

# IDEV

Independent Development Evaluation  
African Development Bank

*From experience to knowledge...*  
*From knowledge to action...*  
*From action to impact*



## Strategizing for the “Africa We Want”:

An Independent Evaluation of  
the Quality at Entry of Country  
and Regional Integration  
Strategies

Summary Report

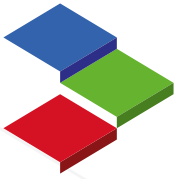


AFRICAN DEVELOPMENT BANK GROUP

January 2015

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AFRICAN DEVELOPMENT BANK GROUP

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## ACKNOWLEDGEMENTS

This evaluation was conducted by Centennial International Group, under the leadership of Anil Sood and Amnon Golan. The evaluation was guided by Rafika Amira, Principal Evaluation Officer, with the support of Clement Banse, Evaluation Officer, and Erika MacLaughlin (consultant). It was overseen by Samer Hachem, Division Manager. Peer-reviewers included Bruce Murray (external), Penelope Jackson, Principal Evaluation Officer, and Girma Earo Kumbi, Evaluation Officer. Publication of the report was coordinated by Felicia Awontom, Principal Knowledge Management Officer.

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Questions on this report should be referred to Rafika Amira, or Samer Hachem.

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**Strategizing for the “Africa We Want”: Evaluation of the Quality At Entry of Country Strategy and Regional Integration Strategy Papers — Summary Report**  
IDEV Corporate Evaluation

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## Abbreviations and Acronyms

<b>ADB</b>	African Development Bank	<b>M&amp;E</b>	Monitoring and Evaluation
<b>ADF</b>	African Development Fund	<b>MDB</b>	Multilateral Development Bank
<b>AfDB</b>	African Development Bank Group	<b>MIC</b>	Middle Income Countries
<b>AsDB</b>	Asian Development Bank	<b>MS</b>	Moderately Satisfactory
<b>BPPS</b>	Bank-wide Program Processing Schedule	<b>MTR</b>	Mid-Term Review
<b>CAR</b>	Central African Republic	<b>MTS</b>	Medium-Term Strategy
<b>CE</b>	Country Economist	<b>NGO</b>	Non-governmental Organization
<b>CN</b>	Concept Note	<b>OECD</b>	Organization for Economic Cooperation and Development
<b>COSP</b>	Strategy and Operational Policies Department	<b>OPSCOM</b>	Operations Policy Committee
<b>CPIA</b>	Country Policy and Institutional Assessment	<b>ORQR</b>	Quality Assurance and Results department
<b>CPO</b>	Country Program Officer	<b>ORVP</b>	Bank's Operations Vice-presidency
<b>CSP</b>	Country Strategy Paper	<b>QAE</b>	Quality at Entry
<b>CT</b>	Country Team	<b>PD</b>	Presidential Directives
<b>DFID</b>	Department for International Development	<b>REC</b>	Regional Economic Communities
<b>DRC</b>	Democratic Republic of Congo	<b>RISP</b>	Regional Integration Strategy Papers
<b>ED</b>	Executive Director	<b>RMC</b>	Regional Member Country
<b>ESW</b>	Economic and Sector Work	<b>RMF</b>	Results Measurement Framework
<b>GDP</b>	Gross Domestic Product	<b>RPPR</b>	Regional Portfolio Performance Review
<b>ICSP</b>	Interim Country Strategy Paper	<b>RR</b>	Readiness Reviews
<b>IDEV</b>	Independent Development Evaluation	<b>S</b>	Satisfactory
<b>IOC</b>	Indian Ocean Community	<b>SD</b>	Sector Directors
<b>IOP</b>	indicative operational program	<b>TYS</b>	Ten Year Strategy
<b>JAS</b>	Joint Assistance Strategies	<b>UNDP</b>	United Nations Development Programme
<b>JCAS</b>	Joint Country Assistance Strategy papers	<b>UNEP</b>	United Nations Environment Programme
<b>LIC</b>	Low Income Countries	<b>WB</b>	World Bank





# Executive Summary

## Introduction and Evaluation Purpose/Scope

This report presents the findings of the independent evaluation of the quality at entry of country and regional integration strategies.

The purpose of this evaluation is two-fold: (1) assess the quality at entry of Country Strategy Papers (CSPs) and Regional Integration Strategy Papers (RISPs) and whether it has improved since the last independent quality at entry exercise (QAE1) undertaken in 2008–09 (retrospective); and (2) to suggest potential improvements to the Bank's design process for its country/regional strategies in light of the Bank's Ten-year strategy (prospective).

The evaluation examined 45 CSPs and four RISPs (Central Africa, East Africa, Southern Africa, West Africa) and the Concept Note for the Indian Ocean Community RISP).

Multiple data collection methods were employed to capture information to answer the evaluation questions. They included: an independent expert panel; document review; literature review; electronic survey; key informant interviews with board members, management, staff, country counterparts and think-tanks; four country case studies (Democratic Republic of Congo, Kenya, Sierra Leone and Tunisia); and, benchmarking against other multilateral development banks. The assessment was based on a methodology that built on the 2008–09 assessment approach and the quality-at-entry standards currently used at the Bank for Readiness Reviews of CSPs/RISPs to ensure comparability.

## Evaluation Findings

*The Bank has made little progress in achieving its target of 100 percent of CSPs rated as satisfactory or better (S+)<sup>1</sup>. However, quality at entry, measured against moderately satisfactory or better (MS+), has improved over the study period.*

Only 16 percent of the CSPs evaluated were rated S+, and only one CSP (2 percent of the sample) was rated “highly satisfactory” (HS). The quality of the 2013 cohort was higher at 31 percent S+, but is still far from achieving the 100 percent target.

Quality at entry of CSPs, however, improved from 50 percent rated at “moderately satisfactory or better” (MS+) in 2005–2008 (QAE1) to 67 percent MS+ for the 2009–2013 period (QAE2). Quality is also trending upward: CSPs completed in 2013 reached a rating of 88 percent MS+.

The strongest areas in CSPs include:

- The alignment of CSPs with governments' development plans and priorities;
- The alignment of CSPs with the Bank's corporate strategic priorities (especially in the case of infrastructure, governance and regional integration activities);
- The attention paid to activities designed to develop government capacity;
- Frameworks for cooperation and coordination with other development partners.

While panel ratings indicate that there was a statistically significant improvement in quality at entry following the introduction of Readiness Reviews, there was not sufficient evidence to indicate that these improvements can be attributed to these reviews. Only a modest proportion (27 percent) of staff and managers interviewed identified Readiness Reviews as a contributing factor to quality improvements.

Factors associated with the improvements in 2013 include, in addition to the alignment of the Bank's country strategy with the government's plans and priorities, improved analysis of the country priorities and objectives.

*Areas for improvement include use of economic and sector work (ESW), results frameworks, gender, sustainability and capacity building.*

The evaluation also **identified areas for improvement** (50 percent or lower MS+), including:

- Use of ESW for formulating the strategies and for positioning the Bank to engage in policy dialogue;
- Appropriateness and realism of the results framework, including specific issues around the use of outcome indicators and means of linking Bank-related outcome indicators with national programs and their indicators;
- Level of attention paid to gender aspects;
- Attention to sustainability as part of lessons learned;
- Building capacities both within and outside of the government (for example, civil society organizations) and improving the country's monitoring and evaluation (M&E) system.

Monitoring, Results and Risk Assessment are the weakest areas of CSPs overall. The Bank's analysis

of fragility and the identification of measures to address it received a similarly low rating.

Ratings of the 2013 cohort of country strategies indicate that the Bank has made a promising start in aligning its country strategies with the Bank's Ten Year Strategy (TYS), but there are opportunities to improve this alignment going forward. The prospective element of the evaluation also indicated that there is additional scope to systematically implement **scaling up** approaches in the design and implementation of country strategies and programs.

*RISPs are closer to achieving the Bank's target of 100 percent S+, but fall short in addressing institutional/soft issues.*

The quality at entry of the five RISPs evaluated under QAE2 was at 100 percent MS+. In particular, RISPs were evaluated as relatively strong in addressing regions' development priorities and alignment with the Bank's strategic priorities. The areas where RISPs fall short include: (i) inadequate attention to building the level of commitment among national governments to implement regional undertakings; (ii) attention to trans-boundary water resources issues; and (iii) the formulation a coherent approach for attracting private capital to regional operations.

*Quality at entry is higher among CSPs for countries where the Bank has a large and active portfolio.*

The evaluation team also explored **variations in CSP quality at entry** among country categories, regions, and other parameters (such as population, gross domestic product [GDP], Country Policy and Institutional Assessment [CPIA], and Bank portfolio size). While the number of CSPs that fall into each sub-group is small, some differences were statistically significant.

CSPs were rated as having higher quality at entry in countries where the Bank has a large and active

portfolio, where the GDP is relatively high ( $\geq$ \$30 billion) and where the country context is relatively stable (non-fragile). Furthermore, CSPs prepared by large Bank country teams ( $>20$  members) were rated as having higher quality at entry than those prepared by smaller country teams.

***There is divergence between CSPs, the Indicative Operational Program and actual deliverables.***

The evaluation pointed to challenges in using the country strategies as a tool for guiding the Bank's operations. A comparison of the program of loans and ESW identified in the CSPs with the indicative operational program (IOP) and actual delivery indicated a major divergence. This divergence raises questions regarding the extent to which the CSP is being used as a strategic guide for the Bank's ongoing operations in Regional Member Countries (RMCs).

***The preparation process for CSPs is cumbersome, involving some redundant steps.***

An assessment of the processes for preparation of CSPs and RISPs pointed to numerous steps, some redundant, and to an excessive reliance on collective reviews that may undermine individual accountability for quality. Furthermore, the Bank's process for the preparation of CSPs was found to contain considerably more steps and stages of review than those of comparable development finance institutions.

In particular, there is scope to identify efficiencies among the approval processes for CSPs and Concept Notes. These two processes are duplicative with the exception that CSPs are passed on for final approval by the Bank's Board of Directors.

## Recommendations

The evaluation recommends that a set of actions be implemented, all of which are directed toward

achieving the Bank's target of having 100 percent of CSPs and RISPs rated as satisfactory (or highly satisfactory) for QAE.

**Recommendation 1: Reinforce the CSP as a strategic tool to guide the Bank's operations**

- Review the CSP objective as setting the strategic direction and objectives, with a focus on broad indications of sector priorities for Bank interventions (as opposed to a description of the pipeline).
- Adopt a separate instrument (for example, an Operational Plan) for programming lending and non-lending operations.
- Introduce scaling up overall development impact as a clear objective within the CSP by leveraging synergies across the TYS objectives.
- Outline clearly beyond alignment how inclusiveness and transition to green strategies will drive the Bank's activity at the country level (for example, policy dialogue, interactions with civil society, design of sector strategy and selection and design of operations).

**Recommendation 2: Improve the quality at entry of CSPs targeting 100 percent S+ by addressing identified weaknesses**

- Clearly outline the niche for the Bank based on the country objectives and the Bank's priorities and comparative advantage, using a customized approach (in terms of strategic directions, suite of programming instruments, and so on) that caters to the needs of a differentiated client base (middle income countries, low income countries, and the like).
- Strengthen the analysis of fragility issues and its underlying causes. Clearly outline concrete measures to address fragility, including capacity building in the public sector/civil society organizations.

- Articulate clearly the lessons emerging from previous CSPs and sector interventions. Outline how these lessons have helped shape the new strategy.
- Articulate key issues related to the management of the ongoing operational portfolio and identify concrete measures to improve it.
- Conduct an analysis of the current and potential private sector role in the country, its expected role in the CSP and, the potential for synergies between private sector and public sector operations.
- Introduce a simple, easily understood and applied approach to results linked to the One Bank Results Management Framework (e.g. Streamlined Results Framework and results chain). Adequately resource the results framework to enable monitoring of progress and drive necessary adjustments
- Provide support to staff through required training, hotline, clear guidelines and user-friendly toolkits.

**Recommendation 3: Improve the quality at entry of RISPs targeting 100 percent S+ by addressing identified weaknesses**

- Strengthen regional integration strategies to pay greater attention to the institutional/soft elements.
- Identify mechanisms for strengthening alignment between priorities and activities identified within RISPs and those identified within relevant CSPs. For example, the Bank could, as part of the preparation process of

the RISPs, act as a catalyst/broker to foster dialogue with national governments on effective regional cooperation and the need for policy coherence between the regional and national level.

**Recommendation 4: Simplify processes while maintaining focus on key drivers of quality at entry, such as the country teams**

- Create strong, multi-sector team (with clear accountability) and introduce incentives for inter-departmental collaboration through, for example, budgeting for and rewarding collaboration. This may involve the establishment of mechanisms or standards for ensuring that sufficient resources and expertise are available to support the development of high-quality CSPs independent of the Bank's portfolio size and country presence.
- Leverage country presence to place greater emphasis on interaction with all relevant stakeholders (including civil society and the private sector) and country ownership.
- Eliminate redundant steps in the internal preparation process. For example, the Bank can cut half of the number of steps by simply eliminating the Concept Note cycle, which mirrors the CSP cycle and has little impact on quality. Management may consider replacing the Concept Note with a shorter/focused issues paper/presentation that is approved at a lower level.
- Reduce the number of reviews in line with other MDBs and focus on quality of strategies vs. compliance with quality-at-entry standards of the strategy paper. ■

# Management Response

Management welcomes the Independent Evaluation of the quality at entry (QaE) of Country and Regional Integration Strategies, especially in the context of implementing the Bank's new Strategy (2013–2022). Management is encouraged by the noted significant improvements in the quality at entry of CSPs and RISPs which reflects a combination of factors including the introduction of QaE standards, Readiness Reviews, streamlined business processes and increased delegation of authority to field offices. Management agrees on the main directions proposed in the study to further strengthen quality, especially in aspects related to results planning, private sector integration, and linkages between the strategy, pipeline of operations and planned Economic and Sector Works (ESWs). To sustain past efforts and ensure continued progress, Management intends to introduce a new CSP format, develop a strategic toolkit to serve as guide for staff and update QaE standards.

In preamble, Management would like to place this evaluation in the context of the Bank's commitment to regularly assess the QaE of operations and CSPs. The study is thus particularly useful to track progress achieved since the 2009 evaluation of the QaE of ADF Operations and Strategies (2005–2008). The recommendations put forward in the 2009 study – including inter alia setting QaE standards, monitoring compliance with standards and processes, and strengthening the strategic role of the Operations Committee - were fully and promptly implemented. Management considers that these actions taken in the aftermath of the 2009 study have resulted in the QaE gains noted in the present evaluation.

The latest evaluation points to the need to consolidate past gains and address new constraints. While Management has a number of observations on the evaluation methodology and the robustness of some findings, it is in general agreement with the directions proposed in the study and has already initiated a number of actions. Some of the evaluation's findings and recommendations are captured in the proposed new CSP format and toolkit. Further actions proposed in response to the evaluation's recommendations are detailed in the Management Action Record.

## Methodology and Approach

Management appreciates the thorough investigation techniques that were used in the study but would like to formulate a number of observations on the methodology used, which may limit the validity of some findings and the overall "explanatory power" of the study.

The study attempts to draw some conclusions on the basis of an electronic survey. However, the very low response rate (14% targeted staff response rate and 4 Executive Directors) makes it difficult to infer statistically robust and unbiased conclusions.

It is not clear how the rating framework adopted by the study integrates the results of the various interviews conducted and the assessment of the panel of experts. The four country case studies and the key informant interviews included in the evaluation may have shed some light on certain issues identified, but the report fails to present their main findings.

For example, while an overwhelming majority of staff interviewed (roughly 90%) found that CSP reviews (OpsCom, Readiness Review and peer reviews) were useful or highly useful, only a minority of the respondents found that such reviews contributed

to improve the quality of CSPs. The report does not attempt to explain this apparent contradiction.

Overall, while the evaluation provides a good picture of the current state of the QaE of CSPs and RISPs, its “explanatory power” remains limited. The evaluation notes the marked improvement in the quality at entry of CSPs; however, it fails to identify contributing factors as one would have expected. Management believes that reforms and actions taken in response to previous evaluations were key factors of progress, although they are not specifically acknowledged as such in the study. The evaluation also identifies a high degree of variations in QaE according to country categories but does not attempt to explain such differences. Such quality gaps may be related to a variety of factors not considered in the study such as leadership, team experience and composition, availability of data and economic and sector work.

## Quality at Entry Improvements

According to the evaluation, around 90% of the CSPs were assessed as moderately satisfactory or better

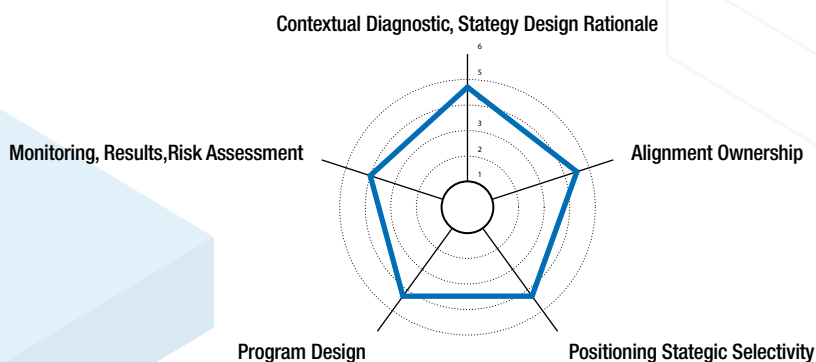
in 2013 compared to only 50% in 2005–2008. This remarkable progress is consistent with the findings of the Bank’s Readiness Reviews (95%) and is in line with the Bank’s corporate targets. However, Management remains committed to further enhance QaE in view of reaching an average CSP/RISP rating of at least “fully satisfactory” in 2016.

Progress has been the result of a combination of actions, including the adoption of QaE standards for CSPs (2010), the introduction of the Readiness Review process (2011) and the revised Presidential Directive on the review process (2013). Decentralization has been another important driver of progress by improving the quality of field level engagement in designing and preparing CSPs.

## Strengths and Weaknesses

IDEV’s findings regarding the strengths and weaknesses of the quality at entry of CSP/RISPs are also fully consistent with the Readiness Review ratings which assess the quality of CSP/RISPs against five main dimensions (Figure 1).

**Figure 1:** Average CSP Readiness Review Ratings by Dimension (2011–2013)



The following dimensions deserve special attention:

- Monitoring, results and risks is the lowest rated dimension according to the Readiness Reviews. Management plans to address this by introducing a new standardized CSP results matrix and providing related guidance to staff.
- Program design is relatively poorly rated, in part because of the limited linkages between the strategy and the pipeline of operations/ESWs. This may partly explain the divergence between Indicative Operational Programs and actual deliverables. It is proposed that the CSP format under development would include enhanced filtering to ensure consistency of the CSP with the Bank's core operational priorities, comparative advantage and selectivity criteria.

In addition, the Evaluation flags the following two areas of special attention:

- Integration of private sector operations is often missing or poorly linked with the strategy. While the identification of an indicative multi-year pipeline of public sector operations may be feasible, the approach for private sector operations is to identify specific sectors and instruments where the Bank's intervention would be particularly catalytic.
- The evaluation notes insufficient alignment between the RISPs and the relevant CSPs. This is in part because RISPs and CSPs have different timelines which, in turn, may result in a mismatch between country level and regional level priorities. Further alignment between CSPs and RISPs will be guided by the new Regional Integration Policy and Strategy 2014–2023 and revised QaE standards.

## Impact of the New Quality at Entry Standards and the Readiness Review

Management notes that the QaE of CSPs significantly improved following the introduction of

QaE standards and the Readiness Review aimed at checking compliance with such standards. The new standards helped improve quality by establishing a checklist for quality compliance and ensuring the absence of 'gaps' in the documentation provided. Standards have now been fully internalized by country economists in CSPs/RISPs.

Management intends to update QaE standards in order to sustain progress and at the same time integrate recent policy and strategy developments.

## Linkage with the Bank's Strategy

Management agrees on the need to strengthen the strategic and operational linkages between CSPs, RISPs and Bankwide strategies, including the ten year strategy. The CSP format and toolkit under development will provide guidance to staff on aligning country programming, with the Bank Strategy 2013–2022. This includes, among others, tailored guidance on analytical work, country dialogue and results indicators related to inclusive growth and transition to green growth. Additional staff guidance has also been made available or is under preparation for other strategic priorities like gender and climate change.

## CSP Processing

The evaluation found that the Bank's preparation and review procedures for CSPs were inefficient, involving an excessive number of steps compared to other similar organizations.

To address this matter, the Bank already streamlined the preparation and review process of CSPs in July 2013 through the Presidential Directive 03/2013. This includes reinforcing the peer review mechanism, delegating more authority on clearance to the Country or Regional Teams, establishing thresholds for clearance of loans/grants and streamlining the role of OpsCom in the new review process.

However, a review after the first six months of implementation of PD 03/2013 identified specific redundant steps that require further streamlining, e.g., elimination of the requirement of Concept Notes to go through the entire review process. Further streamlining of the review process is thus envisaged by the end of 2014.

To effectively respond to the characteristics of each country, customized multi-sectoral and multi-

disciplinary CSP teams will be established by the Regional Directors with an enhanced role of Field Offices. This field-based and client-responsive business model will further enhance continuous dialogue with the Bank's clients and stakeholders, including private sector, development partners and civil society.

The specific management actions for this response are elaborated in the attached Management Action Record. ■



Management action record	
Recommendation	Management's response
<b>Recommendation 1: Reinforce the CSP as a strategic tool to guide the Bank's operations in RMCs.</b>	
<p>1.1 Review the CSP objective as setting strategic direction and objectives, with focus on broad indications of sector priorities for Bank interventions (as opposed to a description of pipeline).</p> <p>1.2 Adopt a separate instrument (e.g., Operational Plan) for programming lending and non-lending operations.</p> <p>1.3 Introduce scaling up overall development impact as a clear objective within the CSP, by leveraging synergies across the different TYS objectives.</p> <p>1.4 Identify how inclusiveness and transition to green strategies will drive the Bank's activity at country level (e.g. policy dialogue, interactions with civil society, design of sector strategy and, selection and design of operations).</p>	<p><b>Agreed</b> — Management agrees to reinforce the CSP as a strategic tool to guide the Bank's operations in RMCs. As part of these efforts, Management will take the following action:</p> <ul style="list-style-type: none"> <li>■ A new CSP format developed by OPSC will initially be considered by CODE in October 2014, before being piloted alongside with a CSP toolkit developed by COSP, prior to their adoption in 2015. This new format includes an operational business plan, guidance on scaling up operations and ensuring consistency with the Bank's core operational priorities.</li> </ul>
<b>Recommendation 2: Improve the quality at entry of CSPs targeting 100% S+ by addressing identified weaknesses.</b>	
<p>2.1 Clearly outline a niche for the Bank based on the country objectives and the Bank's priorities and comparative advantage, using a customized approach (in terms of strategic directions, suite of programming instruments etc.) that caters to the needs of a differentiated client base (MIC, LIC etc.).</p> <p>2.2 Strengthen the analysis of fragility issues and its underlying causes. Clearly outline concrete measures to address fragility, including capacity building in the public sector/CSOs.</p> <p>2.3 Articulate clearly the lessons emerging from previous CSPs and sector interventions. Outline how these lessons have helped shape the new strategy.</p> <p>2.4 Articulate key issues related to the management of the ongoing operational portfolio and identify concrete measures to improve it.</p> <p>2.5 Conduct an analysis of the current and potential private sector role in the country, its expected role in the CSP and, the potential for synergies between private sector and public sector operations.</p> <p>2.6 Introduce a simple, easily understood and applied approach linked to the One Bank Results Management Framework (e.g., streamlined Results Framework, results chain, or similar). Adequately resource the results framework to enable monitoring of progress and drive necessary adjustments</p> <p>2.7 Provide support to staff through required training, hotline, clear guidelines and user-friendly toolkits.</p>	<p><b>Agreed</b> — Management agrees on the need to improve the quality at entry of CSPs by addressing identified weaknesses, in view of reaching an average CSP quality at entry rating of at least fully satisfactory (rating between 4.5 and 5.5 on a scale of 1-6) in 2016. As part of this effort, Management will take the following actions:</p> <ul style="list-style-type: none"> <li>■ A new CSP format and strategic toolkit will be rolled out in 2015. The new approach emphasizes customizing to specific country development contexts, integrating lessons from previous strategies and exploring the private sector development potential.</li> <li>■ Upon adoption of the new format and toolkit, ORQR will update the quality at entry standards for CSPs and support their effective application through staff training and the Quality Assurance Helpdesk.</li> <li>■ ORFS has piloted the application of a fragility lens in some CSPs and will roll it out to new CSPs starting in Q4 2014.</li> <li>■ Country Portfolio Performance Reviews (CPPRs) are presently being conducted in tandem with the CSP preparation, mid-term reviews and completion reporting, allowing better integration of operational issues.</li> <li>■ ORQR will lead the preparation of a standardized CSP results matrix and prepare related technical guidance to staff in 2015.</li> </ul>

Management action record	
Recommendation	Management's response
<b>Recommendation 3: Improve Quality at Entry of RISPs targeting 100% S+ and ensure alignment with relevant CSPs.</b>	
<p>3.1 Strengthen regional integration strategies to pay greater attention to the institutional elements of regional integration.</p> <p>3.2 Identify mechanisms for strengthening alignment between priorities and activities identified within Regional Integration Strategy Papers and those identified within relevant CSPs. For example the Bank could, as part of the preparation process of the RISPs, act as a catalyst/broker to foster dialogue with national governments on effective regional cooperation and the need for policy coherence between the regional and national level.</p>	<p><b>Agreed</b> — Management agrees on the need to improve the quality at entry of RISPs –reaching an average rating of at least fully satisfactory (4.5 to 5.5) in 2016 - and ensure their alignment with relevant CSPs as well as with the new Regional Integration Policy and Strategy, 2014- 2023. As part of these efforts, Management will take the following actions:</p> <ul style="list-style-type: none"> <li>■ ORQR will complement QaE standards in 2015 to ensure consideration of institutional elements of regional integration. The RISP/CSP programmatic coherence will be systematically reviewed and integrated as a distinct QaE criterion.</li> <li>■ ONRI will develop a Regional Integration Business Model in 2015 to further guide the design of regional interventions.</li> </ul>
<b>Recommendation 4: Simplify processes while maintaining focus on key drivers for quality at entry, such as the country teams.</b>	
<p>4.1 Create strong, multi-sector team (with clear accountability) and introduce incentives for inter-departmental collaboration through, for example, budgeting for and rewarding collaboration. This may involve the establishment of mechanisms or standards for ensuring that sufficient resources and expertise are available to support the development of high-quality CSPs independent of the Bank's portfolio size and country presence.</p> <p>4.2 Leverage country presence to place greater emphasis on interaction with all relevant stakeholders (including civil society, private sector) and country ownership</p> <p>4.3 Eliminate redundant steps in the internal preparation process. For example, the Bank can cut half of the number of steps by simply eliminating the CN cycle, which mirrors the CSP cycle with not much impact on quality. Management may consider replacing the CN with a shorter/focused issues paper/presentation that is approved at a lower level.</p> <p>4.4 Reduce the number of reviews in line with other MDBs and focus on quality of strategies vs. compliance with quality-at-entry standards of the strategy paper.</p>	<p><b>Agreed</b> — Management agrees to simplify processes while maintaining focus on key drivers for quality at entry. To this end:</p> <ul style="list-style-type: none"> <li>■ Multi-sectoral and multi-disciplinary CSP teams will be constituted and their performance will be assessed through the annual performance evaluation system.</li> <li>■ A cost accounting system (CAS), whose design and implementation is being coordinated by COPB for roll out by the end of 2015, is expected to generate cost parameters for efficient budget allocations, including for CSP preparation.</li> <li>■ The Regional Resource Centers and Field Offices will continue to lead the CSP related work in line with the recommendations of the Mid-term Review of the Decentralization Roadmap.</li> <li>■ Following the review after the first six months of implementation of the Presidential Directive 03/2013, further streamlined CSP review processing is envisaged by the end of 2014.</li> </ul>





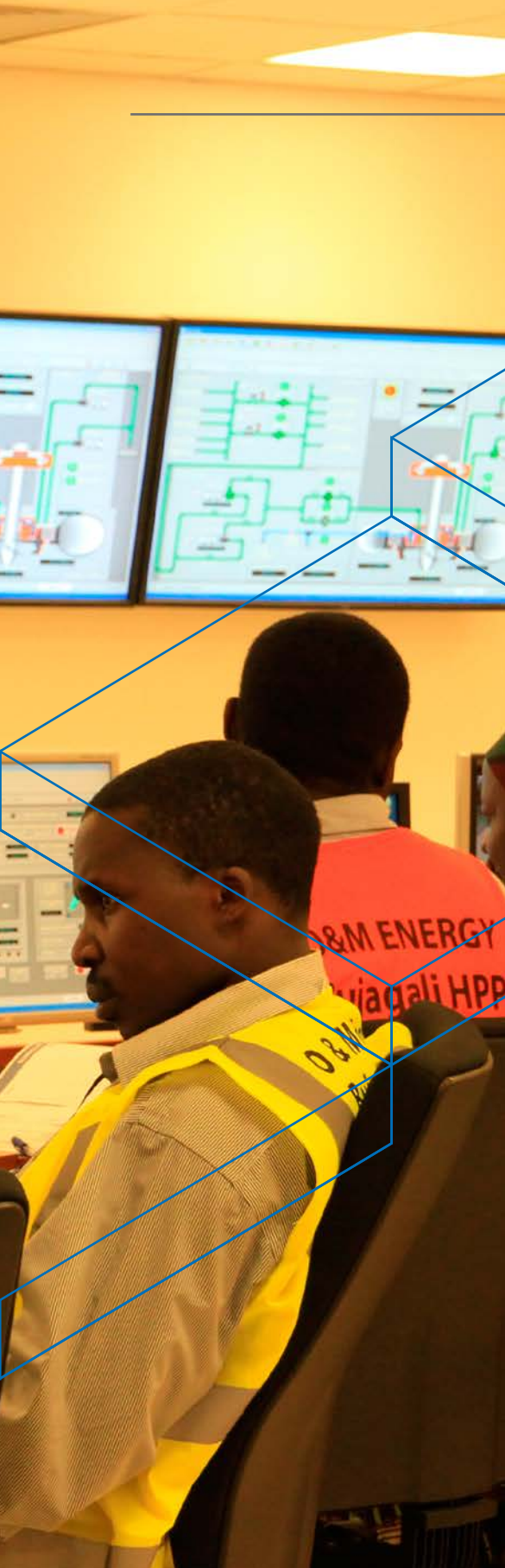
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# Introduction

This report presents the findings of the Independent Evaluation of the Quality at Entry (QAE) of Country Strategy Papers (CSPs) and Regional Integration Strategy Papers (RISPs). This evaluation is timely, as it will support the development of the new CSP processes, policies, and format. It will also inform the upcoming renewal of CSPs and RISPs and adjustments to the quality at entry assurance process.

The evaluation provides the Board and management with an independent and evidence-based assessment of the quality at entry of CSPs and RISPs, as well as with suggestions for potential improvements that will better position the Bank in terms of achieving the objectives outlined in its Ten-Year Strategy (TYS). ■





# Background

## Quality at Entry and Country and Regional Integration Strategy Papers

Quality at entry refers to design elements (such as front-end analysis, expected results, and risk assessment) of a Bank program, project, or strategy at the time it enters the Bank portfolio (for example, following Board approval but prior to implementation).

Country Strategy Papers and Regional Integration Strategy Papers outline the conceptual framework for programming, monitoring, and evaluating development assistance in recipient countries and regions over a specific period of time. As such, they define the Bank's approach to its assistance at the country/regional level.

There are different strategy instruments used at the country level, including:

- Full Country Strategy Papers (CSPs)
- Interim CSPs, which follow a similar process and possess a similar structure to a full CSP

- Engagement Notes and Reengagement Notes (in countries where activities have been suspended)

- Dialogue Papers for countries where the Bank does not currently possess a full lending program.

The Bank may also join other donors in a Joint Country Assistance Strategy process. However, this process typically involves the production of a separate CSP.

## Previous Evaluation Findings and Bank Reforms

The Bank has undertaken a number of reforms and initiatives over the years in an effort to strengthen the quality at entry for CSPs as a critical factor for achieving development results:

- In 2005–06, the Bank conducted its first assessment of quality at entry. This was followed by an Independent Quality at Entry

### Box 1: 2009 Independent QAE Assessment Findings

- Six out of 12 CSPs were rated moderately satisfactory and above. Five CSPs were rated moderately unsatisfactory, and one was rated unsatisfactory
- CSPs for Burkina Faso and Uganda were rated fully satisfactory
- Quality at entry of CSPs of countries with a large Bank assistance portfolio fared better.
- Key factors that contributed to quality at entry included: commitment to results, effectiveness of review structures and processes, staff capacity/skills-mix, and realistic planning cycles/ lending targets
- Recommendations included: setting clear standards directly targeting quality at entry, mandatory training for staff and management on their responsibilities under the quality standards, monitoring compliance with new standards and processes, undertaking a review of constraints contributing to weak quality at entry with respect to poverty, gender, and environmental aspects, creating information technology systems to enable archiving of Project Appraisal Report annexes and supporting documentation, and re-emphasizing the strategic role of OpsCom.

Source: ADF 2009.

Review conducted by the Operations Evaluation Department (now IDEV) in 2009. This review led to a number of improvements, including the introduction of the Readiness Reviews and quality guidelines and standards for CSPs.

- In 2007 and 2013, Presidential Directives (07/2007; 03/2013, respectively) were issued to set out a revised process and procedure for the review and approval of country strategies. The Presidential Directives aimed to improve quality at entry and to ensure consistency with the Bank's priorities.
- In 2008, the Bank introduced the CSP and the CSP Concept Note annotated formats to take into account the Bank's new organizational/operational structure, principles of the Paris Declaration on Aid Effectiveness, and stronger focus on results, selectivity (not more than two "pillars"), and an analytical approach (as opposed to a descriptive one).
- In 2009, the Bank's Quality Assurance and Results Department (ORQR) introduced the Readiness Review, a new tool that aims at: (a) improving the design quality and results focus of Bank projects and programs and (b) monitoring quality at entry over time based on predefined criteria and standards. The Readiness Review is mainly a desk review of project documents and CSPs to assess their compliance with the Bank's quality at entry standards. In 2010, the Readiness Review tool was expanded to include all CSPs.

### Guidance for CSP Preparation and Ongoing Bank Initiatives

As described above, guidance for CSP preparation is provided through three documents: the 2008 annotated format, Presidential Directive 3/2013, and the 2010 Quality-at-Entry Standards.

A number of significant initiatives are currently under way, including:

- Revision of the CSP policies, processes, and format by the Operations Committee Secretariat. This initiative aims at improving the quality of CSPs and their alignment with Bank priorities defined in the TYS and proposes a phased preparation process to promote more robust analysis.
- Development of a comprehensive toolkit to support the implementation of the TYS by the Strategy and Policy department (COSP). The toolkit seeks to support the implementation of the objectives of inclusive growth and the transition to green growth.
- Revision of the Readiness Review criteria by the ORQR in light of the TYS and the need to standardize the results framework for CSPs.
- Updating of the Bank's Operations Manual by COSP.

There is significant overlap across these initiatives, and, together, they have clear potential for synergy with respect to their impact on CSP quality. Because this evaluation is limited to examining the quality of CSPs and RISPs approved between 2009 and 2013, it was not possible to assess the potential impact of these ongoing initiatives. Nevertheless, recommendations from this report may be useful in informing these activities.

### Evaluation Purpose and Scope

The purpose of this evaluation is twofold: (1) to assess the quality at entry of CSPs and RISPs and to determine whether quality at entry has improved since the last Independent review of quality at entry was undertaken in 2008–09 (retrospective); and (2) to suggest potential improvements to the Bank's



**Table 1:** Breakdown of CSP sample

Country distribution		Country distribution		CSP distribution	
Parameter	No.	Parameter	No.	Parameter	No.
<b>GDP</b>		<b>Population</b>		<b>CSSP preparation year</b>	
Small	19	Small	15	2009–11	19
Medium	16	Medium	21	2012	10
Large	10	Large	9	2013/14	16
<b>Region</b>		<b>CPIA</b>		<b>Readiness Review</b>	
West	15	Low (=3.62)	18	Pre-Review	10
East	9	High (=3.63)	27	Post-Review	35
Center	6	<b>Country category</b>		<b>Loan portfolio size</b>	
North	5	ADF	17	Small (0–9 loans)	18
South	10	ADB	14	Medium (10–19 loans)	17
		Fragile states	14	Large (20+ loans)	10

Note: GDP from IMF (2012) in current prices: \$30 billion or larger = large; \$10–30 billion or smaller = small. Population from IMF (2012): greater than 23 million = large; 5–23 million = medium; less than 3 million = small.

design process of its country/regional strategies in light of the TYS (prospective). The evaluation questions are outlined in the Evaluation Matrix in appendix B.

The last quality at entry assessment (2008–09) examined CSPs approved between 2005 and 2008 and was used as a baseline for this evaluation. The current evaluation examined a stratified sample of 45 CSPs approved by the Board between 2009 and 2013. It also included the four RISPs (Central Africa, East Africa, Southern Africa, and West Africa) and the Concept Note for the Indian Ocean Community RISP developed by the Bank. Table 1 outlines the breakdown of the sample.

## Methodology

Multiple data collection methods and lines of evidence helped capture information to answer the evaluation questions. An independent panel of experts was employed as the primary method to assess the quality at entry of CSPs/RISPs. Other data collection methods included: document review; literature review; electronic survey; key informant

interviews with Board members, management, staff, country counterparts, and think-tanks; four country case studies (Democratic Republic of the Congo [DRC], Kenya, Sierra Leone, and Tunisia); and benchmarking against other multilateral development banks (MDBs).

The expert panel assessment was based on a methodology that built on the 2008–09 quality-at-entry assessment approach and the quality-at-entry standards currently used at the Bank for Readiness Reviews of CSPs/RISPs to ensure comparability. The rating scale used by the expert panel is provided in appendix C.

However, aggregated ratings across the evaluation criteria were not based solely on these expert assessments and mechanical averages. These ratings and underlying findings were based on a qualitative assessment of data collected through multiple lines of evidence — that is, through expert assessments, interviews, surveys, country case studies, and a workshop.

Following completion of the draft synthesis report, IDEV organized a workshop at the Bank to engage

the potential users of the evaluation and to seek the views of concerned stakeholders to inform the development of recommendations.

The evaluation underwent an internal and external peer review to ensure appropriate quality of methodology, implementation, and reporting. In addition, a reference group with representation from OPSC, COSP, ORQR, and Operations was established to provide guidance throughout the evaluation process.

## Limitations

- **Quality and availability of data to be collected** – some country-specific documents were missing or incomplete. There was a lack of consistent data, particularly on staff time inputs and cost. Follow-up was conducted with appropriate departments and/or regional offices to address these gaps.
- **Availability of some key stakeholders (Bank staff, government officials) and recall bias** –

Some groups identified for interview were not available to participate in the evaluation because of turnover. In addition, recall bias among some interviewees may have affected the accuracy of their responses.

- **Low response rates** – despite the high number of follow-ups (up to five) and the extension of the survey deadline, response rates were low. Approximately 13 percent of counterparts, 14 percent of staff and managers, and 20 percent of executive directors (4 out of 20) filled out the survey.

To address these limitations, the evaluation employed a combination of quantitative and qualitative approaches. Both approaches were needed to fully examine the nature, degree, and consequences of various findings generated through the evaluation. Data from multiple lines of evidence were triangulated to minimize the risk that any limitations in the quality and availability of data would impact the validity of the evaluation findings. Further details on the approach and methodology are provided in appendixes A, B, and C. ■





# Findings from the Retrospective Component: Relevance, Effectiveness, and Efficiency

## Relevance

### *Alignment of CSPs with Regional Member Country plans and priorities*

The expert panel reported an adequate degree of alignment between the CSPs and Regional Member Country (RMC) development plans (93 percent MS+; 55 percent S+), as well as adequate attention to each country's priorities (84 percent MS+; 58 percent S+). Findings from the four country visits, electronic surveys, and interviews with Bank staff and managers further supported the panelists' assessment. Staff and managers who responded to the survey (56 percent of respondents) rated CSP alignment with country priorities as highly satisfactory. However, evidence from the expert panel suggests that gender has not been properly addressed, with only 39 percent of CSPs rated at MS+.

*Finding 1: Overall, the relevance of CSPs was rated as moderately satisfactory. CSPs were adequately aligned with governments' plans and priorities. However, they failed to leverage ESW and analysis and to adequately address fragility issues.*

### *Consultation with Country Stakeholders and Ownership*

Overall, consultation with country stakeholders and country ownership were rated as moderately satisfactory (75 percent MS+/30 percent S+ for consultation with stakeholders). Fifty-three percent of country counterparts interviewed and 46 percent of Bank staff and managers cited country presence as a key factor leading to more effective dialogue. The case studies confirmed that country presence improved the level and quality of consultations with country counterparts and development partners.

**Table 2:** CSP Relevance Ratings

Subcriteria	Rating
Attention to and alignment with the country's priorities	Satisfactory
Alignment with the MTS (and the TYS)	Satisfactory
Consultation with country stakeholders and ownership	Moderately satisfactory
Bank positioning and selectivity	Moderately satisfactory
Addressing fragility	Moderately unsatisfactory
Overall rating of CSP relevance	Moderately satisfactory

Despite reported increases in the level of consultations with local stakeholders, only 17 percent of staff and managers rated country ownership at highly satisfactory. In particular, evidence from case studies indicated that the Bank lacked appropriate tools to consult with the private sector and civil society. Country stakeholders reported that the Bank did not follow up with them or share the final CSP. Furthermore, consultations with country stakeholders were not systematically documented.

### ***Alignment of CSPs with the Bank's Strategies and Priorities***

CSPs were adequately aligned with most of the Bank's core priorities, outlined in the Medium-Term Strategy, 2008–12 (MTS) and the TYS. The highest level of alignment was seen for infrastructure (100 percent MS+; 64 percent S+), followed by regional integration (91 percent MS+; 51 percent S+), governance (87 percent MS+; 31 percent S+), and private sector development (77 percent MS+; 25 percent S+). However, higher education/skills did not feature as a priority area (51 percent MS+; 18 percent S+).

Panelists noted that agriculture was infrequently included as a priority sector, even though agriculture and food security were retained as an area of special emphasis in the TYS. This issue was also raised by interviewees in the course of country case studies.

CSPs also failed to give adequate recognition to relevant agricultural programs of the government and other development partners, which might be expected in light of the importance of agriculture for inclusive and green growth.

CSPs addressed the MTS strategic objective of poverty alleviation moderately (68 percent MS+, 11 percent S+). In line with this finding, two of the four executive directors and 78 percent of the staff responding to the survey reported no or only limited improvement in the way CSPs address poverty aspects.

### ***Bank Positioning and Selectivity***

Overall, CSPs demonstrate a moderate level of selectivity and choice of strategic pillars (84 percent MS+ and 76 percent MS+). However, they did not integrate solid analysis of Bank positioning and comparative advantage. The use of supporting economic and sector work (ESW) was an area for improvement; less than half (47 percent) of the CSPs received a rating of MS+. Other areas for improvement include the selection of projects and interventions by sector (55 percent MS+) and the analysis of the Bank's comparative advantage in the country context (76 percent MS+). Panelists also noted the CSPs' failure to integrate findings from analyses carried out by other institutions.

**Table 3:** CSP Effectiveness Ratings

<b>Subcriteria</b>	<b>Rating</b>
Improvement in CSP quality	Moderately satisfactory
Usefulness for programming Bank operations	Moderately unsatisfactory
Effectiveness of lending and nonlending program	Moderately satisfactory
Integration of Bank-supported private sector operations	Moderately unsatisfactory
Usefulness of Readiness Reviews	Moderately satisfactory
Overall	Moderately satisfactory

## Addressing fragility

The overall quality at entry rating of 57 percent MS+ for fragile states was below that of non-fragile ADF and AfDB countries (both at 71 percent MS+), but this finding was not statistically significant. Factors contributing to the low rating include: inadequate analysis of the underlying causes of conflict and fragility (21 percent MS+), failure to adopt measures to address key fragility factors (31 percent MS+), and, inadequate attention to building citizens' capacity (31 percent MS+). The Bank has made limited progress in improving its response to the needs of fragile states since the approval of the Fragile States Strategy in 2008.

CSPs of fragile states do not appropriately describe aspects that are important to peace and state building (such as political context, security situation, and justice). The benchmarking study revealed that the International Monetary Fund and the World Bank conduct a more rigorous analysis of fragility issues than does the Bank. The Bank has recently established a Fragile States Department, which is responsible for ensuring adequate attention to fragility issues in future

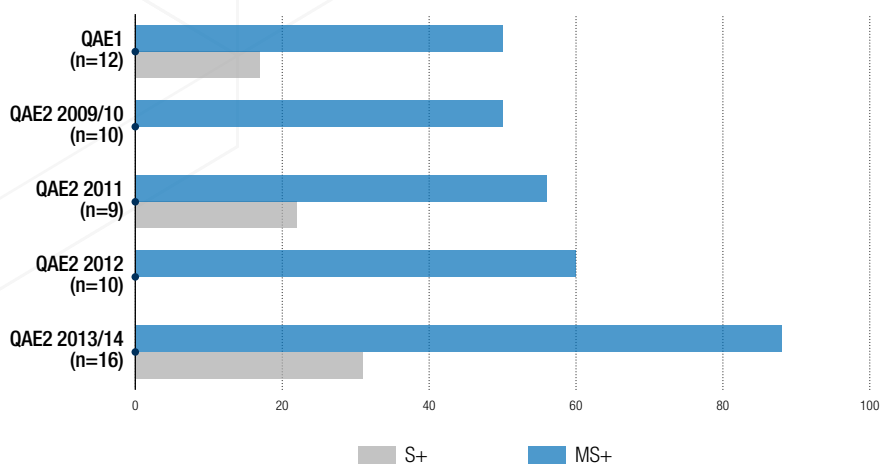
CSPs, and a new strategy<sup>2</sup> for addressing fragility was approved by the Board in June 2014. This should help address these concerns.

## Effectiveness

### Changes in Quality at Entry of CSPs

The Bank has made limited progress in achieving its stated target of 100 percent S+. The proportion of CSPs that were rated at S+ remained unchanged at 16 percent compared with the 2008–09 quality at entry assessment. However, quality at entry has improved when measured against the bar of MS+. Quality at entry has increased from 50 percent MS+ (2008–09 assessment) to 67 percent MS+ (current quality-at-entry assessment). As demonstrated in figure 2, quality at entry (rated at the MS+ level) has been improving over time. The 29 CSPs approved in 2009–12 received a slightly higher rating (55 percent MS+) compared with the CSPs examined in the 2008–09 quality at entry assessment. The improvement in quality at entry was more significant for the 16 CSPs approved in

Figure 2: CSP Quality Trends (% MS+ and % S+)



2013–14 (88 percent MS+), although this is still far from the target of 100 percent S+ (31 percent)<sup>3</sup>. The improvement pre- and post-approval of the TYS review is significant, at a 99 percent confidence level.

***Finding 2: Overall, quality at entry of CSPs was rated moderately satisfactory. The Bank has made little progress in achieving a target rating of 100 percent S+, despite moderate improvements in quality. Areas for improvement include CSP utility in guiding Bank programming and integration of private sector operations.***

Overall, the ratings of factors assessed improved under the current evaluation compared with those of the 2008–09 assessment. Noticeable improvements (more than 35 percentage points) occurred in the alignment with the Bank's strategic priorities on governance and regional integration. Appropriateness and realism of the results framework also improved significantly, from 25 percent MS+, but it remains a challenge at only 47 percent MS+ (see below for additional details).

Findings emerging from interviews and surveys were mixed. Forty-five percent of the staff and managers who responded to the survey reported only minor or no improvement in the quality of CSPs. Interviewees, however, were more positive. About 89 percent of interviewees pointed to moderate or substantial improvements in the quality

of CSPs, particularly with respect to alignment with country priorities. Of note is that country counterparts reported moderate to substantial improvements in quality, particularly with respect to country ownership (moderate or substantial improvement, 100 percent), alignment with Bank strategy (100 percent), and alignment with country priorities (88 percent). Factors associated with the improvements in 2013 include, in addition to the alignment of the Bank's country strategy with the government's plans and priorities, improved analysis of the country strategy and objectives.

#### ***Explanatory Factors for Changes in the Quality at Entry of CSPs***

Interviewees pointed to a number of factors that have contributed to the improvement in quality. About half of staff interviewed (46 percent) and country counterparts (53 percent) identified country presence as a contributing factor to quality improvement (table 4).

Interviewees also indicated that the Operations Policy Committee (OPSCOM) reviews (33 percent), Readiness Reviews (27 percent), and, peer reviews (24 percent) contributed to quality improvements. A majority of staff/managers surveyed also reported that OPSCOM reviews (84 percent) and peer reviews (93 percent) are useful or highly useful.

**Table 4:** Factors Affecting CSP Quality (n+79)—Interview Results

Contributing factor	Percent
Country Presence	46
OPSCOM reviews	33
Department coordination	30
Readiness Review	27
Peer review	24
Clear standards and guidelines	23
Country team review	19



OPSCOM is supported by a secretariat that fulfills an important “gate-keeping” function, based, in part, on the completion of an action matrix. OPSCOM generally approves CSPs with the condition that comments made are incorporated in the revised CSP. OPSCOM withheld approval of CSPs only in exceptional circumstances. An analysis of action matrices indicated a high degree of acceptance of OPSCOM comments, albeit rather superficially at times. A review of the OPSCOM minutes indicated that the guidance provided was too general at times. Contrary to the interview and survey results, expert panelists found no evidence that OPSCOM comments led to significant changes in the CSPs.

Finally, only 19 percent of interviewees indicated that country team review contributed to improvements in CSP quality. Country teams are assigned an important role in CSP preparation and review. The country team was initially envisioned as a select group of staff who are active in and knowledgeable about the country, and thus able to add value to country-related discussions and decisions. The latest instructions<sup>4</sup> related to the implementation of Presidential Directive 03/2013, define the country team as “the concerned regional director as chair, sector directors, heads of other relevant organizational units, the resident representative, the lead economist, advisor, country economist, country program officer, and sector experts covering the RMC in question. Membership of the country team also extends to heads, representatives or resource persons from the organization units in charge of strategy, operational policies, statistics, development research, quality assurance and results, procurement and fiduciary services, financial management, disbursement, the African Development Institute, resource mobilization and the fragile states, as applicable.” In practice, this change turns a country team meeting into something akin to a Bank-wide management review meeting, making lines of accountability less clear in practice than as described in Presidential Directive 03/2013.

Some interviewees recognized the importance of the country team, but criticized its functioning. It was noted that some members come to the meetings without

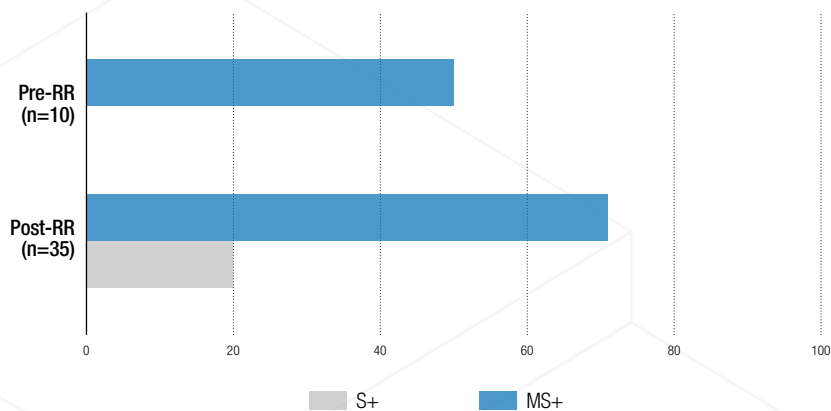
reading the documents. This can happen for a variety of reasons, such as lack of time and last-minute requests. Some staff attend the meetings to satisfy bureaucratic requirements and do not make a contribution.

Furthermore, despite the moderate improvements in quality, the evidence also suggests that country teams are not fully leveraging lessons learned from the development of past CSPs. A time series analysis of successive CSPs in the countries covered under the 2008–09 quality at entry assessment showed no clear improvement pattern, suggesting that country teams are not systematically applying lessons learned from the development of previous strategies.

### ***Effect of Readiness Reviews on Quality at Entry of CSPs***

The introduction of the Readiness Review has been the main change in quality assurance practices since the last quality at entry assessment. Readiness Reviews are presently carried out twice within the CSP cycle—at the Concept Note stage and when a draft CSP is available. To date, ORQR, in charge of this process, has given priority to Readiness Reviews of operations and devoted fewer resources to CSP reviews. A total of 35 CSPs have been completed since expansion of the Readiness Review to country strategies in 2011. Only 77 percent of CSPs were reviewed in 2013, with a time allocation of about 0.5 days for Concept Notes and 1.5 days for CSPs. Typically both the Concept Note and CSP are reviewed by one person, frequently a consultant.

While panel ratings indicate that there was a statistically significant (at a 90 percent confidence level) improvement in quality at entry, there was not sufficient evidence to indicate that these improvements can be attributed to Readiness Reviews. Only 27 percent of staff and managers interviewed identified the readiness reviews as a contributing factor to the improvement in the quality of CSPs.

**Figure 3:** Readiness Review – Before and After

Readiness Reviews were carried out for 29 of the 45 CSPs included in the evaluation sample. Overall, the Readiness Reviews assigned more favorable ratings than the expert panelists, assigning a more favorable rating in 17 instances, the same rating in 7 instances, and lower ratings in 5. These Readiness Review ratings were markedly more positive in the area of contextual diagnostic and rationale for the design of the strategy (see table 5).

The ratings for program design were the most comparable. An examination of the Readiness

Reviews indicated that they were more generous than suggested by the write-up. While the Readiness Reviews frequently criticized the CSPs for failing to address strategic issues, they rarely assigned below moderately satisfactory ratings.

#### ***Quality Variations across Country Categories***

Several additional factors with plausible links to CSP quality at entry were examined. The results (table 6) indicate that quality at entry remains uneven and reflects lack of consistency in delivery

**Table 5:** Readiness Review versus QAE2 Ratings (n=29)

	Readiness Review (percent MS+)	QAE2 (percent MS+)
Contextual diagnostic and strategy design rationale	97	72
Alignment and ownership	93	86
Bank positioning and strategic selectivity	86	64
Program design	72	66
Monitoring, results, and risk assessment	76	59
Overall	90	66

**Table 6:** Quality Differences between Groups of CSPs

Comparison	Percent MS+	Confidence level (percent)
Large GDP vs. other	80 vs. 63	95
Medium GDP vs. other	56 vs. 72	95
Medium population vs. other	52 vs. 79	95
Small population vs. other	80 vs. 60	95
Fragile states vs. other	57 vs. 71	Not significant
CPIA low vs. CPIA high	44 vs. 74	95
South vs. other	50 vs. 71	90
East vs. other	56 vs. 69	Not significant
North vs. other	80 vs. 65	95
West vs. other	80 vs. 60	99
Large portfolio vs. other	80 vs. 63	95
Small portfolio vs. other	56 vs. 74	95

Note: GDP size: Based on IMF 2012. GDP in current prices—\$30 billion or larger = large, \$10-30 billion = medium, \$10 billion or smaller = small.  
 Population: Based on IMF 2012 Population—Greater than 25 million = large, 5-25 million = medium, less than 5 million = small.  
 CPIA: Based on AfDB 2012 ratings—3.62 and below = low, 3.63 and above = high  
 Portfolio size: Based on number of active AfDB Group loans—20+ = large, 10-19 = medium, 0-9 = small.

models and processes. The following patterns emerged when analyzing quality along the different categories:

- CSPs for countries with large gross domestic products (GDPs) fare better (80 percent MS+) than those for smaller (63 percent MS+) and medium-size economies (56 percent MS+).
- CSPs for countries with small populations show the highest quality at entry (80 percent MS+) compared with countries with medium-size populations (52 percent MS+).
- Quality of CSPs for fragile states (57 percent MS+) is lower than for the non-fragile ADF and AfDB countries (both at 71 percent MS+). However, this result is not statistically significant, even at the 90 percent confidence level.
- Consistent with fragile states findings, CSPs for countries in the high Country Policy and Institutional Assessment (CPIA) (>3.63) category received a higher rating (79 percent MS+)

than those in the low CPIA (3.62) category (44 percent MS+).

- CSPs for countries in the north and west regions (both at 80 percent MS+) are rated higher than other regions.
- Countries with a large, active portfolio have better quality at entry (80 percent MS+) than countries with small portfolios (56 percent MS+).

These patterns indicate that quality at entry was higher in countries where the Bank has a large and active portfolio, where the GDP is high, and where the country context is relatively stable. This information should be considered together with the finding above that the quality of CSPs is linked to both the size of country teams and the extent of the Bank's presence in RMCs. The new CSP guidelines should take this information into consideration and institute processes and mechanisms that will ensure appropriate quality at entry of CSPs for countries that do not demonstrate these characteristics.

### **Utility of Country Strategies in Guiding Bank Programming**

The evaluation concluded that CSPs are of limited value in programming specific operations. A sizable proportion of staff and managers surveyed (30 percent) reported that the CSPs were not very useful from this perspective. Furthermore, they indicated that they were unsatisfactory in defining a realistic program. Consistent with these results, two of the four executive directors responding to the survey did not consider the CSPs as useful in guiding Bank programming. Participants at the Tunis workshop also expressed dissatisfaction with the CSP as a programming tool, both from the public sector and private sector points of views, although for different reasons.

A comparison of the program of loans and ESW indicated in the CSP with that of the Indicative Operational Program (IOP), as well as actual delivery, indicated a major divergence. This finding is in line with the McKinsey analysis<sup>5</sup>, which reported that only 30 percent of the loans in the IOP are ultimately delivered. The experience with ESW is quite similar. While the total number of ESW outputs completed was not far below what was planned at the beginning of the year, it was well below the level indicated in the CSPs. Based on comments from interviewees, this disconnect is much larger at the AfDB than at other organizations, such as the World Bank.

### **Efficiency**

#### **Planning, Time, and Cost for Preparing CSPs**

Data on the full cost of preparing CSPs (or other outputs) are not available due to the lack of staff time recording.<sup>6</sup> Elapsed times and mission sizes (as high as 33 Bank staff and consultants in some instances) suggest very high costs in a number of cases. The time elapsed from Concept Note to CSP ranged from 5 to 16 months at the Bank. This is comparable to the time range at the World Bank, which varies between 3 to 16 months. The time from the start to the completion of the Concept Note is not recorded. However, it is estimated to be much longer at the AfDB than at the World Bank. Based on the benchmarking study, the average cost of preparing a CSP in the Africa Region at the World Bank, is estimated at US\$190,000 (ranging between \$52,000 and \$461,000).<sup>7</sup>

Document review, interviews, and survey results indicate that CSP planning is uneven and inadequate. About 32 percent of staff and managers (survey) reported that the time available to complete a CSP was in need for improvement. The document review revealed issues with delivery, as demonstrated by the substantial gap between actual delivery and plans (see table 8 for details). This gap is being addressed through the Bank-wide Program Processing Schedule (BPPS), which supports the implementation of Presidential Directive 03/2013 and was introduced in late 2013. It enables and requires task managers and team leaders

**Table 7:** Efficiency Ratings

<b>Subcriteria</b>	<b>Rating</b>
CSP planning	Moderately satisfactory
Preparation process (steps and reviews)	Moderately unsatisfactory
Teamwork (team composition and incentives)	Moderately unsatisfactory
Overall	Moderately unsatisfactory

**Table 8:** CSP Planning

CSP	2010	2011	2012	2013
Planned in January	14	19	19	26
Of which delivered	6	12	11	14
Postponed	2	7	6	3
New delivered	0	0	1	4
Total delivered	6	12	12	18

to record the programming, sequencing, and delivery of outputs. The BPPS also enables management to follow up on program execution. A weakness of the BPPS is that it starts with the issuance of the Concept Note. As a result, it does not document the preceding diagnostic phase.

***Finding 3: Efficiency was rated as moderately unsatisfactory. The preparation process for CSPs is cumbersome and involves numerous and redundant steps. In addition, team composition and underlying incentives do not systematically foster teamwork.***

### ***CSP Preparation Process***

The preparation process itself includes numerous and redundant steps and reviews (see appendix D for a depiction of the CSP/RIP preparation process). The entire process incorporates two almost identical preparation and approval cycles for the preparation

of both the Concept Note and the CSP, involving a series of approval stages that reach all the way up to OPSCOM. The only difference between these two cycles is that CSPs are submitted to the Board for approval. As a result, the additional Concept Note cycle leads to duplication, cost increases, and delays in the process. Based on the benchmarking study, the CSP preparation process at the AfDB involves an excessive number of process steps (a total of 24), compared with only 13 steps at the ADB, 10 steps at the Inter-American Development Bank (IDB) and the International Fund for Agricultural Development (IFAD), and 8 steps at the World Bank. The number of substantive reviews built into the process is also excessive, at 8–10 reviews at the AfDB compared with 3 at IFAD, 2 at the World Bank and ADB, and 1 at the IDB<sup>8</sup>. In addition to being cumbersome, the excessive dependence on reviews may promote a culture of compliance with standards rather than one of accountability for the quality at entry of CSPs.

**Table 9:** QAE2 Panelists Ratings for Effectiveness and /or Value Added

Process	Number of responses	Percent rated S+
Concept Note	24	46
Concept Note Readiness Review	23	53
CSP preparation mission	8	25
CSP dialogue mission	11	45
CSP Readiness Review	19	47
OPSCOM review	30	43
Peer review	15	7

**Table 10:** Monitoring, Results, and Risk Assessment Ratings

Subcriteria	Rating
Appropriateness and realism of the results-based framework	Unsatisfactory
Monitoring/evaluation arrangements	Moderately unsatisfactory
Risk assessment and mitigating measures	Moderately unsatisfactory
Overall	Moderately unsatisfactory

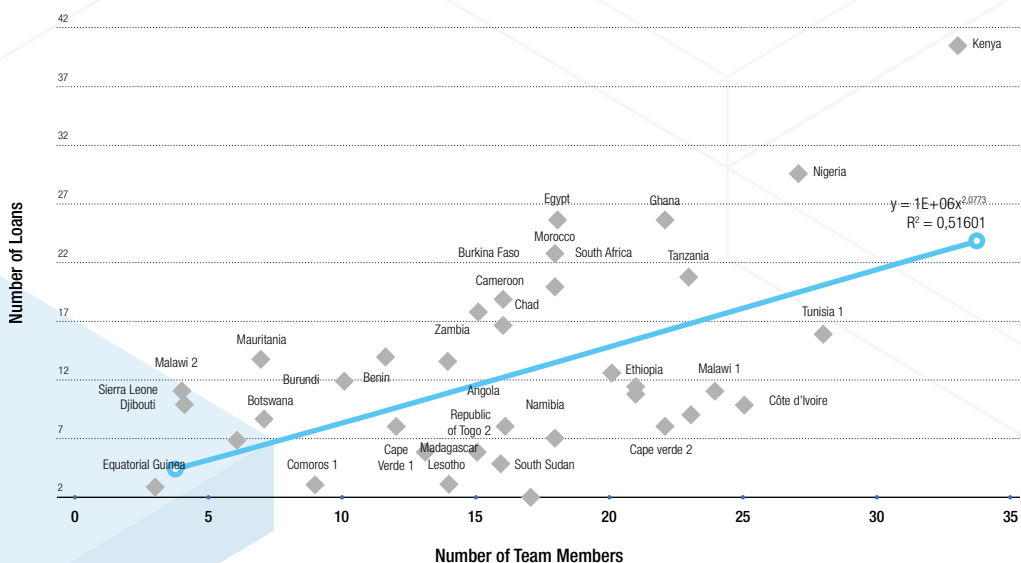
Whereas the initial intent was to delegate authority to approve CSPs from OPSCOM to the vice president and/or regional director, recent instructions to implement Presidential Directive 03/2013 indicate that even the authority to chair a country team flows from OPSCOM to the regional director.

The panelists' ratings of the value added of different steps are shown in table 9. Case studies revealed diverging views on the value of the different process steps and which ones should be

dropped. However, there was general consensus that there are too many steps.

### ***Country Team composition and functioning***

The evaluation examined the size, composition, and value added of the country teams. Overall, the evidence suggests that CSPs with larger country teams received higher ratings. Furthermore, while the involvement of sector experts on country teams was

**Figure 4:** Active Portfolio versus Team Size

found to promote quality, there continue to be gaps in skills and experience that limit the potential value added of country teams.

An analysis of CSP team size and composition showed a wide variation across teams. CSP teams ranged in size from 3 to 33. Countries with a significant Bank presence (such as Kenya and Tunisia) have the largest country teams. The team size was 10 or fewer for 9 CSPs, between 11 and 20 for 17, and more than 20 for 11<sup>9</sup>. This range reflects the number of staff who provide input to CSP preparation and/or join the CSP preparation mission. Four-fifths of the team were sector specialists. Private sector staff were rarely part of CSP teams.

A third of those surveyed pointed to gaps in expertise, skills, and the cultural knowledge of the country needed to carry out rigorous analysis—particularly knowledge of the political context and sector analysis. Staff from the field office and regional resource centers constitute, on average, a third of the team.

All of the case studies confirmed the value of strong leadership and contributions of sector staff. The CSPs for both Kenya and Tunisia benefited from the large presence of Bank staff in Nairobi and in Tunis and are “best practice” examples of involvement of sector staff. The findings for the DRC and Sierra Leone were similar,

with strong involvement and engagement of sector specialists. Interviewees reported that the involvement of sector staff is worth the cost and leads to both a better strategy and greater buy-in from the sectors.

It is worth noting that there was a positive correlation between the team’s size and the size of the Bank’s active portfolio in the country (see figure 4), as well as the quality of CSPs. Countries with large portfolios attract bigger teams that produce better-quality CSPs—82 percent MS+, vs. 58 percent MS+ for others. While no causality can be established, it is noted that countries with a large, active portfolio, where the potential payoff is the highest, tend to attract more CSP preparation resources, which may ultimately contribute to the quality of the CSP.

## Monitoring, Results, and Risk Assessment

Monitoring, results, and risk assessment were rated the lowest (49 percent MS+) of all categories for CSPs. These findings are in line with the 2008–09 assessment, which identified realism of the results-based framework, arrangements for monitoring and evaluation (M&E), and risk assessment and mitigation as areas for improvement.

**Table 11:** Benchmarking Results Frameworks

Items Covered	AfDB	WB	ADB	IDB	IFAD	DFID
Country development goals	•	•	•	•	•	•
Constraints	•	•				
Baseline	•	•	•	•	•	•
Final outcomes	•	•	•	•	•	•
Final outputs	•	•				
Mid-term outcomes	•				•	
Mid-term outputs	•					
Interventions	•	•			•	
Resource allocation			•			

Gradual improvements have occurred since the 2008–09 assessment; but these areas continue to be issues of concern. In 2013, results frameworks were rated at 75 percent MS+, with only 6 percent rated at S+. Expert panelists pointed to a number of issues, including: (i) the frequent absence of baseline data; (ii) indicators that cannot be easily measured; (iii) uncertainty about what constitutes an outcome and what constitutes an output; and (iv) ambiguity on how to link Bank-generated outcomes with countrywide development objectives. Similar findings emerged from both the survey and interviews with staff. About 40 percent of Bank staff and managers identified issues with the results framework, while 35 percent considered the risk assessment and mitigation measures to be inadequate.

***Finding 4: Monitoring, results, and risk assessment are the weakest areas of CSPs and are rated at moderately unsatisfactory. The results framework is poorly understood and is not making a marked contribution to the quality of CSPs.***

Furthermore, when the expert panel rated the appropriateness and realism of the results management framework for CSPs, 47 percent were MS+ in this area, while only 9 percent were rated as S+. Interviewees were split on the usefulness of the results-based framework. The benchmarking study revealed little general agreement across organizations about what constitutes a good results framework (table 11).

Other areas for improvement, as evidenced by ratings by the expert panel, include: quality of M&E (60 percent MS+) and arrangements to build up the countries' M&E capacity (49 percent MS+). Both factors are essential for achieving development effectiveness. Panelists also noted a lack of adequate attention to project-level M&E, which points to the absence of a meaningful learning effort at the project level. These findings were in line with survey results. About 28 percent of staff and managers and three out of four executive directors reported similar concerns.

## Regional Integration Strategy Papers

### ***Strengths and Weaknesses of the Bank's RISPs***

Regional integration is one of the core operational priorities of the MTS and the TYS. The Bank's efforts in this area are underpinned by the AfDB Group Regional Integration Strategy, 2009–2012 (AfDB 2009). All regional strategies focus on two pillars, in line with the guidance in the strategy: Pillar I provides support for infrastructure for regional integration, while Pillar II supports capacity development for regional integration (which accounted for 55 percent of regional operations funding in 2008–10).

Of the five RISPs, two were rated "satisfactory" (S), the Indian Ocean Community and West Africa, and three were rated "moderately satisfactory" (MS),

**Table 12:** RISPs: Overall Ratings

Category	% MS+	% S+
1.1 Diagnosis	100	60
1.2 Alignment and ownership	100	20
1.3 Positioning and selectivity	80	40
1.4 Program design	100	40
1.5 Monitoring, results, risk assessment	40	0
Overall	100	40



Central Africa, East Africa, and Southern Africa. In contrast with these favorable findings, more than 30 percent of the survey respondents and two of the four executive directors considered RISP quality to be unsatisfactory in respect to diagnosis and analysis, as well as alignment with Bank strategy and country priorities. Ratings for the five RISPs are summarized in table 12. Aspects showing relative strength (80 percent or higher MS+) included: attention to the region's priorities; assessment of opportunities and critical constraints affecting long-term regional development; use of analytical work in strategy formulation and identification of knowledge gaps; alignment with governments' priorities; alignment with the Bank's strategic priorities, especially transport, power, and one-stop border posts; effectiveness of capacity building interventions (including for regional institutions); consultation with regional stakeholders; analysis of Bank positioning; intervention choices; and selectivity.

Aspects in need of improvement (rating of 50 percent or lower MS+) include: assessment of legal and regulatory frameworks; attention to water and trans-boundary water resources issues under Pillar 1; attention to financial Integration under Pillar 2; plans for mobilizing private funding; capacity building for nongovernmental and civil society organizations; and comprehensiveness of risk assessment.

***Finding 5: RISPs are strong in alignment with the regions' development priorities and with the Bank's strategic priorities. However, they are weaker for institutional/soft issues such as building the commitment of national governments.***

Aside from the aspects in need of improvement noted above, a number of additional issues deserving greater attention stand out. First, the RISPs generally do a good job in setting the context of experience with integration within the region, but do not generally refer to experience outside the region, that of the Bank itself or others in Africa, or

more generally worldwide. Second, while the RISPs usually do a good job in analyzing the social situation in the region, they do not explore whether and how the proposed strategy and intervention will result in reduced poverty, inclusive growth, or the transition to green growth. Third, the RISPs do not carefully assess the record—and what a realistic expectation may be for the future—of the willingness of governments in the region to overcome often long-standing regional rivalries and go beyond making bold statements about regional cooperation to create strong regional institutions and to implement effective regional cooperation. Fourth, though RISPs usually summarize key issues regarding weak governance, they do not explore the incidence of corruption and related governance problems or how these issues affect the willingness and ability of governments to pursue serious improvements in border management. Fifth, RISPs do not adequately address the issue of sustainability of improved infrastructure and institutions. The East Africa RISP is an exception: it explicitly refers to strengthening the operations and maintenance and revenue-generation capacities for regional infrastructure.

### ***Donor Coordination and Alignment between RISPs and CSPs***

The RISPs generally provide an account of different donors involved in the region, and some of them also flag specific examples of cooperation among donors in supporting specific regional investment and capacity-building activities. But they generally do not discuss whether there are any formal or informal donor cooperation platforms and how, if at all, the Bank intends to create or strengthen existing platforms. Furthermore, RISPs do not always reflect the content of CSPs for individual countries in the region. For example, the East Africa RISP has a strong focus on development of shared water resources, which are also an area of focus for these CSPs. However, the proposed Inter-regional early warning system for flood prevention

and water basin management is not mentioned in any of the CSPs. Nor do the CSPs mention CLIMDEV, a regional program for strengthening weather and climate services. These findings were corroborated by evidence from the survey: three of the four executive directors surveyed found the linkage to be unsatisfactory.

### ***Process and Format for Preparing RISPs***

In terms of process, the evaluation team found the Readiness Reviews to be potentially very useful. The Review for the Indian Ocean Community RISP is particularly thorough and insightful, and it could serve as a model for future Reviews. Other useful documents are the Mid-Term Review and Regional Portfolio Performance Review Reports (MTR/

RPPR), which were available for the Central Africa and East Africa RISPs. Particularly notable for its insightful analysis is the MTR/RPPR for East Africa. The common format of RISPs helps assure that key issues are systematically addressed, and it allows for a ready comparison across RISPs.

The strict adherence to a length limit of no more than 20 pages seems appropriate. In terms of balance, just as in the case of CSPs, it might be worth exploring a shortening of the portion of the text devoted to the setting of the regional context, which generally takes about 10 pages; that is, half the allowable length. Rather than half-and-half, a preferable balance between the context and strategy/ program sections would be one-third context and two-thirds strategy/program (or even one-quarter and three-quarters). ■





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# Findings from the Prospective Component: Maximizing Achievement of TYS Objectives

In order to inform the prospective component, the expert panel reviewed the extent to which the CSPs integrated impact at scale and the two TYS objectives—inclusive growth and transition to green growth.

## Scaling up

### *Defining Scaling up*

Scaling up is defined as: “expanding, replicating, adapting, and sustaining successful policies, programs, or projects in geographic space and over time to reach a greater number of people.”<sup>10</sup> Scaling up is best understood as part of a broader process of innovation and learning (figure 5).

A new idea, model, or approach is typically embodied in a pilot project with limited impact. Organizational internal knowledge is created and organizational external knowledge is disseminated by learning from this experience through M&E. Internal and external knowledge, in turn, can be used to scale up the model through expansion, replication, and adaptation, leading to multiple impacts. The experience from scaling up feeds back new ideas and learning for subsequent stages of the scaling-up process. Outside knowledge can also feed into scaling-up efforts if an organization leverages the pilot experience and learning of another organization.

### *Scaling up at the Bank*

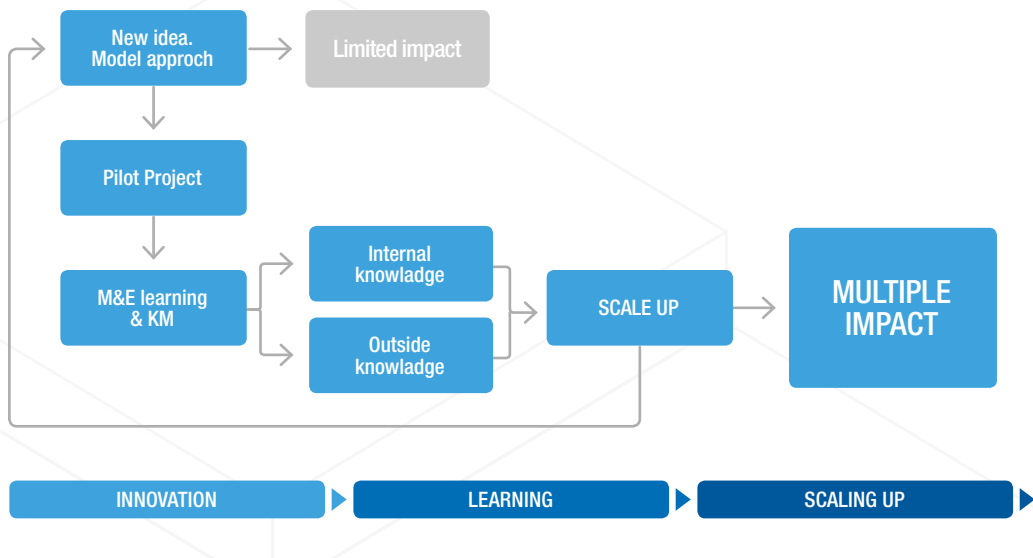
The main objective of this section of the analysis is to help identify the extent to which potential exists

for the Bank to incorporate scaling up as a potential component of future CSPs and RISPs as a leading practice. The ratings do not reflect performance on the ground, but merely the extent to which scaling-up aspects are reflected in the CSPs. In addition, they are not directly comparable with the ratings in the rest of the CSP/RISP evaluation, since they do not refer to quality against standard criteria, but to criteria of scaling up, which have not been part of the Bank MTS or TYS, and CSP guidelines.<sup>11</sup>

*Overall, the evidence indicates that there is significant scope for systematically incorporating dimensions of scaling up into CSPs.*

A review of key Bank strategy documents shows that corporate strategy documents do not set impact at scale as an explicit objective for Bank operational engagement and currently do not contain any guidance on scaling up approaches that might be adopted in the preparation and implementation of country programs. It is, therefore, not surprising that CSP guidance documents do not include any guidance on scaling up. Evaluation guidance and practice in the Bank have traditionally not considered scaling up as one of the aspects of operational engagement to be subjected to evaluation, further limiting the extent to which lessons learned can be collected and applied.

Ten<sup>12</sup> CSPs were purposively selected (geographic location, per capita income level, fragile and non-fragile status, country and program size, AfDB vs. ADF) to assess the extent to which they integrate scaling up. It is not surprising to find most CSPs devoid of a clear and well-articulated approach to scaling

**Figure 5:** Innovation, Learning, and Scaling up Linkages

up in light of absence of strategic orientation toward scaling up in the Bank. Overall, the average rating across countries for overall scaling-up performance is 2.9; that is, below “limited” consideration of scaling up. However, two CSPs—Ethiopia and Kenya—received an overall rating of 4 (acceptable). They integrate aspects of scaling up by: (1) recognizing the need for transformational change; (2) stressing the Bank’s catalytic role and potential for leverage; (3) recognizing in results frameworks that outcomes during the CSP period need to contribute to longer-term goals; and (4) effectively linking past operations with current and future sectors of engagement in a selective and strategic fashion.

The strongest aspects emerging from the review were related to regional integration, partnership orientation, ESW, and results frameworks. Weaker aspects were sustainability, M&E, and clarity of business lines. Among the various sectors found in the CSPs, the strongest from a scaling-up perspective were transport, followed by strengthening government capacity, and water/sanitation. Energy was substantially weaker, and the

private sector was especially weak. Agriculture, which is represented in only 5 of the 10 CSPs, is also very weak. The Bank would benefit greatly by moving toward an explicit recognition of the centrality of scaling up to its overarching objective of development effectiveness.<sup>13</sup>

## Mainstreaming Inclusive Growth and Transition to Green Growth into CSPs

### *Alignment with the TYS — inclusive growth and transition to green growth*

As defined in the Bank’s TYS, inclusive growth and green growth are tools to achieve economically, socially, and environmentally sustainable development without sacrificing short-term growth objectives. The evaluation examined the extent to which the two strategic objectives were integrated in CSPs. However, the ratings of this factor were not included in the overall assessment of quality at entry, since most of the CSPs in the sample were completed prior to issuance of the

TYS. They are expected to provide a baseline against which to measure future progress. Although two-thirds of the CSPs in the evaluation sample were finalized prior to 2013, alignment with the strategy is on the right track for transition to green growth (100 percent MS+ and 38 percent S+) and, to a lesser extent, for inclusive growth (69 percent MS+ and 44 percent S+). About three-quarters of staff and managers responding to the survey also pointed to improvement in the way CSPs address inclusive growth and green growth. Despite these encouraging results, there are a number of key areas for improvement that can be addressed through the new toolkit being developed by COSP:

- Move beyond simply mentioning the challenges of inclusiveness and green growth in the background diagnostics to the next step of articulating the sector policy challenges (for example, addressing energy subsidies).
- Clearly articulate how objectives will be achieved in pillar implementation. CSPs currently mention integration of inclusive and green growth in the pillars, but, for the most part, only in general terms. A particularly weak area is the lack of support for improving the information base for decision making with respect to green growth. This would fall under the governance pillar, but could be implemented through a variety of sector or governance operations.
- Analytical work needs to feed more directly into strategy development and policy reform. More broadly, in inclusive and green growth, as in other areas, there is more scope for the Bank to deepen its analytical work and partnership with other organizations over the coming years.

***Finding 6: Up to the present, the focus has been on articulating inclusive growth and the transition to green growth in general terms. A shift of focus toward implementation, results monitoring, and learning and sharing of experience is required.***

### ***Looking ahead — Mainstreaming inclusive growth and green growth into CSPs***

The analysis of opportunities and constraints should form part of the background of a CSP and be country-specific. The background section of a CSP that includes integrating inclusive growth would include a discussion of progress and challenges of a growth path that broadens access to sustainable socioeconomic development opportunities for more people, countries, and regions, while protecting the vulnerable. It would include a discussion of economic, social, spatial, and political inclusion. Very few of the CSPs reviewed include a discussion of the four elements of inclusion. These dimensions are, of course, interrelated and need to be discussed together.

With respect to green growth, the background section would include a discussion of the progress and challenges of a growth path that builds resilience to exogenous shocks, particularly those that are weather related; manages natural assets efficiently and sustainably, including through increased agriculture productivity; and promotes sustainable infrastructure development, while minimizing waste and pollution.

Regarding policies, practices, and regulations that impact inclusive growth, there is scope for a stronger (if brief) analysis of key issues such as land tenure, energy pricing, utilities governance, decentralization, and the quality of local service delivery. Often these elements are not addressed at all. Many of these issues also impact green growth. The background analysis should then feed into a discussion of strategic choices—that is, articulation of priorities for inclusive growth and green growth within country strategies. This would mean a greater focus on addressing regional inequities and jobs, especially for young people; for inclusive growth; and on resilience and efficient use of resources for green growth.

### ***Operationalizing inclusive and green growth in priority pillars, policies, and programs***

The most challenging area will be to operationalize inclusive and green growth in priority pillars, policies, and programs. In areas not identified as priorities under the TYS, in particular the social sectors and agricultural productivity, CSPs will need to articulate what governments and other development partners are doing to support these areas and illustrate complementarities. There is also considerable scope for better mainstreaming governance and infrastructure into the pillars most commonly selected by CSPs. The Bank's own Governance Strategic Framework and Action Plan (GAP II) for 2014–18 already provides useful guidance, since it has a broad, cross-sector approach to governance. CSPs could go beyond a more limited approach, emphasizing financial-management accountability at the macro level to include specific goals for public expenditure allocation (to health or soil fertility management, for example). Few CSPs support improved environmental or social governance, despite their importance for inclusive green growth, though some do address accountability for local service delivery. There is scope for more systematic support for the governance aspects of infrastructure development (addressing non-tariff barriers to trade—for example, safety, or more equitable access to infrastructure). For natural resource-rich countries, the Bank can use more specific support to ensure that natural resource revenues support inclusive growth or that environmental and social governance address artisanal as well as large-scale mining. There are similar opportunities for the other pillars.

With respect to Bank support instruments; there is an opportunity to address equitable access

more systematically, especially in infrastructure operations and to mainstream environmental and social impact management. The Bank can make more use of policy-based lending (budget support) instruments. These are used to some extent already for inclusive growth, but not yet for green growth.

### ***Measuring results for inclusive and green growth***

Regarding information and the quality of data for decision making, most of the CSPs completed to date do not report systematically on the six "level 1" Indicators outlined in the One Bank Results Management Framework (AfDB 2013b). CSPs would also benefit from a discussion of the quality of this information in the country, and where it is inadequate, could usefully include proposals to improve information quality as part of the governance agenda. Geographical information (for example, on water and land resources, soil fertility trends, hydro-meteorology, water and air quality, erosion, and natural resources) has not benefited from the same "push" as social indicators regarding data to inform decision making. While CSPs mention that the AfDB has supported better economic and financial statistics, this has not been the case for geographical data. There is also scope for better analytics to inform future CSPs and for partnerships with other knowledge-based organizations. Working with member governments as they articulate their national development plans can also ensure upstream mainstreaming of the agenda; a number of African countries have already taken a leadership role in this regard. ■







# Conclusions and Recommendations

Based on the findings above, the evaluation recommends a set of actions designed to achieve a target of 100 percent satisfactory (or highly satisfactory) CSPs and RISPs by 2016. This set of recommendations, however, starts with a higher-level view of positioning of the CSP as a strategic tool before touching on its content.

## Repositioning the CSP as the Strategic Tool to Guide the Bank's Operations in RMCs

Country strategies currently focus on individual projects, thus missing the benefits of a programmatic approach and opportunities to utilize the full range of the Bank's instruments. A related missed opportunity is the absence of concepts and approaches that would enable a scaled-up impact of the Bank's interventions well beyond their direct impact. In a similar context, the strategies are ineffective as programming tools, with a significant "disconnect" across what is in the document and the actual delivery of projects. Finally, while the Bank has made a promising start in aligning its country strategies with the Bank's TYS, the focus has been on articulating inclusive growth and transition to green growth in general terms.

### Recommendation 1: Reinforce the CSP as a strategic tool to guide the Bank's operations in RMCs.

(Associated findings: 1.3, 1.4, 2.5, 6.1, 6.2, 6.3)

1.1 Review the CSP objective as setting the strategic direction and objectives, with a focus on broad indications of sector priorities

for Bank interventions (as opposed to a description of the pipeline).

- 1.2 Adopt a separate instrument (such as an Operational Plan) to program lending and non-lending operations.
- 1.3 Introduce scaling up overall development impact as a clear objective within the CSP by leveraging synergies across the different TYS objectives.
- 1.4 Identify how inclusiveness and transition to green strategies will drive the Bank's activity at the country level (for example, policy dialogue, interactions with civil society, design of sector strategies, and selection and design of operations).

## Improving the Quality at Entry of CSPs

Although the quality at entry of CSPs has improved at the "moderately satisfactory or better" (MS+) level from 50 percent to 67 percent MS+ under the current assessment, and to 88 percent for CSPs undertaken in 2013, there has been little improvement in the proportion of CSPs reaching the threshold of satisfactory or better (S+). While the Bank's commitment has been to reach an average rating of at least 5 (equivalent to 100 percent S+) by 2016, the proportion has been stagnant at a low 16 percent S+. From the findings of the evaluation, the main areas for improvement include analysis and learning of lessons, measures to address fragility, design and application of results frameworks, attention to ongoing projects, integration of the private sector, use of country systems, and clarification of the strategic niche for the Bank.

**Recommendation 2: Improve the quality at entry of CSPs, with a target of 100 percent S+, by addressing identified weaknesses.**

(Associated findings: 1.5, 2.2, 2.5, 4, 6.4)

- 2.1 Clearly outline a niche for the Bank based on the country objectives and the Bank's priorities and comparative advantage, using a customized approach (in terms of strategic directions, suite of programming instruments, and the like) that caters to the needs of a differentiated client base (middle-income countries, low-income countries, and so on).
- 2.2 Strengthen the analysis of fragility issues and their underlying causes. Clearly outline concrete measures to address fragility, including capacity building in the public sector/civil society organizations.
- 2.3 Articulate clearly the lessons emerging from previous CSPs and sector interventions. Outline how these lessons have helped shape the new strategy.
- 2.4 Articulate key issues related to the management of the ongoing operational portfolio and identify concrete measures to improve it.
- 2.5 Conduct an analysis of the current and potential private sector role in the country, its expected role in the CSP, and the potential for synergies between private sector and public sector operations.
- 2.6 Introduce a simple, easily understood and applied approach linked to the One Bank Results Management Framework (streamlined results framework, results

chain, or similar). Adequately resource the results framework to enable monitoring of progress and drive necessary adjustments.

- 2.7 Provide support to staff through required training, hotline, clear guidelines, and user-friendly toolkits.

## Improving the Quality at Entry of RISPs

RISPs are closer than CSPs to achieving the Bank's target of 100 percent S+. RISPs are strong in terms of alignment with regions' development priorities and the Bank's strategic priorities, but fall short in addressing institutional/soft issues. Other areas for improvement include: (i) building national governments' commitment to regional undertakings; (ii) addressing trans-boundary water resources issues; and (iii) the formulation of a coherent approach to attracting private capital to regional operations.

**Recommendation 3: Improve quality at entry of RISPs, with a target of 100 percent S+, and ensure alignment with relevant CSPs.**

(Associated findings: 5.1, 5.2, 5.3)

- 3.1 Strengthen regional integration strategies to pay greater attention to the institutional elements of regional integration.
- 3.2 Identify mechanisms for strengthening alignment between priorities and activities identified within RISPs and those identified within relevant CSPs. For example, the Bank could, as part of the preparation process of the RISPs, act as a catalyst/broker to foster dialogue with national governments on effective regional cooperation and the need for policy coherence between the regional and national levels.

## Building Quality into the Process

The CSP and RISP preparation process is cumbersome and includes a number of redundant steps and excessive reviews. This approach emphasizes compliance with format and a focus on the quality of the paper rather than quality at entry. The excessive reliance on reviews and the response matrices that follow breed a culture of compliance rather than one of accountability for quality.

**Recommendation 4: Simplify processes while maintaining focus on key drivers for quality at entry, such as the country teams.**

(Associated findings: 1.1, 1.2, 2.1, 2.3, 2.4, 3.1, 3.2, 3.3)

- 4.1 Create strong, multisector teams (with clear accountability) and introduce incentives for interdepartmental collaboration through, for example, budgeting for and rewarding collaboration. This may involve the establishment of mechanisms or standards for ensuring that sufficient resources and expertise are available to support the development of high-quality CSPs, independent of the Bank's portfolio size and country presence.
- 4.2 Leverage country presence to place greater emphasis on interaction with all relevant stakeholders (including civil society, and the private sector) and country ownership.
- 4.3 Eliminate redundant steps in the internal preparation process. For example, the Bank can cut half of the number of steps by simply eliminating the Concept Note cycle, which mirrors the CSP cycle with little impact on quality. Management may consider replacing the Concept Note with a shorter/focused issues paper/presentation that is approved at a lower level.
- 4.4 Reduce the number of reviews in line with other MDBs and focus on the quality of strategies vs. compliance with the quality-at-entry standards of the strategy paper. ■





## Appendix A — Feedback from the Field

### Key Issues and Evaluation Questions

The retrospective element of the evaluation will address the following issues and key questions:

#### ***Relevance***

1. To what extent are the CSPs relevant to the changing context of the countries and their needs?
2. To what extent are the RISPs relevant to the changing context of regions and their needs? (Appropriateness of RISP strategies to address key challenges faced in the region and their effectiveness in promoting regional integration)
3. How well do CSPs/RISPs address the strategic objectives of the MTS and the TYS: poverty reduction, inclusion, and transition to green growth?
4. How well do RISPs address the two pillars of the Bank's 2009–12 Regional Integration Strategy?

#### ***Effectiveness***

1. To what extent has the quality at entry of CSPs/RISPs improved since the last independent quality-at-entry assessment? How does quality vary across different country categories, regions, and other parameters? What are the contributing/constraining (explanatory) factors?
2. How effective are CSPs/RISPs as strategic tools in guiding Bank operations?
3. How effective are the internal review processes in improving the quality of CSPs/RISPs?
4. How did the introduction of the Readiness Review tool affect the quality at entry of CSPs/RISPs? What were the contributing factors?

#### ***Efficiency***

1. How efficient is the quality assurance process?
2. How appropriate and realistic is the results-based framework?

The prospective element will focus on the following questions:

#### ***Key Recommendations and Lessons:***

- How can the Bank adjust the design of country and regional strategies in light of the Bank's TYS and the two strategic objectives of inclusive growth and transition to green growth?
- What changes are required to maximize the impact of CSPs/RISPs in guiding Bank operations?
- How can the Bank adjust the process for the preparation of country and regional strategies toward improving their quality? What improvements can be made to the quality assurance process?
- What is the potential for scaling up the impact of the Bank's country and regional programs? How can the objective of scaling up be integrated into CSPs/RISPs?



## Evaluation Design

**Retrospective Component** – The retrospective component relies on pre- and post-design and time-series design. The pre- and post-design involves comparison of various dimensions of quality and other measures before and after implementation of the Readiness Review tool. Time-series design is used to compare the quality of successive CSPs for the same country. Time-series designs could also be used to identify trends in quality at entry of CSPs over time in the 2009–13 period. This is supplemented by case studies and key informant interviews in order to examine in greater depth the factors that have contributed to changes in quality at entry over time and to identify potential areas for improvement.

**Prospective Component** – With respect to the prospective component, the team examined how the CSPs and RISPs can best help maximize the achievement of the Bank’s two strategic objectives—inclusive growth and the transition to green growth. In this context, the evaluation focuses on both the design of the CSPs and RISPs and the process for preparing them.

## Sampling Strategy

Two factors were considered when determining the sample size: (i) the number of countries to be included in order to permit a statistically robust comparison with the findings of the earlier QAE1; and (ii) the number of countries to be included in order to arrive at statistically robust results for the current QAE2 when conducting evaluation based on different criteria, such as size (large vs. small countries), country category (AfDB-funded<sup>14</sup>, ADF-funded, fragile states), and region (see Appendix Table A.1). The statistical assessment carried out showed that a sample of 25 countries would not produce statistically significant results, hence the decision to increase the sample size to 40 countries. All CSPs completed in 2013 were included in the sample in order to allow for comparisons over time.

The earlier QAE1 covered 12 CSPs for 8 countries. All 8 countries (Angola, Burundi, Burkina Faso, DRC, Ethiopia, Kenya, Uganda, and Zambia) are included in the current population. These 8 countries have been preselected for inclusion in the sample of 40 to enable a direct comparison of changes in the quality at entry of their CSPs. Another suggestion for up-front selection of countries relates to Joint Assistance Strategies (JAS). An important finding of the 2005–08 study is that improvements in CSP quality were mainly attributed to the trend toward working with other donors and improved partner dialogue in countries where the Bank has strengthened its engagement in recent years. In light of this, it would be important to include in the sample the three countries that have prepared an AfDB/World Bank Joint Assistance Strategy (Gambia; Central African Republic, and Sierra Leone).

The remaining countries were selected by a modified random sampling method, starting with the count of how many countries needed to be sampled for each region, country category, and size in order to get statistically significant results. The overall goal was to select the right set of countries so that there were enough to meet the minimum desired sample size for each region and country-category level, while still keeping the sample as random as possible. The country identity was ignored in the algorithm. The decisions were based on each country’s classifications in region, country category, and size in trying to meet the quotas, and also, secondarily, the year of the review. We started with the eight already-selected countries. Nigeria was selected because it was the only blend country, and it was necessary to include all four north countries for statistical significance. The results are shown in table A.1 and indicate a desirable balance across size, country category, and region.

Table A.1: Selected QAE2 Countries

Country	Country category	Region	Language	Size (GDP)	Total loans as of 12/31/12 (UA millions)	Loan and grant approvals (UA millions)			CSP reviewed
						2010	2011	2012	
Angola	AfDB	South	Lusophone	Large	374.3	0	4.9	0	CSP 2011–15
Benin	ADF	West	Francophone	Small	624.8	43	0	30	CSP 2012–16
Botswana	AfDB	South	Anglophone	Medium	1,514.5	2.1	0.6	0	CSP 2009–13
Burkina Faso	ADF	West	Francophone	Medium	82.4	35.2	50	0	CSP 2012–16
Burundi	FS	East	Francophone	Small	458	34.1	49	17.8	CSP 2012–16
Cameroon	ADF	Centre	Francophone	Medium	1,148.6	71.7	85.6	47.3	CSP 2010–14
Cape Verde*	AfDB	West	Lusophone	Small	267.8	20.5	30	0	CSP 2011–15 CSP 2009–12 Extension (to end-December 2013)
Chad	FS	Center	Francophone	Medium	483.2	0.7	21.1	21.5	CSP 2010–14
Comoros*	FS	East	Francophone	Small	85.8	0.6	0.4	2.6	CSP 2011–15 Interim CSP 2009–10
Côte d'Ivoire	FS	West	Francophone	Medium	1,717	23	101.1	104.3	CSP 2013–17
Djibouti	FS	East	Francophone	Small	186.4	0	1.4	5.9	CSP 2011–15
DRC	FS	Centre	Francophone	Medium	1,751.5	158.3	70.2	63.6	CSP 2013–17
Egypt	AfDB	North	Anglophone	Large	3,761.5	651.4	0.6	0	Interim CSP 2012–13
Equatorial Guinea	AfDB	Center	Hispanophone	Medium	130.7	0	0	0	CSP 2013–17
Ethiopia	ADF	East	Anglophone	Large	2,295.4	224.4	67.1	166	CSP 2011–15
Gabon	Medium	AfDB	Francophone	Centre	1,447.1	0.5	272.3	145.4	CSP 2011–15
Ghana	ADF	West	Anglophone	Large	1,736.8	111	70	168.8	CSP 2012–16
Guinea	Fragile state	West	Francophone	Small	768.9	0	50.6	0	CSP 2012–16
Kenya	ADF	East	Anglophone	Large	1382	116.7	104.9	28	CSP 2014–18
Lesotho	ADF	South	Anglophone	Small	333.7	0	0	0	CSP 2013–17
Liberia	Fragile state	West	Anglophone	Small	272.5	31.2	36.2	7.1	CSP 2013–17
Madagascar	ADF	South	Francophone	Small	805.1	0	0.6	2.3	CSP 2012–13 Extension
Malawi*	ADF	South	Anglophone	Small	817.1	14.7	10	52.5	CSP 2013–17 Interim CSP 2011–12
Mali	ADF	West	Francophone	Medium	898.1	66.5	52	0.7	Transition Management Support Strategy 2013–14
Mauritania	ADF	North	Francophone	Small	507	3.6	0	6.2	RBCSP 2011–15
Mauritius	AfDB	South	Francophone	Medium	751.2	0.3	0	0	CSP 2009–13
Morocco	AfDB	North	Francophone	Large	6,746.8	519.7	355.3	754	CSP 2012–16
Namibia	AfDB	South	Anglophone	Medium	174.5	0.6	5	0.5	CSP 2009–13
Niger	ADF	West	Francophone	Small	514.5	54.2	25.3	31.6	CSP 2013–17
Nigeria	Blend	West	Anglophone	Large	3,507.4	67.8	453.6	63.9	CSP 2013–17

Country	Country category	Region	Language	Size (GDP)	Total loans as of 12/31/12 (UA millions)	Loan and grant approvals (UA millions)			CSP reviewed
						2010	2011	2012	
Republic of Congo	Fragile state	Centre	Francophone	Medium	331.4	3.4	0.1	10.6	CSP 2013–17
Sierra Leone	Fragile	West	Anglophone	Small	418	29.2	37.8	23.3	AfDB/World Bank JAS 2009–12
South Africa	AfDB	South	Anglophone	Large	3,758.5	403.7	301	273.1	CSP 2013–17
South Sudan	Fragile state	East	Anglophone	Medium	4.8	0	0	4.8	Interim CSP 2012–14
Tanzania	ADF	East	Anglophone	Medium	1,935.6	129.6	155	154	CSP 2011–15
The Gambia	ADF	West	Anglophone	Small	248.6	0	2	3.5	AfDB/WB JAS 2012–15
Togo*	Fragile state	West	Francophone	Small	327.8	32.5	77.7	2.7	CSP 2011–15 Interim CSP 2009–10
Tunisia*	AfDB	North	Francophone	Large	5,360.7	296.6	545.7	354.6	CSP 2014–15 Interim CSP 2012–13
Uganda	ADF	East	Anglophone	Medium	1,713.6	0	151.1	67	RBCSP 2011–15
Zambia	ADF	South	Anglophone	Medium	890.2	32.6	15	61.6	CSP 2011–15

Note: (i) The four countries highlighted in blue were selected for country visits; (ii) countries with an asterisk have two CSPs that were completed during the review period; both will be evaluated

## Data Collection Methods

The sections below address the range of data collection methods employed in the evaluation: document review, literature review, expert panel, electronic survey, key informant interviews, and country case studies. These are also shown in the Evaluation Matrix (appendix B) against each evaluation question.

## Document Review

The document review involves an extensive examination of Bank documents and those from selected comparator organizations, as well as pertinent literature.

For each selected CSP/RISP, the documents to be reviewed included, where available, the following:

- Earlier CSPs for the same countries
- CSP Completion Reports
- Relevant Concept Notes
- Minutes of country team meetings, OPSCOM meetings, and Board meetings
- Comments (and where applicable, ratings) emerging from the Readiness Review at the Concept Note and CSP stages
- Formal comments from country officials and other stakeholders consulted (such as civil society, development partners, and the like)

- Documents setting out the country program about two years after approval (MTRs), and Country Portfolio Performance Reports, where available
- Relevant OPEV (now IDEV) evaluations, particularly the quality of entry of CSPs
- Relevant Bank files
- Relevant documents from the International Monetary Fund, the World Bank, and the United Nations Development Program (UNDP) (in light of its emphasis on capacity building).

Relevant data and information drawn from the documents and files were captured systematically in the assessment templates to enable easy retrieval and analysis.

## Literature Review

The literature review was directed to two elements of the evaluation. First, it examined the literature (particularly from the MDBs) pertaining to the use of CSPs and RISPs as instruments to guide operations and to deliver desired impact. Second, it aimed to synthesize some of the latest thinking on the topics of supporting inclusive growth and a transition to green growth, with a focus on operationalizing inclusive green growth, drawing not only from African but also from other developing-country experience, including in Latin America and Asia.

Over the last five years, a body of literature has emerged on inclusive growth and green growth, covering conceptual, definitional, policy, and operational issues. The AfDB itself has played an important role in the debate, and lead staff within the institution have worked on approaches adapted to the African context. Organizations such as the Organisation for Economic Co-operation and Development (OECD), the United Nations Environment Program (UNEP), the World Bank, the Asian Development Bank, and the World Economic Forum have addressed challenges and opportunities. The Department for International Development (DFID) and South Korea have played a particularly strong supportive role in developing country strategies and knowledge platforms.

## Expert Panels

The expert panel is the primary vehicle for assessing the quality at entry of CSPs and RISPs. The assessment is based on a methodology that builds on both the QAE1 approach and the quality-at-entry standards currently used at the Bank for Readiness Reviews of CSPs/RISPs. The quality-at-entry methodology used by the Asian Development Bank was also considered.<sup>15</sup> The assessment criteria are embedded in customized assessment questionnaires, one for CSPs and the other for RISPs.

CSPs. Evaluation of the quality at entry of CSPs under QAE2 was carried out based on five principal criteria:

1. Contextual diagnostic and strategy design rationale
2. Alignment and ownership
3. Positioning and strategic selectivity
4. Program design
5. Monitoring, results, and risk assessment.

A special perspective for fragile states was ensured by introducing special subcriteria focused on them. Key drivers of fragility that require considerable attention and supportive measures are: measures to build the state's capacity, building the capacity of citizens, and promoting inclusive growth and jobs.<sup>16</sup>

Although the QAE2 criteria outlined above differ from those used in QAE1, results can be readily compared by mapping the different QAE2 questions to those used in QAE1. The questionnaire closely follows the guidance given to Bank staff. Results emerging from the review of individual CSPs will facilitate the formulation of a clearer picture of strengths and weaknesses in the design, a review of the extent to which the CSPs adhere to the Bank's guidelines for country assistance preparation, and an assessment of the efficacy of the Bank's CSP preparation and internal quality assurance processes.

RISPs. RISPs are intended to outline the Bank's proposed strategy for supporting regional integration efforts. Their evaluation used the same overall criteria being adopted for CSPs. However, the uniqueness of these strategies does not permit direct comparison with CSPs and so they will be evaluated separately. Despite the small sample size, given that it covers the entire universe of RISPs, results will be helpful in assessing the quality of these strategies. The evaluation questionnaire for this review made extensive use of the following reports:

- AfDB's Strategic and Operational Framework for Regional Operations (8 January 2008)
- OPEV's (now IDEV) 2012 report: *Fostering Regional Integration in Africa: An Evaluation of the Bank's Multinational Operations, 2000–10*
- Approach Paper: *Evaluation of Regional Programs at the IDB* (November 2011)

Quality Assurance Group (World Bank) *Learning Review of Regional Projects* (March 2010)

Evaluation of each strategy paper was carried out by a panel comprised of a lead reviewer (frequently a team member who was either country director in the given country or had substantive involvement in designing, implementing, and evaluating strategies in the country), and a second panel member with a slightly lower input who was actively involved in the assessment. These two experts were assisted in each instance by the team's inclusive growth and green growth expert. Whenever necessary, the two core panel members called on other team members for specialized technical input. Each panel member familiarized himself/herself with all relevant reports pertaining to the country.

Panelists rated the CSP against the agreed assessment template; a similar process was used for the customized RISP template. QAE2 used a rating scale of 1 to 6 (highly unsatisfactory to highly satisfactory), which was also done in QAE1 (details of the rating scale definitions are described further in appendix C). This enabled ready comparison of results with respect to CSPs. Aggregation of scores across the evaluation criteria were not based on mechanical averages, but on the assessment of experts based on the evidence collected through the desk review, as well as other interviews with the country teams and survey data. The panels rated the CSP against the agreed assessment template; a similar process was used for the customized RISP template.

Following completion of each CSP and RISP review, the panel prepared a set of questions (usually 7–10) on key issues emerging from the evaluation, together with preliminary recommendations. An exchange with the Bank's country/regional strategy authors as well as their managers was carried out. The questions and recommendations for strengthening the design of future country and regional strategies were sent to the authors of the strategy (CSP preparation team/country team) and the team leader. The authors were requested to submit comments to the panel brief in response to the submission. Thereafter, the panel participated in a brief (1–2 hours) audio- or video-conference with the authors to exchange views and discuss any difference of opinions.

The conference with the CSP preparation team will also be used for two other purposes. First, since time/cost data are not systematically recorded at the Bank, the panel will attempt to get an estimate of the time and effort involved in preparing the CSP. Second, the panel will use the opportunity to interview the team using the questions discussed further below. The interview questions will be circulated prior to the interview. Each panel will prepare a summary of their findings and recommendations, and these will be included in the technical report.

The panel process is subject to the risk of lack of consistency across raters. This risk is being mitigated by including a secondary review, consistent inputs with respect to inclusive growth and green growth from a single reviewer, and the participation of the team leader in each panel.

## Electronic Surveys

Separate, electronic surveys were administered to seek the views of the following groups: Bank staff and managers involved in the process of developing CSPs/RISPs (in Tunis and in the field offices), key government officials, and the offices of the executive directors for the countries. The survey was sent out to over 700 Bank staff and managers. Each questionnaire targeted and addressed areas that are specific to each group. Despite a high number of follow-ups, response rates were relatively low—at 13 percent for country counterparts, 14 percent for staff and managers, and 20 percent for executive directors (4 out of 20). The survey was designed to solicit respondents' views on several of the key questions discussed above. These included questions related to: quality levels and trends; determinants and contributory factors; guidelines, guidance, and support to CSP preparation; and internal quality review processes.

## Key Informant Interviews

The evaluation supplemented the other data collection methods with a large number of key informant interviews. Table A.2 outlines the total number of interviews and the breakdown by group. The interviews were semistructured, with an interview guide with predefined questions and room for follow-up and open-ended discussion. Questions were designed to enable easy coding of the interview responses. The interviews were coded and documented based on emerging themes from the interviews.

**Table A.2** Key Informant Interviews

Sampling unit	Number of Interviews
Vice presidents and directors	15
Executive directors/advisors	3
Bank staff (resident representatives, managers, sector specialists, country economists, ORQR staff )	56
Country counterparts and development partners	95
Representatives of other MDBs and think tanks	10
<b>Total</b>	<b>179</b>

## Country Case Studies

The evaluation included four country case studies to enable a deeper assessment in a small sample of countries. These entailed field visits and discussion with government officials, Bank country office staff, and with staff of partner institutions. The country studies allow for more in-depth interviews and analysis of the preparation process of the CSPs/RISPs, along with a closer look at their effectiveness as programming tools. They helped identify explanatory factors for changes in quality at entry and potential areas for improvement. Discussion with government officials, other partners, and civil society were a key component of the country visits. These visits served to validate the findings of the expert panels for the concerned countries and to provide broader illustrations of CSPs in country context, although the findings in individual countries cannot and will not be broadly generalized.

Countries selected for these reviews were determined jointly between IDEV, Centennial, and the responsible country department from among the eight countries that were examined during QAE1. The four case studies have been purposively selected based on the following criteria: type of country, region, size, and language. They are: the DRC, Kenya, Sierra Leone, and Tunisia.

## Scaling-up Assessment

Following are the key questions for assessing the extent to which CSPs integrate scaling-up aspects:

1. **Are there indications that a longer-term perspective of scaling up is among the considerations underpinning and reflected in the CSP?**
  - If so, what are they?
  - Do they add up to a systematic focus on and approach to scaling up?
  - Is there any indication of a longer-term perspective beyond the time horizon of the CSP?
  - Is there an effective link between past and current engagement of the AfDB and the future strategy?
2. **Are there clear “lines of business” for AfDB engagement (past, present, and future)?**
3. **To the extent there are discernible lines of business:**
  - Has selectivity been applied?
  - Is past and ongoing engagement linked to future plans?
  - If some lines of business are to be phased out, are clear exit strategies presented (hand off to others and so on)?
  - Are new lines of business adequately justified in terms of why they are selected and how the engagement will be sequenced in the future?
  - Are there sector strategies for each of the lines of business, and, if so, does the CSP give a sense that they serve as effective scaling-up instruments?
  - Are “drivers” and “spaces” addressed for each line of business?

**4. How effectively does the CSP address the partnership agenda (including cofinancing):**

- With the domestic public and private sectors?
- With other aid donors?

**5. Is ESW:**

- Supportive of a scaling-up agenda?
- Linked to key operational business lines?

**6. How is M&E treated?**

- Is there an assessment of the quality of M&E and a credible plan to improve it?
- Is M&E focused only on measuring impact or also on “drivers” and “spaces” for scaling up?
- Does the results matrix reflect any aspects of a longer-term scaling-up perspective?
- Is the sustainability issue addressed?

**7. Is there a clear and strong regional focus?****Workshop**

Following completion of the draft technical report, IDEV organized a workshop to engage the potential users of the evaluation results. The evaluation team presented its preliminary findings and sought the views of concerned stakeholders in the development of high-quality recommendations based on: aligning the CSPs/RISPs to the TYS; identifying improvements to the Bank’s policies and procedures to improve the quality at entry of CSPs/RISPs; and measures to strengthen the quality assurance process. Such an approach is expected to ensure the quality and implementability of the final recommendations as well as buy-in of potential users.



## Appendix B – Evaluation Matrix

Evaluation issue/ questions	Indicators	Data sources	Data collection methods
<b>Relevance</b>			
To what extent are the CSPs relevant to the changing context of the countries and their needs?	<ul style="list-style-type: none"> <li>▮ Extent to which national development plans of recipient countries are taken into consideration in the design of CSPs               <ul style="list-style-type: none"> <li>• Extent of alignment of the Bank's strategy with the government's development plans and priorities (frequently defined in a Poverty Reduction Strategy Paper and other relevant analytic work)</li> </ul> </li> <li>▮ Extent to which the needs of the recipient countries are integrated in the CSPs               <ul style="list-style-type: none"> <li>• Adequacy of attention to the country's priorities</li> <li>• Adequacy of attention to poverty and poverty-alleviation issues</li> </ul> </li> <li>▮ Level of involvement (ownership) of recipient countries in the design process of CSPs               <ul style="list-style-type: none"> <li>• Extent of consultation with country stakeholders (beneficiaries, government partners, other donors, and civil society) during the CSP process</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents: CSPs; minutes of meetings; Mid-Performance Completion Report</li> <li>▮ Opinions of Bank management and staff</li> <li>▮ Opinions of government officials of recipient countries</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>
To what extent are the RISPs relevant to the changing context of regions and their needs?	<ul style="list-style-type: none"> <li>▮ Extent to which national and regional development plans of recipient countries are taken into consideration in the design of RISPs               <ul style="list-style-type: none"> <li>• Extent of alignment of the Bank's regional integration strategy with the objectives and priorities of the regional member governments and institutions, with a particular focus on relevant Regional Economic Communities (RECs)</li> </ul> </li> <li>▮ Extent to which the needs of the countries in the region are integrated in the RISPs               <ul style="list-style-type: none"> <li>• Adequacy of attention to the region's priorities</li> <li>• Adequacy of assessment of opportunities and critical constraints affecting long-term regional development</li> <li>• Adequacy of assessment of legal and regulatory frameworks required for the proposed regional integration programs</li> </ul> </li> <li>▮ Level of involvement (ownership) of recipient countries in the design process of RISPs               <ul style="list-style-type: none"> <li>• Extent of consultation with regional stakeholders (beneficiaries, regional organizations, government partners, other donors, and civil society) during the RISP process</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents: RISPs; minutes of meetings; Mid-Performance Completion Report</li> <li>▮ Opinions of Bank management and staff</li> <li>▮ Opinions of government officials of recipient countries</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>

Evaluation issue/ questions	Indicators	Data sources	Data collection methods
<p>How well do CSPs address the strategic objectives of the MTS and the TYS: poverty reduction; inclusion; and transition to green growth?</p> <p>(Note: This section would take account of the fact that all the strategies being reviewed were done under the MTS)</p>	<ul style="list-style-type: none"> <li>▮ Alignment with the Bank's strategic objectives: poverty reduction, inclusive growth, and green growth               <ul style="list-style-type: none"> <li>• Extent of alignment with the Bank Group's corporate strategic objectives: (i) poverty, (ii) inclusive growth, (iii) transition to green growth</li> </ul> </li> <li>▮ Alignment with the Bank's core priorities               <ul style="list-style-type: none"> <li>• Extent of alignment with the Bank Group's corporate priority areas: (i) infrastructure, (ii) governance, (iii) higher education/skills, (iv) private sector development, (v) regional integration</li> </ul> </li> <li>▮ Extent to which the comparative advantages of the Bank in the concerned country are taken into consideration               <ul style="list-style-type: none"> <li>• Adequacy and extent of analysis of Bank positioning and comparative advantage as reflected in selectivity and choice of: (a) strategic pillars, (b) supporting ESW, (c) intervention choices by sector and project selection, and (d) the Bank's</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents: CSPTYS and MTS; minutes of meetings</li> <li>▮ Opinions of Bank management and staff</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Key informant interviews</li> <li>▮ Expert</li> </ul>
<p>How well do RISPs address the strategic objectives of the MTS and the TYS: poverty reduction; inclusion; and transition to green growth?</p> <p>(Note: This section would take account of the fact that all the strategies being reviewed were done under the MTS)</p>	<ul style="list-style-type: none"> <li>▮ Alignment with the Bank's strategic objectives: poverty reduction, inclusive growth, and green growth               <ul style="list-style-type: none"> <li>• Extent of alignment with the Bank Group's corporate strategic priorities under the medium-term strategy (poverty focus) and the TYS (inclusive growth and green growth)</li> </ul> </li> <li>▮ Extent to which the comparative advantages of the Bank in the concerned region are taken into consideration               <ul style="list-style-type: none"> <li>• Adequacy of analysis of Bank positioning and comparative advantage as reflected in: (a) the Bank's comparative advantage in the specific regional contexts, (b) intervention choices, and (c) selectivity across sectors, instruments, and partners in selecting regional operations</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents: RISPs, TYS and MTS; minutes of meetings</li> <li>▮ Opinions of Bank management and staff</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>
<p>How well do RISPs address the two pillars of the Bank's 2009–12 Regional Integration Strategy?</p>	<ul style="list-style-type: none"> <li>▮ Alignment with the Bank's Regional Integration Strategy               <ul style="list-style-type: none"> <li>• Adequacy of alignment with the two pillars of AfDB's 2009–12 Regional Integration Strategy: Pillar 1: Regional Infrastructure and Pillar 2: Capacity Building</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents: RISPs, 2009–12 Regional Integration Strategy; minutes of meetings</li> <li>▮ Opinions of Bank management and staff</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>
<p>What are significant findings for fragile states?</p>	<ul style="list-style-type: none"> <li>▮ Adequacy of analysis of the underlying causes of conflict and fragility (including political and social exclusion)</li> <li>▮ Extent of adoption of measures to address key fragility factors</li> <li>▮ Extent of support to building citizens' capacity               <ul style="list-style-type: none"> <li>(a) facilitating broad-based participation in national decision-making process (for example, Poverty Reduction Strategy Papers); (b) promoting broad-based resource mobilization; (c) creating opportunities for gainful employment, education, and training as a central part of national poverty-reduction efforts; (d) addressing the needs of the youth (including ex-combatants); and (e) promoting projects employing community-driven development approaches</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents: CSPs; minutes of meetings; Mid-Performance Completion Report</li> <li>▮ Opinions of Bank management and staff</li> <li>▮ Opinions of government officials of recipient countries</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>

Evaluation issue/ questions	Indicators	Data sources	Data collection methods
<b>Effectiveness</b>			
To what extent has the quality at entry of CSPs/RISPs improved since the last independent quality-at-entry assessment? What were the contributing/constraining (explanatory) factors?	<ul style="list-style-type: none"> <li>▮ Changes in a country's quality at entry ratings over time (eight countries also reviewed in QAE1)</li> <li>▮ Differences in ratings per region</li> <li>▮ Differences in ratings by country type and size</li> <li>▮ Identification of areas where CSPs/RISPs are "strong" <ul style="list-style-type: none"> <li>• Factors that contributed to positive changes</li> </ul> </li> <li>▮ Identification of the most significant determinants of CSP/RISP quality <ul style="list-style-type: none"> <li>• Factors that inhibited improvements in quality</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Assessments of expert panel</li> <li>▮ Views of Bank management and staff</li> <li>▮ Views of country teams</li> <li>▮ Views of government officials of recipient countries</li> </ul>	<ul style="list-style-type: none"> <li>▮ Review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>
How effective are CSPs/RISPs as strategic tools in guiding Bank operations?	<ul style="list-style-type: none"> <li>▮ Extent to which CSPs/RISPs guide Bank operations</li> <li>▮ Factors that contributed to the effectiveness of CSPs/RISPs as strategic tools in guiding Bank operations: <ul style="list-style-type: none"> <li>• Relevance/effectiveness of proposed Bank program: (a) choices of projects and programs earmarked for Bank support, (b) relevance of nonlending programs; (c) integration of Bank-supported private sector operations in the country program</li> <li>• Factors that inhibited the effectiveness of CSPs/RISPs as strategic tools to guide Bank operations</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents</li> <li>▮ Views of Bank management and staff</li> <li>▮ Views of government officials of recipient countries</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Case studies</li> </ul>
How effective are CSP/RISPs in capacity development?	<ul style="list-style-type: none"> <li>▮ Clarity and realism of the strategy in relation to the government's capacity</li> <li>▮ Clarity and realism of the strategy in relation to the governments' and relevant regional agencies' capacity</li> <li>▮ Capacity development of regional institutions <ul style="list-style-type: none"> <li>• Adequacy of attention to capacity development measures for regional institutions</li> <li>• Capacity development of nongovernmental organizations and civil society</li> <li>• Adequacy of attention to capacity development measures for nongovernmental organizations and civil society</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Assessments of expert panel</li> <li>▮ Views of Bank management and staff</li> <li>▮ Views of regional officials and government officials of recipient countries</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Case studies</li> <li>▮ Expert panel</li> </ul>
How effective are the internal review processes in improving the quality of CSPs/RISPs? How did the introduction of the Readiness Review tool affect the quality at entry of CSPs/RISPs? What were the contributing factors?	<ul style="list-style-type: none"> <li>▮ Quality at entry of CSPs/RISPs prior to the introduction of the Readiness Reviews compared to quality at entry following Readiness Reviews <ul style="list-style-type: none"> <li>• Effectiveness/Value-added of: Concept Note, Concept Note Readiness Review, CSP/RISP preparation mission, CSP/RISP dialogue mission, CSP/RISP Readiness Review, OPSCOM review, peer review, management input</li> </ul> </li> <li>▮ Factors that contributed to positive changes</li> <li>▮ Factors that inhibited improvements in quality</li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents</li> <li>▮ Views of Bank management and staff</li> <li>▮ Assessments of Expert Panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Case studies</li> <li>▮ Expert panel</li> </ul>

Evaluation issue/ questions	Indicators	Data sources	Data collection methods
<b>Efficiency</b>			
<p>How efficient is the process to design and develop CSPs/RISPs?</p> <p>Are there differences by region, type, and/or size of country?</p> <p>Note: The lack of availability of cost/time data may limit this analysis</p>	<ul style="list-style-type: none"> <li>▮ Average cost per CSP/RISP compared with other MDBs</li> <li>▮ Average time it takes to develop/design a CSP/RISP compared with other MDBs</li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents</li> <li>▮ Views of Bank management and staff</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> <li>▮ Expert panel</li> </ul>
<p>How efficient is the quality assurance process?</p> <p>Note: The lack of availability of cost/time data may limit this analysis</p>	<ul style="list-style-type: none"> <li>▮ Average quality assurance cost per CSP/RISP compared with other multilateral organizations</li> <li>▮ Average time allocated to quality assurance of CSPs/RISPs compared with other MDBs</li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents—AT</li> <li>▮ Documents of other MDBs</li> <li>▮ Views of staff of other MDBs</li> <li>▮ Views of Bank management and staff</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Electronic survey</li> <li>▮ Key Informant Interviews</li> <li>▮ Expert panel</li> </ul>
<b>Results Framework</b>			
<p>How appropriate and realistic is the results-based framework?</p>	<ul style="list-style-type: none"> <li>▮ Adequacy of monitoring/evaluation arrangements (including stakeholder participants) for tracking the strategy's progress and linking the Bank's inputs and outputs to intermediate and long-term development outcomes               <ul style="list-style-type: none"> <li>• Adequacy of measures for improving the country's M&amp;E system</li> <li>• Adequacy of measures for improving the region's M&amp;E system</li> <li>• Comprehensiveness and appropriateness of the risk assessment and proposed mitigating measures</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▮ Bank documents</li> <li>▮ Views of Bank management and staff</li> <li>▮ Assessments of expert panel</li> </ul>	<ul style="list-style-type: none"> <li>▮ Document review</li> <li>▮ Literature review</li> <li>▮ Electronic survey</li> <li>▮ Key informant interviews</li> </ul>

## Appendix C – Rating Scale Definitions

Rating definitions are provided for the 19 subcriteria. Complete definitions are provided for four points on the six-point scale: highly satisfactory (6), moderately satisfactory (4), moderately unsatisfactory (3) and highly unsatisfactory (1). The categories of satisfactory (5) and unsatisfactory (3) are intended to be equidistant from the two categories that bracket them.

The rating for the five main criteria will be arrived at through judgment based on the “weakest link,” taking into account the specific context of the concerned country/CSP, and not by averaging. The same principle applies to aggregating the ratings for the main evaluation criteria into an overall rating.

### Contextual Diagnostic and Strategy Design Rationale

#### *Analysis of the country’s development strategy and objectives*

<b>Highly satisfactory</b>	Includes full attention to the country’s priorities and poverty-alleviation issues <sup>17</sup> and sound analysis of the country’s political and socioeconomic context.
<b>Satisfactory</b>	Includes attention to the country’s priorities and poverty-alleviation issues <sup>18</sup> and sound analysis of the country’s political and socioeconomic context.
<b>Moderately satisfactory</b>	Gives some attention to the country’s priorities and to poverty-alleviation issues; includes some analysis of the country’s political and socioeconomic context.
<b>Moderately unsatisfactory</b>	Gives limited attention to the country’s priorities and to poverty-alleviation issues and includes limited analysis of the country’s political and socioeconomic context.
<b>Unsatisfactory</b>	Gives minimum attention to the country’s priorities and poverty-alleviation issues and includes minimum analysis of the country’s political and socioeconomic context.
<b>Highly unsatisfactory</b>	Gives no attention to the country’s priorities and poverty-alleviation issues and does not include sound analysis of the country’s political and socioeconomic context.

#### *Analysis (particularly for fragile states) of the underlying causes of conflict and fragility (including political and social exclusion)*

<b>Highly satisfactory</b>	Includes sound analysis of the underlying causes of conflict and fragility.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Addresses conflict and fragility, but analysis of underlying causes is incomplete.
<b>Moderately unsatisfactory</b>	Addresses few aspects of conflict and fragility, and analysis of underlying causes is incomplete.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include analysis of the underlying causes of conflict and fragility.

### ***Integration of lessons learned in strategy design***

<b>Highly satisfactory</b>	Identifies and integrates lessons from previous CSPs, includes sound analysis of sustainability of past interventions, and comprehensively addresses past implementation issues and the measures to address them.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes analysis of sustainability of past interventions and gives attention to past implementation issues and the measures to address them. However, the design fails to properly integrate the lessons.
<b>Moderately unsatisfactory</b>	Includes limited analysis of sustainability of past interventions and gives limited attention to past implementation issues and the measures to address them. Integration of the lessons is not satisfactory.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not identify and integrate lessons from previous CSPs. Does not include analysis of sustainability of past interventions and does not give attention to past implementation issues and the measures to address them.

### ***Use of analytical work in strategy formulation and identification of knowledge gaps***

<b>Highly satisfactory</b>	Analytical work is comprehensive and used in strategy formulation, and knowledge gaps are identified.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Some analytical work is used in strategy formulation, but knowledge gaps are not fully identified.
<b>Moderately unsatisfactory</b>	Limited analytical work is used in strategy formulation, and knowledge gaps are minimally identified.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Analytical work is not used in strategy formulation, and knowledge gaps are not identified.

## **Alignment and Ownership**

### ***Alignment of the Bank's strategy with the government's development plans and priorities***

<b>Highly satisfactory</b>	Bank's strategy is fully aligned with the government development plans and priorities.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Bank's strategy is aligned with some of the government development plans and priorities.
<b>Moderately unsatisfactory</b>	Bank's strategy is aligned with few of the government development plans and priorities.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Bank's strategy is not aligned with the government development plans and priorities.

### ***Alignment with the Bank Group's corporate strategic priorities***

<b>Highly satisfactory</b>	Bank's strategy is fully aligned with the Bank Group's corporate strategic priorities.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Bank's strategy is aligned with some of the Bank Group's corporate strategic priorities.
<b>Moderately unsatisfactory</b>	Bank's strategy is aligned with few of the Bank Group's corporate strategic priorities.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Bank's strategy is not aligned with the Bank Group's corporate strategic priorities.

### ***Consultation with country stakeholders (beneficiaries, government partners, other donors, and civil society) during the CSP process***

<b>Highly satisfactory</b>	Includes consultation with all country stakeholders.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes consultation with some country stakeholders.
<b>Moderately unsatisfactory</b>	Includes consultation with few country stakeholders.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include consultation with country stakeholders.

### ***Movement toward greater use of country systems (such as procurement, financial management, and safeguards)***

<b>Highly satisfactory</b>	Includes comprehensive analysis of country systems and charts a clear path for their adoption.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes limited analysis of country systems and charts a generic plan for their adoption.
<b>Moderately unsatisfactory</b>	Includes limited analysis of country systems and partially charts a plan for their adoption.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include an analysis of country systems and fails to chart a path for their adoption.

## Positioning and Strategic Selectivity

### *Cooperation/coordination frameworks with other development partners (including nontraditional partners) and alignment with their priorities*

<b>Highly satisfactory</b>	Includes a comprehensive framework for cooperation/coordination with other development partners and demonstrates full alignment with their priorities.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes an abbreviated framework for cooperation/coordination with other development partners, but demonstrates little alignment with their priorities.
<b>Moderately unsatisfactory</b>	Includes a generic framework for cooperation/coordination with other development partners and demonstrates little alignment with their priorities.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include a framework for cooperation/coordination with other development partners and demonstrates no alignment with their priorities.

### *Analysis of Bank positioning and comparative advantage as reflected in selectivity and choice of strategic pillars, supporting ESW, intervention choices by sector and project selection, and Bank's comparative advantage in the specific country context*

<b>Highly satisfactory</b>	Demonstrates selectivity that is grounded in sound analysis of Bank positioning and comparative advantage.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Demonstrates selectivity but fails to fully ground it in analysis of Bank positioning and comparative advantage.
<b>Moderately unsatisfactory</b>	Demonstrates little selectivity, and proposed activities are not fully grounded in analysis of Bank positioning and comparative advantage.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not demonstrate selectivity, and there is minimal analysis of Bank positioning and comparative advantage.

### *Clarity and realism of the strategy in relation to the government's capacity*

<b>Highly satisfactory</b>	Government capacity is comprehensively analyzed, and strategy is fully aligned with the existing capacity.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Government capacity is analyzed, but the strategy is not properly aligned with the existing capacity.
<b>Moderately unsatisfactory</b>	Government capacity is partially analyzed, and the strategy is not aligned with the existing capacity.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Government capacity is not analyzed, and strategy is not aligned with the existing capacity.



### ***Adoption of measure to address key fragility factors (particularly for fragile states)***

<b>Highly satisfactory</b>	Comprehensive measures are proposed to address all key fragility factors.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Partial measures are proposed to address some key fragility factors.
<b>Moderately unsatisfactory</b>	Few measures are proposed, and they fail to address some key fragility factors.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	No measures are proposed to address key fragility factors.

## **Positioning and Strategic Selectivity**

### ***Relevance/effectiveness of proposed Bank program (including policy dialogue)***

<b>Highly satisfactory</b>	Proposed Bank program is highly relevant and effective.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Some aspects of the proposed Bank program are relevant and effective.
<b>Moderately unsatisfactory</b>	Few aspects of the proposed Bank program are relevant and effective.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Proposed Bank program is not relevant or effective.

### ***Attention to capacity development measures for government, nongovernmental organizations, and civil society***

<b>Highly satisfactory</b>	Capacity development measures for government, nongovernmental organizations, and civil society are soundly addressed.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Some capacity development measures for government, nongovernmental organizations, and civil society are addressed.
<b>Moderately unsatisfactory</b>	Few capacity development measures for government, nongovernmental organizations, and civil society are addressed.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Capacity development measures for government, nongovernmental organizations, and civil society are not addressed.

***Support to building citizens' capacity (particularly for fragile states)***

<b>Highly satisfactory</b>	Includes full support to building citizens' capacity.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes some support to building citizens' capacity.
<b>Moderately unsatisfactory</b>	Includes limited support to building citizens' capacity.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include support to building citizens' capacity.

**Monitoring Results and Risk Assessment*****Appropriateness and realism of the results-based framework***

<b>Highly satisfactory</b>	Results-based framework is fully appropriate and realistic.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Results-based framework is appropriate, but not adequately realistic.
<b>Moderately unsatisfactory</b>	Results-based framework is not fully appropriate and not adequately realistic.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Results-based framework is inappropriate and unrealistic.

***Monitoring/evaluation arrangements (including stakeholder participants) for tracking the strategy's progress and linking the Bank's inputs and outputs to intermediate and long-term development outcomes***

<b>Highly satisfactory</b>	Includes sound monitoring/evaluation arrangements for tracking the strategy's progress and linking the Bank's inputs and outputs to intermediate and long-term development outcomes.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes some monitoring/evaluation arrangements for tracking the strategy's progress and linking the Bank's inputs and outputs to intermediate and long-term development outcomes.
<b>Moderately unsatisfactory</b>	Includes inadequate monitoring/evaluation arrangements for tracking the strategy's progress and linking the Bank's inputs and outputs to intermediate and long-term development outcomes.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include monitoring/evaluation arrangements for tracking the strategy's progress and linking the Bank's inputs and outputs to intermediate and long-term development outcomes.

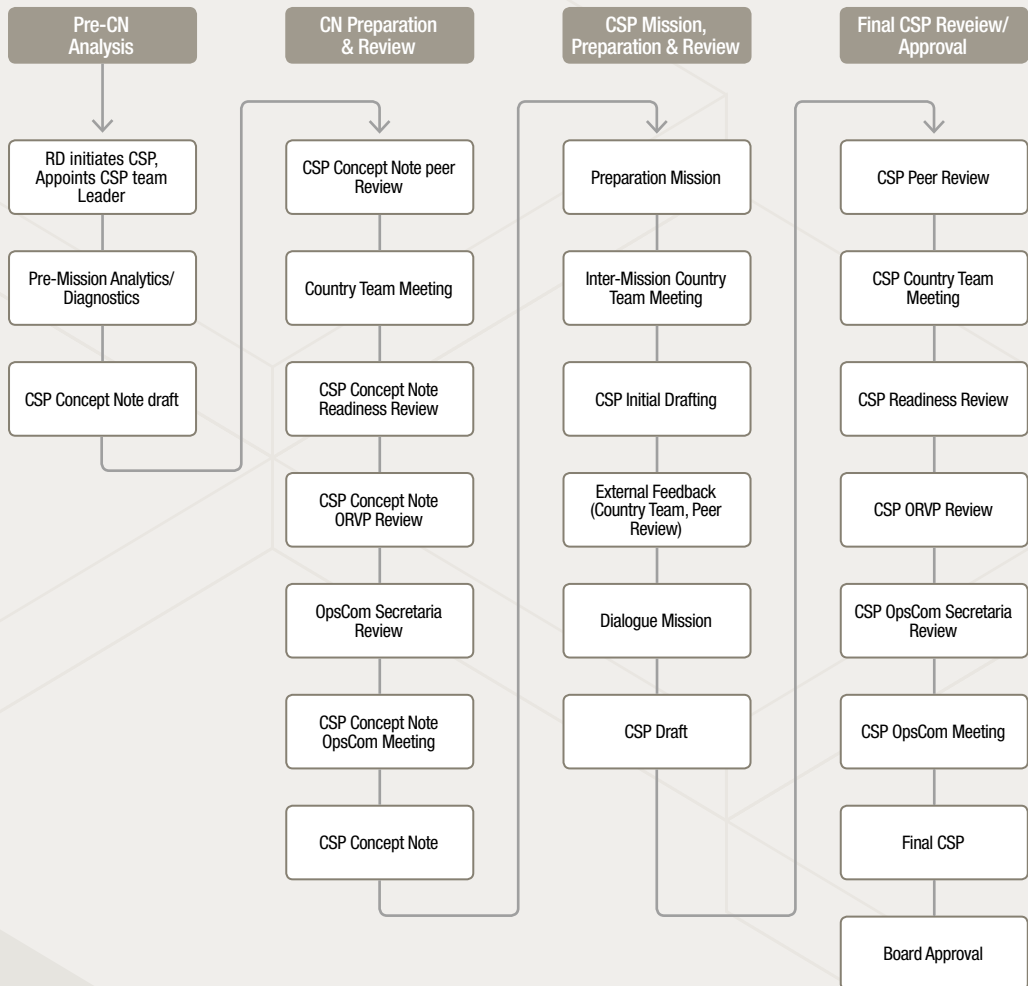
### ***Improving the country's M&E system***

<b>Highly satisfactory</b>	Includes sound measures to improve the country's M&E system.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Includes some measures to improve the country's M&E system.
<b>Moderately unsatisfactory</b>	Includes inadequate measures to improve the country's M&E system.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Does not include measures to improve the country's M&E system.

### ***Comprehensiveness and appropriateness of the risk assessment and proposed mitigating measures***

<b>Highly satisfactory</b>	Risk assessment and proposed mitigating measures are comprehensive and appropriate.
<b>Satisfactory</b>	Equidistant from highly satisfactory and moderately satisfactory.
<b>Moderately satisfactory</b>	Risk assessment covers some but not all key elements, and some mitigating measures have been identified.
<b>Moderately unsatisfactory</b>	Risk assessment misses some key elements, and few mitigating measures have been identified.
<b>Unsatisfactory</b>	Equidistant from moderately unsatisfactory and highly unsatisfactory.
<b>Highly unsatisfactory</b>	Risk assessment and proposed mitigating measures are largely missing.

## Appendix D – Rating Scale Definitions



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## Endnotes

1. See detailed definitions of the rating scale in Annex C.
2. Addressing Fragility and Building Resilience in Africa - Bank Group Strategy 2014–2019.
3. The improvement pre- and post-approval of the Ten-Year Strategy review is significant at a 99% confidence level.
4. Issued under cover of a memo from FVP/COO of 10 October, 2013.
5. ADB Transformation from Good to Great, September 23, 2013.
6. Time recording has been introduced recently in parts of the Bank and is being used unevenly.
7. Based on 40 CSPs, which were prepared at the Africa Region, World Bank, 2009/2013. Outliers at either end are excluded.
8. It should be noted that the McKinsey review also highlighted the redundancy in the Bank's processes.
9. No data were available for the remaining 8 CSPs.
10. A. Hartmann and J. Linn. 2008 "Scaling Up: A Framework and Lessons for Development Effectiveness from Literature and Practice." Wolfensohn Center Working Paper No. 5. Brookings.
11. The ratings assess the degree to which key scaling up aspects are reflected in the CSP. They assess the scaling up content of the CSP on a six-point scale where: 6=best practice; 5=excellent; 4=acceptable; 3=limited; 2=very limited; 1=none.
12. Cameroon, DRC, Ethiopia, Kenya, Nigeria, Sierra Leone, South Africa, Tunisia, Uganda, and Zambia
13. It should be noted that the Bank recently completed an assessment of scaling up in fragile states (AfDB/ODI Scaling Up in Fragile States). The findings and recommendation of that assessment could be combined with those of this evaluation in developing a coherent corporate approach to scaling up.
14. The single blend country, Nigeria, has been included with ADB-funded countries for this purpose.
15. The World Bank has not conducted a quality-at-entry assessment of country assistance strategies.
16. These measures are derived from the recent World Bank Group Assistance to Low-Income Fragile Affected States (IEG, October 2013).
17. Inclusive growth and transition to green growth are to be included for strategies completed after mid-2013.
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Independent Development Evaluation  
African Development Bank







## About this Publication

This independent evaluation assesses the quality at entry of Country Strategy Papers (CSPs) and Regional Integration Strategy Papers (RISPs) and suggests improvements to the Bank's design process for its country/regional strategies in light of the Bank's Ten-year strategy (prospective).

The evaluation examined 45 CSPs and four RISPs (Central Africa, East Africa, Southern Africa, West Africa) and the Concept Note for the Indian Ocean Community RISP.

The evaluation finds that the Bank has made little progress in achieving its target of 100 percent of CSPs rated as satisfactory or better. However, quality at entry, measured against moderately satisfactory or better, improved over the study period.

It recommends that the Bank reinforce the CSP as a strategic tool to guide the Bank's operations; Improve the quality at entry of CSPs and RISPs by addressing identified weaknesses; and simplify processes while maintaining focus on key drivers of quality at entry, such as the country teams.



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