capacity issues.	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)

Element	Score	Narrative	Source Documents
Element 1 : Intervention design documentation includes the requirement to analyse cross cutting issues	3	<p>Gender and environmental sustainability are integrated into project design systematically across programmes. Design documents include specific sections on climate change, environment, gender and resettlement. The ISS has integrated previous procedures (environmental and social assessment procedures, resettlement policy etc.) into a standardised systematic assessment of environmental and social cross-cutting issues, establishing required mitigation measures as appropriate.</p> <p>For private sector operations, environment and gender are ADOA criteria, while the 'readiness review' for public sector operations similarly has environment, gender and climate change criteria. AfDB is also developing a climate change screening system to specifically categorise climate change risks. There is less evidence regarding systematic approaches to integrate governance and fragility into project design, although some examples of governance being mainstreamed in operations and the systems for contextual analysis (MI 5.2) show that the knowledge base is available for this to happen.</p> <p>AfDB's environment and social team provide support during project preparation, but various HQ staff pointed to a need for greater resources to support analysis of cross-cutting issues. This includes increasing the number of experts on cross-cutting issues available to support operational teams, as well as capacity building to increase the technical knowledge of operational teams on cross-cutting issues, including in RMCs.</p> <p>Evidence therefore suggests that efforts are being made to systematically integrate cross-cutting themes into project design. The more long-standing areas (e.g. gender and environment) now tend to be well embedded in project design, but it appears there is still progress to be made in terms of building in the other cross-cutting themes (e.g. fragility, governance, climate change). Improvements have been noted by HQ staff in terms of climate informed design, for example, but not all CSPs are climate-informed yet.</p>	<p>2, 3, 4, 12, 15, 18, 20, 28, 31, 32, 33, 34, 36, 41, 46, 47, 48, 49, 54, 57, 58</p>
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	3		
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	3		
Element 4: Intervention designs include the analysis of gender issues	3		
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	3		
Element 6: Intervention designs include the analysis of good governance issues	3		
Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues	2		
Overall Score:	2.86		
Overall Rating:	Satisfactory		High confidence

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability as defined in KPI 12)

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate.	3	Evidence suggests that AfDB has specific systems in place and protocols to ensure sustainability. The operations manual provides evidence of how the assessment of sustainability considers the extent that the project has addressed risks and put in place mechanisms to ensure that benefits will continue after completion. This also includes the financial sustainability of the funding mechanisms and modalities. Evidence of sustainability measures can be seen in various Bank projects, particularly in the transport, energy and agricultural sectors. Some independent evaluations have suggested that sustainability has not always been adequately considered, however, and that the Bank does not systematically or adequately put in place systems to further strengthen support over time. Similarly 'Project Results Assessments', introduced in 2015, have shown limited up front critical thought in project design on the issue of sustainability. Some staff at HQs were also of the view that capacity development plans within projects are not always implemented, which can have a knock-on effect on delivering sustainable outcomes.	15, 31, 42, 49, 54, 57
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	3		
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan.	2		
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner.	2		
Overall Score:	2.5		
Overall Rating:	Satisfactory	High confidence	

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation

Element	Score	Narrative	Source Documents
Element 1 : Internal standards are set to track the speed of implementation	3	The evidence suggests mixed performance in terms of the Bank's efficiency and its efforts to speed up operational procedures and rate of disbursement. There has been satisfactory performance overall, which has been enhanced by greater delegation to decentralised offices and increased field presence. For example, 60% of W&S sector staff are now field based, following through on a recent Presidential Directive on 'Project delivery' that increases the field proportion of operational staff. Field offices are encouraged to speed up processes on the ground e.g. through capacity building, meetings to push governments, putting pressure on clients to set up implementation units. Under the Bank's new structure, regional departments will be responsible for project development and this should lead to further improvements.	1, 2, 3, 5, 18, 22, 25, 29, 32, 33, 35, 36, 37, 42, 46, 49, 53, 56
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	2	HQ interviews offered various views on disbursement delays, such as the suggestion that while Board approval can be quick, the long time to get country approval (i.e. buy-in from governments etc.) can lead to delays. Many were also of the view that contextual, country-level factors can be the cause of delays more than bank processes. Procurement processes were acknowledged as a particular constraint, however, often due to capacity lags in countries. AfDB now requires capacity analysis of procurement processes in-country and encourages use of country systems, although these can sometimes be slower if parliamentary approval required. The Bank is working jointly with the IFC to tackle this issue.	
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	2	Presidential Directive PDO2/2015 specifically addresses the issue of disbursement timeframes, aiming to increase the work carried out prior to approval e.g. setting up a project implementation unit, if needed, since it is a requirement for the first disbursement. Another requirement is that new projects in the sector/country cannot get approval if there are disbursement delays for existing projects, providing an incentive to address those delays. Improvements	

Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	3	<p>from this are expected to be seen in one to two years.</p> <p>However, there are still gaps and variability in the efficiency of the portfolio overall. Documentary evidence also shows that the effectiveness of disbursing payments between the private and the public sector is different. For projects involving two or more countries, the cross country coordination aspect is recognised by some HQ staff as a weak link. The survey results also show mixed views under this MI. For the statement “[AfDB’s] bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implantation for national or other partners” the number of respondents who replied “Very good” or “Fairly good” was roughly equal with the number who replied “Fairly poor” or “Very poor”.</p>	
Overall Score:	2.5		
Overall Rating:	Satisfactory		High confidence

KPI 6: Working in coherent partnerships directed at leveraging / ensuring relevance and catalytic use of resources

Overall KPI Rating	2.82	Overall KPI	Satisfactory
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MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change

Element	Score	Narrative	Source Documents
Element 1 : Mechanisms in place to allow programmatic changes and adjustments when conditions change	3	Limited documentary evidence was found regarding the effectiveness of the planning, programming and approval procedures for partnerships, but evaluations provided some description of specific examples where the allocation of funds was changed when conditions shifted. Overall, evidence from evaluations and reviews suggests that partnerships do follow flexible, agile procedures. Evidence from the survey also indicates a positive perception of AfDB's performance in this respect. For the statement "[AfDB] adapts or amends interventions swiftly as the context in the country changes" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	39, 47, 56, 57
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3		
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	2	An example of the Bank's ability to be flexible and responsive is during the Ebola crisis. AfDB was among the first organisations to respond to Ebola. Various instruments were used to fund the response, including an AfDBD emergency assistance fund (providing a maximum of USD 1 million per grant) that does not require Board approval. For the larger funding required in the case of Ebola, the Bank was able to fast-track operational design and Board approval by significantly cutting timelines and non-essential aspects of the design process. (Further detail is provided under MI3.3). This illustrates the Bank's ability to be agile when emergencies arise. Staff expressed reservations about achieving a similar level of agility in minor emergencies, but felt that this would become easier with the new decentralised lines of authority.	
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3		
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	3		

Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy

Element	Score	Narrative	Source Documents
Element 1 : Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	3	<p>The Bank's strategy documents clearly demonstrate the Bank's role as a convener vis-a-vis other organisations, based upon AfDB's mandate. There are multiple mentions of the need to strengthen existing strategic partnerships. The IDEV Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies report suggests that country strategy documents do not systematically integrate solid analysis of the Banks' positioning or comparative advantage. However, this was not highlighted as a significant concern for survey respondents. For the statement "[AfDB's] interventions are based on a clear understanding of why it is best placed (comparative advantage) to work in the sectoral and/or thematic areas it targets in the country" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".</p> <p>Staff highlighted that AfDB's ebola response was based on appropriate partnerships, for example with UNMEA providing regional co-ordination and the WHO involved in implementation.</p>	1, 12, 18, 22, 23, 25, 29, 32, 33, 34, 35, 42, 43, 54, 55
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	2		
Element 3: Evidence that resources/ competencies needed for intervention area(s) are aligned to the perceived comparative advantage	2		
Element 4: Comparative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner is able (and willing) to bring to the partnership	3		
Overall Score:	2.5		
Overall Rating:	Satisfactory		High confidence

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on the use of country systems

Element	Score	Narrative	Source Documents
Element 1 : Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	4	Documentary evidence indicates the AfDB's adherence to the Busan Partnership, including to enhancing the use of country systems (which has increased significantly since 2011). There is evidence from internal reviews of the consideration of risks of using country systems (for example in procurement) and the need for building the capacity of national systems in order to use them for M&E. For the two statements "[AfDB] channels financial resources through country systems (both financial and non-financial) in the country as the default option" and "[AfDB] takes action to build capacity in country systems in the country where it has judged that country systems are not yet up to a required standard" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	2, 3, 4, 5, 10, 13, 15, 18, 20, 25, 28, 29, 31, 33, 34, 35, 42, 43, 47, 48, 53, 54, 57
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3		
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	3		
Element 4: Reasons for non-use of country systems clearly and transparently communicated	3	Several independent evaluations have previously provided evidence of challenges in certain areas of national systems, for example, weak procurement capacity. Despite this, 80% of AfDB's procurement transactions are now reported as going through national systems, representing 30% by volume but this is gradually increasing. This has been supported by specific measures such as simplified procurement procedures, improved bidding processes and the Bank now having procurement staff at country and regional level to enhance capacity. Large projects are still procured from HQ, however.	
Element 5: Internal structures and incentives supportive of greater use of country systems	3		
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	2	For the Bank's Integrated Safeguards System (ISS), governments ensure environmental and social compliance with their own systems, then ISS provides an extra layer of quality assurance and due diligence, providing loan conditions if any issues are identified. The AfDB supports governments to develop the capacity to achieve ISS compliance. Similarly, before financial institutions can receive loans, the Bank checks that they have or helps them to develop environmental and social management systems that meet the Bank's standards.	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation

Element	Score	Narrative	Source Documents
Element 1 : Strategies or designs clearly recognise the importance of synergies and leverage	4	There are strategies in place (as seen in the Bank's Strategy for 2013-22) to coordinate with the private sector and multilateral actors to leverage financing and achieve greater development results, including by creating synergies with other actors and capitalising on joint financing opportunities for catalytic use of resources. There is also clear evidence of efforts to harmonise activities in partnerships with other actors for better results. For the statement "[AfDB] ensures that its bureaucratic procedures (planning, programming, administrative, monitoring and reporting) are synergised with those of its partners (for example, donors, UN agencies)" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	1, 3, 4, 5, 7, 12, 14, 18, 20, 22, 23, 25, 26, 27, 28, 29, 31, 32, 34, 35, 42, 43, 45, 46, 47, 49, 55, 57, 58
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3	AfDB staff in the economic research unit note that they work very closely with the WB, IMF, African thinktanks, universities, country level thinktanks (e.g. in Uganda, Nigeria, Uganda, Ethiopia, Senegal, Tunisia) so that bank operations are supported by strategic flagship research. The AfDB is particularly looking to leverage financing from the strategic drive by the international community to address climate change. AfDB has responded by establishing an Africa Climate Change Fund, a Sustainable Energy Fund for Africa, undertaking Climate Investment Funds (CIF) work (now totalling USD 8 billion), and becoming accredited under the Green Climate Fund (GCF). These initiatives are allowing AfDB to channel international climate finance to its RMCs.	
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change.	3		
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	3	The AfDB also has a strong strategic focus on enabling private sector investment across the different sectors it works in. For example, while in the past AfDB's energy work has focused on generation and transmission infrastructure, it is now moving towards improving the enabling environment to attract private investment in African energy markets.	

<p>Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change</p>	<p>2</p>	<p>Joint mutual reliance agreements lead to less fragmentation and transaction costs</p> <p>However, two country evaluations suggest that there is still progress to be made in reducing fragmentation between donors, and that the funds leveraged by AfDB in the countries have been relatively modest.</p>	
<p>Overall Score:</p>	<p>3</p>		
<p>Overall Rating:</p>	<p>Satisfactory</p>		<p>High confidence</p>

MI 6.5 Key business practices (planning, design, implementation, monitoring and reporting) coordinated with other relevant partners (donors, UN agencies, etc.) as appropriate.

Element	Score	Narrative	Source Documents
Element 1 : Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3	AfDB promotes the co-ordination with relevant partners through its key business practices, principles, and processes. Specific mechanisms for promoting co-ordination include processes for sharing lessons, processes for collaborating and dialogue, and co-financing processes. For example, the AfDB Group Operations Manual describes the option to develop Joint Country Assistance Strategy (JCAS) papers, which is a country-programming instrument undertaken jointly with other development partners. The AfDB Group's ISS document sets out the Bank's "commitment to harmonise environmental and social safeguards among MFIs and to co-ordinate with co-financing partners" (p.17).	15, 20, 22, 23, 25, 32, 29, 35, 38, 41, 42, 47, 48, 54, 56, 57, 58
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	3		
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	3	There is a lack of evidence on how well the Bank's mechanisms to promote co-ordination with partners work in practice. However, individual reviews and evaluations point to more joint activities being undertaken. For example, the Development Effectiveness Review 2015: Sierra Leone Country review notes harmonisation of disbursement triggers, an increased prevalence of co-financed projects and more joint missions with development partners. The IDEV Independent Evaluation of the Quality at Entry of Country and Regional Integration Strategies Summary Report states that: "the Bank has together with the WB established a joint project implementation unit for transport infrastructure which has led to joint review and supervision missions and to improved coordination in the transport sector interventions of the two institutions" (p.39).	
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN etc)	2		
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	2		
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	2	Evidence from the survey also indicates that performance in this area is strong. For the two statements "[AfDB] co-operates with development or humanitarian partners to make sure that financial co-operation in the country is coherent and not fragmented" and "[AfDB] prioritises working in synergy/partnerships as part of its business practice" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".	
Overall Score:	2.5		
Overall Rating:	Satisfactory		Medium confidence

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis

Element	Score	Narrative	Source Documents
Element 1 : Clear corporate statement on transparency of information	3	<p>The Bank's Disclosure and Access to Information (DAI) Policy provides an overall statement of its commitment to transparency and the sharing of information on its activities, particularly through keeping the public in RMCs and other institutions informed of Group activities as regularly and accurately as possible. A new Communications Strategy is under development to guide this and other documents and the HQ interviews confirmed further Bank processes for information sharing. For example, independent evaluation reports are shared with stakeholders both within the Bank and in RMCs, and the Group's ISS requires that monitoring reports are made publicly available.</p> <p>The evidence therefore shows that there are processes in place to ensure the sharing of information. There is no documentary evidence of how this is systematically done with project partners or independent verification of the nature and frequency of information shared, but most survey respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good" for the statement "[AfDB] shares key information (analysis, budgeting, management, results) with partners on an ongoing basis."</p>	2, 4, 5, 10, 11, 15, 27, 32, 36, 42
Element 2: The organisation has signed up to the International Aid Transparency Initiative	4		
Element 3: Information is available on analysis, budgeting, management in line with the guidance provided by the International Aid Transparency Initiative	3		
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	3		
Element 5: Evidence that information shared is accurate and of good quality.	3		
Overall Score:	3.2		
Overall Rating:	Highly satisfactory		Medium confidence

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented

Element	Score	Narrative	Source Documents
Element 1 : Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	3	<p>There is a reasonable body of evidence detailing the policies and standards in place for ensuring clear procedures for accountability to beneficiaries. These include: AfDB's Policy on Disclosure and Access to Information, and the AfDB's involuntary resettlement policy. One document, however, the AfDB Group Governance Strategic Framework and Action Plan 2014-18, suggests that although the policies are in place, the accountability mechanisms remain weak, due to the Bank often working in contexts where there is a lack of capacity and poor demand-side governance on the demand side.</p> <p>The Bank's ISS system is very well regarded, however, and it was one of the first multilateral development bank's (MDB) to have an integrated system. Every 2 to 3 years it is opened up to analysis by the MDB environmental and social working group, receiving positive reviews at the last assessment. No AfDB project goes to board without ISS clearance to indicate quality at entry and audits are undertaken yearly to ensure quality of implementation. Since the introduction of the ISS there has reportedly been a significant reduction in IRM usage.</p>	2, 3, 5, 11, 15, 18, 23, 29, 40, 41, 49, 46
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	3		
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	2		
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	3		
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	NE		
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	2		
Overall Score:	2.6		
Overall Rating:	Satisfactory		Medium confidence

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments

Element	Score	Narrative	Source Documents
Element 1 : Evidence of participation in joint performance reviews of interventions e.g. joint assessments	3	<p>It appears that AfDB operations and policies set out measures for promoting synergies with partners through mutual assessments of progress. Specific examples include a Bank organised joint workshop with the Government of Kenya to review the performance of the Bank-financed public sector projects in Kenya (described in the AfDB Group Kenya Country Strategy Paper 2014-18). Survey respondents mostly rated AfDB's performance as "Excellent", "Very good" or "Fairly good" for the two statements "[AfDB] conducts mutual assessments of progress in he country with national/regional partners" and "[AfDB] participates in joint evaluations at the country/regional level".</p> <p>The evidence from the Energy Development Effectiveness Review 2014 suggests that there is scope, however, to include stakeholders to a greater extent in assessments of progress and also to share findings and evaluation work with partners more systematically. Evaluation reports are shared with internal and external stakeholders once finalised so would be accessible to partners at that stage.</p>	9, 35, 38, 47, 48, 49, 56, 58
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	3		
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	3		
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	2		
Element 5: Surveys or other methods applied to assess partner perception of progress	2		
Overall Score:	2.6		
Overall Rating:	Satisfactory	Medium confidence	

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy

Element	Score	Narrative	Source Documents
Element 1 : Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4	<p>There is a large body of evidence demonstrating the key role that the AfDB is playing as knowledge broker for the African continent and its important and trusted role as a convener for policy dialogue. Documents which described AfDB knowledge products and deployment of knowledge base to support policy dialogue and advocacy include: the Bank's Strategy for 2013-22, One Bank Results Measurement Framework 2013-16, 2014 Annual Report, Independent Evaluation Strategy 2013-17, and the AfDB Group in North Africa - Annual Report. However, evidence from the IDEV Tanzania Country Strategy and Program Evaluation 2004-2013 suggests that dissemination of knowledge should be further enhanced as the level of external awareness in cases remains low.</p> <p>Evidence from the survey indicates that performance in this area is strong. For the three statements "[AfDB]provides high quality inputs to policy dialogue in the country", "[AfDB] provides high-quality inputs to policy dialogue at a regional level" and "[AfDB's]views are well respected in policy dialogue forums in the country" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".</p>	1, 2, 3, 4, 5, 9, 10, 11, 12, 14, 19, 22, 23, 25, 27, 28, 29, 31, 34, 35, 43, 46, 47, 48, 49, 56, 57, 58
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3	<p>The Development Research Department's (EDRE) principal activities include devising and undertaking a programme of research and analysis on priority social and economic development issues that support the Bank's policy and operations agenda and enriching the knowledge base of its regional member countries in a bid to reduce poverty and attain regional integration. (10)</p> <p>The Divisions within the department conduct a significant amount of research</p>	

<p>Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level.</p>	<p>3</p>	<p>for knowledge products, policy support etc. Three 3 flagship publications are published every year for the Bank, e.g. the African Development Report 2015, African Economic Outlook (in collaboration with UNDP, OECD, etc.), the Bank's own Annual Report, an Annual Competitiveness Report, the African Development Review (peer reviewed journal), working paper series (quick access to ongoing work in department). (10)</p> <p>AfDB also conducts thematic research – top level flagship research – where some of the evidence generated is used to influence the Bank's strategy. One such example is the book <i>Made in Africa</i> – a result of 5 years of collaborative research with Brookings and UN on industrial strategy, based on the Bank's experience. Another example is a Korean-supported project on agriculture, which led to 25 stories published in top peer-reviewed journals. (10)</p>	
<p>Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners</p>	<p>3</p>	<p>Although it is tricky to specifically track policy influence of AfDB's research, there seem to be direct effects of AfDB's efforts on countries. For instance, in Ethiopia, tax regulation is being stepped up after a research project was conducted there. Similarly, AfDB has recently been in discussions with the Nigerian Government on improving fiscal regulation following research there. (10)</p> <p>To monitor the use of its knowledge products, the COPM (performance management) tracks the number of website visits / online use (hits), citations, and internal use for operations. The Country economists of the Bank produce a comprehensive report on every country each year, which operational colleagues use. For every African country there is an almost 20 page long annex (total at least 1000 pages). Economic forecasts are included for every country. Occasional complaints and feedback from governments (South Africa, Ethiopia...) prove that they are being read. AfDB's publications are listed in global economic think tank databases, and AfDB is now categorised as a think tank. This represents significant improvement. Out of all thinktanks working on African issues globally, AfDB ranks among the top 20. (10)</p>	
<p>Element 5: Evidence that knowledge products are perceived as high quality by partners</p>	<p>3</p>	<p>AfDB is also engaged in country level studies e.g. about taxes and domestic resource mobilisation. In Ethiopia, AfDB worked with a local thinktank to look at the extent of tax avoidance. A randomised trial was used, involving 7000 businesses, in collaboration with the revenue authority who shared 140,000 tax files from corporations over 10 years. In this experiment, one group of randomly</p>	

<p>Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners.</p>	<p>3</p>	<p>selected businesses received letters, announcing that they would soon be audited, and had only 2 months to file their tax return. Attached was the law on tax evasion. Another group of businesses received a letter thanking them for their valuable contribution in terms of paying tax right amount on time, and noting the benefits this created for the country. And third control group was left alone. Evaluators then waited for them to file their tax returns to see what happened. Those who received the audit letter increased their tax returns by 56%. The complimentary letter also increased tax returns, by about 49%. Meanwhile, returns from those that did not receive a letter actually fell. This exposed a significant problem. AfDB is now designing a scheme for the revenue authority to monitor businesses on the basis of third-party information they already have. Also, every business is now linked with the VAT system and has to file VAT returns. (10)</p>	
<p>Overall Score:</p>	<p>3.17</p>	<p>Another impact evaluation was undertaken in Rwanda to test a health insurance scheme, introduced for self-employed workers. It is now claimed that 6% have health insurance. The impact evaluation team looked at the impact and produced a series of papers on health insurance in Rwanda. (10)</p>	
<p>Overall Rating:</p>	<p>Highly satisfactory</p>	<p>Climate finance knowledge products have also been produced; yet there have not been any particular efforts to track the results from those knowledge products given lack of time. (14)</p> <p>Agriculture-related knowledge products are not a focus for the operational team, and results from them are not being tracked. This seems to be a choice driven by the interests of the Department. (22)</p>	<p>High confidence</p>

Performance Area: Performance Management

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: Strong and transparent results focus, explicitly geared to function			
Overall KPI Rating	2.77	Overall KPI	Satisfactory

MI 7.1: Leadership ensures application of an organisation-wide RBM approach

Element	Score	Narrative	Source Documents
Element 1 : Corporate commitment to a result culture is made clear in strategic planning documents	4	Key corporate documents, including the Strategy for 2013-22, the ADF-13 Report, the 2015-17 Rolling Plan and Budget and the AfDB Annual Report 2014, show that the Bank has an explicit commitment by management to developing an organisation-wide focus on RBM. Evidence from the survey also indicates that AfDB appears to its stakeholders as committed to RBM. For the statement “[AfDB] prioritises a results based approach – for example when engaging in	1, 2, 3, 4, 5, 6, 9, 38, 50, 52, 58

Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	3	<p><i>policy dialogue, or planning and implementing interventions”</i> most respondents rated AfDB’s performance as “<i>Excellent</i>”, “<i>Very good</i>” or “<i>Fairly good</i>”.</p> <p>The One Bank Results Measurement Framework 2013-16 was approved by the Board in January 2014 specifically to underscore the importance of and provide the framework for managing for results. RMF is a management tool and therefore updated and redesigned as and when needed, for example to better reflect priorities under the new business model and track performance on delivering the High 5s. The RMF document notes the Bank’s reinforcement of tools, processes and systems to underpin the RMF. Guidance to staff, such as the Operations Manual, requires that tools such as Results-based Logical Frameworks (RLF), effective monitoring and evaluation, and Project Completion Reports, are used in order to support RBM.</p> <p>The Delivery and Performance Management Office (COPM) was established in 2014 and is deliberately situated very close to Board/presidency in the organisational structure, in order to allow the top level management to be driven by results. Staff now report feeling higher levels of engagement from the Bank leadership in relation to any reporting on performance and results. For example, when a new performance report is circulated, relevant regional directors will send follow-up emails to highlight those actions needed in order to act on the findings revealed. There is also some independent evidence of improvements in monitoring and evaluation practices being more ‘attuned to results’ but no overall evaluation of the extent to which an RBM culture has been achieved, which raises concerns amongst IDEV management.</p>	
Element 3: Guidance for setting results targets and develop indicators is clear and accessible to all staff	3		
Element 4: Tools and methods for measuring and managing results are available	3		
Element 5: Adequate resources are allocated to the RBM system	3		
Element 6: All relevant staff are trained in RBM approaches and method	3		
Overall Score:	3-17		
Overall Rating:	Highly satisfactory	High confidence	

MI 7.2. Corporate strategies, including country strategies, based on a sound RBM focus and logic

Element	Score	Narrative	Source Documents
Element 1 : Organisation-wide plans and strategies include results frameworks	3	<p>Evidence indicates that results orientation is increasingly embedded in the AfDB's work, and that at the country strategy level there are results frameworks in place and performance based decision making processes that are complemented by results based tools across the programme cycle. Survey respondents mostly rated AfDB's performance as "Excellent", "Very good" or "Fairly good" against the statement "[AfDB] insists on the use of robust performance data when designing or implanting interventions."</p> <p>However, there is still progress to be made as the country strategies do not have a portfolio orientation across the board and results are not firmly embedded in all aspects of the Bank's operations. IDEV staff suggested that improvements are required in several areas in particular: integrating RBM considerations at the design stage; setting realistic targets with a focus on outcomes as well as outputs; and ensuring that information gathering allows analysis and reporting of AfDB's specific contribution to observed results. These issues have been acknowledged and efforts are being made to address them, but there are indications that it will require further enhancements of operational staff capacity on RBM.</p>	<p>1, 2, 3, 4, 5, 7, 6, 9, 18, 28, 29, 32, 35, 42, 43, 46, 47, 49, 50, 51, 54, 55, 57, 58</p>
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	3		
Element 3: An annual report on performance is discussed with the governing bodies	3		
Element 4: Corporate strategies are updated regularly	3		
Element 5: The annual corporate reports show progress over time and notes areas of strong performance as well as deviations between planned and actual results	3		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 7.3: Results targets based on a sound evidence base and logic

Element	Score	Narrative	Source Documents
Element 1 : Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	2	<p>There is evidence of efforts being made to ensure that results targets are evidence-based and logical, as highlighted in The One Bank Results Measurement Framework (RMF) 2013-16 and AfDB's Operations Manual. Evidence pointing toward improvement in AfDB's use of results-based targets and quality programme logic. The RMF tracks around 100 performance indicators organised into four interconnected levels: Development progress in Africa (Level 1); the Bank's contribution to development in Africa (Level 2); Operational performance (Level 3) and; Organisational efficiency (Level 4). The sources of data include Bank and international data for Level 1. Level 2 data is an aggregation of data from project completion reports (PCRs). For Levels 3 and 4 data is collected within the Banks internal data systems.</p> <p>The quality of the portfolio is the proxy for the probability of results – providing the link from AfDB's portfolio to level 1 results. The theory of change and related assumptions between level 3 (operational performance) and level 2 (the Bank's contribution to development in Africa) does not appear to be systematically tested, however. This may be addressed further as the Bank's decentralisation continues, increasing the opportunity to test the evidence base for the assumptions made. A New RMF (2016-19) is also being designed to adjust the Bank's monitoring to reflect the five priority areas under the High 5s. It will maintain the four level structure but the internal architecture will be redesigned to fit the new business model.</p> <p>Several independent assessments have indicated that there is room for continued improvement, highlighting inherent design weaknesses and the need to more deeply embed an appropriate programme logic in country strategies, for example. Results targets do appear too ambitious with indicators primarily focused on the output level, relying on a 'leap of faith' to link them to observed changes at country level. Targets and indicators could therefore be strengthened to provide a more robust outcome focus.</p>	2, 29, 42, 50, 57, 58
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	3		
Element 3: Development of baselines are mandatory for new Interventions	3		
Element 4: Results targets are regularly reviewed and adjusted when needed	2		
Overall Score:	2.5		
Overall Rating:	Satisfactory		Medium confidence

MI 7.4: Monitoring systems generate high quality and useful performance data

Element	Score	Narrative	Source Documents
Element 1 : The corporate monitoring system is adequately resourced	3	<p>The RMF (2013-16) provides plans for solid monitoring and evaluation systems for AfDB, with a strong performance and results-based orientation. However, independent evaluations have identified gaps in the Bank's M&E systems with instances of weak indicators and/or data which means that the monitoring systems do not, across the board, produce high quality or useful performance data. Evidence from the survey indicates that this is not a concern shared by many survey recipients, though. For the statement "[AfDB] insists on the use of robust performance data when designing or implanting interventions" most respondents rated AfDB's performance as "Excellent", "Very good" or "Fairly good".</p> <p>COPM has developed several tools to aggregate and present monitoring data in a user-friendly format, with a priority being real-time performance operational data against delivery indicators. The key tools are the Executive Dashboard which provides early warning signals, anticipates delivery slippages and allows corrective actions to be taken. The live display is also reported to motivate staff to keep updating project entries. The 'flashlight' is another tool which provides portfolio-level analysis and monthly reporting, ranking performance by country and sector. It is uploaded to the AfDB intranet, highlighting the top and bottom 3 performers for each and covering other aspects related to HR, risks, travel etc. Relevant teams are required to develop 'turnaround plans', prioritising actions for those countries/sectors which are most critical. Quarterly, half yearly and annual reporting from the flashlight goes to the Board, more retrospective and projections, with less granularity. COPM also tracks the internet usage statistics.</p> <p>ORQR is the department responsible for results reporting, which is done through the annual DER reports but with a results dashboard intended to be launched in late 2016.</p>	<p>1, 2, 3, 4, 5, 6, 7, 22, 23, 25, 29, 38, 41, 42, 47, 48, 50, 51, 52, 53, 54, 55, 57, 58</p>
Element 2: Monitoring systems generate data at output and outcome level of the results chain	2		
Element 3: Reporting structures are clear	3		
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	3		
Element 5: A system for ensuring data quality exists	2		
Element 6: Data adequately captures key corporate results	3		
Overall Score:	2.67		
Overall Rating:	Satisfactory		High confidence

MI 7.5: Performance data transparently applied in planning and decision-making

Element	Score	Narrative	Source Documents
Element 1 : Planning documents are clearly based on performance data	3	<p>Evidence from the survey indicates that performance in this area is strong. For the statement “[AfDB] insists on basing its guiding policy and strategy decisions for its work in the sub-region on the use of robust performance data” most respondents rated AfDB’s performance as “Excellent”, “Very good” or “Fairly good”. The documentary evidence available is fairly light, but there is some evidence that annual performance data is used to inform decision making for the following year through the processes set out in the RMF (2013-16) and the Operations Manual.</p> <p>Nonetheless, evaluations have highlighted concerns about the degree that results monitoring is contributing to results management and decisions. Forthcoming additions such as the intended results dashboard suggest that AfDB recognises this as a gap. The performance dashboard is intended to allow for anticipatory decision making in terms of actions required to maintain operational and corporate performance, but there is currently a lack of a similar system for results delivery.</p>	1, 2, 42, 49, 50, 52, 54, 58
Element 2: Proposed adjustments to interventions are clearly informed by performance data	2		
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3		
Element 4: Performance data support dialogue in partnerships at global, regional and country level	2		
Overall Score:	2.5		
Overall Rating:	Satisfactory		Medium confidence

KPI 8: Evidence based planning and programming applied

Overall KPI Rating

3.06

Overall KPI

Highly Satisfactory

MI 8.1: A corporate independent evaluation function exists

Element	Score	Narrative	Source Documents
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (<i>operational independence</i>)	4	<p>AfDB's evaluation unit, IDEV, has an independent function with a role that is clearly defined and reflected in AfDB's corporate strategic documentation. IDEV is structured into 3 teams covering (i) infrastructure and the private sector; (ii) country and sector evaluations; and (iii) knowledge management, communications, and capacity building. The AfDB Independent Evaluation Strategy 2013-17 notes that the Bank's evaluation policy was revised in 2012 and that since 1993, the evaluation department has reported directly to the Board in a deliberate step to strengthen its independence.</p> <p>The AfDB takes steps to self-assess the independent evaluation function to ensure it adds value, with the last self-evaluation taking place 4 yrs ago and IDEV staff reporting that actions to address the issues raised are continuing to be implemented. A peer review led by IDB and EBRD heads of evaluation is taking place in late 2016 and an external evaluation of the evaluation function is planned in 3 years' time.</p>	1, 3, 4, 9, 25, 44
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (<i>Structural independence</i>)	4		
Element 3: The evaluation office has full discretion in deciding the evaluation programme	4		
Element 4: A separate budget line (approved by the Governing Body) ensures <i>budgetary independence</i>	4		
Element 5: The central evaluation programme is fully funded by core funds	4		
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	3		

Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated. (<i>Behavioural independence</i>)	3		
Overall Score:	3.71		
Overall Rating:	Highly satisfactory		High confidence

MI 8.2: Consistent, independent evaluation of results (coverage)

Element	Score	Narrative	Source Documents
Element 1 : An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	4	IDEV's work is covered by a three-year rolling workplan, with the current one being for 2016-19. The AfDB Independent Evaluation Strategy 2013-17 points to efforts from the AfDB to use resources effectively to ensure sufficient coverage, while also ensuring that learning is maximised. Although the Review of AfDB Program Evaluation Reporting 2007-2012 gives a clear sense that there have been gaps in the coverage and identifies a need to expand the coverage and quality of AfDB's evaluation function, IDEV's 2014 Annual Report indicates that in 2014 it completed the highest level of evaluations undertaken in a year to date and has continued to increase the evaluation coverage in 2015.	1, 2, 4, 5, 9, 10, 18, 22, 29, 44, 46, 63
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	3	IDEV is moving away from full stand-alone project evaluations towards evaluating a representative sample and/or thematic clusters. For example, in the energy sector a thematic evaluation for the period 2000 to 2014 is being undertaken, along with a cluster evaluation of rural electrification projects. AfDB's coverage includes corporate evaluations (e.g. budget management system) and policy and strategy evaluations. IDEV has not routinely undertaken impact evaluations, but AfDB reports experiencing pressure from donors in this regard. Two impact evaluations have now been completed and a commitment has been made to the Board to undertake at least one per year. The survey results show stakeholder perceptions that AfDB performs well in terms of clarity of evaluation coverage and delivery of evaluations for country operations.	
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	3		
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisations' Interventions, reflecting key priorities	3	AfDB has developed a new Project Results Assessment (PRA) tool which uses and builds on OECD-DAC criteria and is used for project completion reports (PCRs, or XSRs for private sector operations). This provides greater coverage than is possible with evaluations, but HQ interviews indicated that the learning that can be derived from PCRs is much more limited. There have also been quality issues, so that since 2016 IDEV has validated 100% of PCRs, with 25%	

Element 5: Evidence from sample countries demonstrate that the policy is being implemented	3	<p>being through field validation. This may divert some of IDEV's resources away from full evaluations, however.</p> <p>A comprehensive evaluation of development results (CEDR) is being carried out in 2016 which will provide a theory-based synthesis evaluation of the last 10 years of AfDB evaluations, including 14 country strategy evaluations, transport and energy thematic evaluations, and 175 PRAs.</p>	
Overall Score:	3.2		
Overall Rating:	Highly satisfactory		High confidence

MI 8.3: Systems applied to ensure the quality of evaluations

Element	Score	Narrative	Source Documents
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	4	<p>Several evaluation reports do suggest that there have previously been shortcomings in the quality of evaluations. However, it is apparent that measures are being taken by IDEV to ensure quality. These include creation of a peer review function, use of evaluation workshops to discuss preliminary findings with key stakeholders, publication of an evaluation manual, and use of a reference group for each evaluation (to ensure factual correctness, provide additional contextualisation and assist in developing recommendations). Staff at HQs noted that the use of workshops and Evaluation Reference Groups now means that there is virtually no disagreement on the recommendations received from evaluators.</p> <p>IDEV have also organised training for operations staff on impact evaluations, and is setting up an accreditation programme for evaluators to work with IDEV. IDEV is ramping up its review and validation of PCRs (which are considered 'self-evaluations') to 100%, with 25% subject to field validation, specifically to address quality concerns. This follows discrepancies between IDEV and self-evaluation ratings of project performance.</p>	2, 5, 9, 10, 44
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	3		
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	3		
Element 4: The methodology presented includes the methodological limitations and concerns	2		
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	2		
Overall Score:	2.8		
Overall Rating:	Satisfactory		Medium confidence

MI 8.4: Mandatory demonstration of the evidence base to design new interventions

Element	Score	Narrative	Source Documents
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	3	<p>AfDB's Evaluation Strategy suggests that the Bank draws upon evaluation recommendations when designing new interventions. The expressed reason for moving away from full stand-alone project evaluations towards evaluating thematic clusters is specifically to generate more relevant and consolidated lessons for future project design. The Management Action Record System (MARS) tracks the response of AfDB to IDEV evaluation recommendations and there are specific examples of new intervention designs being overtly influenced by the evidence base (see discussion under MI 8.7). Evidence from the survey was fairly positive: for the statement <i>"All new intervention designs of AfDB include a statement of the evidence base (what has been learned from past interventions)"</i> the majority of respondents rated AfDB's performance as <i>"Very good"</i> or <i>"Fairly good"</i>.</p> <p>There is, however, limited evidence on whether demonstration of the evidence case is actually mandatory for new interventions, or how compliance is ensured if it is. The ex-ante ADOA for private sector operations does consider what evidence the design was based on, but HQ staff noted that this is a subjective assessment.</p>	9, 50, 63, 71
Element 2: Clear feedback loops exist to feed lessons into new interventions design	3		
Element 3: There is evidence that lessons from past interventions have informed new interventions.	3		
Element 4: Incentives exist to apply lessons learnt to new interventions	2		
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	NE		
Overall Score:	2.75		
Overall Rating:	Satisfactory		High confidence

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed

Element	Score	Narrative	Source Documents
Element 1: A system exists to identify poorly performing interventions	4	AfDB has mechanisms in place to identify and provide corrective action to underperforming projects. This includes deliberate improvements to the quality of project supervision, for example with an electronic supervision processing tool, and a system for tracking projects at risk. COPM has several monitoring tools, although these report on delivery rather than results. The Executive Dashboard provides life information and early warning, so that slippages can be anticipated and corrective action taken. The Flashlight provides portfolio- level analysis, highlighting the top and bottom performers by country and sector, which leads to 'turnaround plans' being developed for the most critical.	2, 3, 4, 20, 22, 39, 46, 47, 48, 52, 55, 58
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	3		
Element 3: A process for addressing the poor performance exists, with evidence of its use	3		
Element 4: The process clearly delineates the responsibility to take action	3		
Overall Score:	3.25	Evidence suggests that the mechanisms in place have worked in practice (e.g. cancelling poorly performing projects and reallocating funds). Evidence from the survey also indicates strong performance. For the two statements "[AfDB] consistently identifies which interventions are under-performing" and "[AfDB] addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate" the majority of respondents rated AfDB's performance as "Very good" or "Fairly good". One evaluation reviewed (of ADOA) does identify a need for earlier corrective action for underperforming private sector operations.	High confidence
Overall Rating:	Highly satisfactory		

MI 8.6: Clear accountability system ensures responses and follow-up

Element	Score	Narrative	Source Documents
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	4	<p>The SMCC and operations committee are responsible for providing management responses and given 60 days to respond. However, there are examples of where management responses to evaluations are delayed, with each response currently taking an average of 66 calendar days and reported to be getting longer. HQ staff reported, for example, that by May 2016 there was still no management response for the power cluster evaluation that was finished in December 2015. They also suggested that the 60 day timeframe is too long and should vary according to the type of evaluation (as different types will require differing levels of attention in terms of management response).</p> <p>Following the introduction of Evaluation Reference Groups it is reported that there are few cases of recommendations being rejected, so this is an unlikely cause of delay. IDEV data shows that management have agreed with 93% of recommendations provided by evaluations with 7% partial agreement, during the time that the Management Action Record System has been active. Every evaluation management response is checked by the Operations Committee and then on to the SMCC. Issues with the 'quality' of the management response have been reported and IDEV is pushing for more consistency on this.</p> <p>AfDB has recently introduced the Management Action Record System (MARS) to track actions that the Bank has committed to in response to IDEV evaluation recommendations. This was created around 2013 and the first report on it was due to be presented to the Board in September 2016, following delays in transferring the system back to Abidjan. The ownership of the system lies with AfDB management, so that it is their responsibility to update it and undertake periodic validations of compliance. Evidence from the survey indicates that performance in this area is strong. For the statement "[AfDB] follows up any evaluation recommendations systematically" the majority of respondents rated AfDB's performance as "Very good" or "Fairly good".</p>	3, 4, 9, 10, 42, 71
Element 2: Management responses include an action plan and /or agreement clearly stating responsibilities and accountabilities	3		
Element 3: A timeline for implementation of key recommendations is proposed	3		
Element 4: A system exists to regularly track status of implementation	3		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	2		
Overall Score:	3.0		
Overall Rating:	Satisfactory		Medium confidence

MI 8.7: Uptake of lessons learned and best practices from evaluations

Element	Score	Narrative	Source Documents
Element 1: A complete and current repository of evaluations and their recommendations is available for use	3	There is evidence of AfDB having intent and systems in place or in development to support the uptake of lessons. Improving the uptake of lessons appears to be a continued work in progress, with various systems being fairly newly developed in response to organisation-wide recognition of the need to better integrate lesson-learning in the design of interventions and programmes. These systems include, for example: a database of projects completed since 2000, with project completion reports, independent review notes, project performance evaluation reports, and lessons learnt from project design and implementation; creation of a new IDEV division which has responsibilities including for knowledge management and learning; a new evaluation manual; the Management Action Record System (MARS); an evaluation knowledge management program; and new guidelines for regional integration strategy papers (RISPs) to ensure that lessons from midterm reviews of current RISPs inform future RISPs.	2, 3, 4, 5, 9, 10, 12, 18, 20, 22, 23, 25, 29, 31, 32, 35, 38, 42, 43, 44, 57, 58
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	3		
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	3	Specific products that bring together evaluative learning and thus facilitate its uptake are also being developed, such as the lessons learned database, the annual development effectiveness review (DER), the comprehensive evaluation of development results (CEDR) and thematic evaluations. Lesson learning from ISS is also being facilitated through 4yrs of audit reports being compiled into results to disseminate as learning points. The lessons learned are integrated into ISS's capacity building approach. IDEV also has a system, now 2 years old, of communicating lessons learnt from other MDBs to its operational teams.	
Element 4: A system is available and used to track the uptake of lessons learned	3		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	2	Some direct evidence of lessons having been applied has been observed. For example, AfDB's fragile states evaluation learning specifically led to creation of a new committee, and lessons from the current (2016) evaluation on energy were used to inform AfDB's new energy strategy. AfDB recognises that lessons are most likely used when evaluation timing correlates with new strategy development and IDEV aims to time evaluations to align with certain decision windows, such as at Board level for shaping the High 5s. Evidence from the survey also indicates that performance in this area is strong. For the statement "[AfDB] learns lessons from previous experience, rather than repeating the same mistakes" the majority of respondents rated AfDB's performance as "Very	
Element 6: Evidence is available that lessons learned and good practices are being applied	2		

Element 7: A corporate policy for Disclosure of information exists and is also applied to evaluations	NE	<p><i>good” or “Fairly good”.</i></p> <p>One aspect of poor performance under this MI was noted by HQ staff as where lessons are learnt but capacity issues constrain AfDB’s ability to address the problem. The example provided was around weak RBM, which was described as a known issue often highlighted by evaluations (weak target setting and inadequate results monitoring in project designs) but was felt still not to have been adequately addressed.</p>	
Overall Score:	2.7		
Overall Rating:	Satisfactory		Medium confidence

Performance Area: Results

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/country level, and contribution to normative and cross-cutting goals			
Overall KPI Score	n/a	Overall KPI Rating	Satisfactory

MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Organisations either achieve at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives are achieved</i></p>	<p>The AfDB's Results Measurement Framework suggests the Bank largely meets or exceeds its development objectives. This view is supported in internal reviews of country performance where many of AfDB's projects performed well. Strong strategic achievement is evident; with the Bank meeting all of it's the [Transition Management Support] Strategy objectives. Documentation points to strong performance by country level interventions in Kenya and Sierra Leone. The AfDB has met or exceeded the majority of its delivery indicators between 2013 and 2015.</p> <p>However, independent evaluations and internal reviews highlight some concerns regarding energy and access to finance in rural areas. Mixed performance in private sector is noted, with a private equity investments evaluation reporting that: "the Bank's support to private sector development was limited and below initial expectations, although the few private sector operations funded were largely effective and fully viable"</p> <p>Given the Bank's institutional objectives, an independent evaluation of the Bank's Additionality and Development Outcome Assessment for private sector operations states that AfDB's Development Outcome ratings are lower than what should be acceptable to the Bank.</p>	<p>2, 32, 33, 35, 46, 47, 48, 49, 50, 56, 57, 58, 66</p>
		High confidence

MI 9.2 Interventions assessed as having realised the expected positive benefits for target group members

Rating	Narrative	Source Documents
<p style="text-align: center;">Unsatisfactory</p> <p><i>Interventions have resulted in no or very few positive changes experienced by target group members. These benefits may include the avoidance or reduction of negative effects of a sudden onset or protracted emergency</i></p>	<p>Documentation suggests positive performance in private sector support for operations helping to meet the demand of small borrowers and microfinance institutions. The Bank met some of the 2013-15 delivery indicators in the areas of creating or improving access to water and education, but fell short of others, e.g. in access to health services and vocational training.</p> <p>However, strategy evaluations for Ethiopia and Tanzania highlight areas of concern. For instance, interventions there only met a lesser %age of the intended target group members, and the overall contribution to improved access to services has been below expectations.</p> <p>There is limited evidence for this MI, but the evidence available suggests that attainment of positive results for beneficiaries is below expectations.</p>	<p>46, 57, 58, 66</p> <p style="text-align: right; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programs (policy and capacity impacts), or needed system reforms

Rating	Narrative	Source Documents
<p>Highly satisfactory</p> <p><i>Interventions have made a substantial contribution to either re-orienting or sustaining effective national policies and programmes in a given sector or area of development disaster preparedness, emergency response or rehabilitation. The supported policies or programmes are expected to result in improved lives of target group members</i></p>	<p>Information from several country-level assessments indicates positive performance on this indicator.</p> <p>Evidence from Sierra Leone reflects the AfDB's positive contribution to changes in national development programmes. An independent evaluation of country strategy in Ethiopia describes how the Bank helped Sierra Leone to become EITI compliant through its advisory work and supported mainstreaming of cross-cutting issues. AfDB has made a useful contribution to national programmes by undertaking convincing analytical work to engage the Government of Ethiopia.</p> <p>The limited evidence shows cases where AfDB is supporting significant changes in national policy and capacity development for national authorities and toward valued analytical outputs. Such cases demonstrate an understanding of how to affect change in national development agendas/ processes.</p>	<p>47, 57</p> <p>Medium confidence</p>

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women

Rating	Narrative	Source Documents
<p style="text-align: center;">Unsatisfactory</p> <p><i>Interventions either lack gender equality objectives or achieve less than half of their stated gender equality objectives. (Note: where a programme or activity is clearly gender-focused (maternal health programming for example) achievement of more than half its stated objectives warrants a satisfactory</i></p>	<p>AfDB has satisfactory gender-equality outcomes and gender-informed design. 78 % of Bank projects had satisfactory gender-equality outcomes and internal documentation finds that more than half of AfDB's public sector projects have reported gender equality results.</p> <p>The Bank's gender work now cuts across sectoral operations, and it now incorporates gender performance indicators in all projects. It is recognised in an internal review that the Bank still needs to promote innovative solutions to enable women to be more active in business and more engaged in the economic, social and institutional areas of public life.</p> <p>There has been a considerable increase in the proportion of CSP's with gender-informed design (89% as compared with 75%). Further, AfDB has sought to intensify its efforts, through a Gender Action Plan for the Bank, implemented from 2015. The Bank has stated its intention to strengthen expertise by creating a cadre of gender specialists.</p> <p>However, limitations remain. In Ethiopia and Tanzania, the majority of the Bank's interventions reportedly did not integrate inclusiveness issues satisfactorily. Despite a good and improved gender analysis (more at project than CSP level), country evaluations have found that the Bank's struggled to translate this into practice. A lack of gender-disaggregated indicators largely prevented the measurement of gender-related outcomes, such as improved access to social services or the reduced burden for fetching water/fuelwood.</p> <p>Although internal assessment concludes that there has been significant progress in achieving gender outcomes, independent country evaluations indicate that there have been gaps in the implementation of project inclusiveness and in delivering improvements in women's empowerment and gender equality. It appears that although there have been some improvements, in practice the AfDB's work is not sufficiently inclusive and it is not as yet delivering real benefit toward women's empowerment and gender equality.</p>	<p>5, 12, 46, 47, 48, 56, 57, 58, 66</p> <p style="text-align: right; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions include some planned activities and project design criteria to ensure environmental sustainability and help tackle climate change. These activities are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change</i></p>	<p>There is a reasonable body of evidence of positive performance in AfDB's efforts to improve environmental sustainability and helping tackle the effects of climate change. A majority of AfDB projects had satisfactory measures to minimise any negative social or environmental impacts. AfDB's Climate Change action plan sets out targets and performance for investments in different sectors.</p> <p>However, some concerns emerge in the country evaluations for Ethiopia and Tanzania, which note that the number of operations supporting the transition to green growth remained limited. At project level, environmental issues were generally considered only in relation to the required safeguards. Concrete interventions were later adopted – for example, in the field of renewable energy. However, the few concrete interventions in this field have either just been initiated or are still in the pipeline and consequently, no results can be reported.</p> <p>Interviews with AfDB staff suggest the Bank does not routinely assess ex-post climate relevant outcomes. The Bank's climate change action plan is viewed as having performed fairly well in meeting it's objectives, but there is uncertainty whether a report on the plan's results will be produced.</p>	<p>5, 13, 46, 55, 56, 57, 58</p> <p>Medium confidence</p>

MI 9.6: Interventions assessed as having helped improve good governance

Rating	Narrative	Source Documents
<p style="text-align: center;">Satisfactory</p> <p style="text-align: center;"><i>Interventions include some planned activities and project design criteria to promote or ensure 'good governance'. These activities are implemented successfully and the results have promoted or ensured 'good governance'</i></p>	<p>AfDB assesses its overall progress in promoting better governance and accountability by drawing on a Country Policy and Institutional Assessment score for each country. By comparing these scores before and after AfDB's projects, the Bank can gauge whether they are having a positive influence. The AfDB has judged in an internal review that it has achieved its strongest results in the areas of quality of public administration and improving procurement systems. The review also outlines credible results on budgeting and financial management and public sector transparency, accountability and corruption mitigation. The Bank has been less successful in helping countries improve their competitive environment.</p> <p>The AfDB's Annual Developmental Effectiveness Review 2016 finds that of countries in which the Bank has supported relevant reforms, 100% improved their public administration and 94% their financial management.</p> <p>Several independent documents identify shortcomings limiting effectiveness and impact of governance work. For example, independent evaluation of the Bank's Additionality and Development Outcome Assessment (ADOA) has found that the generally good quality of products was offset by the weak dissemination and the large number of Bank staff who were not aware of ADOA knowledge products. Weaknesses in knowledge management impede the learning process and diminish the ability of OPSM staff to use ADOA-related knowledge to improve on-going and future operations.</p> <p>IDEV's Tanzania Country Report found that the magnitude of the impact of the support in governance areas was reduced by shortcomings in the quality of policy dialogue. Reduced 'ownership of the Government of Tanzania, combined with a sometimes complex and cumbersome performance assessment framework process hindered a more effective dialogue on reform.</p>	<p>46, 47, 55, 56, 58, 66</p> <p style="text-align: right; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the multilateral organisation works towards results in areas within its mandate

Overall KPI Score	n/a	Overall KPI Rating	Highly Satisfactory
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MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group</i></p>	<p>Overall, the document review found limited information on the Bank's performance related to responding to the needs and priorities of target groups.</p> <p>There is some evidence pointing to AfDB's positive performance in interventions and activities responding to the needs and priorities of target groups. The Bank responded quickly to the Ebola crisis, approving USD 60 million in urgent funding to help local health systems respond to the crisis. This emergency funding helped break the transmission chain and support the three countries' response programmes. The AfDB then approved a three-year, USD 150 million project to address some of deficits in national health systems exposed by the crisis. However, it has been noted that beneficiaries' needs are not always thoroughly documented</p> <p>Evidence suggests that the Bank's new approach to fragile situations is leading to quicker, more responsive disbursements to eligible low-income countries, suggesting increased flexibility to meet their needs.</p>	<p>46, 47, 68</p>
		<p>Medium confidence</p>

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives

Rating	Narrative	Source Documents
Highly satisfactory <i>Interventions are have played a major role in the achievement of specific national development goals or have contributed to meeting humanitarian relief and recovery objectives agreed to with the national government and/or humanitarian community</i>	There is evidence of positive performance in AfDB interventions and activities that are seen to contribute to the realisation of national development goals. Positive performance is seen in specific initiatives, for example in the area of road transport in Tanzania. There, the Banks's financial support was considered 'essential' to improve a large proportion of the country's network (a key national development issue) and leading to better outcomes for communities. Evidence points to alignment with successive national development strategies and to the AfDB being seen as a constant partner to national governments.	47, 53, 57, 58
		Medium confidence

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem

Rating	Narrative	Source Documents
Satisfactory <i>The organisation has improved the effectiveness of its partnership relationship with partners over time and improvements are noted in evaluations</i>	There is limited evidence available to assess AfDB's performance under this MI. The documents reviewed suggest limited positive performance in ensuring coherent responses to identified problems. There is evidence highlighting AfDB's intent to ensure that actions are part of a coherent response, contributing towards the different targets clearly set out in the AfDB's Development Effectiveness Framework. However, evidence from one independent country evaluation points to fragmentation of support among different sub-sectors hindering the achievement of a 'critical mass' of outcomes in any one of those sub-sectors.	46, 58
		Medium confidence

KPI 11: Results delivered efficiently			
Overall KPI Score	n/a	Overall KPI Rating	Satisfactory

MI 11.1: Interventions assessed as resource/cost efficient

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Results delivered when compared to the cost of activities and inputs are appropriate even when the program design process did not directly consider alternative program delivery methods and their associated costs</i></p>	<p>There is evidence of efficient disbursement through the use of country systems and predictable disbursements. Channelling AfDB funds through a government's own systems is described as being more efficient in terms of transactions. An internal review found that this reduces costs, and puts the Bank in a better position to help strengthen those systems. The Bank reported achieving 75% predictable disbursements, which was close to their target of 76%.</p> <p>AfDB has taken key efficiency measures including: increasing its field presence, reducing fragmentation, and aligning with national systems. Independent Country Evaluations have highlighted concerns regarding operational and institutional efficiency.</p> <p>While AfDB has enhanced its business practices, there are still administrative challenges to efficiency. There is a lack of clear guidelines for staff preparing policy and strategy documents. The absence of a consistent technical quality assurance process, has also been noted, 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 for complex tasks. 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 customisation.</p> <p>Other specific gaps in efficiency include absence of solid databases and the slow preparation of Country Strategic Papers. Overall challenges highlighted include challenges with respect to team composition and underlying incentives which do not systematically foster teamwork, and generic problems and specific project implementation difficulties. Overall, at the country level, several examples were noted where poor operational efficiency characterised the Bank's assistance.</p>	<p>46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58</p>
		High confidence

MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)

Rating		Source Documents
<p>Satisfactory</p> <p><i>More than half of intended objectives of interventions are achieved on time, and this level is appropriate to the context faced during implementation, particularly for humanitarian interventions</i></p>	<p>Evidence against this MI is mixed. Internal documents point to improved performance in the timeliness of disbursements and overall timeliness of the portfolio. There is evidence of strong performance in “delivering effective and timely operations”, where two out of three sub-headings related to timeliness achieved or are within 90% of achieving target.</p> <p>However, independent sources suggest that in practice there is lag time in programme implementation, and lack of progress in key areas. Concerns have been raised about the timeliness of implementation and the need for improvement, even though delays are sometimes due to external challenges. Project delays are a particular concern; several projects have been held up by delayed Parliamentary ratification, slow recruitment of experts, and the need to secure loan approvals from other financiers.</p> <p>Documentation also points to implementation delays due to poor project readiness and unrealistic timelines in the project design. It is noted that target dates for delivery are unrealistic for about one-third of the commitments. Factors contributing to delays include the complexity of commitments, lack of planning for timely delivery, and inadequate institutional resources and coordination. Unlike in key comparators, the Bank tends to approve policies and strategies on the basis that appropriate supporting guidance will be drawn up later. In practice the time lag can be significant, and this necessarily impacts on the speed and quality of implementation, especially where major changes have been agreed.</p>	<p>46, 47, 48, 49, 50, 51, 52, 53, 57, 58</p> <p>High confidence</p>

KPI 12: Sustainability of results			
Overall KPI Score	n/a	Overall KPI Rating	Satisfactory

MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations, to recover, resilience eventually, to longer-term developmental results

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Evaluations assess as likely that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, the strategic and operational measures to link relief to rehabilitation, reconstruction</i></p>	<p>AfDB's Country Programs present a mixed picture of the likelihood that benefits will continue after programme completion. Discussions around sustainability that have been identified in independent evaluations tend to focus on infrastructure, with evidence of both positive performance in projects assessed as having ensured sufficient technical capacity to maintain installed infrastructure, and poor performance in other projects due to unfinished infrastructures and poor maintenance capacity.</p> <p>In some cases, it is evident that contextual factors cause significant risks to sustainability. The evaluations also make it clear that contextual factors often add to the challenges to ensuring sustainability, such as changes in the responsibilities of ministries.</p>	<p>56, 57, 58</p> <p>Medium confidence</p>

MI 12.2: Interventions/activities assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government

Rating		Source Documents
<p style="text-align: center;">Satisfactory</p> <p style="text-align: center;"><i>Interventions may have contributed to strengthening institutional and/or community capacity but with limited success</i></p>	<p>There is evidence of positive performance in evaluations in relation to AfDB's efforts toward national capacity building for sustainability. Reviews and independent evaluations provide examples of where capacity building has specifically been incorporated into intervention design for sustainability purposes. Some success in achieving capacity building is demonstrated, for example through increased knowledge and technical skills among the country team, including among locally engaged staff, being in turn passed on to national counterparts.</p> <p>However, independent evaluations also identify examples of unmet needs for national capacity, such as a need for monitoring and evaluation capacity building within countries to improve development effectiveness in the longer-term. There was a view from some HQ staff that although some Bank operations include budget lines for capacity development at the design stage, this may not always end up being used for capacity development during implementation. The Independent Evaluation of the Operational Procurement Policies and Practices of the AfDB report identifies concern around limited results from capacity building efforts within Bank initiatives in public procurement reform.</p>	<p>47, 53, 54, 55, 56, 57, 58</p> <p style="text-align: center;">Medium confidence</p>

MI 12.3. Interventions/activities assessed as having strengthened the enabling environment for development

Rating		Source Documents
<p style="text-align: center;">Satisfactory</p> <p>Interventions have made a notable contribution to changes in the enabling environment for development including one or more of: the overall framework and process for national development planning; systems and processes for public consultation and for participation by civil society in development planning; governance structures and the rule of law; national and local mechanisms for accountability for public expenditures, service delivery and quality; and necessary improvements to supporting structures such as capital and labour markets</p>	<p>There is limited documented evidence around the extent to which the Bank is a positive contributor to the enabling environment for development. The AfDB's Annual Development Effectiveness Review states that a key principle underlying the Bank's work is the importance of staying engaged. This is in itself an important ingredient to the process of building a more enabling environment for development and one that plays to the Bank's strengths. Even in deteriorating situations the Transition Support Facility (formerly Fragile States Facility) continues to play a vital role in this context, providing additional resources and a flexible instrument with which to engage in fragile situations.</p>	<p>46</p> <p style="text-align: right; background-color: #0056b3; color: white; padding: 5px;">Medium confidence</p>

Annex 2: List of documents analysed for AfDB
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Full name of document:
ADF (2013), <i>Report Supporting Africa's Transformation</i>
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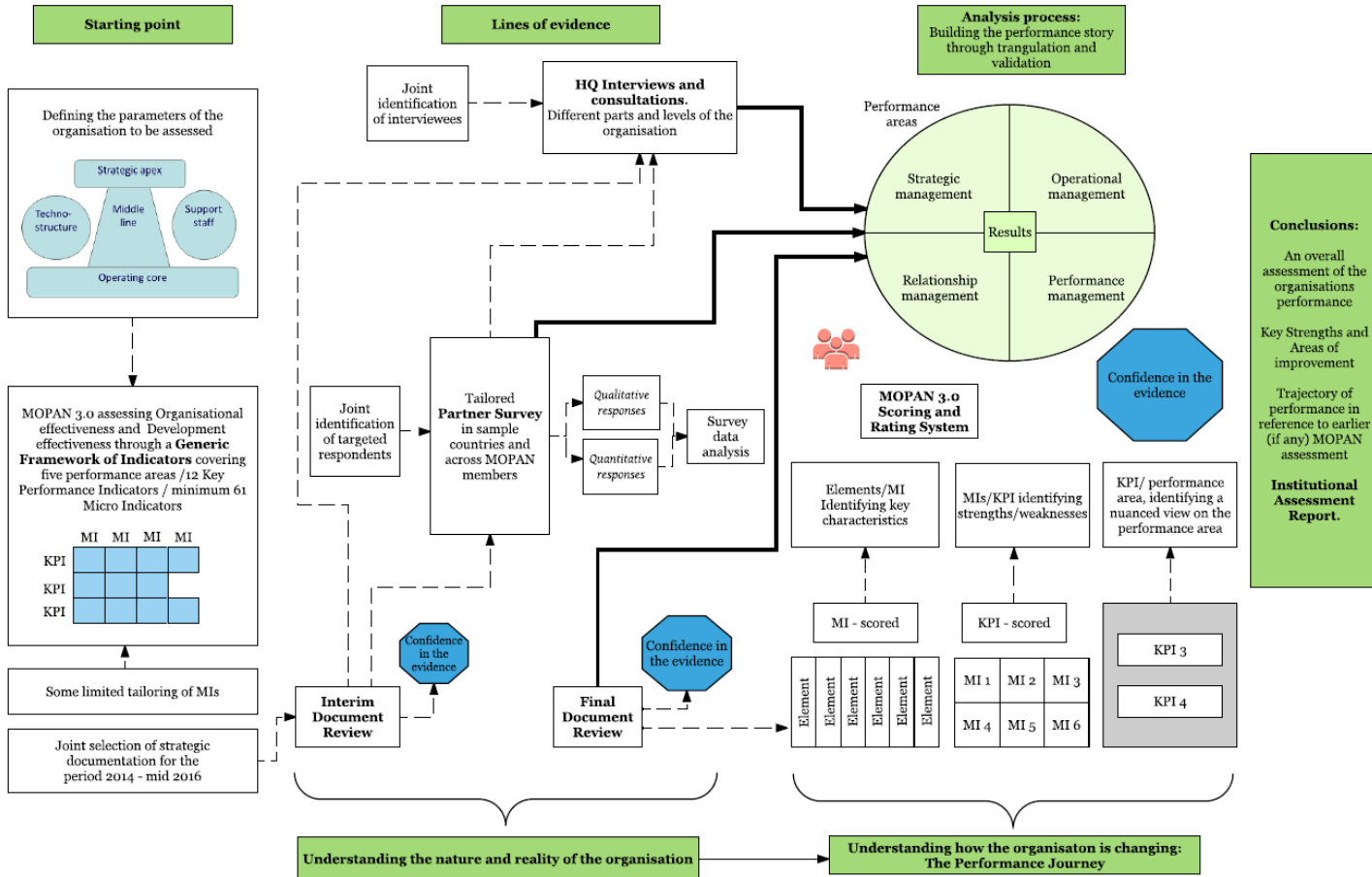
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57	IDEV (2015), <i>Ethiopia Country Strategy and Program Evaluation 2004-2013 Summary Evaluation Report</i>
58	IDEV (2016), <i>Tanzania Country Strategy and Program Evaluation 2004-2013 Summary Report</i>
59	IDEV (2016), <i>Private Equity Investments Evaluation</i>
60	IDEV (2016), <i>Support to SMEs Evaluation</i>
61	IDEV (2015), <i>PPPs stocktaking</i>
62	IDEV (2015), <i>Cluster evaluation on power interconnection</i>
63	IDEV (2016), <i>Annual Report 2015: Strengthening Impact</i>
64	AfDB (2016), <i>Group Proposal to Redesign the Bank's Development and Business Delivery Model</i>
65	AfDB (2010), <i>Group Agriculture Sector Strategy 2010-2014</i>

66	AfDB (2016), <i>Group Annual Developmental Effectiveness Review 2016: Accelerating The Pace of Change</i>
67	AfDB (2012), <i>Group Framework for Enhanced Engagement with Civil Society Organizations</i>
68	AfDB (2015), <i>Group Progress on the Bank Group's Fragility Agenda and the Use of the Transition Support Facility</i>
69	IDEV (2015), <i>Project Performance Assessment for Public Sector Projects: Rating Guidance Note</i>
70	IDEV (2015), <i>Project Results Assessment for Private Sector Projects: Rating Guidance Note</i>
71	AfDB (2015), <i>Group Management Action Record System (MARS): A New Automated System To Track Bank Management Follow up of IDEV Evaluation Recommendations</i>

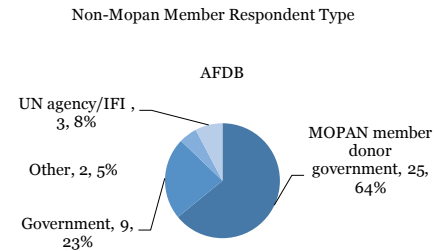
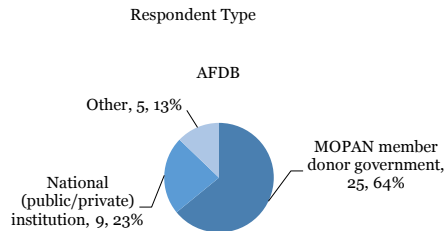
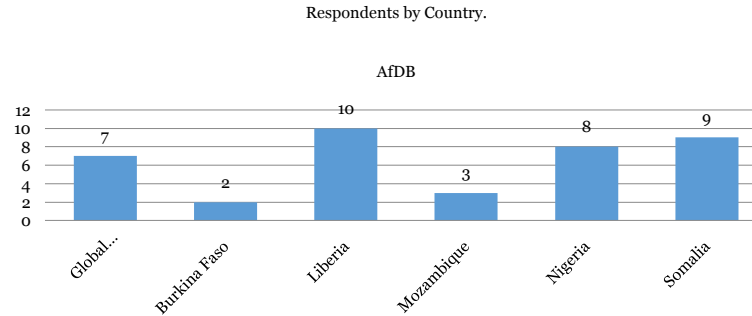
Annex 3: Process map of the MOPAN 3.0 assessment of AfDB



Annex 4: Results of the MOPAN survey of partners of AfDB

An Evidence Stream for the MOPAN 3.0 assessment of AfDB, 2016

Total number of responses for AfDB Survey: 39

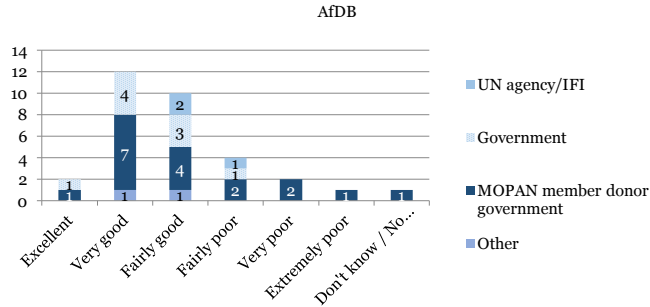


Respondents who identified their geographical focus as "global" were not asked the questions which were only relevant to respondents with a specific country focus. This will be highlighted for the individual questions below.

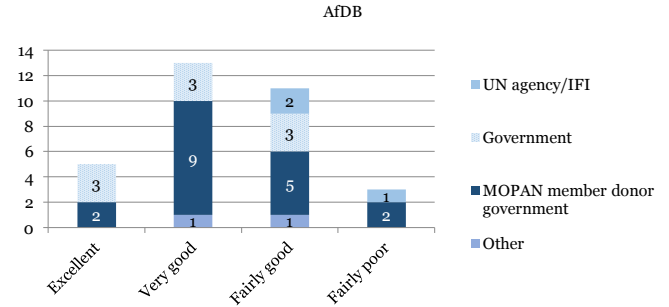
Staffing

How well do you think AfDB performs in the areas below.

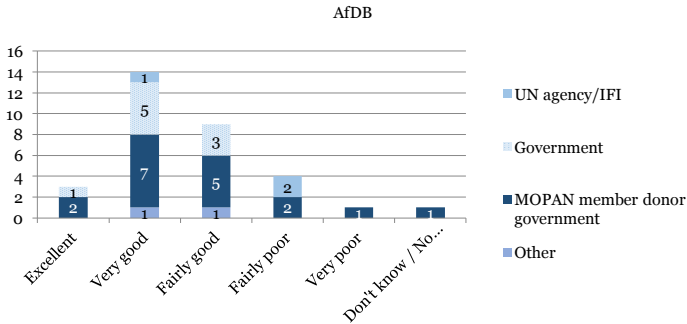
It has sufficient staffing in [the region] to deliver the results it intends in the country.



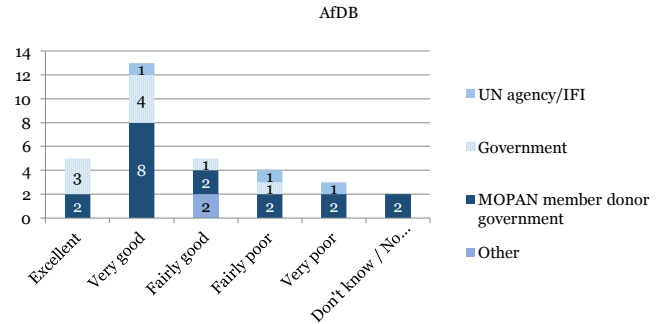
Its staff are sufficiently senior/experienced to work successfully in the country.



It has sufficient continuity of staff to build the relationships needed in the country.



Its staff can make the critical strategic or programming decisions locally in the country.



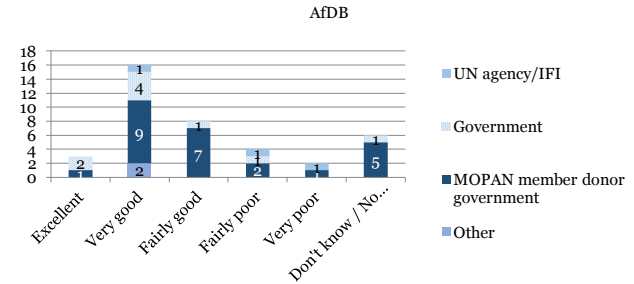
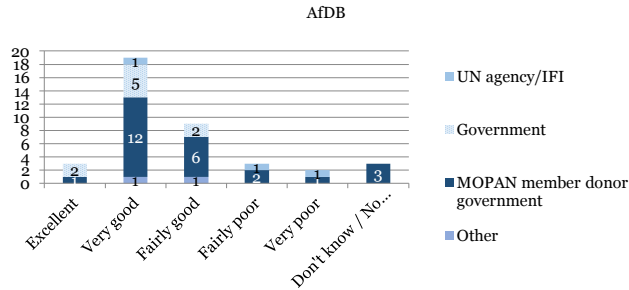
Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

Managing Financial Resources

How well do you think AfDB performs in relation to the statements below?

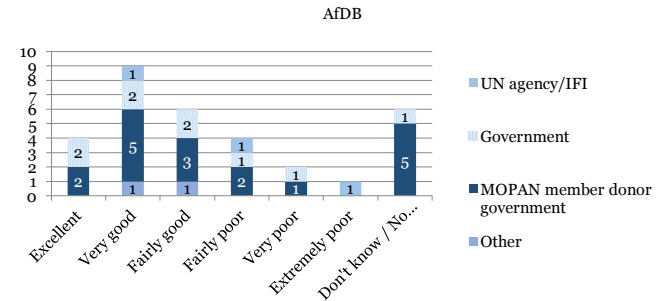
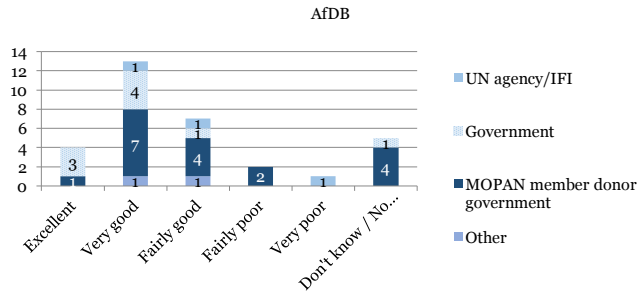
It communicates openly the criteria for allocating financial resources (transparency).

It provides reliable information on how much and when financial allocations and disbursement will happen (predictability).



It co-operates with development or humanitarian partners to make sure that financial co-operation in the country is coherent and not fragmented.

It has enough flexible financial resources to enable it to meet the needs it targets in the country.

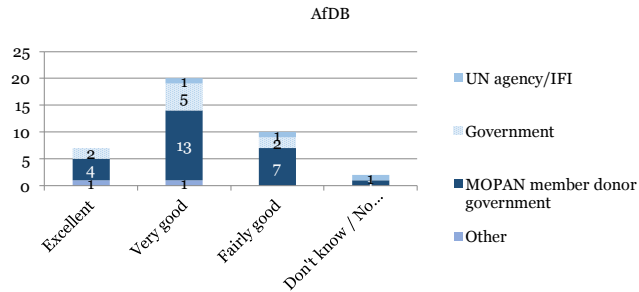


Respondents who identified their geographical focus as "global" were not asked to answer the two lower questions since it is only relevant to respondents with a specific country focus.

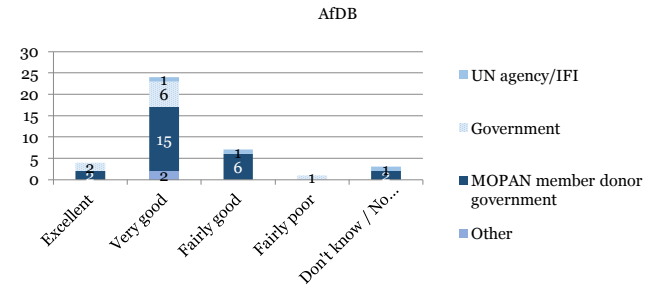
Interventions (Programmes, projects, normative work)

How well do you think AfDB performs in relation to the areas below?

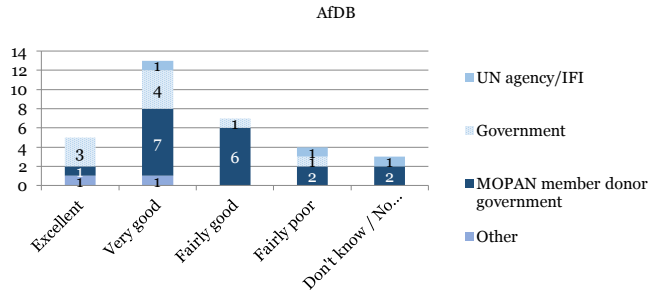
Its interventions are designed and implemented to fit with national programmes and intended results.



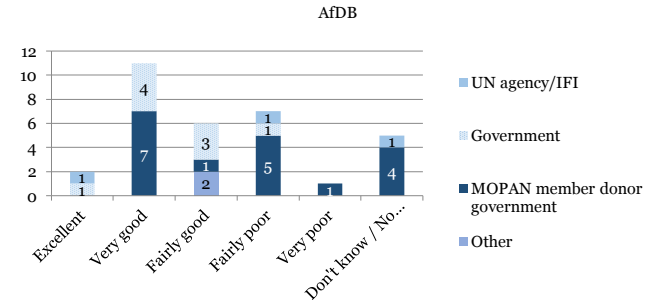
Its interventions are tailored to the specific situations and needs of the local context.



Its interventions are based on a clear understanding of why it is best placed (comparative advantage) to work in the sectoral and/or thematic areas it targets in the country.



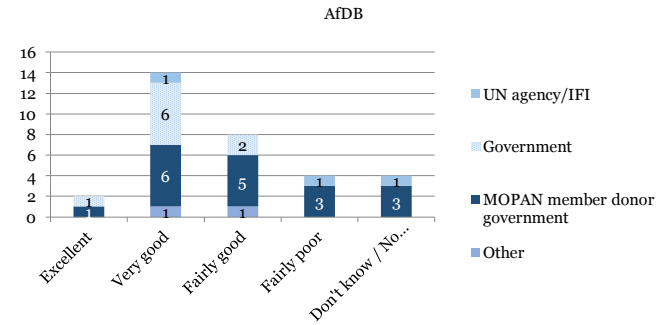
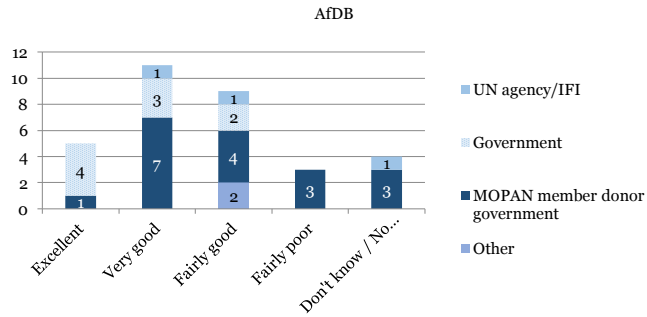
It adapts or amends interventions swiftly as the context in the country changes.



Respondents who identified their geographical focus as "global" were not asked to answer the two lower questions since it is only relevant to respondents with a specific country focus.

Its interventions in the country are based on realistic assessments of national / regional capacities, including government, civil society and other actors.

Its interventions appropriately manage risk within the context of the country.

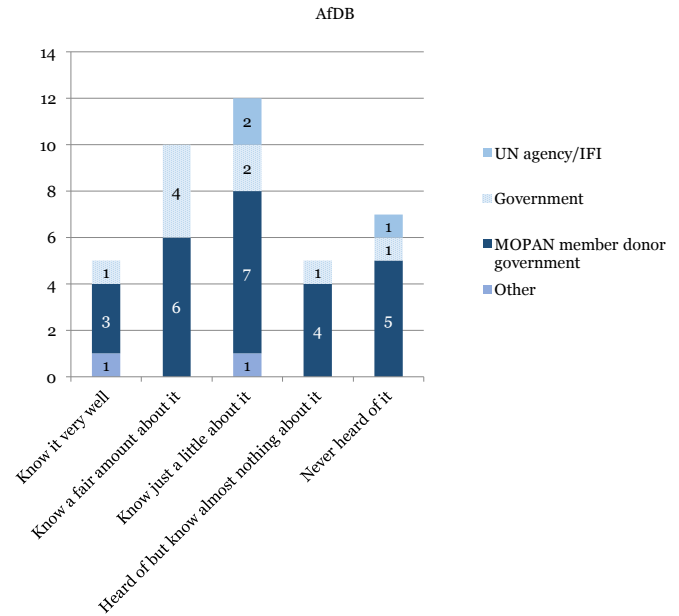
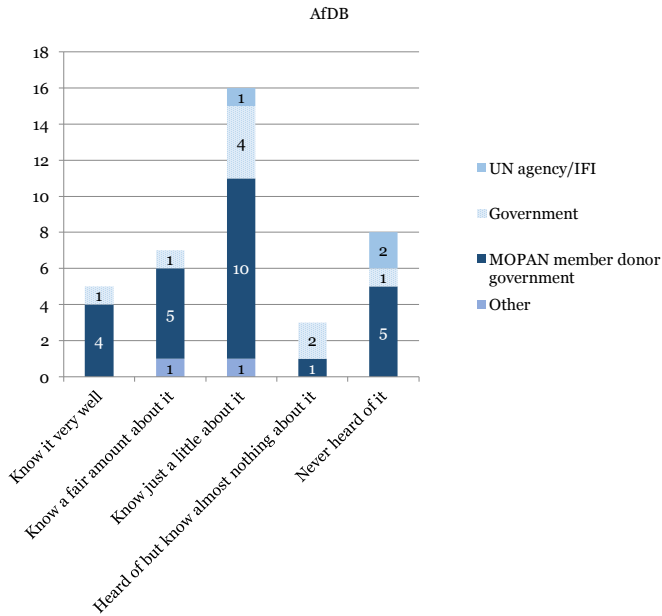


Interventions (Cross cutting issues), Part 1

How familiar are you with each of the following.

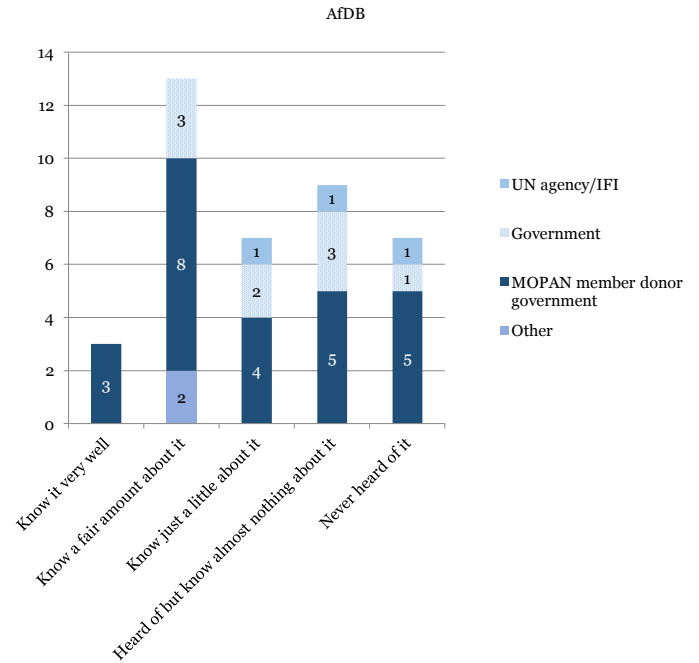
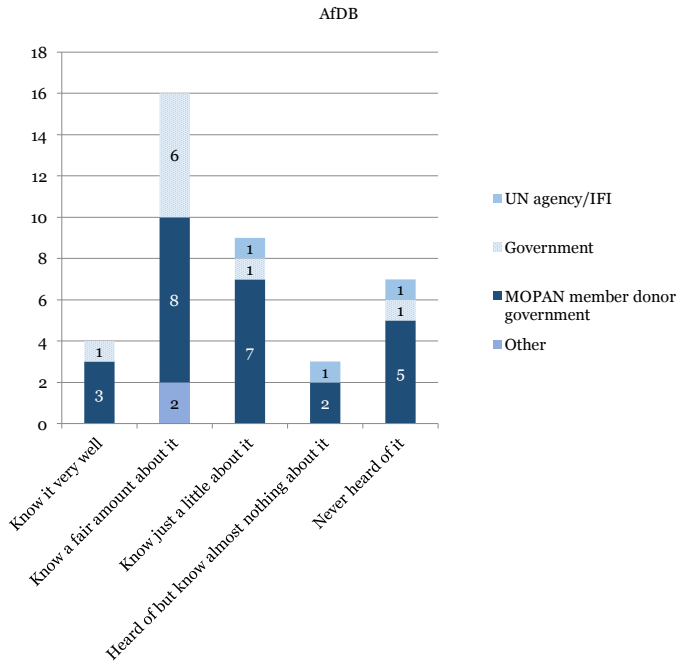
The Investing in Gender Equality for Africa's transformation: The Gender Strategy 2014 – 2018 of the country.

The Investing in Gender Equality for Africa's transformation: The Gender Strategy 2014 – 2018 of the country.



The strategy of the country setting out how it intends to engage with promoting good governance (for example, reduced inequality, access to justice for all, impartial public administration, being accountable and inclusive at all levels) - The AfDB Group Governance Strategic Framework and Action Plan (GAP II) 2014-2018: Promoting Good Governance and Accountability for Africa's Transformation.

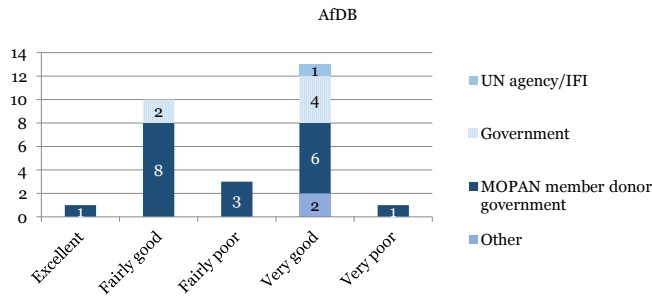
The strategy of the country on building human capital – The AfDB Human Capital Strategy 2014-2018: One Billion People One Billion Opportunities: Building Human Capital in Africa.



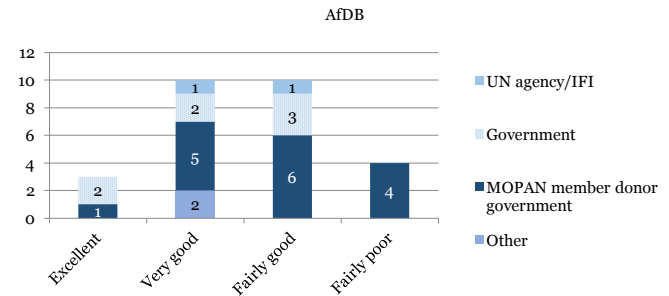
Interventions (Cross cutting issues), Part 2

How well do you think AfDB performs in relation to the priorities/areas stated below?

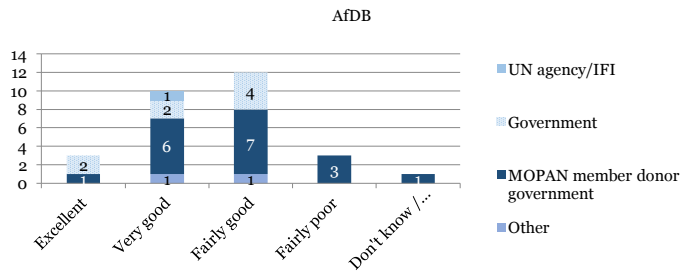
It promotes gender equality, in all areas of its work.



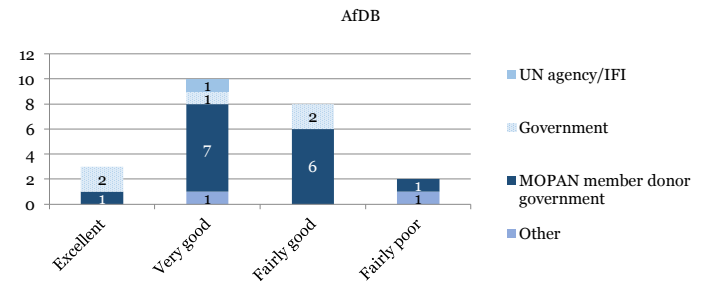
It promotes environmental sustainability and addresses climate change in all relevant areas of its work.



It promotes the principles of good governance in all relevant areas of its work (for example, reduced inequality, access to justice for all, impartial public administration, being accountable and inclusive at all levels).



It promotes the building of human capital in all relevant areas of its work.

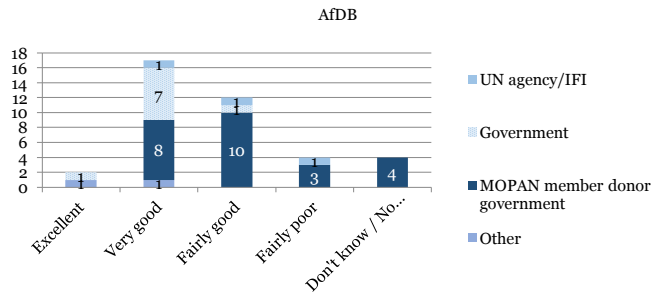


Respondents who identified in 'Interventions (Cross cutting issues), part 1 that they know almost nothing or have never heard about the priority/area, have not been asked to answer these questions since it is only relevant to respondents with at least a little knowledge about it.

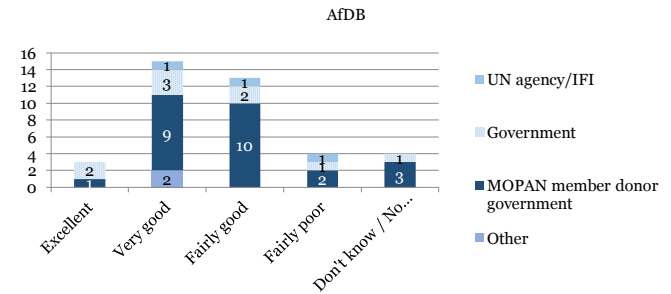
Managing relationships

How well do you think AfDB performs in relation to each of these areas?

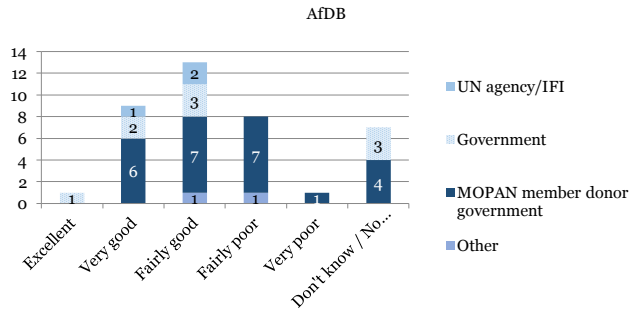
It prioritises working in synergy/ partnerships as part of its business practice.



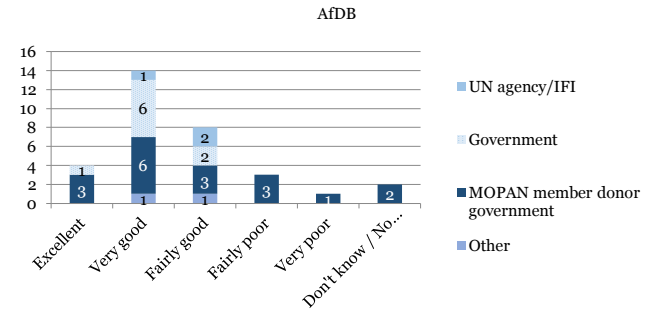
It shares key information (analysis, budgeting, management, results) with partners on an ongoing basis.



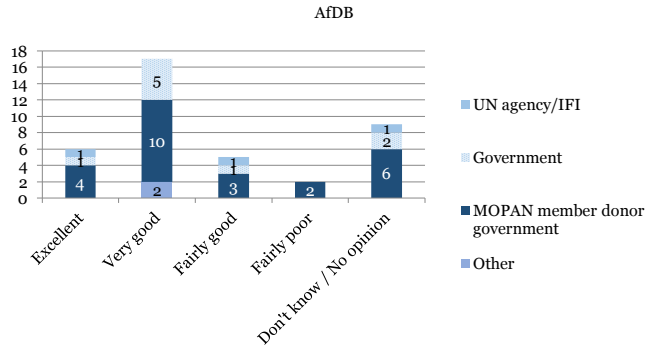
It ensures that its bureaucratic procedures (planning, programming, administrative, monitoring and reporting) are synergised with those of its partners (for example, donors, UN agencies).



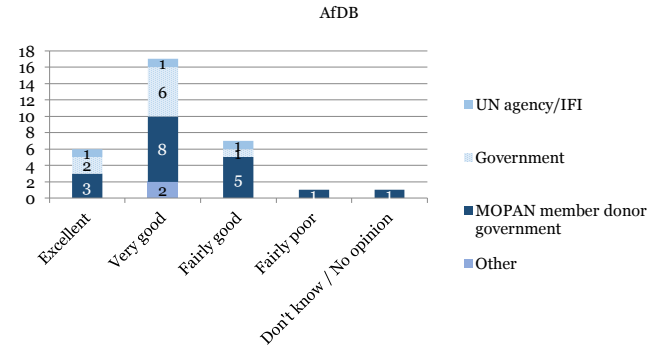
It provides high-quality inputs to policy dialogue in the country.



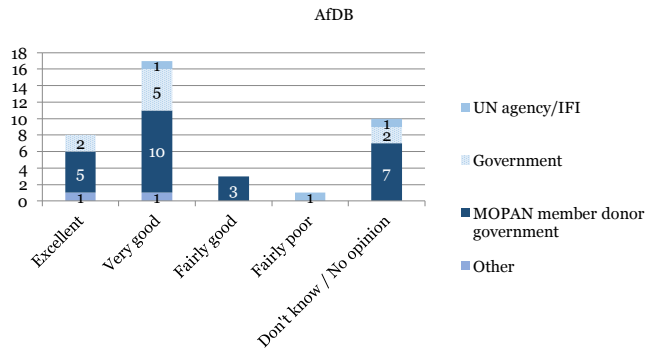
It provides high-quality inputs to policy dialogue at a regional level.



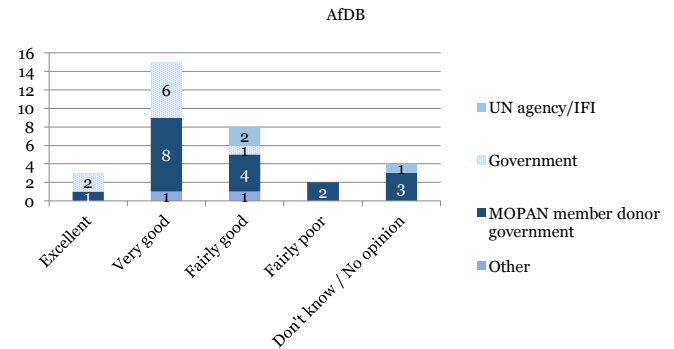
Its views are well respected in policy dialogue forums in the country.



Its views are well respected in regional policy dialogue forums.

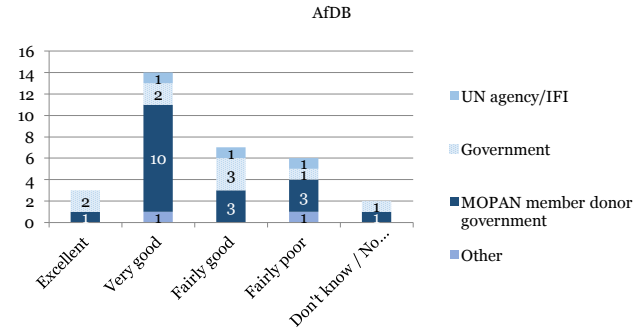
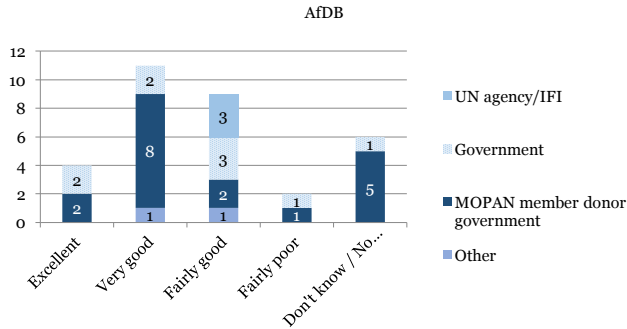


It conducts mutual assessments of progress in the country with national/regional partners.

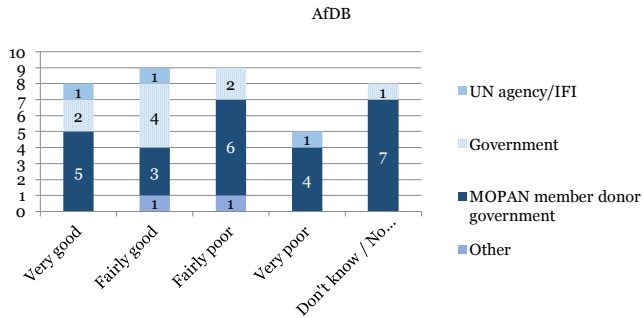


It channels financial resources through country systems (both financial and non-financial) in the country as the default option.

It takes action to build capacity in country systems in the country where it has judged that country systems are not yet up to a required standard.



Its bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implementation for national or other partners

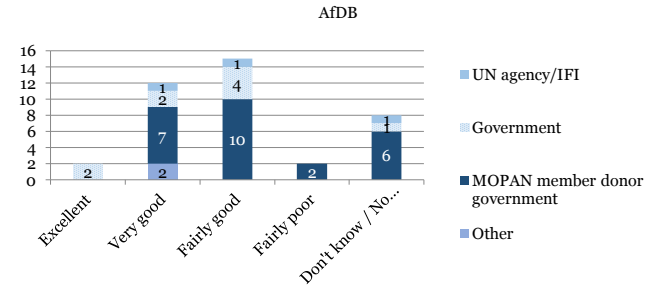
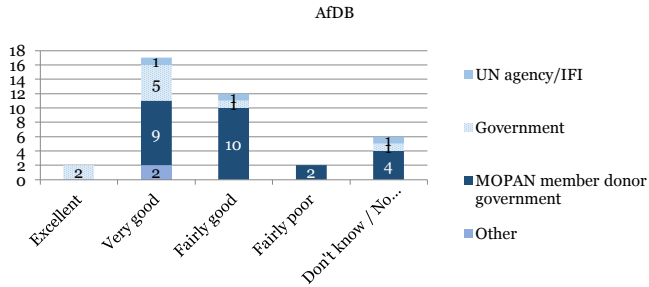


Performance management, part 1

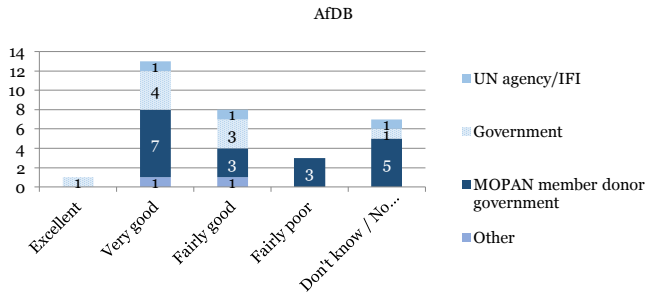
How well do you think AFDB performs in relation to the areas below?

It prioritises a results-based approach – for example when engaging in policy dialogue, or planning and implementing interventions.

It insists on the use of robust performance data when designing or implementing interventions.



It insists on basing its guiding policy and strategy decisions for its work in the sub-region on the use of robust performance data.



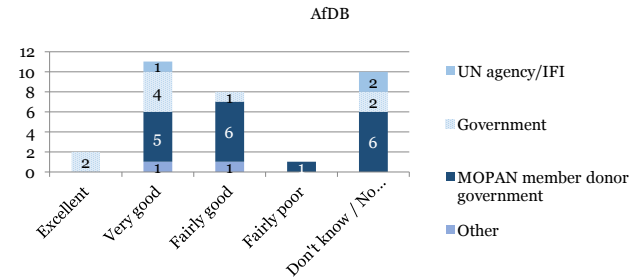
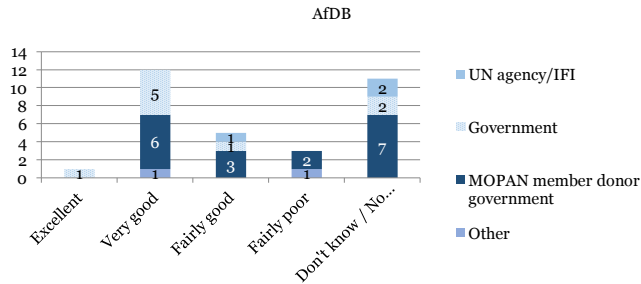
Respondents who identified their geographical focus as "global" were not asked to answer the lower question since it is only relevant to respondents with a specific country focus.

Performance management, part 2

How well do you think AFDB performs in relation to the areas below?

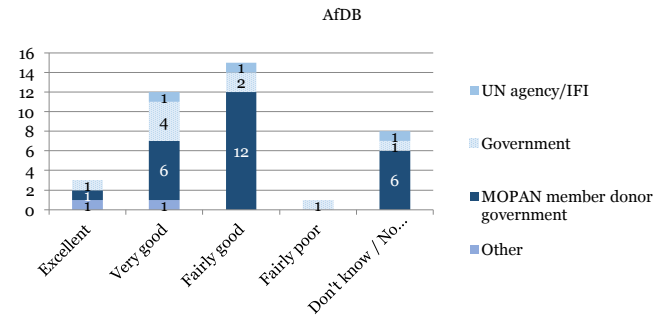
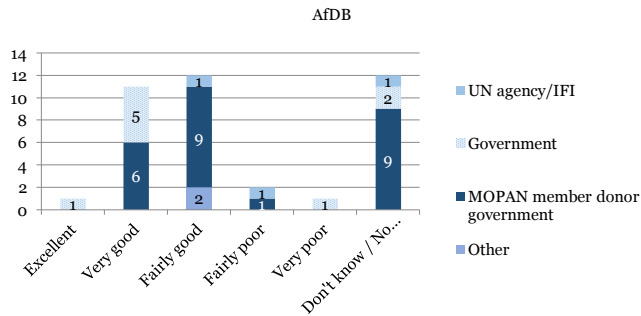
It has a clear statement on which of the interventions it has funded in the country must be evaluated (e.g. a financial threshold).

Where interventions in the country are required to be evaluated, it follows through to ensure evaluations are carried out.



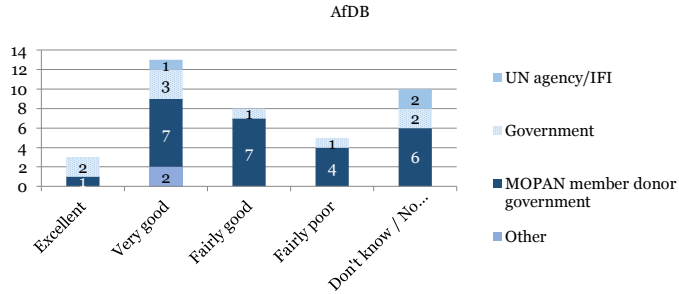
It participates in joint evaluations at the country/regional level.

All new intervention designs of AFDB include a statement of the evidence base (what has been learned from past interventions).

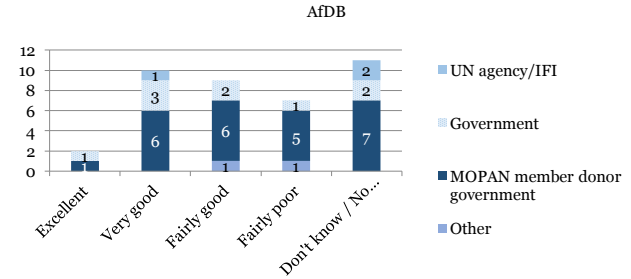


Respondents who identified their geographical focus as "global" were not asked to answer the two top questions since it is only relevant to respondents with a specific country focus.

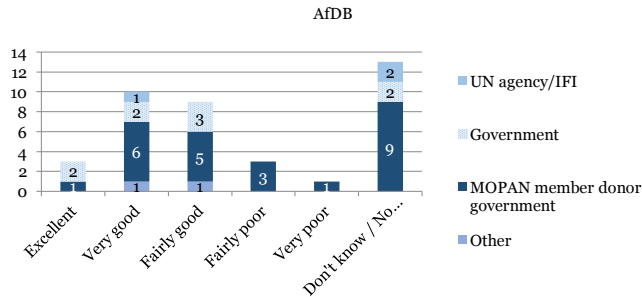
It consistently identifies which interventions are under-performing.



It addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate.



It follows up any evaluation recommendations systematically.



It learns lessons from previous experience, rather than repeating the same mistakes.

