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AFRICAN DEVELOPMENT BANK GROUP
GROUPE DE LA BANQUE AFRICAINE
DE DEVELOPPEMENT

Inception Report

Evaluation of the African Development Bank Group Support to
Green Growth and Climate Change (2008-2018)

24 March 2020

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Acronyms

Acronym	Name
ADER	Annual Development Effectiveness Review
ADOA	Additionality and Development Outcomes Assessment
AfDB	African Development Bank Group
BRT	Bus Rapid Transit
CC	Climate Change
CCAP	Climate Change Action Plan
CO	Country Office
CSCRs	Country Strategy Completion Reports
CSO	Civil Society Organisation
CSP	Country Strategy Papers
EMG	Evaluation Management Group
EQ	Evaluation Question
ERG	Evaluation Reference Group
FGD	Focus Group Discussions
GG	Green growth
GGF	Green Growth Framework
GW	Giga Watt
IDEV	Independent Development Evaluation of the African Development Bank Group
INDC	Intended Nationally Determined Contribution
NGO	Non-Governmental Organisation
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
PBOs	Policy Based Operations
PCE	Project Cluster Evaluation
PRA	Project Results Assessment
QA	Quality Assurance
RISP	Regional Integration Strategy Plan
RMC	Regional Member Countries
RMF	Results Management Framework
RMS	Regional Member States
SAP	Basis for Electronic Management at AfDB
SAPP	Southern Africa Power Pool
TOC	Theory of Change
TOR	Terms of Reference
TYS	Ten Year Strategy
VoC	Vehicle Operating Costs
PECG	Climate Change and Green Growth Department

Executive Summary

Introduction and Evaluation Objectives

Transitioning to Green Growth (GG) presents a huge opportunity for the African continent and is a priority for the African Development Bank (AfDB). GG is a cross-sectoral approach touching on governance, agriculture and rural development, energy, transport and infrastructure, human development and water and sanitation. AfDB has identified the importance of GG and rapidly escalated it to a central part of the organisational strategy, which is reflected in its twin objectives of achieving inclusive and GG. AfDB defines GG as *“the promotion and maximisation of opportunities from economic growth through building resilience, managing natural assets efficiently and sustainably, including enhancing agricultural productivity, and promoting sustainable infrastructure”*.

AfDB's Independent Development Evaluation (IDEV) has contracted LTS International Limited (LTS) to carry out an evaluation of AfDB's assistance to GG and Climate Change (CC) related policies, strategies and projects approved between 2008 and 2018. **Error! Reference source not found.** This evaluation will investigate the policies and strategies that support AfDB's GG-CC portfolio, review a sample of its 873 GG-CC projects related to GG-CC across key sectors, as well as country level policies related to the five country case studies.

The purpose of the evaluation is to support AfDB's management and operational staff in improving the strategic, conceptual and implementation issues related to GG-CC interventions (mainstreaming and project performance) in its Regional Member Countries (RMCs); (ii) promoting learning – within and outside the Bank – by identifying the lessons learnt and recommendations on how AfDB could contribute most effectively in improving design, and delivery of its GG-CC related interventions; and (iii) accounting to the Board and other stakeholders for the results of AfDB's GG-CC investments.

The evaluation has two overarching objectives:

1. Assessing how well AfDB has mainstreamed GG-CC in its interventions (including policies, strategies and operations), and produced desired outcomes; and
2. Assessing how well AfDB-funded GG-CC projects have performed, focusing on their relevance, effectiveness, efficiency and sustainability.

The primary users of the evaluation will be AfDB's Board of Directors, Senior Management Team, IDEV, the Climate Change and Green Growth Department (PECG), as well as the various departments represented in the Evaluation Reference Group (ERG) that are engaged in the process of mainstreaming GG-CC and/or implementing GG-CC projects. The findings of the evaluation may also be used for evidence-based decision-making by AfDB's stakeholders.

Evaluation Questions

The evaluation will focus on understanding the extent to which AfDB has mainstreamed GG-CC, and whether the project results are clearly aligned with GG-CC. The evaluation will be guided by the following key Evaluation Questions (EQs):

- **EQ1.** How well has AfDB mainstreamed GG-CC in its interventions (including policies, strategies and operations)?
- **EQ2.** To what extent are AfDB's GG-CC policies/strategies/ action plans and tools clear, relevant and reflect the norms and specific challenges of economies in African countries?
- **EQ3.** How well have AfDB-funded GG-CC projects performed?

Evaluation Approach

The overall evaluation design will be theory-based,¹ drawing from a range of methods and data sources. The evaluation will be guided by the Bank's Independent Evaluation Policy and the Evaluation Cooperation Group's Big Book on Evaluation Good Practice Standards. The evaluation team will also draw from their extensive experience evaluating complex development interventions within the GG-CC

¹Rogers, P. J., & Weiss, C. H. (2007). Theory-based evaluation: Reflections ten years on: Theory-based evaluation: Past, present, and future. *New directions for evaluation*, 2007(114), 63-81. Mayne, J. (2015). Useful theory of change models. *Canadian J Program Eval*, 2, 119-42

sector in Africa for multi-lateral development banks like AfDB. The Figure below presents the evaluation approach. Starting with an inception phase, the evaluation work will consist of six “building-block” studies, which will be used to develop findings and recommendations. Each study will be tightly linked, transferring and triangulating findings between each other. The evaluation team will begin by building on previous IDEV evaluations and other evaluations of the Bank and its initiatives by undertaking a meta-evaluation synthesis (of evaluations conducted within the AfDB and outside), reviewing IDEV’s portfolio reviews, and conducting a benchmarking study with which to assess AfDB’s overall policies and strategies. These three studies will then inform the selection and scope of five country case studies, 16 Project Result Assessments (PRAs) and one sustainable infrastructure cluster evaluation.

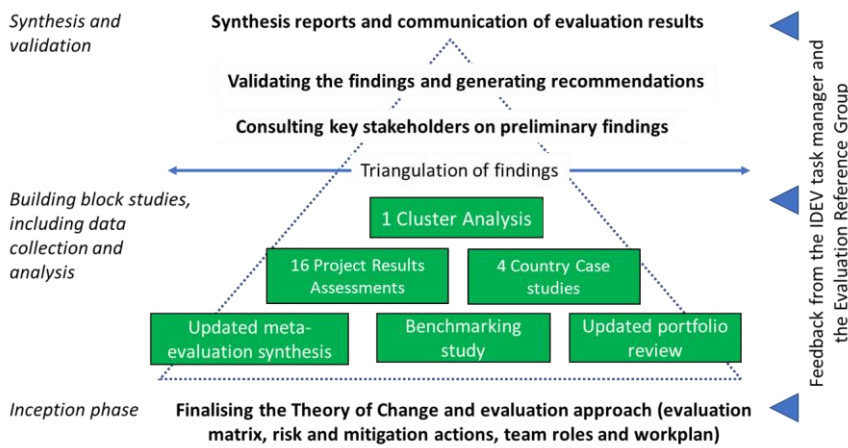


Figure 1 Evaluation approach. NB: The building blocks are sequential and there is not a hierarchy in terms of importance of results.

Methods

Data Analysis

Building Block 1: Benchmark Review

- *Timing:* 29 July to 30 September 2019.
- *Activities:* Review of AfDB GG-CC strategies, objectives and targets, including documents relating to AfDB’s ten-year strategy, its GG framework, CC action plan, sector strategies, regional strategies and country strategies (for the five case study countries).
- *Output:* The benchmarking review informs the evaluation framework and project results assessment and case study country review templates. Its results will also feed into the final evaluation report.

Building Block 2: Meta-Evaluation Synthesis

- *Timing:* 23 September to 18 October 2019.
- *Activities:* The meta-analysis synthesises results from previous AfDB evaluation, which are complemented by a rapid review of a selection of relevant multilateral and bilateral banks and donors.
- *Output:* The meta-analysis synthesis informs the evaluation design and will feed into the final evaluation report.

Building Block 3: Portfolio Review

- IDEV is undertaking a complementary portfolio review of the 873 GG-CC interventions, which will feed into the evaluation analysis and findings.

Building Block 4: Project Results Assessments

- *Timing:* 9th August 2019 to 27 April 2020
- *Activities:* The project results assessment will be completed for 20 projects (4 projects in each case study country).
- *Output:* 20 completed project results assessments, which will feed into the country case studies.

Building Block 5: Country Case Studies

- *Timing:* In-country activities will be undertaken between 29 August 2019 and 17 March 2020, with the final version of the first Country Case Studies Synthesis Report due 11 October 2019, and the final version due 1 May 2020.
- *Activities:* Five country case studies in Morocco, Mozambique, Rwanda, Senegal and Cameroon will be undertaken. The case studies will include more detailed review of country strategy papers, relevant project results assessments, phone/skype interviews, visits with relevant stakeholders, including AfDB country staff, country government representatives, project entities. The five country case studies and 20 project results assessments will then be synthesised.
- *Output:* A Country Case Studies Synthesis Report, with five individual country case studies and 20 Project Result Assessments (PRAs) annexed.

Building Block 6: Sustainable Infrastructure and Natural Resources Cluster Evaluation

- *Timing:* Cluster Evaluation Report (Sustainable Infrastructure) will be submitted to IDEV on 1 November 2019. (IDEV will produce a Natural Resources Cluster Evaluation, the evaluation team will provide data for this).
- *Activities:* The results from the meta-analysis, country case studies and relevant energy and transport PRAs will be analysed to understand how well AfDB's sustainable infrastructure interventions have performed.
- *Output:* A Sustainable Infrastructure Cluster Evaluation.

Two Volume Evaluation Report

- *Timing:* First draft by 31 December 2019, final draft by 31 May 2020.
- *Activities:* The final evaluation report will be developed based on the building blocks and stakeholder validation and comments undertaken throughout the evaluation, including IDEV comments on previous building blocks.
- *Output:* A Two Volume Final Evaluation Report. Volume I will provide a 25-page synthesis report, including evidence-based findings and recommendations for review by AfDB's Board of Directors. Volume II will include the full set of evaluation building blocks, meeting minutes etc. and will show how the findings and recommendations were developed.

Synthesis and Triangulation

- **Validating the preliminary findings and identifying evaluation recommendations: team meeting in Edinburgh.** A team triangulation and synthesis meeting will be held in Edinburgh in November 2019.
- **Evaluation findings under each question will be summarised in a headline conclusion.** A conclusion will be formulated for each evaluation question. The links between findings and conclusions will be quality assured for logic and consistency.
- **Consulting key stakeholders on the preliminary evaluation findings.** Throughout the evaluation process the Evaluation Reference Group and other stakeholders will be consulted for feedback and verification of the preliminary findings.
- **A workshop was organised in Abidjan (December 2019) with key AfDB stakeholders and the Evaluation Reference Group (ERG) to discuss the preliminary findings** after completion of the building block-studies and prior to writing the final two-volume synthesis report.

This inception report was written in July and August 2019, and updated in February and March 2020 following the contract amendment (see ToR in Annex 2) to incorporate the fifth country case study (Cameroon/Central Africa), by the LTS evaluation team in close consultation with IDEV and key AfDB stakeholders. It is based on discussions held with IDEV and relevant AfDB departments during the Inception Mission to AfDB headquarters in Abidjan (29 July and 3 August 2019) and phone interviews with project task manager, Regional Director General Offices, Fund Managers of relevant funds, and a series of other stakeholder meetings. This Inception report is also informed by the evaluation team's first analysis of a set of key Bank documents (see Annex 4). This report was first submitted to IDEV in early August 2019. Comments received from some 15 Bank staff have been discussed and incorporated to the present version.

This report is divided into six sections: Context and overview of the AfDB's engagement in CC and GG in the past 10 years (Section 2); the updated Theory of Change (Section 3); the methodology to be applied in conducting this evaluation (Section 4); the organisation and management of the evaluation process, and the evaluation team (Section 5); and the Workplan (Section 6).

1 Introduction

1.1 Background

Since 2000, Africa has experienced more rapid rates of economic growth.² However, growth alone may not alleviate poverty nor translate to improvements in environmental sustainability or in human well-being. African economic growth and poverty reduction achievements and goals are at risk if natural resources are used unsustainably or if vital infrastructure is not protected from climate extremes. Average growth rates in the continent reached 5 per cent during the first decade of the 21st century. However, policymakers noted the risks associated with the current dependence on extractive industries and unsustainably managed land-based investments. A Discussion Paper authored by AfDB staff in 2012 highlighted that benefits deriving from foreign direct investment were unevenly distributed, that the continent was affected by deforestation rates that were twice the world rate, and that natural disasters and CC posed huge risks in terms of food security, energy generation and infrastructural development.

The Strategic Vision of the Bank's Second Climate Change Action Plan (CCAP2) foresees an African continent that is less vulnerable to climate change and develops in a low carbon manner. It states that the Bank is focused on both green growth and climate change to ensure sustainable economic growth for its RMC by supporting them to transition to a low-carbon and climate resilient development pathway.

Transition to a Green Growth (GG) pathway presents a huge opportunity for the African continent. AfDB defines GG as "*the promotion and maximisation of opportunities from economic growth through building resilience, managing natural assets efficiently and sustainably, including enhancing agricultural productivity, and promoting sustainable infrastructure*".³ GG is a cross-sectoral approach touching on governance, agriculture and rural development, energy, transport and infrastructure, human development and water and sanitation. However, the approach to achieving GG and the level of decoupling that is appropriate is context dependent. There are multiple pathways depending on current economic growth, social wellbeing and environmental resources. For example, the African Development Bank Group's (AfDB) GG Framework notes that developed countries should be aiming for complete decoupling, whilst developed countries need to prioritise growth first (with potential increase in ecological footprint), while minimising negative environmental consequences.

Achieving sustainable growth is therefore a priority for AfDB. AfDB has identified the importance of GG and rapidly escalated it to a central part of the organisational strategy, which is reflected in its twin objectives of achieving inclusive and GG. Achieving GG requires a gradual 'decoupling' of growth from unsustainable consumption and pollution. Decoupling can be defined as:⁴

- Reducing the amount of resource inputs used to achieve growth (resource decoupling); and/or
- Reducing pollution/waste resulting from resource use (impact decoupling).

Africa can use its infrastructure deficit to leapfrog to greener investments by using environmentally sound technologies and innovations and use new sources of climate finance to support communities to adapt their livelihoods. The results of this may already be bearing fruit. In 2019 several countries pursuing GG strategies such as Burkina Faso, Cote d'Ivoire, Ethiopia, Ghana, Niger, Rwanda, Senegal, Tanzania and Uganda, are projecting growth of over six percent. Interestingly, however, the largest

² ADBG (2013), 'At the Centre of Africa's Transformation Strategy for 2013-2022', available on: https://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/AfDB_Strategy_for_2013%E2%80%932022_-_At_the_Center_of_Africa%E2%80%99s_Transformation.pdf

³ African Development Report 2012, ISBN 978-9938-882-00-1, available on https://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/African_Development_Report_2012.pdf (11.9.2019)

⁴ United Nations Environment Programme (UNEP) (2011), 'Decoupling Natural Resource Use and Environmental Impacts from Economic Growth 2011', available on: http://www.qci.org.uk/Documents/Decoupling_Report_English.pdf

economies in Africa still retain substantial dependence on extractive industries and are exhibiting lower growth rates.

1.2 Objective and Scope of the Evaluation

1.2.1. Objective

In July 2019, AfDB's Independent Development Evaluation (IDEV) contracted LTS International Limited (LTS) to carry out an evaluation of AfDB's assistance to GG and Climate Change (CC) related policies, strategies and projects approved between 2008 and 2018 (see **Error! Reference source not found.** Annex 1 for the full Terms of Reference; ToR). This evaluation will review a sample of the 873 projects related to GG-CC across key sectors and will also investigate the policies and strategies that support these programmes.

The purpose of the evaluation is to support AfDB's management and operational staff in improving the strategic, conceptual and implementation issues related to GG-CC interventions (mainstreaming and project performance) in its Regional Member Countries (RMCs); (ii) promoting learning – within and outside the Bank – by identifying the lessons learnt and recommendations on how AfDB could contribute most effectively in improving design, and delivery of its GG-CC related interventions; and (iii) accounting to the Board and other stakeholders for the results of AfDB's GG-CC investments.

The evaluation prioritises two overarching objectives:

1. Assessing how well AfDB has mainstreamed GG-CC in its interventions (including policies, strategies and operations), and produced desired outcomes; and
2. Assessing how well AfDB-funded projects with GG and CC principles mainstreamed have performed, focusing on their relevance, effectiveness, efficiency and sustainability.

In addition, the evaluation will:

3. Identify the enablers and barriers that affected the relevance, effectiveness, efficiency and sustainability of the approach to mainstreaming and portfolio performance; and
4. Draw together lessons learnt, good practices and recommendations to enable AfDB to enhance the quality and performance of its GG-CC interventions and processes.

1.2.1 Scope of the Evaluation

GG is a cross-cutting theme, which is found in a number of AfDB's sectors, including governance, agriculture and rural development, transport, energy, human development, and water and sanitation. This evaluation will investigate the policies and strategies that support AfDB's GG-CC portfolio, review a sample of its 873 GG-CC projects related to GG-CC across key sectors, as well as country level policies related to the five country case studies.

The evaluation will focus on the AfDB's strategy papers and documents related to GG and CC as well as in-depth analysis of a sample of five AfDB supported countries (RMCs) and 20 AfDB supported projects implemented within these countries (refer to Section 4.2.3) drawn from IDEV's full suite of 873 AfDB interventions related to GG-CC approved between 2008 and 2018. This analysis will be used to produce a Case Studies Synthesis Report, including five country case studies and 20 project results assessments; a sustainable infrastructure Cluster Evaluation Report and a Natural Resources Cluster Evaluation Report (produced by IDEV, with supporting data collected by LTS), as well as a two-volume Final Evaluation Report, including a synthesised Volume I for presentation to AfDB's Board and a complete Volume II, including all building blocks of the evaluation, which will be presented in draft form (as a Technical Report) at the stakeholder validation workshop in Abidjan with the Evaluation Reference Group (ERG) in November 2019.

The evaluation will focus on both the relevance of AfDB's policies, strategies, frameworks and action plans and the effectiveness and sustainability of its projects. However, the types and composition of GG-CC related interventions are complex and layered, involving multiple levels of intervention. For example, GG versus CC interventions; internal versus external focus; strengthening the enabling environment versus making direct investment; standalone versus component project; differences in sector focus (agriculture; natural resources; energy; transport, water and sanitation). While every effort has been made to select as representative a sample as possible, the scope of the evaluation means

that some aspects of the portfolio will necessarily involve a lighter touch than others. The extent to which the evaluation will be able to distinguish between these different layers will depend to a large extent on the portfolio analysis provided by IDEV. The list of projects selected for the 20 Project Results Assessments (PRAs) are found in Annex 2, which were selected by IDEV based on the following criteria (i) regional diversity (North, South, East, West); (ii) availability of reporting documents; (iii) diversity across sectors; (iv) standalone versus component; (v) the selection of projects from within the five case study countries.

The evaluation will focus on assessing the extent to which AfDB has mainstreamed GG-CC, and whether the project results are clearly aligned with GG-CC. The evaluation will be guided by the following key Evaluation Questions (EQs):

- **EQ1.** How well has AfDB mainstreamed GG-CC in its interventions (including policies, strategies and operations)?
- **EQ2.** To what extent are AfDB's GG-CC policies/strategies/action plans and tools clear, relevant and reflect the norms and specific challenges of economies in African countries?
- **EQ3.** How well have AfDB-funded GG-CC projects performed?

1.2.2 Audience

The primary users of the evaluation will be AfDB's Board of Directors, Senior Management Team, IDEV, the Climate Change and Green Growth department (PECG), as well as the various departments represented in the ERG (see Section 5.1.2) that are engaged in the process of mainstreaming GG-CC and/or implementing GG-CC projects. The findings of the evaluation may also be used for evidence-based decision-making by AfDB's stakeholders, including members of the Board of Directors, operational departments, borrowers and development partners. The evaluation will provide both an overarching assessment of results and key lessons that will be made available to these various stakeholders to support improved mainstreaming and implementation of AfDB's GG-CC objectives. It is worth noting that these different evaluation users also have distinct interests in the evaluation. For example, the PECG's focus is mostly on mainstreaming CC into Bank's business processes and investments, whilst country offices are most interested in project results.⁵

1.3 Inception Process and Lessons Learned

The purpose of the Inception Phase was to establish a clear and shared understanding of the key objectives and scope of the evaluation and how it might be utilised for the future design and restructuring of AfDB's operations, procedures and policies. The Evaluation Team understands that there is an imperative at both the policy level as well as the operations level, to mainstream GG-CC policies outlined in AfDB's GG Strategic Framework and Ten-Year Strategy. Supporting tools and guidance working in tandem with GG strategies and the Climate Change Action Plan activities will guide the evaluation in understanding how well key principles have influenced both the design and implementation of projects that were approved following the publication of the GG Strategic Framework and associated action plans. As part of the Inception Phase, the Evaluation Team met with evaluation stakeholders (refer to Annex 3) and undertook a literature review of AfDB documents (refer to Annex 4).

1.3.1 Inception Mission

The Inception Mission was undertaken between 29 July and 3 August 2019 in AfDB's headquarters in Abidjan (the schedule for the inception mission is available in Annex 3). Kick-off and debriefing meetings were held with key stakeholders from AfDB and IDEV. Discussions with task managers of completed/closed projects were held via phone as well as meetings with Regional Director General Offices, covering all five regions in Africa (North, South, East, Central and West). Additionally, meetings were held with Fund Managers of relevant funds co-financing GG-CC projects to understand the systems around approval of funding and the challenges in designing and implementing projects that focus on CC and/or GG. A series of stakeholder meetings were also used to enhance knowledge of

⁵ ADBG (2017) 'The African development bank group's second climate change action plan (2016-2020)', p. 54. Available at: <https://www.cop24afdb.org/sites/default/files/africandevlopmentbankclimatechangeactionplan2016-2020.pdf>.

both the project results level as well as different departments and divisions to get an initial indication of how AfDB operates and the roles and responsibilities of key staff who directly or indirectly deal with CC-GG in order to inform the design of the evaluation.

1.3.2 Observations and agreements made during the Inception Mission

AfDB would like a clear focus on how improvements could be made to execute and achieve green and inclusive growth and address issues of CC. Clear and practical recommendations will be made in order to support AfDB to achieve its intended results and efficiency in its operations. The Evaluation Team will aim to provide a variety of evidence-based findings and recommendations in order to ensure more effective uptake by key stakeholders, such as AfDB's Board of Directors, Senior Management, as well as relevant departments/divisions within Operations.

The Evaluation Team will look at operational policies and procedures where decision-making around implementing climate change and green growth objectives are made. Interviews with a key Operations Secretariat Committee (OPSCOM) member noted key risk and other screening procedures at various levels of review (e.g. department, country level, board level, etc.). Additionally, meetings with various departments allowed for better understanding of the influence and interest of different managerial and governing bodies within and across regions/countries. The political will of shareholders and donors, the Board of Directors as well government officials across RMCs should be assessed to understand variance of uptake between regions and countries and how the influence at the top has cascaded down to the task managers and project level activities. There have been responses at the Operations Committee Secretariat and the Board level to either redesign or temporarily put a hold on certain projects that might pose high risk in terms of reputational or financial risks. It will be important to discern if there were environmental, social and/or climate change risks involved, as well as the level of discourse regarding GG and CC at higher levels of the Bank.

The evaluation will engage in a participatory approach to drafting and consolidating the Bank's Theory of Change for achieving green and inclusive growth, including how it explicitly addresses climate change issues. There is a need to elaborate on how the AfDB might contribute to the overarching goals of mainstreaming GG-CC and to identify the assumptions that underpin the causal pathways. This will be done to test whether the Bank is on track to meeting its objectives and whether there is a clear set of indicators to measure progress. The evaluation will then look to test the ToC. A Theory of Change workshop was conducted during the initial kick-off meeting with the Evaluation Reference Group to map out the sequencing of activities that would bring results associated with the Bank's GG strategy and CC actions plans.

Through document reviews of AfDB's strategies (including country, regional, sectoral and CC action plans), the Evaluation Team has already recognised the need for increased alignment to ensure that there is a shared understanding and a common goal for achieving green and inclusive growth as well as buy in to the CC Action Plans across various levels of strategy documents within the same time period. The Evaluation Team want to first understand how well the revision of regional, country, and sector strategies is progressing.

Key components of successful strategies related to GG-CC previously developed by the AfDB (e.g. Feed Africa Strategy, Corporate Strategies, country, and regional strategies) will be assessed in order to ensure that AfDB has made progress on mainstreaming GG. AfDB has published several strategies and strategic frameworks related to GG-CC (e.g. 2014 GG Framework, 2013-2022 TYS, 2016-2020 CCAPs, CSPs, RISP). This evaluation will seek to understand whether these various strategies were adequately resourced and coordinated across various departments within AfDB, and what other inputs were required (e.g. time, senior buy-in), to undertake the aims set out in these various strategies. The Evaluation Team notes that only four of the 'High 5s' pertain to GG-CC, Feed Africa Strategy being one of the High 5s, which can be used to better understand the successes and failures of operationalising a strategy.

The scope of the evaluation as outlined in the ToR and AfDB's Concept Note covers interventions in GG-CC across its RMCs from 2008-2018. The Evaluation Team understand however, that AfDB has either recently completed or has ongoing evaluations this year (2019) that may be highly relevant to this evaluation. It will also be important to take into account newly approved

projects and AfDB commitments related to GG-CC policies to sufficiently track AfDB's progress and responses to commitments and priorities relating to GG-CC, as well as recently approved regional GG-CC 'flagship' projects, as an indication of regional integration of GG-CC and AfDB's commitment to fund projects supporting adaptation to CC in critical regional investments.

1.4 Structure of the Report

The remainder of this inception report is divided into the following sections:

- Section 2 provides the context of the evaluation: this includes an overview of AfDB's engagement in GG & CC; and overview of AfDB's portfolio of GG & CC projects, and well as a description of the meta-analysis of previous evaluations upon which the other 'building block' studies are developed.
- Section 3 presents a draft of the Theory of Change, with listed assumptions, and details of pathways and indicators applicable for this evaluation.
- Section 4 presents the overall evaluation methodology: the overall evaluation approach, the specific evaluation methods to be used for each building block study). Section 4 also presents the specific deliverables to be produced and discusses the limitations of the selected methods (quality of data, sample representativeness, etc.).
- Section 5, "Management, Engagement and Quality Assurance" provides a description of the organisation of the evaluation process and stakeholders, including a description of the evaluation governance and the team's structure and roles. It describes stakeholder engagement throughout the evaluation process, communications, data and quality management, and the overall quality assurance system, and assesses the overall risks to this evaluation.
- Section 6 presents the Workplan – an overview of the next steps, timelines and tasks.
- Annexes 1-8 include: TORs (first ToR in Annex 1 and the ToR for the additional task - to add a fifth country case study – in Annex 2), List of 20 projects for Project Results Assessments (PRAs), Inception meeting schedule, Documents Reviewed, Data Collection Tools (benchmarking templates, portfolio performance scorecards, PRA templates, country case study approach and country case study report template)

2 Context for the Evaluation

2.1 AfDB Engagement in GG-CC

AfDB's interest in GG-CC can be traced back more than 30 years to 1988 when the African Development Fund (ADF) V policy documents communicated a new, positive interest in projects and programmes that concerned preventing or reversing environmental degradation and promoting environmentally sustainable development. AfDB's interest and focus on GG-CC issues grew steadily over the subsequent years, with the introduction of environmental impact studies for sector activities and projects in the 1991-1993 planning period, cooperation with the Global Environment Facility beginning in the 1999-2001 planning period and the development of operational policies and directives. In 2008, AfDB created the Gender, Climate Change and Sustainable Development Unit (OSUS). In 2013, AfDB committed to improving the quality and sustainability of growth in Africa more substantively through its long-term strategy, which placed two interdependent objectives at the centre of Africa's transformation: Inclusive Growth and gradual transition to GG. A timeline of other notable events in AfDB's support to GG-CC and its related strategies is presented in Figure 1.

AfDB recognises the importance of environmental sustainability issues and has steadily increased its focus on climate and environmental activities by adopting a new institutional structure in 2008, making a strategic commitment to a GG transition in 2013 and committing to 40% of its approvals being for CC activities by 2020. AfDB's Ten Year Strategy (TYS) was launched in 2013 with a focus on two pillars – inclusive growth and GG. AfDB also provides strategic focus through its High 5s – Light up and Power Africa, Feed Africa, Industrialise Africa, Integrate Africa and Improve the Quality of life of the People of Africa.

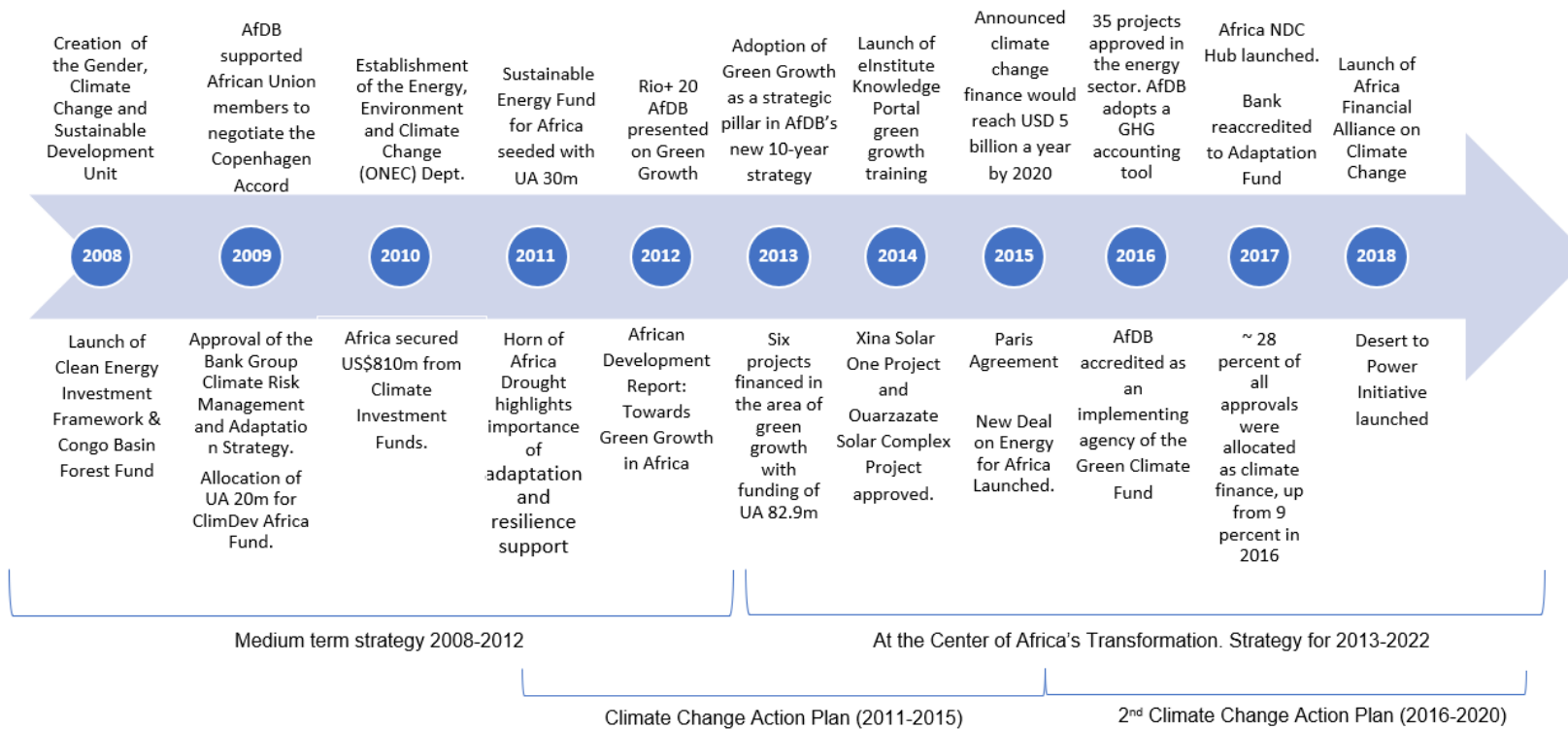
AfDB further defined GG in its 2014 GG Framework, which states that: by transitioning to GG, African economies seek to realise development objectives and growth targets, whilst:

1. Maximising natural resource use efficiency;
2. Minimising waste and pollution; and
3. Building the resilience of livelihoods and economic sectors.

The 2014 Bank GG framework also comments on policy instruments: "*Policy instruments for Green growth include economic incentives, regulations and social marketing to encourage behavioral changes. Economic instruments include price policy reforms, tax incentives ('smart subsidies') and 'smart grants', and public investment. In general, a combination of the three instruments is necessary and the instruments must be adapted to the relevant political economic environment*". These will be considered in designing the evaluation.

The systematic application of these principles by AfDB staff in policy dialogue with RMCs and other stakeholders, and in project design and implementation aims to identify more sustainable development pathways. It will also contribute to enhancing the quality of growth of African economies. This will require a progressive shift (a) to focusing on upstream development planning, (b) from sector to cross-sector approaches, and (c) towards project quality throughput to harness synergies and reduce trade-offs between social, economic and environmental development. AfDB has focused progressively on several sectors through two pillars of activity i) economic and social infrastructures, including transport, energy, agriculture, environment, water and sanitation and social; and ii) economic and financial governance. Its work is delivered at three levels: projects, sectoral and cross-sectoral, and supports upstream development planning. AfDB has identified gender equality, fragile states and agriculture and food security as three areas of 'special interest' within its Ten-Year Strategy. Complementary initiatives on Jobs for Youth, Civil Society Engagement and Good Governance and Accountability also indicate important cross-cutting themes related to GG-CC. A substantive proportion of AfDB's overall portfolio related to GG-CC over the period 2008 – 2018. The evaluation ToR notes that 43% of projects and 58% of funds approved related to GG-CC. As of August 2018, that equated to 873 projects with a total commitment of US \$23.6 billion, of which around 70% are stand-alone projects, while the remaining 30% have at least one component related to GG

Figure 2. Timeline of Selected AfDB GG-CC Activities



2.1.1 Mainstreaming GG and CC through the Banks Five Operational Priorities⁶

AfDB's 10 Year Strategic Plan, 2013-2022 "At the Centre of Africa's Transformation" highlights the goal of inclusive growth and the transition to GG. This is defined in terms of five operational priorities:

- Building resilience;
- Regional integration;
- Private sector development;
- Governance and accountability; and
- Skills and technology.

The Private Sector Development Strategy⁷ predates the Green Growth Strategy (GGS) but incorporates certain green growth principles. It argues for private sector involvement which is efficient, environmentally sustainable and supports low carbon growth (recognizing that reputable investors benefit from having a reputation for corporate social and environmental responsibility). The strategy also highlights efficiency gains from value chain development and commercialization in agriculture, together with rural **infrastructure improvement**. **Enhanced regional economic integration** brings efficiency gains from trade, cooperation and shared management of resources, **while higher education and skills development supports the innovation and more productive**, safer jobs and work environment that will bring about more resilient, efficient, less polluting economies. The Green Growth Framework highlights the key overarching principles and ideas that should be considered in diagnostic work supporting the development of CSPs. The GGS, read in conjunction with the Country Strategy Toolkit, is intended to provide Bank staff with cross-cutting information and resources focused on enabling economic transformation and promoting quality of growth.

Green growth principles can also be mainstreamed into project design, helping to realize efficiency gains, reducing adverse environmental impacts and improving the resilience of development. Initial meetings with Bank staff revealed that there are differing perceptions and appreciation of Green Growth and Climate Change issues. With respect to CC, Task Managers may see the challenge as primarily building resilience into project designs – for example ensuring sufficient drainage to cope with extreme weather events, such as high intensity rainstorms.

Operationalizing Green Growth objectives depends in part on the application of **key tools**. These have been available for some years (indeed the basic environmental tools, although not tailored sufficiently to resilience, have been available since the last century). They include:

- Environmental Impact Assessments;
- Resilience risk assessments;
- Economic analyses which also evaluate the potential costs of environmental degradation and benefits of clean-up,
- Environmental and social management plans;
- Capacity building; and
- Enhancements to procurement documentation to strengthen environmental (as well as social) safeguards.

Because of the "policy-heavy" nature of greening growth, there is scope for integrating green growth into development policy lending/budget support. Policy Based Operations (PBOs) are typically led by the Bank's Governance Department, and it is appropriate to establish whether and in what ways budget support has been used as an instrument to support the Bank's Green Growth and Climate Change operations. This will be addressed through the Country Case Studies (providing a small sample of five countries); the Cluster analysis of Sustainable Infrastructure, and also from interviews within the Bank.

⁶ ADBG (2013) 'At the Center of Africa ' s Transformation', pp. 1–33.

⁷ Private Sector Development Strategy, 2013-17

2.1.2 Information, Knowledge and Diagnostics

Improved information bases are key to articulating, implementing and evaluating development strategies related to their capacity to facilitate the transition to green growth. While the quality of information varies widely between countries, the Sustainable Development Goals (SDGs) provide an incentive for improving information in key sectors. The Green Growth Framework postulated that *“Better information bases will provide the substance behind better diagnostics and policy articulation. Improving geographical data bases more broadly is a priority. Diagnostics on the costs of environmental degradation can help identify priorities.”* The quality and availability of useful tools and guidance to support dissemination of knowledge would presumably support the mainstreaming of GG and CC within the Banks investments and inform its policies. Key tools and knowledge support products and how the Bank may be able to support dissemination might be through: Environmental Information Systems, Early Warning Systems and Natural Disaster Cost Assessment Frameworks, as well as GHG Accounting, Integrated Safeguards System (ISS), Climate Screening Systems (CSS), as well as Adaptation Review and Evaluation Procedures (AREP).

2.2 The GG-CC Portfolio

AfDB's GG-CC portfolio consists of 873 projects consisting of a diverse mix of interventions, including both autonomous or direct investment (596 projects or 40% of the total portfolio) and component or indirect investment (277 projects or 18,10% of the total Bank funded projects). The project in IDEV's GG-CC database make up approximately 57.10% of the total projects the Bank has funded from 2008-2018 (total of 1530 projects). The number of new GG-CC projects in AfDB's portfolio more than doubled in the period 2013-2018, compared with 2008-2012 (from 290, or 18.9% of all AfDB interventions, to 583; 38.10%). Looking at the number of projects in IDEV's GG-CC project database, the largest sector within AfDB's GG-CC portfolio is energy (198 projects or 22.7% of the GG-CC portfolio), followed by agriculture (161; 18.4%), transport (157; 18%) and water supply and sanitation (145, 16.6%). At the time of writing this report (March 2020) the majority of interventions are ongoing or are power sector projects that may be completed but are currently operating (519; 59.5%), while 30.7% are now closed or complete (268 projects); 7.2% have just been approved (63 projects) and 2.4% (21 projects) have been terminated.

Although the portfolio is distributed across the entire African continent, West Africa has the highest number of projects (243; 27.8%); followed by East Africa (178; 20.4%), South Africa (107; 12.3%), Central Africa (101; 11.2%) while North Africa has the fewest number of GG-CC projects (77; 8.8%). This is somewhat reflected at the country level with the top five countries in terms of number of GG-CC projects being Kenya (44; 5.0%); Uganda (31; 3.6%); Cameroon (29; 3.3%), Morocco (29; 3.3%); Senegal (26; 3.0%) and Ivory Coast (25; 2.9%). There are 167 multinational/multiregional projects that represent 19.1% of the portfolio.

Box 1. Bank Support to the Power Sector in South Africa

AfDB has provided finance for major power projects in South Africa including the 4,800MW Medupi coal fired power project for which construction began in 2007 and has proceeded in phases over the next decade. AfDB also provided finance for highly successful renewable energy projects: the Xina solar power project and Sere wind project (both 100MW). Support for the sector has helped reduce the incidence of load shedding and power outages by the South African national energy/utility parastatal, Eskom, and has also helped facilitate power sector reform, including contributions by private sector power generation capacity. AfDB's strategic focus under the last South African CSP (2013-2017) was infrastructure development and regional integration.

Under the current CSP (2018-2022) the strategic focus has shifted to promoting *Industrialisation to Deepen Regional Integration*. The power sector focus has evolved from supporting power generation to supporting the Southern Africa Power Pool (SAPP), as part of strengthening regional integration. This is consistent with the GG Framework, which highlighted the potential of regional power pools to promote the development of regional electricity markets to provide stable and reliable electricity supply at affordable costs. Regional integration in the energy sector provides a clear

argument for improved resource use efficiency, as well as increased resilience of inter-connected economies thanks to more reliable power.

2.3 Meta-analysis of Previous Evaluations

As part of this evaluation, the Evaluation Team will provide a synthesis key finding from lessons learned from previous evaluations in order to avoid replication and assert specific and clear recommendations that will build on key lessons from previous evaluations (refer to Section 4.2.3). The Evaluation Team will draw on findings, lessons learned and recommendations from fund evaluations (incl. CIF, CBFF, GEF), CSP evaluations, sectoral strategy evaluations (incl. water, transport, and power and energy), as well as AfDB's independent evaluations of the ISS, MTR of the TYS, Evaluation of Quality Assurance Systems, Comprehensive Evaluation of the Development Results and AfDB's Annual Development Effectiveness Reviews (2012 – 2019). In addition, the Evaluation Team will review publicly available evaluations of key donors and funds with strong climate and GG portfolio and policies (e.g. CIFs), which will be informed by our benchmarking study.

As part of this analysis, the Evaluation Team has conducted an initial investigation of how well AfDB has been able to respond to previous evaluations. This evaluation looks to see how the systems and coordination between divisions following re-structuring, have been able to respond to changes and exploit dedicated departments and personnel in achieving targets set out in AfDB's Strategic Framework for GG and the CC Action Plan. Table 1 below presents the initial review of these evaluations and potential implications for this evaluation. The table presents key recommendation and lessons learnt relating to GG-CC extracted from previous reviews and evaluations to inform our evaluation scope and specific areas of enquiry within our building blocks in order to answer evaluation questions. This analysis will support the Evaluation Team in assessing the effectiveness of mainstreaming of GG-CC policies into AfDB's processes.

Table 1. Key Recommendation and Lessons from Previous AfDB Evaluations

Key Lessons Learned and/or Recommendations relating to GG-CC from previous evaluations	Implications or potential areas of enquiry for GG-CC Evaluation	Which building block and/or method will address these
<p>Review of policies, strategic frameworks and strategies at Bank-level</p> <p>Greater resources are needed from AfDB toward supporting environmental and social resources (Evaluation of Banks ISS (ISS), 2019; Evaluation of CBFF, 2017)</p> <p>Increase accountability through enhanced (automated) monitoring systems and better systems in place to capitalise on key lessons learned from previous evaluations (ISS, 2019; CBFF, 2017; CIF, 2014)</p> <p>Greater training to reinforce the knowledge and awareness of internal and external stakeholders. (MTR of TYS, 2018)</p> <p>Expand the analysis of comparative advantage in country strategies beyond sectoral considerations. (CEDR, 2016)</p> <p>Ensure that corporate strategies (e.g. sector strategies) are based on a well-designed Theory of Change shared with stakeholders as the basis for defining the outcomes guiding Bank interventions and common indicators. Mechanisms to have outcomes and indicators trickle down to country strategies and projects should be proposed (CEDR, 2016)</p>	<p>How might AfDB or context (i.e. enabling environment) in which AfDB operates be improved in order to strengthen capacity of AfDB to delivery results?</p> <p>This evaluation should assess whether there are clear responsibilities of dedicated GG-CC staff to provide support at multiple levels (i.e. regional, country and project level guidance) to ensure that there are resources to support strategies and actions plans at the operational level down to the projects.</p> <p>The coordination and allocation of resources with regards to questions of effectiveness and efficiency.</p> <p>Quality Across Bank Systems Evaluation: understand roles and responsibilities of staff and departments involved in GG-CC mainstreaming</p> <p>Assess scope for Bank's further involvement in knowledge and technical assistance for countries and/or regional bodies of AfDB.</p> <p>A key aim of the inception phase was to produce a draft of a theory of change that will align banks aims and stakeholders toward defining outcomes and activities toward contributing to green and inclusive goal and integrating its CC pillars/priorities.</p>	<p>Meta-analysis; benchmarking review; document review</p>
<p>Regional Level</p> <p>Remedial actions need to be carefully monitored namely by ECOWAS Commission, WAEMU, and Executing Agencies (RDGW, 2019)</p> <p>Need to better mainstream the Sahel paradigm and ECOWAS integration priorities is necessary to address emerging themes of food security, CC, and resilience (RDGW, 2019)</p>	<p>Review of the regional integration strategies for all regions and understanding protocols in place for mainstreaming/monitoring results relating to GG-CC</p> <p>Understand the different regional bodies and emerging themes that implicate the sort of projects that will be approved, given the regional cultural, socio-political differences and relationships with AfDB</p>	<p>Document review; meetings with regional hub offices (RDGE, RDGS)</p>
<p>Fund Level</p> <p>Need for sufficient time and resources to host the fund (in terms of staff capacity)</p> <p>Further documentation and communication tools, along with adequate monitoring tools and evidence is needed</p> <p>Recommend the use of a trust fund to seek to support innovation and transformational change for climate sector and to complete budget resources for project preparation, appraisal and supervision (CBFF, 2017; TYS MTR, 2018)</p> <p>Importance of private sector engagement in scaling up CC adaptation and mitigation activities (CIF, 2014)</p>	<p>Number of projects that have been able to access funding by the time of implementation, and the challenges around the processes for getting GG-CC projects approved</p> <p>Assess the priorities of different funds and regional/country priorities, as well as the 'flagship' projects that are typical for the trust fund – this will help elaborate on whether AfDB has moved toward more GG and CC projects</p> <p>Understand different partnerships formed with AfDB and the challenges and successes of both partnerships with sovereign and non-sovereign entities</p>	<p>Portfolio analysis, document review, field visits</p>

Key Lessons Learned and/or Recommendations relating to GG-CC from previous evaluations	Implications or potential areas of enquiry for GG-CC Evaluation	Which building block and/or method will address these
<p>Country Level/ Sectoral Level</p> <p>Improve the design of country strategies. This implies (i) clarifying the strategic roles AfDB wishes to play in the country; (ii) positioning AfDB in broader partnerships, and (iii) clarifying the intervention logic and narrowing AfDB's contribution to a select set of sectors, and considering fewer and more modest CSP indicators. Quality of CSPs have improved over time, including gender, environment and CC, broadly focusing on 8 sectors with objectives (Mozambique CSP eval, CEDR, 2016)</p> <p>Quality of Bank's readiness work before approval should be further strengthened to ensure compliance</p> <p>Stepping up engagement with AfDBs, insurance companies and institutional investors to draw cost-effective private capital into productive investments in RMCs.</p> <p>Partnerships could include both the traditional knowledge/financing partnerships with development partners, but also new partnerships with civil society, the private sector, and emerging donors (CEDR, 2016)</p>	<p>Assess whether there is consistent reporting and strategy development from AfDB level strategies down to the country and project appraisal documents.</p> <p>Assess the variations between countries and sectors to synthesis aims and to account for contextual differences that might lead to the successes and/or failures of integrating GG-CC into planning.</p> <p>Understand whether screening tools GHG accounting, CSS, readiness reporting, and ISS clearly ensures procedures for project screening are likely to lead in the execution of Bank strategies and priorities depending on the kind of projects that are approved.</p> <p>Perceptions of AfDB's role across various regions and countries, and understand gaps in resources, technical capacity, etc.</p> <p>Synthesis of lessons learned from different partnerships within AfDB and across in-country stakeholders (e.g. civil society, private sectors, public sector)</p>	<p>PRAs, Country Case Studies, interviews with task managers, and field visits, document review</p>
<p>Project Level</p> <p>Strengthen the implementation of supervision for public sector operations. This could be done by: (i) strengthening accountability and aligning incentives around supervision, (ii) improving existing tools as needed (e.g. tracking disbursement performance against a benchmark disbursement profile by sector), and (iii) strengthening capacity at country level on the side of AfDB and of its national counterparts. This should be done when possible by using national monitoring and evaluation systems and/or advancing their institutionalization (CEDR, 2016)</p>	<p>Assess scope of introducing addition or process indicators, targets, and reporting mechanisms to provide more evidence and monitoring, for improved results from GG-CC projects (both component and standalone).</p>	<p>PRAs, field visits, stakeholder interviews</p>

3 Theory of Change

A Theory of Change (ToC) is an outcomes-based approach, much like a logical framework, but with a stronger focus on the underlying assumptions of the intervention logic. It requires the application of critical thinking to the design, implementation and evaluation of initiatives and programmes intended to support change in their contexts. A ToC helps explain how activities or interventions are used to achieve desired results and how these results, in turn, lead to intended impacts. During the Inception Phase, the Evaluation Team ‘unpacked’ the GG-CC results chain to understand the pathways between interventions and AfDB’s objectives and intended impact.

AfDB GG-CC ToC was developed based on AfDB’s GG-CC results chain, which provides the basis for understanding the intended outcomes and impacts, as well the pathways for achieving them (refer to Figure 2). The ToC is similar to the GG-CC intervention logic or results chain developed by AfDB except that the links and assumptions in the chain of causality between inputs and impacts are made explicit, so that evidence can be collected, and the assumptions can be tested as part of the evaluation. The process involved a ToC workshop with the ERG during the inception mission, as well as the review of relevant documentation, including AfDB’s Ten Year Strategy, the GG Framework and AfDB’s CC Action Plan. In developing the ToC, the evaluators have tried to understand how the different but aligned objectives and impacts of the GG-CC interventions complement and overlap with each other. This analysis has enabled the development of a simplified intervention logic that encompasses both GG-CC activities.

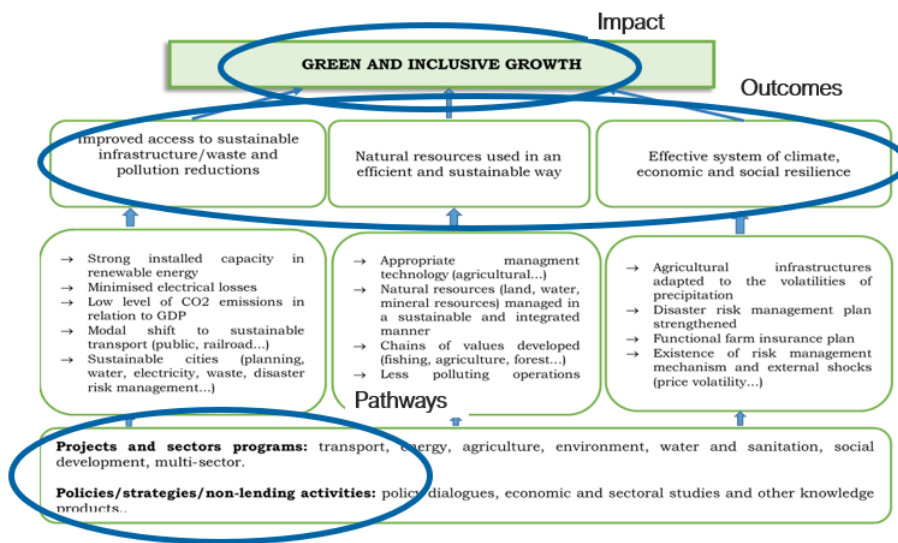


Figure 3. AfDB’s GG-CC Intervention Logic (Results Chain)

3.1 Theory of change

Given the long-term nature of the GG-CC transition, the updated ToC (refer to Figure 3 below) reflects both shorter-term outputs and longer-term outcomes, which allows the evaluators to better define shorter-term proxy measures of success to indicate the likelihood of AfDB achieving its overall impact. Based on AfDB’s GG-CC results chain, it can be seen that achieving green and inclusive growth (impact) is about efficient use of resources, minimising pollution and waste and maximising resilience and equity (outcomes). These outcomes are closely aligned with the CC outcomes of CC mitigation, which is achieved through activities that reduce pollution/waste and/or enhance natural resource use,

and CC adaptation, which is achieved by improving resilience and adapting natural resource use and infrastructure development to make it resilient to CC impacts. These outcomes are achieved by supporting the development of policies, strategies and non-lending activities (the enhancing the enabling environment pathway) and supporting projects and sector programs (the direct investment pathway).

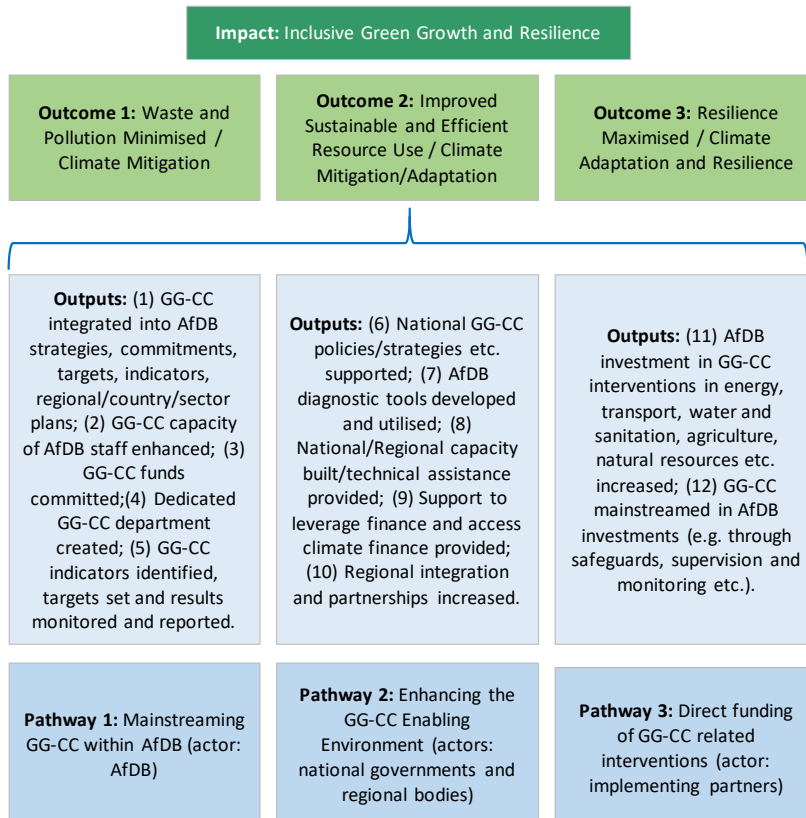


Figure 4. AfDB GG-CC Theory of Change

In addition to the two results chain pathways, the Evaluation Team identified a third pathway: AfDB's internal GG-CC mainstreaming activities. As a result, in the revised ToC, there are three clear pathways to change:

- GG-CC Mainstreaming within AfDB:** At the higher level this includes activities such as the development of GG objectives as part of AfDB's Ten Year Strategy, the development of the GG Framework, the development of AfDB's CC Action Plan, and the inclusion of GG-CC related indicators in AfDB's results measurement framework to track progress in achieving these high-level objectives. Given that these objectives are externally focused on the quality of growth in Africa, in order for them to be achieved, they need to cascade down to the regional and country strategy level.
- Enhancing the GG-CC Enabling Environment:** In addition to AfDB's internally focused GG-CC mainstreaming activities, AfDB supports externally focused 'mainstreaming' aimed at creating an enabling environment to support GG-CC friendly investment by governments and project implementers across the region. These activities include support for GG-CC policy reform, improved governance, capacity building, access to information and diagnostic tools for decision making, and support for accessing climate finance and leveraging additional

funding sources. In addition, AfDB is supporting regional policy making and integration to catalyse more efficient and sustainable investments and resource use at the regional level.

3. **Direct Funding of GG-CC Related Interventions:** Finally, AfDB is supporting the achievement of its GG-CC objectives through direct investment in GG-CC interventions, such as energy, transport, natural resources, agriculture, among others. As well integrating GG-CC considerations in the selection, design, implementation and monitoring of its broader portfolio of projects.

3.1.1 Assumptions Underpinning Theory of Change

The assumptions related to each step underpinning the ToC's causal chain are summarised in Table 2. These represent conditions within AfDB's GG-CC intervention logic that the evaluators would expect to test. These assumptions have also been used in refining the evaluation question, as an empirical part of the theory-based approach is gathering evidence to test the ToC assumptions. The ToC assumptions can be considered necessary conditions for change, as well as being underlying conditions or resources that need to exist for planned changes to occur.

Table 2. Theory of Change Assumptions

Assumptions	Evidence (building blocks)
Output Level Assumptions	
Pathway 1: GG-CC Mainstreaming in AfDB	
Better GG-CC screening and monitoring of projects will result in a shift in AfDB investment towards GG-CC interventions.	PR
AfDB GG-CC Policies and strategies are being consistently applied across geographic regions, operational departments, at country and project levels	PR, CCS
Pathway 2: Improved National and Regional Enabling Environment	
Strengthening national/regional capacity can overcome barriers to better national government approaches to achieving GG.	CCS
National GG-CC policies and strategies will translate into an increased level of leveraged GG-CC investment.	CCS
Improving GG-CC performance measurement, and better diagnostic tools will mainstream GG-CC in policies, project design and implementation.	CCS
Strengthening regional integration promotes improved natural resource use.	Beyond the scope of this evaluation.
Pathway 3: Direct Investment in GG-CC Interventions	
The reduction in emissions from improved vehicle operating efficiencies resulting from investment in roads will be greater than any corresponding increase in traffic flows that result from improved road conditions.	Beyond the scope of this evaluation.
AfDB's investment in energy has been increasingly directed towards renewable energy sources and less on non-renewable energy projects.	PR, CE
AfDB's investment in agriculture technologies and natural resources management including water management improve access to water and enhance resilience of African communities	PR, CE
Investment in power distribution networks result in a reduction in electricity losses.	PRA, CE (potentially)

Assumptions	Evidence (building blocks)
Increased energy access in Africa results in a corresponding reduction in use of charcoal and wood and will result in an overall reduction in carbon emissions.	Beyond the scope of this evaluation
AfDB's transport investments have increasingly focused on energy efficient public and freight transport schemes (bus rapid transit; rail) in order to support low carbon development	CE, CCS
Output-to-Outcome Assumptions	
GG-CC interventions supported by AfDB are the most relevant activities for the regional and/or national context.	PRA, CCS, CE
AfDB GG-CC projects are effective, and their results will contribute to GG-CC in the region.	PRA, CCS, CE
AfDB support and investment will leverage additional GG-CC funding and will not crowd out national or private sector investment.	PRA, CCS
Projects are sustainable, and the institutional structures and funding are in place to ensure that they fulfil their potential and avoid premature deterioration	
Outcome-to-Impact Assumption	
Increasing investment in GG-CC interventions will displace investment in unsustainable growth that there will be an overall reduction in pollution in waste, reduction in unsustainable natural resource use and improvement in resilience.	Beyond the scope of this evaluation.

Note: Benchmarking (BM); Meta-Analysis Synthesis (MAS); AfDB's Portfolio Review (PR); Project Results Assessment (PRA); Country Case Studies (CCS); Cluster Evaluation (CE).

3.1.2 Pathway 1: Mainstreaming GG-CC within AfDB

In order to evaluate how well the Bank has mainstreamed GG and CC within AfDB, the Evaluation Team will first review key documents with respect to its date of publication to see if there was response and alignment in the strategies and plans that followed it. The AfDB's 2013-2022 Ten Year Strategy (TYS) and the 2016-2025 Results Management Framework (RMF), which the bank reports against every year, will be used to assess whether there has been alignment of GG and CC priorities within regional, sectoral, and country strategies published following the release of the TYS. Following the publication of the TYS, the expectation is that components of the overall TYS will be integrated into the CC Action Plan 2 (CCAP2), country, regional integration and sectoral strategies and strategic frameworks published/revised after 2013. They should also include a fair degree of alignment relating to the inclusive growth and transition to GG, as well as CC integration and targets. For instance, it is assumed that the CCAP1 will not have been a response to the 2013-2022 TYS but might have overlap in priorities and targets.

From initial document review, we note the development of High 5's in 2015 to define the AfDB's key priorities and means to accelerate the implementation of the TYS, and to enhance development impact:

1. Light up and Power Africa,
2. Feed Africa,
3. Industrialise Africa,
4. Integrate Africa and
5. Improve the quality of life for the people of Africa.

The High 5s are intended to sharpen the objectives of the TYS, and to contribute to the achievement of the Sustainable Development Goals (SDGs). The High 5's are integrated within the CCAP2, showing a Framework where the four pillars have overlapped objectives to either one or multiple 'High

5s'. GG and addressing the challenges of CC (mitigation) whilst minimizing the contribution to greenhouse gases and other forms of environmental degradation is highly relevant to each of the High Fives.

The strategy outlines entry points of action such as integrating GG into upstream development planning and within Country Strategy Papers (CSPs), and project design, referencing sector and CSP/RISP guidance notes on how to mainstream this agenda. **AfDB's Governance Strategy⁸ includes improved natural resource sector governance, price reforms and improved accountability, which are foundations for inclusive GG. This comes under Pillar 2 concerning Sector Governance.**

Guidance for Mainstreaming CC in the Bank's CSPs and Regional Integration Strategy Plans (RISPs) were revised by Department of Power, Energy, GG and CC (PECG2) following the restructuring of the Bank under the New Development and Business Delivery Model and in view of the implications of the Paris Agreements for the Bank's RMCs. Within the guidance, the Bank refers to the four pillars of the Bank's Climate Change Action Plan (CC mitigation, CC adaptation, climate finance and enabling environment) to assist regional member countries (RMCs) to meet their development and climate objectives. Following the development of Nationally Determined Contributions (NDCs) within 53 of 54 countries in Africa, the Bank requires that the NDCs and longer-term strategies be taken into consideration in the preparation of the CSPs and RISPs. This indicates that CSPs and RISPs should have integrated both GG and CC within their strategies, however, it is unclear if the bank has adequately harmonised targets and guides that integrate CC and GG, as the only clear reporting mechanisms that reports on both is the RMF, which has indicators that are deemed applicable toward measuring progress against the 4 pillars of CCAP2 and the two objectives in the TYS (inclusive growth and transition to green growth).

The Bank have developed a set of indicators under each of the High Fives and publishes its performance against the RMF in the Annual Development Effectiveness Review (ADER), which are sequenced in four levels of indicators as described below (refer to Section 3.1.5 for list of indicators). One issue that may pose a potential risk to how well the Bank has been able to mainstream GG and CC is whether the applicable indicators can adequately map annual progress on GG and CC consistent with the key pillars and definitions set out in the GG strategies and CC Action Plans.

Monitoring Progress: AfDB's approach to monitoring progress has broadly mirrored that of the World Bank Group. The One Bank Results Measurement Framework, 2013-2016 provided the framework for tracking progress on a number of levels. These include indicators at:

- Level 1 to track progress with meeting the broad goals of inclusive and GG at country level;
- Level 2 which are directly linked to Bank interventions.
- Level 3 and 4 indicators measure organisational effectiveness and efficiency.

The GG indicators are linked to the three pillars for AfDB GG engagement. Identifying simple indicators was challenging in a data-scarce environment. It is reported that consensus was reached around six Level 1 indicators. For resilience-building, the indicators chosen are increased food security and resilience to water shocks. For managing natural resources efficiently and sustainably, they are institutional capacity for environmental management and agricultural productivity. For promoting sustainable infrastructure and reducing waste and pollution two indicators both linked to energy were chosen: production efficiency as measured by CO₂ emissions as a share of GDP, and renewable energy as a percentage of total energy produced. Inclusive growth has a larger number of indicators, including some directly relevant to GG such as access to water, sanitation, electricity and improved road access, illustrating again the cross-cutting nature of AfDB's two core objectives.

The status and application of Level 2, 3 and 4 Indicators will similarly be explored and reported upon, both from a Country Case Study and Cluster Analysis Perspective. The Green Growth Framework observed that the Bank can engage with member countries in developing and applying green growth indicators to assess **development progress and quality**. From an evaluative perspective, it will be

⁸ GAPIL: Promoting Good Governance and Accountability for Africa's Transformation, 2014 – 2018, OSGE (Governance, Economic & Financial Management Department)

important to gain an appreciation of the extent to which this has happened; whether results achieved vary substantially between countries, and what lessons can be learned from achievements so far.

What comes measuring avoidance/reduction in GHG on the Bank level, the team will look into whether the Bank has established baselines and measured Bank level GHG emissions reductions (although this is likely not the case). The PRAs are looking at concrete results and achievements on the project level.

Our next step is understanding whether guidance, strategies and policies at the operational level are using the Theory of Change (ToC) as a key communication tool to map key activities, outputs, outcomes and sequencing processes. We will test the assumptions underpinning the ToC, which we understand are rooted in Bank strategy papers and are tied to an engagement with various departments within the Bank. Section 4 elaborates on our primary methods for answering key evaluation questions outlined in the Terms of Reference and revised herein to clarify the scope of this evaluation. Key method building blocks: benchmarking study, portfolio review, and document review in order to see the extent to which the AfDB has progressed with the operational/internal mainstream within the Bank.

3.1.3 Pathway 2: Enhancing the GG-CC Enabling Environment

A key challenge for AfDB as well as for Implementing Partners is to ensure that GG-CC (GG/CC) move up from being treated as a cross-cutting issue to being central to the delivery of AfDB's "High 5s". This requires active management at policy, strategy and operational levels, as well as by creating a positive enabling environment (see Figure 5 below).

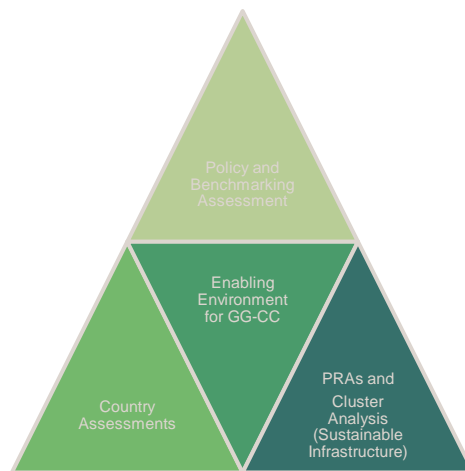


Figure 5. Assessment of the Enabling Environment for GG-CC⁹

Review of AfDB's GG-CC-Related Policy Documents

At a sector level AfDB's Strategy for 2013-2022 notes that high transport costs add some 75% to the cost of African goods and that, at the time of plan preparation, about 30 countries have chronic power shortages. This underpins the logic of choosing Sustainable Infrastructure (Energy and Transport) for detailed cluster analysis under this evaluation.

⁹ The building blocks are sequential but there is not a hierarchy in terms of importance of results

Operationalisation of the GG agenda is underpinned by the planning document: “**Transitioning towards GG: A Framework for the African Development Bank**”, which was approved in 2014. This highlights **entry points for Transformative Action** by sector: Water, Agriculture, Fisheries, Forestry, Human Development and Energy, Infrastructure and Services. It also identifies opportunities for GG in terms of:

- Economic effectiveness;
- Social inclusiveness and
- Safeguarding the environment.

This Framework is supported by **GG Sector Guidance Notes**, published in September 2014. Case studies of good practice in greening project level investments are included. These include several transport examples e.g. Sustainable urban transport in East African cities which includes Bus Rapid Transit (BRT); railroad projects (Tangiers-Marrakesh Railroad Capacity Project) and the Nacala Road Corridor Project – Phase 3 in Mozambique. The evaluation will assess utilization of these and other operational and dissemination tools. Since it is likely that some are Department and/or sector specific, the evaluators are keen that as many of such sources are made available as possible (whether formal or informal – such as materials for trainings days and workshops) , as it is unlikely that a single inventory of tools exists within AfDB.

When assessing Pathway 2, in addition to the Bank’s Green growth framework paper, the evaluation team will consider the two Bank climate change action plans (CCAP 1 & 2) and the Climate Risk Management and Adaptation Strategy (CRMA, 2009) and their related but specific targets.

During this evaluation of GG and CC mainstreaming we will ask Bank interviewees (at Headquarters, regional resource centres and country office levels) what their primary sources of learning are with respect to Green Growth, what they identify as the constraints on learning and what more, if anything, could be done to support implementation. The evaluation team will also assess the institutional capacity and institutional capacity building activities conducted as part of the operationalization of the Bank’s GG agenda during the evaluation period (2008-2018). Although institutional capacity is not a core evaluation question, this will be covered broadly through our assessment of different building block studies (country case studies, the meta-evaluation analysis, the benchmarking study) and the assessment will be incorporated in the final synthesis report.

Below these broad objectives, there are inevitable **policy trade-offs** to be made. This is perhaps most visible with respect to energy projects, which play a vital role in terms of meeting the energy deficit prevalent in so many African countries. Issues include confirming conditions under which coal fired generation can be funded by the Bank, and whether standard conditions are or should be in place. The Bank has already strengthened its oversight mechanisms for power generation, and we understand that all thermal power projects are subject to review by the OPSCOM Secretariat.

The enabling environment policy context has also evolved significantly over the evaluation period of 2008-2018, creating new and emerging challenges for AfDB with respect to conceptualization, design and project management. This is evident from a rapid review of AfDB’s South Africa power sector portfolio, see Box 1 above.

AfDB has been promoting Public Private Partnerships (PPPs). Many sustainable energy projects have private sector equity investments and are subject to AfDB’s **Additionality and Development Outcomes Assessment (ADOA)** appraisal process, in order to ensure that the “public goods” aspects (which include environmental impacts) are systematically assessed. The Evaluation Team will explore whether these systems of checks and balances by AfDB are implemented sufficiently early and sufficiently rigorously to strengthen their contribution to GG.

As highlighted in the GG Framework, integrating GG principles into **Country Strategy Papers (CSPs)** and programs provides a key implementation mechanism. The Framework asserts that: “*Strategies related to implementation of the five priority pillars of AfDB have already gone a long way in GG mainstreaming*”. As regards infrastructure, several of the pillars which guide AfDB’s interventions in the energy sector, for example, are directly integrated with GG principles. These include:

- (i) ensuring energy security and increasing access for all, promoting resilience and efficiency;
- (ii) moving towards a cleaner energy path, reducing pollution;
- (iii) enhancing governance at the national level, bringing efficiency and welfare gains;
- (iv) promoting social and environmental responsibility, ensuring inclusion and sustainability; and
- (v) integrating a response to CC, which builds resilience.

Working on Sector Governance issues is particularly important for the High Five priorities of “Light Up and Power Africa” and “Feed Africa”. Emphasis is placed on ensuring that RMCs effectively manage investments within the energy and agriculture sectors and establish the supporting sector policy and regulatory environment. The strategy notes it is *“in particular crucial for the sustainability of investments and the enhancement of private sector participation, while encouraging inclusive and green growth”*.

In order to evaluate progress with creating an enabling environment for GG/CC we are proposing to undertake three complementary assessments as set out below.

- i) **Policy and Benchmarking Assessment**
- ii) **Country Assessments**
- iii) **Cluster Analysis**

These complementary strands of work will enable triangulation of results and will facilitate both vertical and transversal analysis. The vertical analysis will inform evaluation of the application of policies, through regional and country strategy papers and for both GG-CC. The horizontal analysis will help to assess quality – both in terms of benchmarking against other institutions/funding streams (i.e. externally) and internally in terms of the different stages of the project cycle. Figure 4 presents this visually.

Financing the Transition to GG: Transitioning to GG can lead to efficiency gains and productivity gains, and the overall costs of GG paths may often not be higher than conventional growth paths. However, adoption of more efficient technologies and practices may require upfront investment costs. Frequently, there are challenges in accessing long term finance. In addition, costs may be incurred in one geographical area while benefits accrue in another. There are also often political economy constraints. Much of the financing for GG will come through the usual AfDB financing instruments, as well as from country budgets and private sector investments. AfDB can also help countries to access innovative financing instruments, including existing and future climate and environmental financing mechanisms. The launch of Green Bonds by AfDB represents an additional avenue for raising capital. The Green Climate Fund and other earmarked funding mechanism and Trust Funds provide further resources for transformational, climate smart development. However, there is evidence from previous AfDB evaluations that Trust Funds have proved to be challenging to access, often with complex approval processes.

3.1.4 Pathway 3: Direct Funding of GG-CC Related Interventions

The GG Framework identifies the importance of *“integrating GG into upstream development planning.... [as] the best entry point for promoting the transition”*. The note observes that: *“upstream diagnostics and stakeholder dialogue allow for the identification of growth strategies that maximize a country’s economic, social and environmental assets. As such, more informed decisions about the sustainability of development pathways become possible”*.

The evaluation will review, through the Country Case Study and the Cluster Analysis, the extent to which this has been possible for selected countries.

Direct Investment in GG-CC related interventions

AfDB can maximize its contribution to creating Green Growth and addressing the speed and consequences of Climate Change by supporting both **Demand** and **Supply** aspects. AfDB can

maximize its own investments in GG-CC where demand for such projects has already been created, and the enabling environment is positive. Similarly, AfDB's investments can be structured to maximize overall funding for GG-CC by working in conjunction with other development partners, the beneficiary country and the private sector. AfDB plays an important pathfinder role in mobilizing investment towards green growth. Its environmental safeguards also provide checks and balances, to ensure that projects are designed to appropriate and green-growth orientated standards. Given the symbiotic and complementary relationship between demand and supply, each justifies evaluation. Our proposed approach is explained below, taking account of the following considerations:

Factors Influencing Demand

Demand for GG will vary between Regional Member Countries (RMCs), and our evaluative approach recognises the **diversity of partner countries**. In most cases there is already some demand for Green Growth initiatives and projects, but the context is often challenging: rising populations are contributing to rapid and frequently unplanned urbanization. Population pressure is creating unsustainable demands on land use contributing to deforestation, land degradation/erosion and pollution. More extreme weather events are contributing to flooding as well as drought, and resilience to these extremes diminishes due to unplanned building in flood plains. In economic terms it is difficult to capture the full benefits of positive protection of public goods (e.g. air and water quality, the green environment).

Often green growth focused investments are seen by RMCs (including private investors) as unaffordable or too long term. One reason why external investment from China is often attractive to RMCs is that it is perceived to be faster to mobilize, with a lower burden of safeguards which, whilst creating necessary checks and balances, slow approval processes, and delay reaching "Effectiveness". Examples of this include the Gas processing plant constructed in Ghana to facilitate operation of the Jubilee and Ten hydrocarbons projects. Time was saved by the Chinese funder, at a risk to the environment, by cutting the sequential approval process regarding environmental standards. Similarly, a major hydro-power project in Ethiopia was prepared by AfDB but is being implemented with Chinese funding, because this was seen to be faster and with fewer onerous safeguards.

Our evaluation will appraise the quality of analysis underpinning AfDB's direct investments, with a particular focus on the speed of preparation (including the application of safeguards) and speed of decision taking.

One challenge our evaluative approach needs to acknowledge is that it includes a positive outcome bias: that most of the focus is on projects that the AfDB actually invested in (e.g. through the PRAs) not initiatives and projects that were not brought to fruition. **Reviews of Country Strategy Paper (CSPs) and Country Case Studies (CCS) will help to balance the evaluation by capturing lost opportunities for GG & CC projects, and lessons that can be learned from these.**

Considerable effort has been put into creating "Investment Quality" private sector projects in order to promote both Foreign Direct Investment (FDI) and to mobilize local private sector resources. The challenge is to do this through a green growth lens, creating opportunities and projects that AfDB can invest in directly whilst also mobilizing co-financing from others. The evaluation will differentiate AfDB's public sector and private sector investments. They are both important from a GG & CC perspective.

Factors influencing the Supply of Bank funded GG projects

AfDB is keen to protect its AAA credit rating, and there are meta-level considerations based on Country Risk Analysis, that constrain its investments in some countries. During the evaluation period, for example, investment in Egypt was curtailed because AfDB had reached its internally determined **credit limits**. This may have had implications for the investment in GG projects, such as solar power, with immense potential in Egypt.

AfDB is keen to support **countries facing fragility**, many of which have particularly acute GG & CC challenges. Whilst AfDB has Trust Funds to channel investment towards these countries, instability such as that experienced in South Sudan, create specific challenges regarding project preparation, financing and execution. The Evaluation Team propose to use the Cluster Analysis (Sustainable Infrastructure) report to explore AfDB's performance in such circumstances.

It is also appropriate to distinguish between ADF funded countries and middle-income countries funded using commercial credit at non-concessional rates. It is appropriate to examine whether performance with respect to Green Growth and Climate Change differs between these two important markets for AfDB. As above, the Evaluation Team cannot do this for AfDB's entire portfolio, so the Cluster Analysis will be used to examine performance for the sustainable Infrastructure sectors of Power and Transport.

AfDB is also committed to funding projects supporting **sustainable urban development**. This is especially important given rapid urbanization in many RMCs. Based on initial document review it appears to the evaluation team that the flow of urban development projects funded by AfDB with GG characteristics may be limited. It may be that their preparation and delivery is inhibited by the following two factors (these assumptions will be tested during the evaluation):

- complex institutional settings (e.g. the multiplicity of municipalities, Ministries and other stakeholders);
- securing land tenure. This is normally a country responsibility, in which the development partner is not directly involved, but which incorporates important social safeguards e.g. in relation to compensation and compulsory resettlement.

This will be examined through the Cluster Analysis lens.

Drawing together key findings

The Evaluation Team will seek to present key findings in a graphic and visual manner, which will capture AfDB's performance with respect to both demand and supply dimensions, as well as the pace and quality of execution.

3.1.5 Bank Indicators Related to GG-CC

The Evaluation Team will prioritise the indicators that are relevant to GG-CC and are reported against annually by AfDB. Both the TYS and CCAP2 outline lists a set of 'Level 1' indicators to monitor Africa's Progress in relation to GG, which are listed below and a part of the 4 levels in which are outlined in AfDB's results framework:

Ten Year Strategy

The TYS uses level one indicators from the RMF in order to track relevant indicators around inclusive growth and transition to GG. The diagram below is table of indicators Annexed in the TYS, which are reports against under the High 5's in ADER. See Table 3.

Table 3. Indicators in the TYS Inclusive Growth and GG Indicators

Indicator	Unit of Measurement	Source for Evaluation
Inclusive growth¹⁰		ADER (2012-2019)
Population living below USD 1.5 a day	% (PPP)	
GDP per capita	USD	
Income inequality (Gini index)	%	
Total unemployment rate	Index	
Youth unemployment rate	Index	
Women unemployment rate	Index	
Fragile countries	%	
GG		ADER (2012-2019)
Ecological footprint ¹¹	Gha	
People affected by natural disasters	Millions (including deaths)	

¹⁰ Indicators related to human capital (skills) and entrepreneurship if such indicators have been established and monitored by the Bank.

¹¹ The variables of the ecological footprint indicator will be clarified and scrutinized during the evaluation.

Climate Action Plan 2

The CCAP2 select indicators from all 4 levels from the RMF with criteria relating to the four pillars of the CCAP2. There are no clear indicators for CC adaptation, which may be a gap that needs to be recognised in order to better progress on multiple dimensions of CC risks. See Table 4.

Table 4. Indicators in the CCAP2 pertaining to CC and Four Pillars

Level 1 CCAP Impacts	Performance indicator
Reduced vulnerability to the adverse impacts of CC and variability (adaptation)	Share of population with access to clean cooking solutions (%) Cereal Yield Access to safely managed drinking water services (%) Building resilient water harvesting irrigation infrastructure Resilience to water shocks Access to safely managed sanitation facilities
African economies transitioning to low carbon growth (mitigation)	Production efficiency (kg CO2 per \$ of GDP) Installed renewable energy capacity (GW) Electricity losses through transmission, distribution and collection
Level 2 Mitigation and low-carbon development pillar CCAP2 Outcomes-country and regional level	
Scaling up investment in renewable energy Promoting energy efficiency	New renewable energy capacity installed Cereal yield Access to safely managed drinking water services
GHG emissions reductions from mitigation actions (energy sector)	GHG emission reductions from energy sectors
Reducing emissions from deforestation and forest degradation (Investments in Afforestation)	Increased finance for afforestation and reforestation
Improved Africans livelihood through education and creation of new jobs	People trained through Bank operations (thousands) Direct and indirect green jobs created
Level 4 Finance Pillar	
Increase mobilisation of Climate finance	% of climate finance by 2020 relevant to the total project funds
Levels 2, 3, and 4 Enabling Environment Pillar	
Improved institutional policy reforms	% Bank policies integrating CC % of Bank's operations aiming toward institutional support
Capacity development	Number of Bank staff trained on CC issues Number of climate experts ¹² based at regional hubs
Increased knowledge services	Number of ESWs and climate related publications New operations with climate-informed design (%) Operations with satisfactory environmental/social risk mitigation measures
Partnerships	Status of operational partnerships under the NDC Partnership Hub

¹² This evaluation understands "climate expertise" broadly, acknowledging that CC is a complex, multi-level, multi-disciplinary phenomenon. Achieving the Bank's GG and CC goals its staff are required to understand and manage a set of different (scientific) disciplines, skills and knowledge areas.

This evaluation will also consider additional frameworks associated with GG-CC, such as the *disaster cost assessment framework* and evaluation on green investments; if data exists and can be provided to the evaluation team.

3.2 Evaluation Framework

The evaluation will be guided by three overarching Evaluation Questions (EQs), which draw from the ToR and respond directly to the three pathways of change identified through the ToC analysis:

- EQ1. How well has AfDB mainstreamed GG-CC in its interventions (including policies, strategies and operations)?
- EQ2. To what extent are AfDB's GG-CC policies/strategies/ action plans and tools clear, relevant and reflect the norms and specific challenges of economies in African countries?
- EQ3. How well have AfDB-funded GG-CC projects performed?

These questions consider AfDB's GG-CC activities at three different levels: at AfDB-level; at the country/regional-level and at the project-level. EQ1 is internally focused and will investigate the strategies, systems and processes that AfDB has used to mainstream GG-CC within its own practices and processes. EQ2 will focus on AfDB's influence at the regional and country level along with its country-level policy and knowledge sharing work. EQ3 will assess the extent to which AfDB has mainstreamed GG-CC into its project portfolio and will look further along the results chain to assess the outcomes that AfDB-supported projects have achieved.

As part of the inception phase, the evaluation questions were reviewed and refined and mapped against the ToC pathways, to ensure the information gathered would enable the Evaluation Team to adequately respond to the overarching questions, including providing lessons and recommendations as part of this evaluation. Table 5 outlines the evaluation framework. The more detailed questions that will be assessed through the various building blocks are outlined in the Templates in Annex 5

Table 5. Evaluation Matrix

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
EQ1 How well has AfDB mainstreamed GG-CC in its interventions (including policies, strategies and operations)?						Relevance; Efficiency; Effectiveness
	EQ1.1 To what extent are the Bank's green growth-climate change (GG-CC) mainstreaming activities (policies, strategies and operations) clear, relevant and aligned with other strategies in the Bank?	<p>1. Clear: Review of high level policy/strategy documents related to GG-CC (i.e. TYS, CCAP, GGF). Does it have clear objective, targets, timelines for achievement etc? Question: Which AfDB processes and documents incorporate GG-CC objectives and/or targets? Are GG-CC objectives/targets absent from any key documents/processes? Questions: How are 'activities' defined (documents, capacity building, monitoring)? How are we measuring other activities?</p> <p>2. Relevant: Review of alignment of definitions, objectives and targets compared to other MDBs/donors. Question: Relevant to</p>	Interviews with AfDB staff at HQ	Assessment of the quality of AfDB's documented GG-CC approach and its alignment with the Bank's strategy.	<p>1. AfDB has clear GG-CC objectives and SMART targets.</p> <p>2. The GG-CC policies, definitions and targets set by AfDB are in-line with GG-CC policies, definitions and targets used by other MDBs/donors.</p> <p>3. AfDB policies, objectives and targets are consistently used across policy and guidance documents, with more recent documents reflecting the evolution of AfDB's approach across time.</p>	Relevance

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
		what?? 3. Aligned: Alignment between CCAP, GGF etc with TYS, 5P.				
	EQ1.2 Is AfDB delivering in alignment with its GG-CC strategy in terms of the composition of its projects and programmes?	PR: % of portfolio that has GG-CC mainstreamed, % autonomous (broken down by time periods, technology, location).	CCS: Interviews with country offices/project entities:	Analysis of changes ins # projects over time (time period 1 and 2) and differences in terms of technology/region.	1. The proportion of GG-CC projects (autonomous and component) as a part of AfDB's full portfolio of interventions has increased over time.	Effectiveness
Revise question?	EQ1.3 How effective and efficient are the Bank's GG-CC mainstreaming systems and processes for identifying, designing, supervising and learning from the project's it supports?	Results Framework metrics: number of staff trained in CC.	Interviews with HQ/regional/country offices			Efficiency; Effectiveness

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
<p>EQ2. To what extent are AfDB's GG-CC policies/strategies/ action plans and tools clear, relevant and reflect the norms and specific challenges of economies in African countries?</p>		<p>Review of other donors/banks GG-CC policies/definitions/targets.</p>	<p>Interviews with other project stakeholders in country and interviews with various Bank Fund Managers</p>	<p>Benchmarking of AfDB GG-CC objectives, targets and processes against other MDB/donor targets/strategies/processes.</p>	<p>1. AfDB definitions are in-line (or clearer/stronger) with other MDB/donor definitions. 2. AfDB objectives and targets are in-line (or clearer/stronger) with other MDB/donor targets. 3. AfDB systems and processes are in-line (or clearer/stronger) with other MDB/donor processes.</p>	<p>Efficiency; Effectiveness</p> <p>Relevance; Effectiveness; Sustainability</p>

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
	EQ2.1 To what extent do the GG-CC mainstreaming activities reflect the norms and challenges of economies in African countries and wider global agendas?	1. Overview of current geopolitical, socio-economic and environmental context (in 4 CCS). 2. Review of country development strategies (i.e. development strategy, relevant sectoral strategies, environmental and climate change strategies, NDCs). 3. Review of AfDB regional strategies and CSPs (for 4 CCS) and strategies etc.	Interviews with <u>regional offices</u> ; Interviews with <u>country governments</u>	Analysis of alignment between AfDB regional/country strategies and African regional/country strategies.	1. AfDB regional/country GG-CC strategies reflect African regional/country priorities and strategies.	Relevance and coherence
	EQ2.2 What GG-CC policies and strategies did the (case study) countries adopt and how effective and sustainable are they?	PR: Analysis of composition of country project portfolio per country/regional.	Interviews with <u>country offices</u>	CSSR: Analysis of composition of country project portfolio and how this aligns with country/regional priorities.	1. Composition of projects at the regional level align with key priorities/challenges at the regional level. 2. Composition of projects for five case study countries align with key priorities/challenges at the country level.	Effectiveness; Sustainability
	EQ2.3 How has AfDB supported countries' uptake in GG-CC related activities that contribute to an improved enabling environment?		Interviews with regional/country offices; Interviews with country government		1. AfDB support has contributed to the adoption of GG-CC policies and activities that improve the enabling environment.	Effectiveness

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
	(project support, sector support, policy dialogues, knowledge products)					
	EQ2.4 To what extent has the Bank been able to leverage support and mobilise the necessary resources to meet its GG-CC objectives at the country level?	Partly linked to EQ3.6 Review of CSPs on leveraging of government/other donor support and collaboration.	Interviews with <u>regional/country offices</u>	Analysis of allocation of resources by sector.		
EQ3. How well have AfDB-funded GG-CC projects performed?						Relevance; Efficiency; Effectiveness; Sustainability
	EQ3.1 To what extent are the Bank's supported GG-CC related project objectives and design relevant and aligned to the Bank's overall GG-CC goals?	Comparison of CSP objectives and targets with TYS/CCAP/GGF. PRA: Review of project documents (ARs, PCRs, PAD etc) to assess GG-CC objectives/targets and which AfDB policies/targets they are designed to align with. PRA: Comparison of objectives/targets against objectives/targets in the	CCS: Interviews with country offices/project entities	PRA: Review of project documents (ARs, PCRs, PAD etc) to assess GG-CC objectives/targets and which AfDB policies/targets they are designed to align with. PRA: Comparison of objectives/targets against objectives/targets in the Country Strategy Papers).	1. Project GG-CC objectives/targets reflect AfDB objectives/targets that were in place at the time of project design. 2. There are no obvious gaps in terms of AfDB objectives/targets relevant to the specific intervention.	Relevance

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
		CSPPs. PRA: Alignment of projects with global accords (i.e. NDCs, Paris Agreement, SDGs etc)				
	EQ3.2 How effective were the projects in achieving their expected GG-CC outcomes? Were there any unintended outcomes?	PRA: Review of project results. PCR score. Description of how GG-CC was integrated into project and expected/achieved GG-CC impacts. PR: % of completed GG-CC projects (autonomous/component) that scored A or B on their PCR compared to full AfDB portfolio (and breakdown by region/sector).	Interviews with country offices/project entities; Beneficiary interviews	Analysis of achievement of intended results. Beneficiary stories of change.	1. Projects achieved 90% or more of their intended GG-CC results. 2. Unintended outcomes have been used to improve project design and implementation going forward.	Effectiveness
	EQ3.3 How do outcomes vary between the types of projects (e.g. public vs. private) and what role do contextual factors play in preventing or enabling project success?	PRA: Results assessment from PCR. Description of project characteristics (i.e. country, implementer, technology type etc). PRA (LTS): Description of country context (government enabling environment, governance/corruption index, geographic aspects, such as coastal/land-locked, region etc).	Interviews with <u>regional offices</u>	Analysis of GG-CC portfolio characteristics by region and alignment with regional/country policies.	1. The selection of GG-CC interventions reflects country/regional challenges and priorities. 2. The success of completed projects reflects country characteristics (such as, ease of doing business, governance, stability).	Effectiveness

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
	EQ3.4 To what extent are the projects inclusive of women, youth and vulnerable groups?	PRA: Review of targetting of women/other vulnerable groups in project approach.	Interviews with <u>regional offices/project entities</u>	Analysis of disaggregated results and other reporting on gender/vulnerable groups.	1. Project benefits have been targeted to women or other vulnerable people. 2. Project beneficiaries include at least 50% women.	Effectiveness
	EQ3.5 What contribution have the projects made within the sectors of sustainable infrastructure (power and transport) and the efficient use of natural resources (agriculture and environment)?					Effectiveness
	EQ3.6 Are resources allocated to green growth used effectively and implemented in a timely manner by projects? What factors affect the efficiency of projects (e.g. cost and time overruns)?	PRA: Review of resource allocation and disbursement rates. Review of issues raised by projects related to financial allocation (to the project and use). Review of feedback on supervision PR: For completed projects: Disbursement rates as % of total budget. Project completion date compared to planned completion date (+/- months).	Interviews with <u>country offices</u> ; Interviews with <u>project entities</u> ; country offices		1. The majority (at least 50%) of GG-CC projects were implemented in a timely manner (completed within 3 months of planned implementation timetable). 2. The majority of GG-CC projects were implemented within 10% of their expected project budget.	Efficiency

Evaluation Questions		Secondary Data (Document/Literature Review)	Primary Data (Key Informant Interviews)	Analysis	Indicators	OECD-DAC Criteria
	EQ3.7 Are the conditions for project sustainability in place (exit strategy, appropriate funding mechanism, institutional arrangements, technical capacity, risk assessments)?	PRA: Review of <u>project documents</u> to assess what strategies the project used to achieve sustainability, in particular of GG-CC results.	Interviews with <u>country offices/project entities</u> ; Interviews with <u>beneficiaries</u> ;	Analysis of quality of approach to ensure sustainability of GG-CC results and evidence of sustainability of results on the ground.	<ol style="list-style-type: none"> 1. The project was designed with a clear focus on ensuring sustainability of results. 2. The project design included relevant sustainability conditions (such as an exit strategy, appropriate funding mechanism, institutional arrangements, technical capacity and risk assessments). 3. There is evidence that GG-CC impacts are continuing without continued AfDB support. 	Sustainability

* Note: The methods are described in detail in Section 4.

4 Methodology

4.1 Evaluation Approach

This sub-section first introduces the overall evaluation approach (conceptual framework), and then presents the evaluation matrix (including the evaluation questions), followed by the data collection and analysis work which will be conducted through six evaluation studies (“evaluation building blocks”). It ends by describing the approach to synthesising and validating the findings from the evaluation studies.

The overall evaluation design will be theory-based¹³, drawing from a range of methods and data sources. The evaluation will be guided by IDEV’s evaluation policy and the Evaluation Cooperation Group’s Big Book on Evaluation Good Practice Standards. The evaluation team will also draw from their extensive experience evaluating complex development interventions within the GG-CC sector in Africa for multi-lateral development banks like AfDB. Figure 5 presents our evaluation conceptual framework, starting with the bottom of the figure with the inception phase, the evaluation work (broken into six “building-block” studies) and finishing at the top with the synthesis and validation phase.

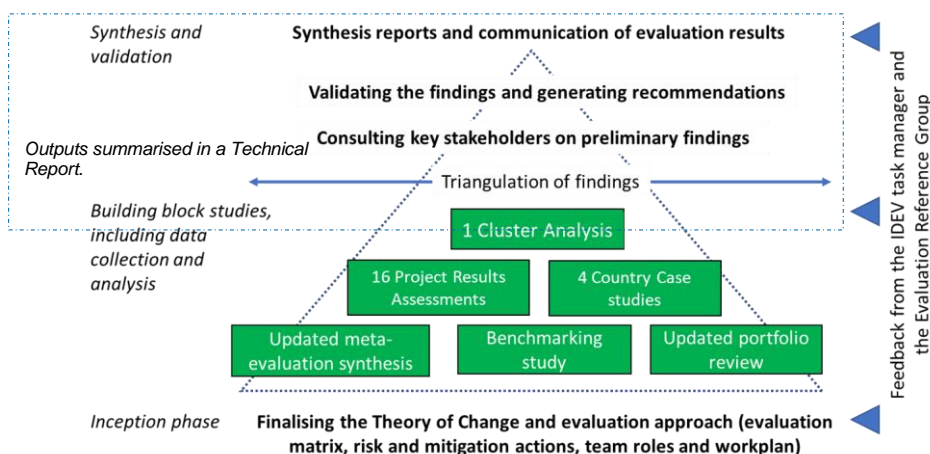


Figure 5. Evaluation Conceptual Framework¹⁴

Our evaluation will be based on six evaluation studies, forming the building blocks of our overall evaluation. Each study will be tightly linked, transferring and triangulating findings between each study. The evaluation team will begin by building on IDEV’s current meta-evaluation synthesis (of evaluations conducted within and outside of AfDB) and portfolio reviews. At the same time, the evaluation team will conduct a benchmarking study with which to assess AfDB’s overall policies and strategies. These three studies will then inform the selection and scope of our five country case studies, 20 PRAs and one sustainable infrastructure cluster evaluation.

The preliminary findings from the six-building block studies will then be shared with key stakeholders, where the findings will be cross-checked and validated in a collaborative way.

¹³Rogers, P. J., & Weiss, C. H. (2007). Theory-based evaluation: Reflections ten years on: Theory-based evaluation: Past, present, and future. *New directions for evaluation*, 2007(114), 63-81. Mayne, J. (2015). Useful theory of change models. *Canadian J Program Eval*, 2, 119-42

¹⁴ NB: The building blocks are sequential but there is not a hierarchy in terms of importance of results

During this process the Evaluation Team will generate lessons and recommendations. Our final phase will involve synthesising the results from the building-block studies into a two-volume report and communicating the findings to the wider stakeholders and community.

4.2 Methods

4.2.1 Sampling

As a response to the lack of a database on the status of projects related to GG-CC for the period 2008-2018, AfDB conducted an extensive analysis of its existing operations and projects in order to build this database. The approach was based on an analysis of information mainly from AfDB's SAP system, thorough reading of project documents (ex-ante evaluations, conceptual notes, completion reports, etc.) and a comparison with the pre-existing database of data covering the period 2015-2018 of the Department responsible for GG-CC (PECG). Identification through the SAP database revealed two types of projects: "stand-alone projects", defined as being directly relevant for GG-CC, and "component projects" that contain components with direct links to GG-CC. The assessment found that out of a total of 1570 Bank funded projects identified/analysed (excluding 125 projects for which no documentation was available), 873 are linked to GG-CC, including 199 component projects (i.e. 29.5% of total GG-CC projects) and 476 autonomous projects (i.e. 69.5%).

Given the size and diversity of AfDB's 873 GG-CC interventions and the limited scope of the evaluation (with only two weeks available for in-country meetings), a sample of countries and projects have been selected as the focus of the evaluation.

Five case study countries were selected based on the following criteria:

- Geographical representativeness (of regions of Africa: North, South, East, West, Central); and
- Availability of projects with good documentation representing as many characteristics of the portfolio as possible.

Based on these criteria, the following countries were selected: Senegal (West Africa); Rwanda (East Africa); Mozambique (South/Central Africa), Morocco (North Africa) and Cameroon (Central).

For each case study country, four projects were selected for more in-depth results assessment and review. The 20 projects were selected based on the same criteria as the countries, that is:

- Geographic representativeness (selected from within case study countries);
- Existence of documentation, namely project completion reports;
- Representativeness of types of projects (i.e. autonomous versus component);
- Sectoral coverage (natural resources: agriculture/environment and sustainable infrastructure: energy/transport); and
- Inclusion of some private operations.

4.2.2 Data Collection Methods

The data collection approach has not changed since the evaluation proposal, however the evaluation framework is based on a set of predefined sub-questions, which have been developed to ensure the information necessary to answer the EQs is captured. The document review questions and draft online survey and stakeholder interview questions are outlined in Annex 5. The Team Leader will have responsibility for coordinating data collection to support the evaluation. In each case study country, field data will be collected by international lead consultant and a national specialist.

Desk-based document review: The desk review began during the inception phase and included the collation and assessment of documents to be used in the evaluation. Throughout the evaluation policy and project documents will be organised in a shared filing system. Documents and project data shared by AfDB will be combined with other relevant sources of secondary data. The review will assess the available data and information available at central level which will highlight the

evidence upon which country case studies and project assessments can be based, and will clearly state the data gaps and resulting limitations.

During the data collection phase, the evaluation team will build on the initial document review conducted during the inception phase. The team will work closely with all relevant stakeholders to gather additional documentary information concerning AfDB's GG & CC project portfolio and selected projects and programmes. The document review will draw upon all project documentation made available to the team by AfDB and the project implementers. This will include:

- GG & CC programme and project documents provided by AfDB, including copies of previous evaluations, project documents (proposals, ToC and logframes, appraisal reports, annual reports, completion reports, M&E reporting), AfDB GG & CC portfolio file, AfDB Board decisions, etc.;
- AfDB regional and RMC's country strategies and policies; and
- Publicly available information on other MDBs and donor organisations and funding institutions' GG & CC mainstreaming tools, programmes and other work to inform the benchmarking study.

The evaluation team will also conduct a snowball search of relevant peer-reviewed and grey literature, which may include reviews of AfDB projects, similar projects, and impact assessments of other donor projects taking similar approaches.

Key informant interviews: Semi-structured interviews will be used to guide the interviews with key informants. The interview questions will include key questions but will also allow for the inclusion of additional thoughts provided by the interview partners and inspiration for innovative and improved ideas. Building on the evaluation questions from the ToR, the evaluation team will draft a preliminary set of semi structured interview questions: this is a list of questions and topics that need to be covered during the conversation, usually in a particular order. The evaluation team will follow the guide, but will also be able to follow topical trajectories in the conversation that may stray from the guide, when appropriate. The list of contacts provided by IDEV is outlined in Table 6.

Table 6. Stakeholder groups, key informants

Staff from the following AfDB departments/units (members of the reference group)
Financial sector development
Power, energy, climate and GG
Climate Change and Green Growth Department (PECG)
Agriculture & Agro-industry
Agricultural finance and agro-industry
Power systems development
Energy financial solutions, policy and regulation
Infrastructure and urban development
Strategy and operational policies
Delivery, performance management and results
Director general – Central, East, North & South
Staff from the following AfDB departments/units (members of the reference group)
Representatives of relevant funds
Sustainable Energy Fund for Africa
Global Agriculture and Food Security Program Trust Fund
Global Environmental Facility
Rural Water Supply & Sanitation
AfricaWater Facility Fund
Climate Investment Fund

Green Climate fund

Congo Basin Forest Fund

African Climate Change Fund

ClimDev Africa Special Fund

The Evaluation Team has discussed the stakeholder list with AfDB to make sure there are no gaps. The list provided matches the Evaluation Team's expectation of key stakeholders. In addition, the evaluation team will approach other stakeholders that may also be relevant. These include other government and public sector stakeholders in the region, including government ministries, organisations which fund or operate similar programmes (e.g. the World Bank, the United Nations REDD facility, the European Union, the United States Agency for International Development, international NGOs and other local NGOs and CSOs).

Focus group discussions: In some cases, individual interviews will be complemented and / or substituted by Focus Group Discussions (FGD), where it can be expected that the information gain is higher if the stakeholders are brought together and can discuss and react to each other's views. For example, focus groups will be used for AfDB department level interviews and when speaking with project beneficiaries during the country case studies. It is anticipated that at least two FGDs will be conducted per project site visited. Firstly, when relevant, male and female beneficiaries will be interviewed separately. Secondly, two to four FGDs add validity to the findings: patterns observed in the discussions of several groups are less likely to be due to unrepresentative views of the individuals concerned or to misinterpretation of contributions by our evaluation team.

During data collection for the country case studies, the Evaluation Team will ask for FGDs to be organised in ways which reflect the make-up and socioeconomic situation of the beneficiary community (i.e. including some female headed households, some older and some younger beneficiaries, minority ethnic groups). Appropriate participatory tools will be designed to collect data in relation to evaluation questions. FGDs will be run by team members who are highly skilled in rural facilitation and communication techniques. Similarly, representatives of national ministries and other institutions will be selected in a balanced manner so as to cover different types of stakeholders and interest groups. Probing, evidence checking and consensus building techniques will all be used for in-group triangulation of data.

Physical observation: In as far as it is possible, the evaluation team will also conduct physical observation of project activities and conduct individual interviews with key project committees, beneficiaries involved in GG-CC project activities and with other stakeholders who were not selected to be part of AfDB project interventions. Project site visits will be used to gather as much rich information about the projects' progress and factors which have enabled or constrained the changes they aimed to create. The field visits are meant to produce a deeper insight to find out more about the innovative and transformational nature of the project, the extent to which the project has created sustainability and what elements could be scalable. Interview protocols will guide semi-structured interviews and focus group discussions and supported by physical observations of project activities. Common protocols will help ensure consistency between the case study team and enable data analysis between cases.

Inclusion and ethics. All consultations will be conducted in line with appropriate professional and ethical standards. OECD-DAC quality standards and the UK Government Social Research Unit Professional Guidance for Ethical Assurance for Social Research will be followed. Before individuals providing information in relation to the evaluation, their informed consent is obtained. The evaluation will be inclusive of all relevant stakeholders, and any personal harm or unnecessary burden on respondents will be avoided. These standards also ensure full protection of AfDB's and respondents' data. To limit the risks of a data confidentiality breach, access to private information will be limited strictly to the evaluation team and staff who are trained in data protection methods. Ethical standards are integrated into the quality checklists for each output, particularly for methodology and approach.

Data Analysis Methods

Building Block 1: Benchmark Review



Activities: Review of AfDB GG-CC strategies, objectives and targets, including documents relating to AfDB's ten-year strategy, its GG framework, CC action plan, sector strategies, regional strategies and country strategies (for the five case study countries).

Output: The benchmarking review informs the evaluation framework and project results assessment and case study country review templates. Its results will also feed into the final evaluation report.

Timing: 29 July to 30 September 2019.

Objectives: The objective of the Benchmark review will be for us to assess the clarity of the concepts and assumptions underlying AfDB's policies, strategies and their usefulness. The main purpose of the benchmarking study is a comparison with other organizations to gain a comparative perspective for the assessment as well as insights on promising practices. This will include analysis of the extent to which GG-CC mainstreaming processes/practices/tools are relevant to change Bank context and needs; good practice standards and global agendas and the strategic objectives of the Ten-Year Strategy (TYS) and the DBDM. Our review will also aim to determine whether resource allocation mechanisms and the organisational business model for GG are appropriate. The evaluation team will also assess whether these measures create adequate incentives for managers and staff involved. The relevance and the respect of strategic objectives will also be evaluated.

Scope and sampling approach: The scope of the study will be focused on AfDB but will also include an assessment of wider contextual factors and compare AfDB to other similar multilateral/bilateral institutions.

Data sources and analysis: To understand AfDB's policies, strategies and operations on GG-CC our team will review AfDB documents and conduct key informant interviews and focus group discussions. The evaluators will aim to interview relevant AfDB staff, including management board members. To understand the barriers or enablers to behaviour change, the evaluation team will question AfDB's experts and other stakeholders about the way they perceive the purpose and objectives of GG-CC, activities and constraints of the institution, as well as the necessary changes within scope or objectives.

From an operational perspective, part of our assessment will involve understanding the detailed steps through which AfDB designs and implements its GG-CC work. Our analysis will be rooted in our deep understanding of the diverse African context and its role in affecting strategic options available to AfDB staff for GG-CC mainstreaming. As part of the assessment, the GG literature will be reviewed to understand when and under what conditions GG projects are successful in order to suggest alternative approaches to AfDB. The analysis will also compare AfDB's experience with other multilateral development Banks. The evaluation team experts are well placed to identify relevant trends and to assess the extent to which AfDB has integrated emerging issues into the design of its projects.

As per the ToR, the Benchmarking study will consider the strategies, policies and safeguards in place in other multilateral development banks in order to assess the clarity of concepts and assumptions underlying AfDB's policies, strategies and their usefulness.

The analysis will focus several key criteria: organisation of the GG-CC initiatives and focus within the institutions. The accuracy of the policies and strategies for these priorities will be considered,

and assessments made on the clarity and nature of concepts described (e.g. do they all mention GG alongside their CC strategy, how are environment and CC associated, etc.). The relevance of these policies, their strategic objectives, the assumptions made, and the contextualisation of the challenges posed by GG-CC aspirations in their regions and countries will also be studied.

The benchmarking analysis will also look at the operational level, in two ways: it will consider how the policies for interventions mitigating CC and generating GG are translated into projects and interventions, looking at the design, implementation and M&E systems levels.

A key focus of this study will be on the environmental and CC safeguards and procedures set-up by the other institutions and how these compare with the processes in place at the African Development Bank. Aspects such as the organisation of safeguards policies (i.e. one stand-alone safeguards policy, or safeguards by sectors), their scope - if they apply uniformly to all financial instruments (to public and private sector operations indifferently), if and how they apply to bank borrowers, and the processes created – for example an environmental impact assessment prior to a project's funding decision, will all be considered.

To the extent possible, the results obtained, both through specific GG-CC-focused projects, as well as through the implementation of environmental safeguards in their respective portfolios, will be considered as well. The analysis will follow the template found in Annex 5.

Some preliminary remarks emerge from the ongoing work on the benchmarking study, focused on other multilateral development banks, and remain to be confirmed in the finalised assessment:

- CC is identified as a key priority, and specific long-term strategies or policies exist. However, GG appears as a much more confidential topic, with no such large-scale policies or strategies in place.
- Most multilateral banks have a distinct team focusing on CC interventions, sometimes associated with disaster reduction. These teams are separated from those dealing with key sectors when considering CC: energy, transports, infrastructures, which often have their specific teams.
- Most but not all multilateral banks appear to have operation level guidelines to ensure the dissemination of the high-level policies and strategies into the operational level such as the design, implementation and monitoring of the interventions they fund.
- All multilateral banks have environmental safeguards in place. In most cases a general document is applicable AfDB's portfolio while few have opted for sector specific environment safeguards and standards.
- All multilateral banks use a scale to assess this level of environmental risk and potential impact of their interventions. However, the level of risk, environmental impact and responses (processes, assessments, etc.) vary.
- Many but not all multilateral banks make a strong case at the policy and strategy level for the importance of CC adaptation and resilience.

Building Block 2: Meta-Evaluation Synthesis



Activities: The meta-analysis synthesises results from previous AfDB evaluation, which are complemented by a rapid review of a selection of relevant multilateral and bilateral banks and donors.

Output: The meta-analysis synthesis informs the evaluation design and will feed into the final evaluation report.

Timing: 23 September to 18 October 2019.

The meta-analysis will be based on IDEV's already completed evaluations. An initial review of objectives, targets, progress and learnings was used during the inception phase to refine the ToC, EQs, evaluation framework and evaluation tools. Additional review and synthesis will be

undertaken during the evaluation implementation phase to build on this initial analysis to develop findings and recommendations that will feed into the Two Volume Final Evaluation Report.

Purpose and Objectives: The meta-evaluation synthesis provides lessons on effectiveness of GG-CC interventions that AfDB could use to improve its design and implementation of AfDB related interventions. Initial evaluation synthesis was also used to inform the development of the ToC, refinement of evaluation questions and methods design for the other building-block studies.

Scope and data sources: The synthesis covers the period 2008-2018 and is based on (i) existing evaluations inside and outside AfDB, (ii) other relevant existing international studies and (iii) interviews with key stakeholders conducted as part of the other evaluation building-blocks described below.

Method: The meta-evaluation synthesis draws on useful, policy-relevant findings from large heterogeneous data sources including documents mentioned in the ToRs such as the evaluation of the Congo Basin Forest Fund, and the joint AfDB-Global GG Institute (GGGI) study on “The State, Readiness and Trends of GG in the context of NDC. A range of synthesis methods will be considered, but it is likely that a theory-based Realist Synthesis approach will be primarily used. Realist synthesis is particularly relevant as it seeks to ‘unpack the mechanism’ of how complex processes work (or why they fail) in particular contexts and settings. It has an explanatory rather than judgmental focus, focused on supporting evidence-based learning. The Evaluation Team will use this method to first summarise the raw data. The evaluation team will then take statements from the summarised data that provide evidence or support for the presence of the outputs, outcomes and impacts that the Evaluation Team are testing. Finally, the evaluation team will go back to the data to identify evidence for the mechanism linking outputs to outcomes to impacts, to enable us to build the case for causality. The evaluators will also identify codes and mechanisms related to AfDBs institutional processes since it is expected that a number of the evaluations to be synthesised will focus on these matters. For example, evaluations of the Development and Business Delivery Model, the Integrated Safeguard System and the Self-Evaluation Systems and Process.

The results from the meta-evaluation synthesis of AfDB evaluation documents will be complemented by a rapid literature review of a selection of relevant international GG-CC interventions outside of AfDB.

The evaluation team will use a clearly agreed coding system to ensure that findings are analysed according to different types of interventions and institutional processes, mechanisms of change (e.g. behaviour change), outcomes (including outputs and impacts), contexts and types of target groups. This will improve the external validity of the lessons and findings and the ability to use these for designing and planning AfDB’s future interventions. A further advantage of the realist approach is that it is methods neutral, meaning it can synthesise both qualitative and quantitative-based evaluations. An important part of the synthesis will be the inclusion of key stakeholders on the preliminary findings and validation of the findings.

Building Block 3: Project Results Assessments



Activities: The project results assessment will be completed for 20 projects (4 projects in each case study country).

Output: 20 completed project results assessments, which will feed into the country case studies

Timing: 9 August 2019 to 27 April 2020.

Objectives: The primary objective for the project results assessment (PRA) will be producing viable evidence on the development results, project performance and critical internal or external drivers of success of the selected projects. This will be synthesised with the other building blocks

to generate findings on the portfolio relevance, effectiveness and sustainability and lessons or recommendations to inform the improvement of the portfolio level strategy.

Scope and sampling: The team will select 20 projects in total for results assessments. The selection of these projects will be determined by a purposeful-stratified-sampling approach based on the portfolio review above. The objective will be to include a broad coverage of project sectoral focuses, financing mechanisms, total values, countries under the five geographical regions, and project types (standalone or component) to provide a representative sample. The evaluation team will also be purposive in the sampling, selecting those projects which demonstrate the most data availability, or potential for data availability, to ensure our resources are used efficiently and to provide the greatest opportunity for comprehensive findings.

Data sources: The data sources for the PRAs will be based primarily on project related documents (including for example project completion reports and notes, project performance evaluation reports). The evaluation team will also conduct phone interviews with programme specialists in AfDB along with selected interviews with project staff located in our country case studies (described below).

Analysis method: The first step in conducting the PRAs will be the selection of assessment criteria based on score cards. These criteria will be driven by the ToC to ensure the most relevant interventions and outcome results are identified, and from these the key causal mechanisms will be selected. To maximise synthesis potential for the PRAs, harmonised criteria will be used wherever possible although it is anticipated that disaggregation by key project features may be required. The criteria will be discussed with relevant project stakeholders prior to conducting the analysis, to ensure they are recognisable and appropriate. PRAs use an individual assessment of 20 projects (Annex 5), which will be synthesised using evaluation scorecards. The criteria for assessing the quality of the relevance, efficiency, effectiveness and sustainability of AfDB's GG-CC portfolio are defined in the scorecards provided in Annex 5.

Using a ToC analysis means starting out with a theory of the causal relationships between project results, programme's outputs, and checking that the theory is valid against the evidence. As part of this analysis, the evaluation team will seek evidence for changes at all relevant different points along the ToC.

The evaluation team will code the evidence and categorize it according to whether it supports or undermines a causal pathway or assumption of the ToC: indicators for outputs, a narrative of change, evidence of the factors that have / will affect that change; the assumptions regarding the effect of those factors in terms of their scope to support or constrain the achievement of the mapped outcomes.

This analysis has been used to inform the EQs and will be used to support the triangulation and validation of key findings developed from this evaluation. The synthesis methods will rely heavily on a Realist approach where the Evaluation Team will outline how and why and in which context was AfDB able to produce strong results and mainstream GG-CC policies. Key issues will also be raised during data collection for project results assessment (PRAs) and country case studies.

Building Block 4: Portfolio Review



IDEV is undertaking a complementary portfolio review of the 873 GG-CC interventions, which will feed into the evaluation analysis and findings. |

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Building Block 5: Country Case Studies



Activities: Five country case studies in Cameroon, Morocco, Mozambique, Rwanda and Senegal will be undertaken. The case studies will include more detailed review of country strategy papers, relevant project results assessments, phone/skype interviews, visits with relevant stakeholders, including AfDB country staff, country government representatives, project entities. The four country case studies and 20 project results assessments will then be synthesised.

Output: A Country Case Studies Synthesis Report, with five individual country case studies and 20 PRAs annexed.

Timing: In-country activities will be undertaken between 9 September and 5 October 2019 (Morocco, Mozambique, Rwanda, Senegal) and between 9 and 17 March 2020 (Cameroon), with the first version of Country Case Studies Synthesis Report due 1 November 2019. The second draft of the Country Case Study Synthesis report (including five country case studies) is due 27 April 2020 and the final version on 6 May 2020.

Objectives: The objective of the country case studies is (i) to understand the relevance of AfDB's strategy and approach to addressing GG-CC issues in Regional Member Countries. The country case studies will also aim (ii) to improve understanding about which external factors affect the success or failure of AfDB's interventions across different African contexts. Contextual factors will therefore inform the analysis on how the results of the projects and investments may have been influenced by policy and political dialogue, management systems and/or partnerships and effective coordination with relevant stakeholders. Also, it will aim (iii) to understand the interrelationships between AfDB's interventions in driving GG-CC success at the country-level and the sustainability of AfDB's interventions.

Scope and sampling approach: The evaluation team will be guided by IDEV during the inception phase on selection of country case studies. The team has identified local country experts to cover five of the RMCs listed in the ToRs, namely: Cameroon, Morocco, Rwanda, Mozambique and Senegal.

Data sources: The country case studies on GG-CC mainstreaming will evaluators will review AfDB's knowledge products, including non-lending technical assistance, sector dialogue, economic and sector analyses, advisory services, as well as policy dialogue in support of GG-CC interventions. The case studies process will include: (i) semi-structured interviews with stakeholders including executing agencies, Bank's field office, development partners involved in GG-CC, relevant private sector institutions and CSOs, where possible. (ii) Site visits to investigate selected completed and ongoing projects, and (iii) interviews with direct beneficiaries, where possible.

Analysis method: The evaluation will highlighted lessons learned related to GG-CC mainstreaming by (i) investigating how AfDB's activities are implemented in line with the countries' priorities and AfDB's policy framework; (ii) assessing how well AfDB mainstreamed GG-CC in its interventions (including strategies and operations) at country level and produced desired outcomes, (iii) assessing the use of different instruments including a review of the synergies between lending and non-lending activities, (iv) assessing the CSPs of the selected countries to determine the extent to which mainstreaming is discussed at a strategic level, and finally, (v) assessing the appropriateness of the project design at approval, particularly the extent to which AfDB has integrated emerging GG-CC approaches into the design of its projects.

The team recognises that evaluating the impact of the GG-CC objectives at the Country-level will raise additional challenges. The evaluation team will seek to (i) determine the extent of change; (ii) establish a link between reports and observed change; and (iii) discount or account for rival hypotheses or alternative feasible explanations that could explain the observed change.

Building Block 6: Sustainable Infrastructure Cluster Evaluation



Activities: The results from the meta-analysis, country case studies and relevant energy and transport PRAs will be analysed to understand how well AfDB’s sustainable infrastructure interventions have performed.

Output: A Sustainable Infrastructure Cluster Evaluation and analysis and data collection support for completion of the national resource cluster evaluation.¹⁵

Timing: The Cluster Evaluation will be undertaken once the PRAs and individual case studies are completed. The first version Cluster Evaluation Report will be submitted to IDEV on 15 November 2019, and the final version (incorporating findings from all five country case studies and all relevant PRAs) is due 1 May 2020.

Objectives: As mentioned in the ToR the first objective of the project cluster evaluations (PCEs) will be to measure the results from the PRAs within two specific clusters (Sustainable Infrastructure and Efficient use of Natural Resources) against the OECD criteria of relevance, effectiveness, sustainability and efficiency. The second objective is to analyse the specific performance of the project management systems used by AfDB’s supported projects. Criteria will include design quality, partnership, and results-based management effect. The third objective is to learn lessons to improve AfDB’s future interventions in the various sectors related to GG-CC.

The Data and Trend analysis serves two purposes:

- a) Firstly, it enables the assessment to capture progress over the evaluation period, where possible disaggregated to identify and contrast performance by region and sub-sector.
- b) It also enables an analysis of AfDB’s performance measurement and results reporting to be undertaken, conclusions to be reached, and if appropriate recommendations prepared.

Scope and sampling: The evaluation team’s Cluster Review will focus on **Sustainable Infrastructure (Energy and Transport)**. The evaluation team will also collect data for the Natural Resources Cluster Review will be conducted by IDEV. These analyses provide and an opportunity for a deep dive into two of AfDB’s largest and growing sectors, through a GG-CC lens.

The methodology will include four stages:

Stage	Activity	Observations
1	Literature Review	This will cover AfDB’s sector policies, strategies, implementation plans and guidance notes, together with a selection of project completion reports.
2	Interviews with Bank and external stakeholders	These include Managers in Headquarters and Regional Offices, Task Managers, and external stakeholders (achieved during the country visits)
3	Data and trend analysis	This will quantify performance trends with respect to GG, and to the extent practical, contribution to CC objectives (especially regarding emissions and resilience)

¹⁵ Note that LTS has agreed to provide the analysis and data support for the natural resource cluster evaluation, but IDEV has agreed to support on drafting the final report for this building block given the budget reductions/resource constraints.

4	Report preparation	Results will be presented for the two sub-sectors analysed (Energy and Transport) and synthesised to draw overall sustainable infrastructure conclusions.
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The cluster analysis will be broken down by sub-sector and mode for energy and transport respectively. For energy the key divisions are between sustainable energy (solar, wind, geothermal) and fossil fuel. For transport it will be divided into roads (highways and secondary), rail, ports and airports. The Literature review will draw on the very recent IDEV report "Evaluation of AfDB's Support to the Energy Sector (1999 to 2018)", which provides an excellent starting point. This includes a comprehensive and quantified assessment of the migration of the energy portfolio towards renewable energy.

In the transport sector an evaluation report is also available "Transport in Africa, The African Development Bank's Interventions and Results for the Last Decade, published in December 2014. It is pertinent to note that this report focuses its findings with respect to achievements in terms of:

- Contribution to mobility and accessibility;
- Contribution to regional integration; and
- Promoting public private partnerships.

It covers sustaining results in terms of:

- Maintaining assets
- Supporting regional member country systems and
- Protecting infrastructure assets.

These are all extremely relevant in terms of contributing to AfDB's High Fives, but it is noticeable how priorities have evolved in recent years in terms of the GG-CC agenda. The cluster analysis will use the literature review as an opportunity to identify a sub-set of questions (tied into the overall evaluation matrix) that will guide the semi-structured interviews undertaken with Bank staff and with external stakeholders.

Box 2: Promoting GG in Transport Projects

Whilst transport investment is inherently important given poor regional and national connectivity in many parts of the continent, initial evidence suggests that despite the assertions of the GG Framework, the response to GG-CC may not have generally incorporate major investment switches to sustainable transport.

A preliminary review of project approvals indicates that the dominance of road transport investment by AfDB appears to have actually increased in recent years. There may be several contributory factors:

- AfDB has a comparative advantage in major highway projects and with rapid vehicle growth, the demand for improved roads by Regional member States (RMS) remains high;
- The Chinese Government is funding port and rail projects across the Continent under its Belt and Road Initiative. It may be that this financing, although largely tied from a procurement perspective, is attractive to borrowers;
- Road transport investment, although not especially green, may reduce congestion and reduce Vehicle Operating Costs (VoCs). Furthermore, even rural roads, once upgraded to all weather roads, can enhance connectivity, and contribute to one or more of the High Fives.

The Sustainable Infrastructure Cluster Analysis will explore the practical application of the GG Agenda for the transport sector, triangulated through in the Country Case Studies and (to the extent possible) the PRA assessment.

The building-block studies will produce preliminary findings which will need to be validated through triangulation and consultation with key stakeholders. The below sub-sections briefly describe the three key steps that will be taken to verify and synthesise the findings, and finally to provide useful and actionable lessons and recommendations.

Evaluation Team Synthesis Workshop



Activities: The Evaluation Team will meet in Edinburgh for a team reflection and synthesis workshop. This workshop will ensure the various building blocks of the evaluation will be appropriately integrated and will enable the team to develop preliminary findings and recommendations, which will be discussed and validated with IDEV and the ERG through a subsequent stakeholder validation workshop.

Output: Preliminary findings and recommendations developed.

Timing: 7 November 2019.

Drawing from the building-block studies, this phase of the evaluation will draw analysis together to formulate findings for each evaluation question. Each of the evaluation team members will produce a detailed report of evidence available from their evaluation building-block studies in line with the relevant evaluation questions. During team Skype meetings (and synthesis/triangulation meeting to be held in Edinburgh prior to the stakeholder synthesis workshop) the evaluation team will bring those pieces of evidence together, to test the quality of each piece of evidence and to look for corroborating or conflicting evidence from other data collection exercises. This analytical process will ensure that each finding is supported by appropriate evidence and that, where relevant, limitations or contradictory evidence is appropriately presented. The Team Leader will review these preliminary findings to ensure that where evidence is not available findings are reformulated or the relevant evidence is referenced appropriately.

Evaluation findings under each question will be summarised in a headline conclusion. A conclusion will be formulated for each evaluation question. The links between findings and conclusions will be quality assured for logic and consistency.

Evaluation Consultation and Validation of Preliminary Findings and Recommendations



Activities: A stakeholder validation workshop with IDEV and the ERG

Output: The Evaluation Team will present the preliminary findings and recommendations and work with the ERG to ensure findings are valid and recommendations are evidence-based, targeted and feasible.

Timing: w/c 9 December 2019.

Throughout the evaluation process the team will consult the Evaluation Reference Group and other stakeholders for feedback and verification of the preliminary findings. The evaluation team members are committed to a strong stakeholder engagement strategy in line with utilisation-focussed evaluation principles. The evaluation team will blend the need for a credible, independent evaluative approach with participatory learning process that is iterative, so building ownership of the learning and subsequent actions as the evaluation proceeds. During the inception phase the Evaluation Team will seek advice from IDEV and the Evaluation Group to ensure that the widest and most important range of stakeholders are included in this consultation process. The Evaluation Team will also develop clear two-way communication channels to gain feedback on preliminary findings. The Evaluation Team propose providing regular monthly updates to the IDEV Task Manager and Evaluation Reference Group. The Team Leader and Evaluation Manager will also be available for routine calls to discuss preliminary findings and any arising issues.

A workshop will be organised in Abidjan with key AfDB stakeholders to discuss the preliminary findings after completion of the building block-studies and prior to writing the final two-volume synthesis report (discussed below). During the workshop the Evaluation Team will

present the preliminary findings along with the respective sources of evidence and the methods used. This will provide an important opportunity for the key AfDB stakeholders to verify the findings, suggest further analysis and verification work and to provide important insights into how to interpret the findings. The workshop will also provide the opportunity to develop preliminary conclusions and recommendations.

Two Volume Evaluation Report



Activities: The final evaluation report will be developed based on the building blocks and stakeholder validation and comments undertaken throughout the evaluation, including IDEV comments on previous building blocks.

Output: A Two Volume Final Evaluation Report. Volume I will provide a 25-page synthesis report, including evidence-based findings and recommendations for review by AfDB's Board of Directors. Volume II will include the full set of evaluation building blocks, meeting minutes etc. and will show how the findings and recommendations were developed.

Timing: First draft due 31 December. Second draft due 13 May and following incorporation of feedback from IDEV and the ERG, the Final Evaluation Report will be submitted on 29 May 2020.

The evaluation team will produce a two-volume evaluation report which will include a Synthesis Report of no longer than 25-pages (Volume 1) and a detailed report based on all the building block reports (Volume 2). The second volume will include all the final Building Block studies as well as any other annexes required by AfDB such as the final evaluation matrix and data collection tools.

4.2.3 Synthesis and Triangulation

Triangulation involves using multiple data sources in an investigation to produce understanding and is used to validate a finding or theory/hypothesis developed in relation to an evaluation question. In cases where information has already been independently verified (e.g. emissions reductions certified through a voluntary carbon standard) the Evaluation Team will not be required to triangulate the findings. However, much of the evaluation will focus on the causal inferences that resulted in the quantified outcomes (e.g. hectares under protection or number of beneficiaries) and triangulation will allow the evaluators to cross-validate findings.

As per the ToR, at least three sources of information will be used to triangulate all findings. Where this is not possible, limitations in the strength of evidence will be noted. All recommendations will be clearly linked to conclusions (and each conclusion, in turn, will be based on evaluation findings), and recommendations will only be made where there is strong supporting evidence.

The building-block studies will produce preliminary findings which will need to be validated through triangulation and consultation with key stakeholders. The below sub-sections describe the three key steps that will be taken to verify and synthesise the findings, and finally to provide useful and actionable lessons and recommendations.

Validating the preliminary findings and identifying evaluation recommendations: team meeting in Edinburgh. A team triangulation and synthesis meeting will be held in Edinburgh in the second half of October 2019. Drawing from the building-block studies, this phase of the evaluation will draw analysis together to formulate findings for each evaluation question. Each of the evaluation team members will produce a detailed report of evidence available from their evaluation building-block studies in line with the relevant evaluation questions. During team meeting (and subsequent Skype meetings) the Evaluation Team will bring those pieces of evidence together, to test the quality of each piece of evidence and to look for corroborating or conflicting evidence from other data collection exercises. This analytical process ensures that each finding is supported by appropriate evidence and that, where relevant, limitations or contradictory evidence is appropriately presented. The Team Leader will review these preliminary findings to ensure that

where evidence is not available findings are reformulated or the relevant evidence is referenced appropriately.

Evaluation findings under each question will be summarised in a headline conclusion. A conclusion will be formulated for each evaluation question. The links between findings and conclusions will be quality assured for logic and consistency.

Consulting key stakeholders on the preliminary evaluation findings. Throughout the evaluation process the Evaluation Reference Group and other stakeholders will be consulted for feedback and verification of the preliminary findings. The need for a credible, independent evaluative approach will be blended with a participatory learning process that is iterative, so building ownership of the learning and subsequent actions as the evaluation proceeds. During the inception phase IDEV and the Evaluation Group will be consulted to ensure that the widest and most important range of stakeholders are included in this consultation process. Clear two-way communication channels will be developed to gain feedback on preliminary findings. The Team Leader and Evaluation Manager will be available for routine calls to discuss preliminary findings and any arising issues.

A workshop will be organised in Abidjan with key AfDB stakeholders to discuss the preliminary findings after completion of the building block-studies and prior to writing the final two-volume synthesis report. During the workshop the preliminary findings will be presented along with the respective sources of evidence and the methods used. This will provide an important opportunity for the key AfDB stakeholders to verify the findings, suggest further analysis and verification work and to provide important insights into how to interpret the findings. The workshop will also provide the opportunity to develop preliminary conclusions and recommendations.

4.3 Evaluation Deliverables

In addition to the present Inception Report, the products of this evaluation will consist of the following separate deliverables:

- **Country Case Studies report.** A synthesis report on the five country case studies (including in annex the five country case study reports) and in-depth evaluation of the project results (the findings of the 20 project results assessments). The 20 projects to be assessed are selected from the five case study countries.
- **Project Cluster Evaluation Report:** This is the thematic evaluation on the sustainable infrastructure (energy and transport). The results from the meta-analysis, country case studies and relevant energy and transport PRAs will inform the Cluster Evaluation.
- **Technical report:** This is the first draft of Volume II Final Report.
- **Two Volume Evaluation Report (Synthesis Report):** A Two-Volume synthesis of all intermediate reports (the **country case studies** and the country case study synthesis; the **sustainable infrastructure cluster report**, the **natural resource management cluster report**, the **meta-evaluation synthesis** (a quick review of relevant and accessible evaluative evidence on GG-CC) and the **benchmarking analysis** (a comparative analysis report including a review of policies/strategies/analytical frameworks/action plans of five multilateral development Banks); the **portfolio analysis** (prepared by IDEV) will be produced in two volumes: Volume I is the summary synthesis report on the evaluation of AfDB's assistance to GG-CC, 2008-2018 (maximum 25 pages without annexes), and Volume II will be a detailed report based on all constituent parts and including all relevant annexes such as the evaluation matrix, data collection tools, images, meeting reports, databases, etc.

In addition, all relevant data sets, background documents and reports including Projects Results Assessment summaries, field note summaries and pictures will be submitted to AfDB to support the in-house preparation of a Cluster Evaluation Report on efficient use of natural resources (Agriculture and Environment).

Due to the short timeframe between evaluation building block Case Studies and Cluster Evaluation Reports and the full Draft Technical Report (the first draft of Volume II of the Final Evaluation Report), IDEV comments will be integrated into the final versions of these reports, which will form part of the Volume II Evaluation Report.

4.4 Limitations

This section reviews the potential limitations facing the evaluation, including an in-depth discussion of the limitations of the individual evaluation methods used.

4.4.1 Quality of Data

AfDB IDEV team has been very prompt and supportive when it comes to sharing relevant strategy and project documents, which were shared at the commencement of the inception phase. It is clear that AfDB is willing to share all documentation with the Evaluation Team. Nevertheless, some gaps were identified by the Evaluation Team during the inception phase, which will be shared separately by IDEV. It is expected that most documents will be made available, nevertheless, some data limitations may remain due to inconsistencies in reporting across departments and projects and challenges with processing data from such a large portfolio of projects with the limited time and resources available for the evaluation. In addition, the evaluation team cannot assure all data to source. Field visits will make some spot checks and verification of project results, to assess the accuracy of the fund results reporting. However, despite this, there may be still be inaccuracies in the data reported by project implementers.

4.4.2 Representativeness of Sample

AfDB's GG-CC portfolio consists of more than 850 projects. GG-CC evaluation will review across portfolio based on IDEV portfolio review and in more depth 20 PRAs and five CCS. A purposive sampling approach has been designed, but case study findings are not necessarily generalisable to the rest of the portfolio. This has been mitigated by the use of a portfolio analysis to provide a general overview of performance.

4.4.3 Limitations Related to the Timing and Scope of the Evaluation

During the inception phase, the importance of maintaining the evaluation timelines has been stressed as of paramount importance to the performance of the evaluation. This, combined with a reduction in budget, has resulted in some rescoping of the evaluation building blocks, which has reduced both the depth and breadth of analysis possible as part of this evaluation.

In addition, the evaluation timelines require a rapid evaluation approach. Some limitations of this approach include the following:

- **Inception period:** The inception period is particularly rapid for an evaluation of this level of complexity. The Evaluation Team would usually recommend a one-month inception period for an evaluation of this nature. As a result, it has only been possible to review a sample of the 2,500+ documents provided during the inception period. As a result, new information may become apparent during the coming weeks that will require adjustments to the evaluations tools, templates and questions.
- **General evaluation timelines:** The evaluation consists of a number of building blocks which build on each other and are therefore contingent on the results of the previous output (for example, the country case studies build on the project results analysis of four projects in each country, while the cluster analysis draws findings from across both these outputs). Due to the rapid evaluation approach, there is very little time available for team reflection between these consecutive activities. In addition, the Evaluation Team will have to carefully manage the evaluation timelines, as any slippage between activities will impact on subsequent activities.

4.4.4 Availability of Evaluation Stakeholders

The Evaluation Reference Group (ERG), which consists of a cross-section of AfDB staff representing the relevant departments and sectors, has been established during the inception

phase. The ERG met with the Evaluation Team during the inception mission and shared their expectations and priorities for the evaluation, suggesting a high level of engagement and interest in the evaluation. Nevertheless, given the tight evaluation timelines and interdependencies between evaluation building blocks and deliverables, there is a risk that if ERG members are not available to respond in the planned two week commenting periods, in particular to the inception report, their comments would not be received in time to influence the design of the evaluation.

The areas that will particularly require more detailed engagement over the coming weeks include:

- Comments on the evaluation matrix (the revised EQs and approach)
- Comments on the proposed Theory of Change (ToC) and its underlying assumptions.

4.4.5 Expectations of Stakeholders and the Scope of the Evaluation

During the inception mission, it became clear that the audience for the evaluation is broad with often competing interests in the results (for example, whether the focus should be on GG or CC, whether the focus should be on policy or results). The Evaluation Team has considered these competing needs in designing the evaluation approach. Nevertheless, the evaluation is necessarily limited due to the tight delivery timeframe (see Section 5, Workplan and next steps) and the evaluation scope, as outlined in the ToR. As such, it may not be possible to fully address all areas of interests of these stakeholders.

4.4.6 Limitations of the Evaluation Methods

Any research method involves necessary trade-offs. Specific weaknesses of the proposed methods include the following:

- **Literature/document review:** Relies on secondary data and may not be applicable to specific interventions/projects. Additional challenges exist given differences in reporting across projects and that some documents may not be available for review.
- **ToC analysis:** The ToC was developed separately by the evaluators and given the evaluation timelines and availability of the ERG it has not been validated with stakeholders. Given that it has been developed at AfDB rather than sector or individual project level, it also does not capture the complexity of the GG-CC portfolio. There is a need for the ERG to comment on the ToC, in particular the underlying assumptions, to enable further development and refinement of the ToC underlying the evaluation. In addition, the evidence base for the assumptions is potentially weak and findings may be constrained by data availability.
- **Portfolio analysis:** IDEV have agreed to undertake the portfolio analysis itself. Although this will provide useful data to the evaluation, there is a risk that the approach will now be lighter touch than originally planned (focusing only on project characteristics, without ability to analyse more nuanced characteristics of the interventions).
- **Project results assessments / scorecards / synthesis analysis:** These approaches improve transparency but are data dependent and have a bias towards what is easy to measure and document. They look at aggregate results and enable analysis of large data sets. This generalised approach means that the nuance of outcomes/results can become lost and the analysis may not fully capture or explain the reasons for outcomes/results. Additionally, potential challenges exist in applying these methods with heterogeneity of projects that do not lend themselves to being compared. In addition, the scorecard definitions are largely driven by the Evaluation Team. These methods have the potential to over-generalise results.
- **Gender and vulnerability assessment:** Based on document review for the PRAs and small-scale validation in the field. The analysis is limited by differences in reporting across the portfolio of interventions.

Nevertheless, the inherent weakness of any one method can be potentially offset by situating them within a broader, pluralistic mixed methods approach, such as the one applied here. The evaluation will therefore integrate a number of different methods, using the nuanced data from the case studies to triangulate, validate and allow a strong interpretation of the results to generate AfDB-wide findings and recommendations.

4.4.7 Tendency for Positive Bias

The sampling approach is purposive (that is, focused on ensuring specific characteristics under investigation are represented within the sample), systematic in terms of selection, and thoroughly documented (Section 4). The selection criteria include projects with strong documentation (such as Project Completion Reports), interesting lessons and visible results. As such, it favours the more successful projects in the portfolio and there is a risk that lessons from less successful projects will be overlooked. Interviews will be guided by a questioning structure and protocol that determines how the interview should be conducted, specific questions to ask and ways in which the response is recorded (refer to Annex 5). Despite the clear protocols for selecting key informants and conducting and recording their responses, there remains a risk of sampling bias despite efforts made by the review to ensure impartiality.

5 Management, Engagement and Quality Assurance

5.1 The Evaluation Organisation

The Terms of Reference (ToR) for the independent evaluation of AfDB's support to GG-CC specifies that the evaluation will be supported by:

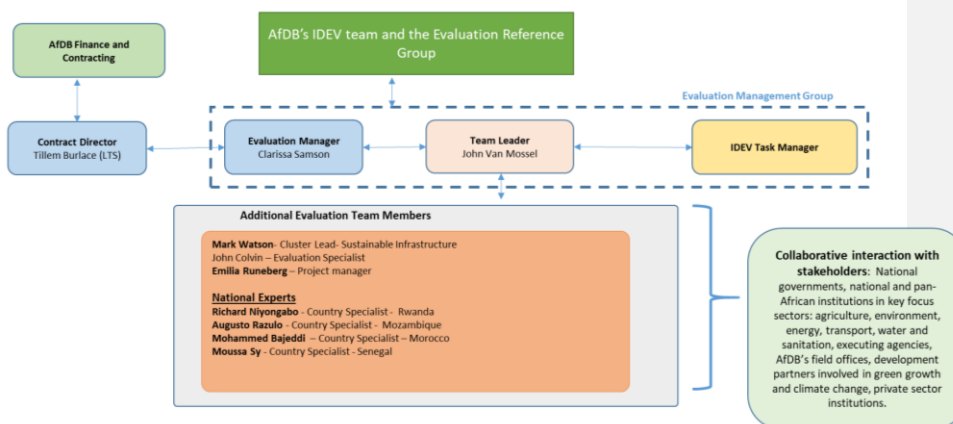
- The IDEV Task Manager;
- The Evaluation Reference Group (ERG); and
- Two external peer reviewers.

In addition, the evaluation will be supported by the Evaluation Management Group, which includes the IDEV Task Manager.

The role of the IDEV Task Manager is not limited to support the evaluation but also to ensure the quality of the products. The IDEV Task Manager will be responsible for: (i) providing overall guidance to the consultant, and approval of the evaluation process and outputs (inception report; background reports, draft and final evaluation reports); (ii) quality assurance process including the external peer review of the key evaluation products, and receiving comments from the Evaluation Reference Group (ERG); (iii) recruiting of the consultant (iv) briefing the consultant; (v) establishing the ERG; (vi) receiving from the consultant all data, files (including raw data, coded data, interview notes, databases) that will be produced; (vii) preparation of the evaluation approach paper/ToRs and Portfolio review (viii) communicating to the Bank's Management and Board of Directors, and disseminating the final evaluation results to the key stakeholders. IDEV will also recruit two competent and experienced international experts/advisors (content-area; evaluation) for the external peer review of the evaluation process and outputs; (viii) ensuring the payment of the consultant.

A stakeholder reference group comprising Bank experts from different departments and familiarized with GG, AfDB's policies and operations will be set up to provide analytical advice and practices. The stakeholder reference group will provide feedback on the conclusions and recommendations of the evaluation.

The evaluation team structure through which to manage relations with AfDB, fulfil the requirements of the ToR and deliver the required outputs, with strong administrative back-up and quality control



from the LTS' head office in Edinburgh. An overview of the team structure is provided in Figure 6. The roles and responsibilities of each group in relation to this evaluation are set out below.

Figure 6. Evaluation Team Structure

5.1.1 Contract Management

The LTS approach to contract management is designed to ensure the outputs are smoothly delivered to plan, within budget and timescale. It is flexible and adaptive to changing circumstances. LTS proposes a management approach based on the following key principles:

- **Clear and Effective Management Structure:** Providing a management structure with the flexibility to ensure all the technical, administrative and quality assurance requirements of the programme can be accommodated in a situation that can sometimes be changeable.
- **Strong Management Support Team:** Through the roles, responsibilities and experience of team members promoting a style of delivery suited to the project operating environment and style.
- **Rigorous Internal Deadlines and Checks and Balances:** All deliverables on individual assignments will be finalised based on the work plan, agreed with AfDB and communicated to all team members, which will include sufficient provision for QA and oversight.
- **Efficient and Effective Backstopping Support:** Ensuring access to appropriate levels of backstopping support from LTS to the in-country teams, with a strong focus of provision of backstopping and programme/project management and administration from LTS's head office in the UK.

LTS is experienced in working with AfDB and with a process approach to programme management. Our management systems allow flexibility, enabling us to adapt and bring in new approaches or new team members as required. The Evaluation Team will blend the strong management, administrative, financial and technical skills needed to manage all aspects of the project. As the lead contractor, all project finances will be managed by LTS, including the sub-contracting of all team members.

5.1.2 Evaluation Reference Group

The Evaluation Reference Group (ERG) consists of 15 members from across relevant AfDB departments, and Head of Division IDEV1 will chair the ERG (refer to Annex 4) for the full list of representatives). The purpose of the ERG is to provide comments and advice to the Evaluation Management Group (EMG) on the design, implementation and findings of the evaluation. The ERG is a forum for IDEV to engage with and consult relevant stakeholders of AfDB for this evaluation. In particular, the ERG members will provide timely comments (or nil returns) in writing on the Inception Report and Final Evaluation Reports (Volume I and II) to the evaluation team, so as not to delay the evaluation timetable agreed with the EMG. The evaluation team will address these comments in the evaluation work. In the case of the final evaluation products, the ERG will have the opportunity to provide comments either in writing or through a stakeholder validation meeting where the evaluation findings and draft recommendations will be presented and discussed.

5.1.3 External Peer Reviewers

Two External Peer Reviewers (content-area and evaluation) will be engaged by AfDB to provide an independent review of the evaluation process and outputs. The Peer Reviewers will also provide written comments to the evaluation team (via the IDEV Task Manager) on the Inception Report and Final Evaluation Reports (Volume I and II), which the evaluation team will address.

5.1.4 Evaluation Management Group

Overall project leadership will be the responsibility of a three-person **Project Management Group** comprising the Team Leader, the Evaluation Manager and the IDEV Task Manger. This team will be jointly responsible for strategic oversight throughout implementation and its members will be responsible for channelling information and decisions to others within their organisations. The Team Leader will be specifically responsible for overall direction and reporting on operational aspects of the evaluation and will convey all decisions made by the group to the wider evaluation

team. The Evaluation Manager will be responsible for day-to-day management and day-to-day liaison with client (including bi-weekly phone calls and monthly progress updates). The IDEV Task Manager's responsibilities are outlined in Section IV of the ToR.

5.1.5 Team Structure

The Team Leader will be responsible for overall leadership of the evaluation, however, the evaluation approach means that different team members will lead on different aspects of the evaluation building blocks:

- The Team Leader (John van Mossel) will be responsible for leading the synthesis and reporting for both the Case Studies Report and the final evaluation synthesis (Volume I of the Final Evaluation Report).
- The Evaluation Manager (Clarissa Samson) will lead the meta-analysis of AfDB objectives and targets and analysis of findings and recommendations from relevant AfDB evaluations.
- The Contract Director (Tillem Burlace) will be responsible for the implementation of the LTS ISO 90001 certified quality management system. She will also be an independent point of contact for the client.
- The Sustainable Infrastructure Cluster Lead (Mark Watson) will deliver project results assessments for projects in his sector and will lead the Rwanda country case study. He will produce the cluster evaluation focused on power and transport.
- The Evaluation Specialist (John Colvin) will lead the Morocco country case study.
- Five country specialists (Mohammed Bajeddi/Morocco; Augusto Razulo/Mozambique; Serigne Kandji/Senegal; Richard Niyongabo/Rwanda; and Hilaire Kuate Guifo/Cameroon) who will provide data collection support to the country case studies and will undertake site visits to make direct observation of the project activities as well as conducting focus group discussions with involved stakeholders.
- The country missions to Mozambique and Cameroon will be lead by international climate change specialists Anthony Dane (Mozambique case study lead) and Denis Valliere (Cameroon case study lead).
- Analyst and Senegal country case study lead Aurelie Larquemin will support document review tasks for both English and French language documents. With oversight from the Team Leader, Aurélie will undertake a review of relevant external GG-CC programmes to support benchmarking and learning, as well the project results assessments and lead the Senegal country case study
- The Project Manager (Emilia Runeberg) will conduct additional analysis to interpret AfDB's portfolio review, project results assessments and provide editing and drafting support to the Evaluation Manager and Team Leader.

5.2 Data and Evidence Quality Management

5.2.1 Triangulations

As discussed under 4.2.5., triangulation of multiple sources of data is used to validate a finding to an evaluation question. Triangulation can also minimise bias. In cases where some evidence is less robust than others, greater weight will be given to more verifiable sources and the potential limitations will be flagged in the analysis. Claims that are contradictory to the findings and supported by evidence may also be presented to ensure that the findings can be interpreted with full cognisance of the different perspectives in relation to a particular issue. Where data is too divergent to allow a conclusion to be reached, this will be documented and discussed with the ERG.

5.2.2 Strength of Evidence

Information and data collated to build an evidence base for testing aspects of the evaluation of AfDB's support to GG-CC, either from secondary data or through stakeholder interviews, will be reviewed against a 'strength of evidence' protocol. The Evaluation Team have drawn on an existing protocol used by LTS that the Evaluation Team believe is appropriate for this evaluation. In the case of data produced or information contained in a report, it will be reviewed for relevance to the evaluation question, appropriateness of the methodology for investigating those claims and

strength of evidence provided. This will enable the synthesis of data to give greater weight in the triangulation process to secondary sources which provide verifiable and plausible claims.

Table 7 Strength of evidence protocol

Strength of evidence' protocol	
Verifiable evidence	Refers to data that are both plausible and possible to verify. Such evidence generally describes quantifiable measures that can be physically counted. For example, the number of jobs in a company at a given time. The findings of the case studies will give the evaluators greater confidence in the ability of existing M&E systems to provide verifiable data.
Plausible evidence	This includes evidence which may make a plausible claim but may draw heavily on assumptions from secondary literature, for example those used to calculate greenhouse gas emissions avoided. Alternatively, it may refer to evidence which is the plausible conclusion drawn by an expert stakeholder or observer. There may be evidence presented to justify this view but no methodology against which the validity of the conclusion can be verified. In the case of project reporting, plausible evidence may also include photo evidence, workshop attendance lists, copies of published reports or quotes from beneficiaries or stakeholders.
Minimal evidence	Some documents may simply claim an outcome but there may be no information about the data or methodology used to evidence this claim. Alternatively, a claim may be supported by some evidence, but other contrary evidence is also provided.

5.3 Quality Assurance

LTS is committed to a multi-layer QA system, which addresses all dimensions of quality, including evaluation design, process, outputs, team, and timeliness. The team will be guided by open dialogue with the client, the OECD-DAC Quality Standards for Development Evaluation, the Evaluation Cooperation Group's Big Book on Evaluation Good Practice Standards and the UK Magenta Book on Evaluation to ensure a quality evaluation process and product and will include consideration to issues of impartiality, independence, credibility and usefulness. Quality is important as well-designed evaluations generate reliable results, which can be used and quoted with confidence. They enable policies to be improved, generate a scientific basis for decision making and feed into future decision making. The evaluation will adopt the following QA procedures:

- Develop compliance checklists, and agree on milestones and meetings based on contract needs and discussions with the client during the inception phase.
- Compile comprehensive documentation of all actions (e.g. delivery of deadlines, contracts, reports, peer review) in the project file.
- Carry out a quality review of all deliverables that assesses compliance to process criteria (focus on how the evaluation has been conducted, e.g. relevance, timeliness), normative criteria (focus on evaluation behaviour, e.g. independence) and technical criteria (the focus is on attributes of the evaluation methods, e.g. reliability and validity).
- Maintain clear and open communication with the client at all times.
- Seek feedback from the client and incorporate all feedback into evaluation design, process, and outputs.

The entry QA (at evaluation design) is most important phase for technical QA and will in particular address (i) evaluation questions, (ii) choice of methodology, (iii) identification of data sources and sampling strategy, (iv) appropriate data quality verification methods, and (v) potential risks and risk mitigation activities. Comments and recommendations will be provided to the evaluation team.

All draft reports will be reviewed by the Contract Director and signed off by the overall Team Leader. The exit QA will check the contextualisation of the issues, robustness of data collection and analysis, consultation of stakeholders and beneficiaries, validation and cross-referencing of findings, provision of evidence-based conclusions, and practicality of recommendations. The QA inputs will be available to AfDB ERG experts.

LTS has strong back-stopping support that will be provided to the evaluation team: research analysts will be available to assist with organising and processing secondary data whilst methodological backstopping and quality assurance processes will be applied as part of LTS' ISO 9001 certified quality management system (for the provision of consultancy and project management services).

The Contract Director, Tillem Burlace, will provide internal management and QA oversight of the process. She will apply quality checklists to ensure the quality criteria are met and ensure that the final reports demonstrate a robustness of data collection and triangulation of findings. Additional quality assurance will be provided through the evaluation governance systems.

5.4 Risk Management

The quality assurance systems described in the previous section are implemented to minimise the evidence and methodological risks to this evaluation. However, a number of external factors pose risks that cannot be managed by these systems. These evaluation risks and proposed mitigation measures are presented in Annex 6. Based on this analysis, the overall risk to the evaluation has been assessed as 'Low'/'Medium'. Nevertheless, the Evaluation Team will manage and monitor the identified risks during implementation (especially those with a medium-level of residual risk), to ensure the evaluation objectives are achieved.

6 Workplan and Next Steps

The evaluation will take place according to the following timeline. Gantt chart provided in Annex 7.

Table 8. Workplan and Key Deliverable Submission Dates 2019 (first TOR, Annex 1)

Task	Dates	Responsible
Contract Signing with African Development Bank	29 July 2019	LTS/IDEV
<i>Inception Phase</i>		
Kick-off meetings in Abidjan	29 July – 2 August 2019	JvM, CS, AfDB
Submit Draft Inception Report	9 August 2019	TB/CS
Receive feedback from Reference Group	16 August 2019	IDEV
Submit Final Inception Report	9 October 2019	TB/CS/ER
<i>Implementation Phase</i>		
Complete benchmarking review	4 October 2019	AL
Complete draft of project results assessments (16 projects)	23 September	AL
4 in-country visits to prepare country case studies	w/c 9 September – 30 th September	JvM, CS, MW, JC
Complete individual country mission reports and 16 PRAs	By 11th October or earlier as per agreements	CCS teams led by AL, JC, MW and AD
Complete draft synthesis report of 4 country case studies	25 th October 2019	JvM
Internal QA	w/c 28 October 2019	TB
Submit draft of synthesis report of country case studies (incl. annexed 4 country case study reports) and (16) PRAs	1 November 2019	LTS
Complete cluster evaluation and report	6 November 2019	MW
Internal QA	w/c 11 November 2019	TB
Team triangulation and findings meeting (Edinburgh)	7/8 November 2019	All
Submit draft cluster evaluation (infrastructure) to IDEV	15 November 2019	LTS
Receive feedback from Reference Group (CCS Report and Cluster)	22 November 2019	IDEV and Reference Group
LTS Finalise/Respond to feedback Cluster and CCS/PRA Reports and Technical Report	29th November 2019	LTS
Submit draft technical report (all building blocks) to IDEV	2nd December 2019	LTS
Validation and consultation workshop (Abidjan)	9-10 December 2019	JvM, TB, and IDEV/Reference Group
Draft Synthesis Report (Volume I)	20 December	
Internal QA	22, 30 December	TB
Submit two volume report (Volume I and II) to IDEV	31 December, 13 January 2019	LTS
Receive feedback from Reference Group	20 January 2019	Reference Group and IDEV
Internal QA	27 December	TB, SM
Submit final two volume report (Volume I and II) to IDEV	31 January 2019	LTS

Note: All deliverables must be submitted by 31 January 2019.

Table 9 Timeline for activities in 2020 (second TOR, in Annex 2, for additional task)

Task	Dates	Responsible
Contract Amendment to include central Africa	18 February 2020	LTS/IDEV
<i>Inception Phase</i>		
Submit updated Draft Inception Report to reflect Cameroon CCS and comments on the Evaluation Matrix	9 March 2020	LTS
IDEV to send one remaining round of comments on available reports (Evaluation matrix, 2 Cluster reports, Morocco and Senegal CCS) including sharing of validation workshop minutes	17 Feb-10 March 2020	IDEV
Submit Final draft reports: CCS for four countries, synthesis CCS, Cluster, Scorecards, Portfolio, Evaluation technical and synthesis report), Benchmarking template, incorporating all the comments received so far (independently of Cameroon CCS)	16 March 2020	LTS
Receive feedback from IDEV on updated inception report	10 March 2020	IDEV
Submit Final updated Inception Report	11 March 2020	LTS
<i>Implementation Phase</i>		
1 in-country visits to prepare country case study (Central Africa)	09-17 March 2020	LTS/IDEV
Complete the Cameroon country mission report and 4 PRAs	31 March 2020	LTS
QA on Cameroon CCS and PRAs (Feedback from IDEV&Peer reviewer)	6 April 2020	IDEV
First revised Cameroon PRAs and Country report	13 April 2020	LTS
QA on Cameroon CCS and PRAs (Feedback from Country and Reference group)	20 April 2020	IDEV
Second revised PRA and Country report	27 April 2020	LTS
Submit Draft updated draft Sustainable Infrastructure cluster evaluation	14 April 2020	LTS
QA (Feedback from IDEV, PECG and operations) on Cluster report	20 April 2020	IDEV
Submit Final updated draft Sustainable Infrastructure cluster evaluation	1 May	LTS
Submit updated draft of synthesis report of country case studies (incl. annexed 5 country case study reports) and (20) PRAs	29 April 2020	LTS
QA (Feedback from IDEV)	4 May 2020	IDEV
Submit Final updated draft of synthesis report of country case studies (incl. annexed 5 country case study reports) and (20) PRAs	6 May 2020	LTS
Draft Synthesis Report (Volume I)	13 May 2020	LTS
QA (Feedback from IDEV&Peer reviewer)	20 May 2020	IDEV
First Revised Synthesis Report (Volume I)	22 May 2020	LTS
QA (Feedback from Reference Group)	27 May 2020	IDEV
Submit Final Revised Synthesis Report (Volume I) and technical report (Volume II)	29 May 2020	LTS

Annexes

The following supporting information is annexed below:

- Annex 1. Terms of Reference
- Annex 2. Terms of Reference for the additional assignment (Cameroon/Central Africa country case study)
- Annex 3. List of Projects for Project Results Assessments
- Annex 4. Inception Mission Meeting Schedule
- Annex 5. Documents Reviewed
- Annex 6. Draft Data Collection Tools
 - Benchmarking Analysis Template
 - Portfolio Performance Scorecards
 - PRA Template
 - Country Case Study Approach
 - Country Case Study Report Template
- Annex 7. Risk Management
- Annex 8. Workplan Gantt Chart

Annex 1. Terms of Reference

TERMS OF REFERENCE (TOR)

Evaluation of the African Development Bank Group Support to Green Growth and Climate Change (2008-2018)

INTRODUCTION

The Independent Development Evaluation (IDEV) of the African Development Bank Group (the "Bank") requires the services of a consultancy firm (hereafter, "consultant") familiar with International Financial Institutions' operations, and with experience in evaluating complex development interventions to carry out an evaluation of the AfDB's assistance to Green Growth and Climate Change related policies, strategies and projects approved between 2008 and 2018. The current terms of Reference sets out below the evaluation context, purpose and scope, and expected deliverables, timeline and management arrangements.

CONTEXT

The AfDB policies and strategies on Green growth

The analysis of the AfDB's policy documents shows that it was between the years 88-90 that the AfDB began to take an interest in the Green growth and Climate change aspects. In effect, ADF V policy documents have shown a positive interest in the management's proposals to increase the Fund's participation in projects and programs that concern population, the role of women in development and the environment; and to stop/reverse the deterioration of the environment; and promote environmentally sustainable development. ADF VI (91-93) addressed aspects of equitable growth and poverty reduction, the need to conduct environmental impact studies of sectoral activities and projects; and to define sectoral and cross-sectoral priorities, focusing on environmental concerns and, particularly the implementation of environmental policy through the development of environmental guidelines in key sectors, the creation of an environmental information base, as well as continued participation in the development of national environmental action plans. Similarly, the AfDB has expressed its willingness to fund projects that place a greater emphasis on the conservation of forest areas and the protection of biological diversity, as well as the promotion of agricultural policies and the sustainable development of Land, Energy conservation with efficient end-use and renewable energies.

The period 99-01 was marked by the formulation and updating of policies with emphasis on the environment, including the revised Policy on Agriculture and Rural Development. Similarly, the AfDB welcomed cooperation with the Global Environment Facility (GEF) to address issues related to biodiversity, international waters, the ozone layer and global warming.

The period between 2002 and 2012 was marked by the development of operational policies and directives, including: (i) the Integrated Water Resources Management Policy (IWRMP), (ii) the Guiding principles for project design and analysis to maximize economic efficiency in the context

of poverty reduction and sustainable environmental protection, (iii) the new sectoral policy on Agriculture and Rural Development. According to the ADF X and XII documents, the AfDB also noted the challenges of economic growth and poverty reduction in Africa (FAD X) and the need to invest in an innovative and more rigorous way in sustainable growth and to take into account Cross-cutting issues such as private sector development, adaptation and mitigation of climate change, gender, food security and also issues of agricultural productivity in the core operations of the AfDB. (FAD XII).

Finally, it was in 2013 that the AfDB effectively committed to improving the quality and sustainability of growth in Africa through its long-term strategy (LTS) 2013-2022, at the centre of Africa's transformation with two interdependent objectives: Inclusive Growth and gradual transition to Green Growth. Inclusive growth increases the economic base of countries, creating opportunities regardless of gender, age or geography. According to the LTS, green growth ensures that progress can also be maintained at a time when Africa is facing a range of local, regional and global issues such as environmental change and increasing pressure on its natural resources. In particular, the transition to Green Growth involves promoting and maximizing opportunities for economic growth by strengthening resilience, effectively managing natural and sustainable assets (including productivity and the promotion of sustainable infrastructure. The AfDB intends to support Africa's transition to Green Growth by seeking to maintain or increase natural and social resources. It will support access to modern energy services, adaptation to climate change and mitigation, sustainable management of natural resources (including water and agriculture), and the development of sustainable infrastructures such as mass infrastructures. Transport systems, the use of hydro, geothermal, wind and solar energy, infrastructure and the effective use of cross-border waterways. Such growth will protect livelihoods; improve water, energy and food security; promote the sustainable use of natural resources; and will stimulate innovation, job creation and economic development in these sectors.

The AfDB's strategy for 2013-2022 aims to promote high quality growth on the continent and is based on 5 *pillars* aimed at framing national and regional integration strategies. These pillars are Infrastructure improvement, Governance, Private sector development, Skills and technology, and finally Regional integration. There are 3 *specific areas* of interest in which green growth contributes to the completion of these objectives: Fragile States, Agriculture and food security and Gender *AfDB Transitioning towards Green Growth: A Framework for the African Development Bank (2014)*.

Policy instruments for Green growth include economic incentives, regulations and social marketing to encourage behavioral changes. Economic instruments include price policy reforms, tax incentives ('smart subsidies') and "smart grants", and public investment. In general, a combination of the three instruments is necessary and the instruments must be adapted to the relevant political economic environment. *AfDB Transitioning towards Green Growth: A Framework for the African Development Bank (2014)*.

To facilitate analytical work and progress towards Green growth, diagnostic tools (marginal cost reduction curves, green accounting, economic cost of environmental degradation), policy instruments (payment Ecosystem services, environmental impact assessment, price reform) and programs (sustainable land management or early warning systems) have been developed. *AfDB Transitioning towards Green Growth: A Framework for the African Development Bank (2014)*.

With regard to the financing of Green growth, there are several points of entry for AfDB support to RMCs. The AfDB can work with the RMCs to improve governance structures, budgeting and acquisitions, regulatory frameworks and incentive structures. This can help to improve resource allocation, business climate, innovation and efficiency gains. To this end, it is necessary to focus on

policy dialogue, consultation services, Economic and Sector Work (ESW) and program-based operations (PBO) guided by the principles of Green growth.

ADB also manages and houses a range of innovative financing instruments that can help countries further increase these internal financial options for green growth. These instruments can help reduce the transition costs for greener development practices and facilitate private sector engagement through public-private partnerships or by mitigating investment risks. These instruments are as follows: the African Water Facility (AWF), GEF (Global environment facility), CIF (Climate investment Funds), CBFF (Congo bassin Forest Fund), GCF (Green Climate Funds), Clim Dev Africa, and Sustainable Energy fund for Africa.

With regard to human resources dedicated to green growth, the AfDB has set up an interdepartmental work team on green growth that has developed a guidance document for Bank staff, explaining the purpose of the Green growth and the AfDB's strategic and operational entry points for green growth.

The AfDB Portfolio related to Green Growth and Climate Change

One of the major challenges in analyzing the AfDB's Green growth and Climate Change portfolio is the fact that there is no specific database dedicated to this theme nor any "flagging system" that allows to easily identify Project with Green Growth and Climate Change dimension in the AfDB's SAP system and analyze their performance separately. The AfDB's support has been mostly disseminated in many projects in various sectors. The analysis below is based on a reconstruction of data by IDEV, mainly from the AfDB's SAP database, and through conciliation with some other pre-existing data.

The analysis of available data shows that Green Growth and Climate Change related projects represent a considerable proportion (43% of projects and 57.6% of approved amounts) of the AfDB's overall portfolio over the period 2008-2018 (Annex 4. Statistical data on Green Growth and Climate Change related Projects). As of 08 August 2018, the AfDB's portfolio accounts 650 projects related to Green Growth and Climate Change with a total commitment of UC 23.6 billion, of which 452 are stand-alone projects representing 69.5% (of the total Green Growth and Climate Change related projects) and 198 projects with related component representing 30.5% (of total Green Growth and Climate Change related projects). 93% of these Green Growth and Climate Change related projects are managed by the public sector with UC 22.5 billion of net commitments and 7% by the private sector with UC 1.1 billion of net commitments. Details on commitments and the number of projects by sub-sector and by status are presented in annex 4. Table 1 below shows that most (84%) of the approved projects are in the Energy sector (24%), followed by the Agricultural sector (21%), the Transport sector (20%) and finally the Water and sanitation sector (19%). The remaining 16% of the portfolio are divided between the environment sectors (6.4%), Multi-sector (5.6%), Communication (2%), Social (1.8%) and Industries/Mining/quarries (0.3%).

In terms of financing instruments, 50% of projects are loans, 36.9% are grants (project Cycles (24.3%) and institutional support and rehabilitation (12.6%)). These projects are mainly funded through the ADF window with 44.2% of net commitments and ADB window with 47.4% of net commitments. The Nigeria's special funds represent 0.3% of the commitments. The remaining 8% represents the other financing instruments that are ACFA (1.7%), Africa grow together Fund (0.8%) » African Water Facility (0.2%), Clean Technology Fund (1, 5%), Congo Basin Forest Fund (0.1%), EU-Africa infrastructure TF (0.3%), FND for AFR priv sec ASST (0.0%), GAFSP Trust Fund (0.9%), Global Environmental facility (0.4%), NEPAD/ IPPF (0.0%), Opec-org of PET Exp CNTRS (0.3%), private sector CRE ENH FA (0.4%), rural water supply and Sani (0.4%), Strategic Climate Fund (0.6%), and Zimbabwe Multi-Donor Trust fund (0.4%) (Annex 5).

Table 1: Number of approved projects and amounts, 2008-2018

	Number of green growth projects			Net loan amount in billions of UC		
	[2008-2012]	[2013-2018]	[2008-2018]	[2008-2012]	[2013-2018]	[2008-2018]
Agriculture	45	90	135	0,85	1,96	2,81
Communications	5	8	13	0,05	0,15	0,20
Environment	31	11	42	0,15	0,08	0,23
Ind/Mini/Quar	1	1	2	0,00	0,00	0,00
Multi-Sector	7	30	37	0,21	2,15	2,36
Power	55	101	156	2,76	3,53	6,28
Social	5	7	12	0,08	0,05	0,13
Transport	57	73	130	3,45	4,69	8,14
Water Sup/Sanit	60	63	123	1,35	2,08	3,43
Total	266	384	650	8,90	14,69	23,59

Related Completed and Ongoing evaluations/Reviews

IDEV has recently completed the following evaluations:

List the evaluations.

CBFF (Congo Basin Forest Fund), PACEBCo (Evaluation of the Congo Basin Ecosystems Conservation Support Programme)

IDEV is also undertaking other related evaluations including the DBDM (Development and Business Delivery Model), ISS (Integrated Safeguard System), and Self-evaluation Systems and Processes.

It has also reviewed a number of project completion reports concerning Green Growth and Climate Change.

Also, the AfDB's Climate Change and Green Growth Department (PECG) is collaborating with the Office of Thought Leadership, Global Green Growth Institute (GGGI) in the ongoing review "Assessing the state, readiness and trends of Green growth in the context of NDC and SDG implementation in Africa".

PURPOSE, OBJECTIVES AND SCOPE

Evaluation purpose and objectives: The purpose of the evaluation is to support the AfDB's management and operational staff in (i) improving the strategic, conceptual and implementation issues related to Green growth and Climate change interventions in its Regional Member countries; (ii) promoting learning, by identifying the lessons learnt and recommendation on how the AfDB could contribute most effectively in improving design, and delivery of the AfDB's Green Growth and Climate Change related interventions; (iii) accounting to the Board and other stakeholders for the results of the AfDB's investments in Green Growth and Climate Change.

The key objectives of the evaluation are to:

Assess how well the AfDB's has mainstreamed Green Growth and Climate Change in its interventions (Policies, Strategies and Projects);

Assess the performance of the Green Growth and Climate Change projects focusing on their relevance, effectiveness, efficiency, and sustainability;



Identify the enablers and barriers that affected the design, implementation and results of the AfDB's Green Growth and Climate Change interventions;

Draw lessons learned, good practices and recommendations to enable the AfDB to enhance the quality and performance of its Green Growth interventions and processes.

Evaluation scope and coverage. In the AfDB, Green Growth is a crosscutting theme and found in several sectors such as Governance, Agriculture and Rural development, Transport, Energy, Human development and Water and Sanitation. The evaluation will consider all the AfDB's interventions related to Green growth and Climate Change approved between 2008 and 2018. Public and private sector operations, analytical work (studies, ESW, etc.), other activities related to institutional strengthening, and capacity building will be considered. It will cover policies, strategies and institutional arrangements – internal procedures, practices and processes – used to implement Green Growth and Climate Change projects.

Currently, the AfDB's portfolio accounts around 650 projects related to Green growth and Climate change with a total commitment of UA 23.6 billion, of which 452 are stand-alone projects representing 69.5% (of the total green growth projects) and 198 projects with related component representing 30.5% (of total green growth projects).

The evaluation will focus particularly on the relevance of the policies/strategies/frameworks/action plans, and the AfDB's projects, the effectiveness of the implementation processes, the results achieved and their sustainability including the adequacy of financial and human resources, institutional arrangements, information system, learning capacity, and coordination between different departments.

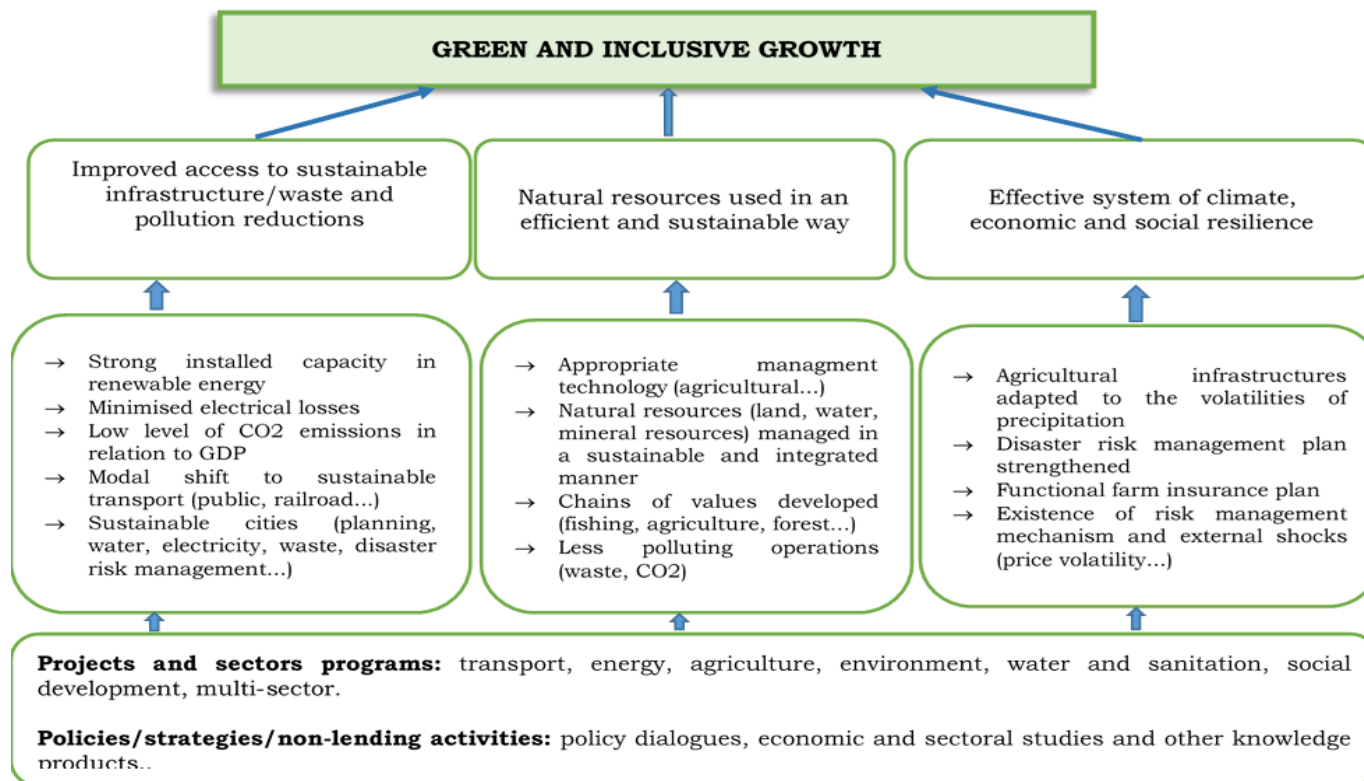
EVALUATION FRAMEWORK AND QUESTIONS

Analytical Framework

The analytical framework is based on the Theory of Change (ToC) of the AfDB's Green Growth and Climate Change related interventions. The indicative ToC is presented in Figure 1 below. From Figure 1, the AfDB is expected to achieve Green and Inclusive Growth by addressing development challenges: (i) maintain rapid growth and economic prosperity (ii) reduce poverty and inequality and (iii) address the enormous gaps in infrastructure and energy without impoverishing natural capital. For African economies, moving toward green growth will encompass the achievement of development and growth objectives, while: (i) maximizing the efficiency of the use of natural resources; (ii) minimizing waste and pollution; and (iii) strengthening the resilience of livelihoods and economic sectors.

The AfDB operates the gradual change toward Green growth and Climate Change at 3 levels: (i) Upstream development planning, (ii) sectoral and cross-sectoral approaches, and (c) projects. Figure 1 below sets out the causal relationship between this overall goal and the AfDB's Green growth and Climate change interventions. Indeed, the AfDB has invested progressively in several sectors of activity through two pillars: (i) economic and social infrastructures including transport, energy, agriculture, environment, water & sanitation and social and (ii) economic and financial governance (Multisector). The evaluation will improve the below presentation of the AfDB's green growth intervention logic and assess the extent to which the AfDB has been able to deliver on its promises while suggesting solutions for improvement. The evaluation questions below are intended to guide the evaluation team in the search for evidence on the relevance and quality of entry, effectiveness, efficiency and sustainability of the AfDB's policies, strategies and projects in terms of Green growth and Climate Change.

Figure 1: AfDB Green Growth and Climate Change Intervention Logic (Results Chain)





Evaluation questions. The evaluation will mainly focus on the following two overarching questions:

- I- How well the AfDB has mainstreamed Green Growth and Climate Change (GG-CC) in its interventions (including policies, strategies and operations), and produced desired outcomes?**

Suggested sub-questions for question I:

Relevance & coherence: To what extent are the AfDB's GG-CC mainstreaming processes/practices/tools relevant to (i) changing Bank context and needs, (ii) good practice standards/global agendas; (iii) strategic objectives of the TYS and DBDM? To what extent are the AfDB's GG-CC mainstreaming processes/practices/tools with other strategies/policies/guidelines within the AfDB?

Effectiveness: To what extent is the quality of GG-CC mainstreamed interventions? What is the extent of variability of the quality of GG-CC mainstreamed interventions? What important factors enabled/constrained the quality of GG-CC mainstreamed interventions? How effective are the tools/processes in guiding GG-CC mainstreaming?

Efficiency: How efficient is the GG-CC mainstreaming processes/tools? How appropriate are the GG-CC mainstreaming process/tools?

Enablers and barriers: What are the key factors that have affected the relevance, effectiveness and efficiency of Bank's mainstreaming of green growth and climate change?

What changes are required to improve the relevance, effectiveness and efficiency of the AfDB's GG-CC mainstreaming tools/processes/practices?

- II. How well Bank-funded GG-CC projects have performed?**

Suggested sub-questions for question II:

Relevance: To what are the GG-CC related project objectives and design relevant?

Effectiveness: How effective the projects in achieving their expected outcomes for individuals/groups/communities? What are (if any) the unintended effects for individuals/groups/communities?

Efficiency: How efficient are the GG & CC related projects?

Sustainability: Extent to which the project benefits are expected to be maintained?

Enablers and barriers: What are the important factors that have enabled or constrained the performance (relevance, effectiveness, efficiency and sustainability) of Bank-funded green growth and climate change projects?

What important lessons, good practices and recommendations that can be drawn from the project performance for improving quality of project design, implementation and exit?

The key evaluation questions, presented in the table below, are indicative. The inception report will further develop these evaluation questions and better articulate the data collection and analysis design.

Criteria	Questions
I.	How well the AfDB has mainstreamed Green Growth and Climate Change (GG-CC) in its interventions (including policies, strategies and operations), and produced desired outcomes?
Relevance and Quality at entry	<p>To what extent are the AfDB's Green Growth and Climate Change policies/strategies/Action Plans/Tools clear, relevant and reflect the norms and the specific challenges of economies in African countries? To what extent are policy/strategy objectives still relevant in the light of global agendas? Are the AfDB's interventions the most appropriate?</p> <p>How do design and review processes ensure that GG is properly taken into account in every new intervention? What works well about these processes, what does not? How much more effective, sustainable etc. could operations have been if they had properly integrated GG considerations? (opportunities missed for lack of mainstreaming)</p> <p>Are the Green Growth and Climate Change analysis framework and the AfDB's definition of Green growth and Climate Change relevant to global developments? Is the link between the different concerned sectors clear?</p> <p>To what extent are the AfDB's green growth policies/strategies responsive to the needs and priorities of the green growth sector in Africa, including the needs of the target groups?</p> <p>To what extent are the AfDB's green growth policies/strategies well-articulated with the AfDB's vision at a higher level? To what extent is its positioning in terms of strategic priorities and the structure of the AfDB appropriate? How are the AfDB's policies/strategies consistent/complementary to those of sister institutions?</p> <p>To what extent have green growth projects been aligned with the priorities set out in policies/strategies? Has the conceptualization of projects in terms of public and private sectors been clearly defined?</p> <p>To what extent is project design appropriate to effectively address current challenges and to support the achievement of planned strategic objectives and development outcomes?</p> <p>To what extent has the AfDB increased the number of private financial intermediaries and sponsors and mobilized financial resources for green growth projects?</p>

Bank Performance	To what extent were the AfDB's financial and human resources, procedures and capacities adequate to identify, design, supervise and learn from projects?
	To what extent were the AfDB's financial and human resources, procedures and capacities adequate to identify, design, supervise and learn from projects?
	What is the role of the AfDB in mobilizing resources, coordination, economic and sector work and strategic advice? To what extent was partnership with other development partners effective and to what extent was it based on comparative advantages? What was the AfDB's added value in terms of advice?
	To what extent was the AfDB organized and qualified to effectively implement projects, provide knowledge, policy and advisory services and capacity building? To what extent the incentives in place have encouraged staff and managers to devote time, skills, knowledge and the efforts needed to ensure the quality of green growth projects, including the adoption of innovative approaches and new barriers? What were the AfDB's plans regarding capacity building of the various actors?
	How important are the AfDB's financial and non-lending activities compared to other donors and other funders?
	What are organizational problems that are opposed to green growth? If the problems are the same as those previously identified, why weren't they addressed, what are the underlying obstacles/constraints?
	How are the organizational structure, recruitment, the use of human resources, operational efficiency, systems, data collection and analysis, record keeping comparable to similar financial institutions in the international financial architecture, e.g. Inter-American Development Bank? Has the AfDB been effective in responding to problems arising during implementation?
Countries performances	Did countries adopt policies and strategies that are conducive to green growth? Are there any long-term political commitments to operations and what are the incentives in place to hold operations and maintain their results after completion?
	Do the structures of the country have the organization, the administration, the staff, the financial resources and the procedures necessary to effectively implement operations? To what extent were they successful as channels of development results and what were the drivers of success?
II. How well Bank-funded GG-CC projects have performed?	
Relevance and Quality at entry	To what are the GG-CC related project objectives and design relevant?
Effectiveness	Are the AfDB's policies/strategies translated into projects that have helped to achieve the overall objectives?
	Have the projects achieved the expected results in terms of outputs and development outcomes? Did they produce indirect and unintentional results?
	Is the achievement of the objectives different according to relevant criteria

	<p>such as the distinction between public and private projects?</p> <p>What can be identified as success or hindering factors of the projects? To what extent has the AfDB integrated green growth aspects into its operations?</p> <p>To what extent are green growth projects inclusive in terms of gender, environment, youth, climate change, etc.</p> <p>Is Green Growth occurring?</p>
Efficiency	<p>Was the business model clear, appropriate and easily applicable? Does the AfDB have appropriate processes, mechanisms, evaluation tools, quality assurance standards, implementation and evaluation mechanisms?</p> <p>To what extent has the AfDB improved its business model by integrating lessons learned from successive evaluations? What should be the improvement required for better program delivery mechanisms?</p> <p>Are resources allocated to green growth used effectively and implemented in a timely manner? If not, have the strategic objectives and development goals been achieved in a cost-effective and timely manner?</p> <p>What were the main reasons in the event of cost and time overruns? Have the projects been implemented in the most efficient way compared to the alternatives?</p> <p>Would the results have been delayed, achieved or not achieved in the absence of the AfDB's assistance?</p>
Sustainability and quality at exit	<p>Were the conditions for sustainability in place, including institutional arrangements, technical capacity, capacity-building, increased ownership and risk assessment and management; And to what extent have these conditions lasted?</p> <p>Was the funding mechanism appropriate to encourage the continuation of activities well after the AfDB's support?</p> <p>Are resources dedicated to green growth interventions sustainable?</p> <p>Was there a clear exit strategy? Has there been a plan and lessons learned to support the development of the sector, including political dialogue commitments to improve favorable environment in African countries?</p>
Enablers and Barriers	<p>What are the factors that are enabling or constraining the design, implementation and results of the Green Growth and Climate Change related interventions?</p>
Lessons and Recommendations	<p>What relevant lessons, Good practices and Recommendations that can be drawn for improving the quality and performance of the mainstreaming process and the Green Growth and Climate Change related interventions?</p>

Methodology and processes

The IDEV evaluation policy and the Evaluation Cooperation Group's Big Book on Evaluation Good Practice Standards¹⁶ will guide this evaluation. The evaluation approach will require a reconstitution of the supposed theory of change, underlying the AfDB's assistance to Green Growth and Climate Change. The supposed theory of change will guide the refinement of the indicative evaluation questions, and the development of the evaluation methodological framework. The inception phase of the evaluation will clearly define and detail the most credible methodological framework for responding to the evaluation questions. The methodological approach should be of mixed designs and methods. The data sources, the basis for the evaluation streams of evidence, should include but not be limited to the following:

- Desk review of relevant documents/reports and databases including those of the AfDB, other MDBs, and the literature. It will help to better understand the assessment exercise especially for projects' relevance matters. It will provide information regarding the project objective, components, results chains elements and review of the assumptions. This review will also help to understand the degree of complementarity of the various Bank's projects to achieve its strategic goals. Other secondary sources of data and information include government statistics, project records, studies conducted by development partners, and data published by the service providers or available in their monitoring and evaluation system. The review will finally provide a result data assessment by identifying the available data and information at central level institutions and stakeholders that will allow the evaluation of the projects and identify the data gap.
- Key informants Interviews: Substantive interviews and discussions with key stakeholders within and outside the AfDB to obtain evaluative evidence, which could be the source of innovative ideas for forward-looking and strategic recommendations.
- Focus-Group Interviews: This tool will be used to collect data from target communities with the view to triangulate with other data collected.
- Direct observation: Direct observation will also be part of the fieldwork.
- Staff survey (staff; RMC official).
- In-depth case studies, based on appropriate sampling.
- Benchmarking with other MDBs and other appropriate agencies.
- Stakeholders Validation Workshop with the aim of developing high-quality recommendations based on the key findings and conclusions of the evaluation while engaging the potential users of the evaluation results.

The evaluation process of each evaluation building block will include the following four phases:

- Inception phase to produce the inception report, which will include the full evaluation methodology (fine-tuning and prioritization of the evaluation questions, further develop the evaluation design and finalize the issues-indicator matrix including sampling, evaluation matrix, limitations, risks and mitigations, data collection and analysis tools/instruments, rating scale and standards), evaluation team composition and

¹⁶ ECG Big Book on evaluation good practice standards, <http://www.ecgnet.org/document/ecg-big-book-good-practice-standards>. Both documents reflect the standard OECD-DAC development evaluation criteria and quality standards.

responsibilities for each of the individual evaluation team members. This will involve inter-alia desk reviews and discussions with key stakeholders, rapid assessment of available data, reconstruction of the supposed theory of change, stakeholder mapping, identification of information Gap and preparation of the inception report;

- Data collection and analyses for the generation of findings, and drawing of conclusions, recommendations and lessons learned: This phase will concern all the data sources, highlighted above. It will be the basis for the preparation of the background reports, and the evaluation synthesis report. Emerging findings will be shared with stakeholders for feedback. The objective of the Data Collection and Analysis Phase will be to implement the approved inception report and collect primary data to complement the review of project documents and fill identified data gaps. Subsequently, all available data will be triangulated against the approved evaluation matrix to identify evaluation findings and conclusions.
- Synthesis, report writing and feedback leading to the draft evaluation synthesis report and its presentation to the evaluation Reference Group (defined under the quality assurance section VII), and other stakeholders for feedback on the draft evaluation findings. The reporting phase will proceed in three stages with the objective of: (1) consulting key stakeholders on the preliminary evaluation findings; (2) validating the preliminary findings and identifying evaluation recommendations; and (3) preparing the draft and final evaluation report. The final synthesis report will be drafted and shared with internal peer-reviewers, an external peer-reviewer, the Reference Group, IDEV management, and then presented to CODE for final approval
- Production and delivery of the final evaluation report in the appropriate format (in English) for dissemination and follow up.
- Communication and dissemination of evaluation results

Risks and mitigation actions: The evaluation risks and mitigation actions will be identified at the inception phase by the evaluation team.

Evaluation Approach. The evaluation will draw on building blocks comprising: (1) 4 Country case studies including 16 in-depth Project Results Assessment; (2) A Portfolio Review; (3) A Benchmarking report including Policy/Strategy/Guidelines Review; (4) Rapid evidence review of relevant and accessible GG-CC evaluations (meta-analysis); (5) Two Thematic Cluster Evaluations on sustainable infrastructure (Power and Transport) and Efficient use of natural resources (Agriculture and Environment).

The evaluation has been designed to use triangulation: each evaluative question will be answered by three or more methods or data sources (See Simplified Evaluation Matrix in annex 4). The main building blocks (components) of the evaluation are described below;

Country Case Studies. The main focus of case studies is to have in-depth discussion on policy and strategic issues with the main Green growth and Climate Change stakeholders. The country case studies will aim at better understanding the role of internal and external factors – including systemic factors - contributing to the success or failure of AfDB's interventions as well as complementarities, sequencing, and synergies of interventions. These country case studies will among other thing assess the comprehensiveness of the AfDB's approach in addressing Green

Growth and Climate change issues in RMCs. The evaluation will firstly investigate how the AfDB's activities are implemented in line with the countries' priorities and the AfDB's policy framework. In addition, the evaluation will assess how well the AfDB mainstreamed green growth in its interventions (including strategies and operations) at country level and produced desired outcomes, and (ii) generating relevant lessons learned, by assessing the use of different instruments and the synergies between lending and non-lending activities. A review of the CSPs of the selected countries will assess to what extent this mainstreaming is discussed at a strategic level. Finally, the appropriateness of the project design at approval will be assessed; particularly the extent to which the AfDB has integrated emerging trends¹⁷ in the design of its projects.

The country case studies will include the review of the AfDB Group's knowledge products, including non-lending technical assistance, economic and sector work, sector analyses, advisory services, economic analysis, as well as policy dialogue that supports Green growth and Climate Change interventions.

The case studies will include: (1) semi-structured interviews with stakeholders including executing agencies, Bank's field office, Development partners involve in Green Growth and Climate Change, related private sector institutions, and so on. (2) Site visits to investigate selected completed and projects, iii) in-depth interview with direct beneficiaries.

Project Results Assessment (PRA) including quality at entry, supervision and exit analysis. The main objective of the project results assessment is to assess the development results of the selected Bank-funded projects as well as its sustainability, in order to provide credible background reports for the thematic cluster evaluations and other building blocks of the sector evaluation. PRAs will contribute to better understand the positive/negative results of the African Development Bank Assistance on the ground, as well as its sustainability. The PRA will specifically: (i) assess the extent to which the project performed. The assessment will be based on four main criteria namely: relevance, effectiveness, efficiency and sustainability; (ii) identify the factors that facilitated/constrained the project performance; and (iii) identify and record, from the above, the key lessons and recommendations for portfolio improvement.

The evaluation will consider and assess all activities that have been implemented under the selected project. It should examine the performance of the project in accordance with its logic model. The approach through which the project performance will be assessed is the contribution analysis that aims to demonstrate whether or not the evaluated intervention is one of the causes of observed change. It may also rank the evaluated intervention among the various causes explaining the observed change in the project intervention areas. It will be based on a set of logical arguments that are verified through a careful confirmatory analysis.

To be able to assess the performance of project, sector-specific indicators (See annex 1) will be used to provide a common understanding of success or failure of a project. This set of potential indicators will facilitate the synthesis analyses even if each project will be treated as a very specific case according to its implementation socio-economic and political context.

The following criteria could be considered for the selection of the projects subject to Results Assessment:

¹⁷ These trends will be elaborated through Benchmarking report including Policy/Strategy/Guidelines Review.

- Geographical representativeness: cover the Africa 5 regions (North, South, East, West and Center);
- Existence of documentation mainly the Project Completion Report (PCR);
- Representativeness of the type of project: Standalone and/or Component
- Sectorial representativeness (Agriculture, Environment, Energy, Transport,) including private sector operations
- These projects should be located in the countries that will be the subject of country case studies.

Portfolio Review. A portfolio analysis will be conducted to identify and categorize the main characteristics, objectives and components of Bank's overall activities related to Green Growth and Climate Change and analyse their results. The overarching question of the portfolio review is whether the AfDB delivers on its Green growth and Climate Change strategies (Alignment with the strategies). Therefore, the portfolio review will assess the *composition* of the AfDB's related Green Growth and Climate Change projects/programmes *performance*.

The portfolio review will examine project documents and evaluations (i.e., PCRs, PCR Reviews, PRAs and PPERs). This will include information about project design from Project Appraisal Documents (PADs) as well as information about project execution and results from PCRs, PCR Reviews, PRAs, and PPERs.

The review will cover the following;

- An overview of the trends of the AfDB's related Green growth and Climate Change lending and approvals, and to assess the results achieved by projects and the external and internal factors of success. The review will include an analysis of the portfolio according to region, country, sub-sector, type of loan, project cost, loan amount, windows, (loans, grant, etc.), etc. It will include an assessment of the share of the Green growth and Climate Change area in the AfDB's portfolio, the use of instruments (investment programs, sector budget support, TA and capacity-building) and the share of co-financing in Bank's programs. In addition, the review will identify the results achieved by completed projects and the lessons learned for increased effectiveness, efficiency and sustainability.
- A comparison of the general theory of change and the AfDB's actual results, will elucidate the intervention approaches of the AfDB over the evaluation period.
- A synthesis of the necessary evidence for answering at this stage the evaluation questions set for relevance, efficiency, effectiveness and sustainability. The results of analysis obtained through the above tasks will be incorporated as an evidence to answer each evaluation questions.

The AfDB has undertaken the portfolio analysis that will feed into the evaluation findings. LTS will review it and prepare a summary of characteristics of the portfolio based on the existent analysis.

Evaluation Synthesis (Meta-analysis)

The objectives of the evaluation synthesis are twofold:

- To draw pertinent lessons on effectiveness and methodology on evaluating Green Growth and Climate Change in order to refine the evaluation questions, design and methods;
- To provide lessons on effectiveness of Green Growth and Climate Change interventions that the AfDB could use to improve its design and implementation of Green growth and Climate change interventions.

The evaluation synthesis will in particular respond to the following questions:

- a) What are the existing assessments done on Green growth? How are they made? What methodologies are used? And what are the results achieved?
- b) To what extent have green growth interventions achieved the expected development results? And-what lessons can be learned to improve green growth policies/strategies and operations in terms of design, implementation and evaluation.

The synthesis will cover the period 2008-2018 and be based on (i) existing evaluations in the AfDB and outside the AfDB, (ii) other relevant existing international studies and (iii) interviews with key stakeholders.

The AfDB has undertaken an evaluation synthesis that will feed into the evaluation findings. LTS will review it and mainly focus the analysis on the AfDB's own previous evaluations. This will feed into the final evaluation report but will not be a standalone report.

Benchmarking report including Policy/Strategy/Guidelines Review

The objective of the policy/strategy review is to assess the clarity of the concepts and assumptions underlying the AfDB's policies, strategies and their usefulness. The review also aims to determine whether resource allocation mechanisms and the organizational business model for green growth are appropriate and whether they create adequate incentives for managers and staff involved. This review should be based on the specificities of the African context and compare the AfDB's experience with other multilateral development Banks and selected bilateral donors such as the Asian Development Bank, the World Bank and Green funds for the climate. The evaluation team and consultants should review green growth literature to understand when and under what conditions green growth projects are successful in order to suggest alternative approaches to Bank, if any. The evaluation team should question the AfDB's experts and other stakeholders about the way they perceive the purpose and objectives of green growth and climate change, activities and constraints of the institution, as well as the necessary changes within scope or objectives. The relevance and the respect of strategic objectives will also be evaluated.

The specific questions/issues to be covered by the benchmark analysis should include: (i) Strategic relevance of Green Growth and Climate Change interventions, (ii) Organizational and institutional arrangements, Operational Unit within the institution, decentralized delivery); (iii) Portfolio and achievement of development results; and (iv) Emerging issues, barriers, enabling factors affecting performances, solutions delivered and future plans.

The Benchmarking report will feed into the final evaluation report and will not be a standalone report.

Project Cluster Evaluations. The above case studies will be further supported by special thematic studies. Two cluster evaluations will be designed based mainly on the PRAs to provide insight into the following specific themes: (1) Sustainable infrastructure (Power and Transport); and (2)

Efficient use of natural resources (Agriculture and Environment). The tentative list of project to include in each cluster evaluation and other project-level evaluation are presented in annex 2.

The objectives of the cluster evaluation by theme are: (i) to measure the results of the projects in the concerned sectors/theme (relevance, effectiveness, sustainability, efficiency, knowledge and consultancy services); (ii) Analyze performance in project management (design quality, partnership, Results-based management, factors that allow or prevent results); and (iii) learn lessons to improve the AfDB's future interventions in the various sectors related to Green growth and Climate Change.

The services of consulting firm is required for the following building blocks and synthesis report:

- Four country case studies including 16 in-depth Project Results Assessment;
- A Benchmarking review including Policy /strategy/Guidelines Review;
- One Cluster Evaluation on Sustainable infrastructure (Power and Transport); and provide data for the second Cluster evaluation on Efficient use of natural resources (Agriculture and Environment);
- A Two volume evaluation report (**Volume I - Synthesis Report, Volume II - a detailed report based on all the building blocks reports**)

IDEV will provide to the consulting firms the following products: (A) approach paper, (B) portfolio review report, (C) an evaluation synthesis (meta-analysis) based on (i) existing evaluations in the AfDB and outside the AfDB, (ii) other relevant existing international studies and (iii) interviews with key stakeholders and also (D) Available documents and databases including the following: Bank strategies, policies, project databases, results measurement frameworks, progress reports, and guidelines and reports, relevant IDEV/other MDBs evaluations/reviews.

II. DELIVERABLES AND TIMELINE

Evaluation deliverables. The deliveries of the consulting team will be the following outputs (In English):

- **Inception report (s)** describing in detail the conceptual framework for each specific product to deliver. It will include among other things the revised Green growth and Climate change results chain, the refined evaluation questions, a detailed evaluation matrix, all data collection tools (questionnaires and interviews guides, focus group guide, etc.) for country case studies including in-depth Project Results Assessment, country selection, a work plan (which indicates the phases of the evaluation, the timing, key deliverables and milestones), and templates for Country factors analysis, Project Results Assessment, and outlines of the different reports (Benchmark, Country, Cluster and synthesis)
- **Synthesis Report on the Countries Case Studies including in the annex the Four Country Case Study Reports, and in-depth Project Results Assessment (16)¹⁸;**
- **A Cluster Evaluation Report Sustainable infrastructure (Power and Transport)**
- **All the relevant data sets and background documents and reports including Projects Results Assessment summaries, and field note summaries, and pictures that will**

¹⁸ The Project Results assessment will be the main building blocks for the preparation of the 2 cluster evaluations.

allow an in house preparation of a Cluster Evaluation Report on efficient use of natural resources (Agriculture and Environment);

- **A two volume evaluation report:** Volume I - Synthesis Report of the Evaluation of the AfDB's support to Green growth and Climate change, 2008-2018 (up to 25 pages excluding key annexes), and Volume II - a detailed report based on all the building blocks reports and including all the relevant annexes such as evaluation Matrix, Data collection Tools, Pictures, Minutes of the meetings, Data base, Summaries on benchmarking, portfolio review and evaluation synthesis etc...

Timeline. The evaluation will be designed, conducted and delivered over a period of five months and half, **starting July 2019.**

The final Green growth and Climate change evaluation report is expected to be completed and delivered in December 31, 2019.

Table 2 : Tentative Timeline		
Description of Tasks / Key Deliverables	Responsibility	Time Frame
Approach Paper	IDEV	April 2019
Inception Report	FIRM	End-July / August 2019
Portfolio Review	IDEV	April 2019
A Benchmarking review including Policy/Strategy/Guidelines Review Report;	FIRM	July/August 2019
Four Country Case Study Reports including in-depth Project Results Assessment (16);	FIRM	Mid-August – September 2019
A Cluster Evaluation	FIRM	October- 2019
A two volume evaluation report: Volume I - Synthesis Report of the Evaluation of the AfDB's support to Green growth and Climate change, 2008-2018 (up to 25 pages excluding key annexes), and Volume II - a detailed report based on all the building blocks reports and including all the relevant annexes such as evaluation Matrix, Data collection Tools, Pictures, Minutes of the meetings, Data base, Summaries on benchmarking, portfolio review and evaluation synthesis etc...	FIRM	November/ Mid December 2019
Final Summary Report to CODE (20 pages)	IDEV	December 2019

PROFILE OF THE EVALUATION TEAM (qualifications, experiences and competencies)

A firm (the consultant) will undertake the evaluation using a balanced team with demonstrated professional knowledge, skills and extensive and proven experience in:

- Evaluation/review/synthesis/benchmarking theories/practices;
- Evaluation of complex development projects/ programs involving Green Growth and Climate Change issues or similar programs;
- Development of evaluation designs, and methods and techniques (qualitative and quantitative approaches) with experience in using qualitative data analysis tools/software;

- International development work and issues especially within the contexts of Africa and MDBs.
- Development operations of Multilateral Development Banks
- Green Growth and Climate Change development and management issues in Africa.
- Report writing and communication skills in English and/or French – an appropriate mix of English and French language skills
- Computer literacy in standards applications and analytical packages

It is strongly recommended that firms use senior, junior and local consultants and make sure that the team is large enough to ensure the required level of effort is achieved within the required time frame.

MANAGEMENT, ENGAGEMENT AND QUALITY ASSURANCE ARRANGEMENT

An IDEV Task Manager will be responsible for: (i) providing overall guidance to the consultant, and approval of the evaluation process and outputs (inception report; background reports, draft and final evaluation reports); (ii) quality assurance process including the external peer review of the key evaluation products, and receiving comments from the Evaluation Reference Group (ERG); (iii) recruiting of the consultant (iv) briefing the consultant; (v) establishing the ERG; (vi) receiving from the consultant all data, files (including raw data, coded data, interview notes, databases) that will be produced; (vii) preparation of the evaluation approach paper/ToRs and Portfolio review (viii) communicating to the AfDB's Management and Board of Directors, and disseminating the final evaluation results to the key stakeholders. IDEV will also recruit two competent and experienced international experts/advisors (content-area; evaluation) for the external peer review of the evaluation process and outputs; (viii) ensuring the payment of the consultant.

The **evaluation reference group (ERG)** will comprise selected Bank staff from the relevant complexes/Departments/Units. The ERG will review and comment on the evaluation process and outputs (inception report; evaluation reports), and provide a sounding platform for rapid feedback especially on the evaluation plan (including design and methods) and emerging evaluation findings.

The evaluation team will maintain contact with Bank stakeholders (mainly operational complex) throughout the whole evaluation process.

EVALUATION BUDGET

The evaluation budget will comprise all expenses including fees, travel and taxes. The firm/consultant will provide a detail budget with breakdown against activities and key milestones.

Annex 2. Terms of Reference (TOR) for the additional assignment

Terms of Reference (TOR) for the additional assignment



AFRICAN DEVELOPMENT BANK

Evaluation of the African Development Bank Group Support to Green Growth and Climate Change (2008-2018)

I. PURPOSE, OBJECTIVES SCOPE AND TIMELINE OF THE MISSION

In July 2019, The Independent Development Evaluation (IDEV) of the African Development Bank Group (the "Bank") recruited LTS International limited for a period of five months and half to carry out an evaluation of the Bank's assistance to Green Growth and Climate Change related policies, strategies and projects approved between 2008 and 2018.

The purpose of the evaluation is to support the Bank's management and operational staff in (i) improving the strategic, conceptual and implementation issues related to Green growth and Climate change interventions in its Regional Member countries; (ii) promoting learning, by identifying the lessons learnt and recommendation on how the Bank could contribute most effectively in improving design, and delivery of the Bank's Green Growth and Climate Change related interventions; (iii) accounting to the Board and other stakeholders for the results of the Bank's investments in Green Growth and Climate Change.

The key objectives of the evaluation are to:

- Assess how well the Bank's has mainstreamed Green Growth and Climate Change in its interventions (Policies, Strategies and Projects);
- Assess the performance of the Green Growth and Climate Change projects focusing on their relevance, effectiveness, efficiency, and sustainability;
- Identify the enablers and barriers that affected the design, implementation and results of the Bank's Green Growth and Climate Change interventions;

- Draw lessons learned, good practices and recommendations to enable the Bank to enhance the quality and performance of its Green Growth interventions and processes.

This evaluation work is in progress and the workshop presenting the preliminary findings and recommendations took place on December 10, 2019.

Following the validation workshop, IDEV deemed it necessary to include the central region in the case studies and reinforce the LTS evaluation team for the delivery of quality and timely evaluation.

Hence the preparation of this addendum to the initial contract for the conduct of a fifth case study including 4 Project Results Assessment (PRAs) on the Central African region. The country selected to carry out the field mission is Cameroon.

Tasks to be performed

Cameroon Country Case Study including 4 PRAs

The main focus of case studies is to have in-depth discussion on policy and strategic issues with the main Green growth and Climate Change stakeholders. The country case studies will aim at better understanding the role of internal and external factors – including systemic factors - contributing to the success or failure of AfDB's interventions as well as complementarities, sequencing, and synergies of interventions. These country case studies will among other thing assess the comprehensiveness of the Bank's approach in addressing Green Growth and Climate change issues in RMCs. The evaluation will firstly investigate how the Bank's activities are implemented in line with the countries' priorities and the Bank's policy framework. In addition, the evaluation will assess how well the Bank mainstreamed green growth in its interventions (including strategies and operations) at country level and produced desired outcomes, and (ii) generating relevant lessons learned, by assessing the use of different instruments and the synergies between lending and non-lending activities. A review of the CSPs of the selected countries will assess to what extent this mainstreaming is discussed at a strategic level. Finally, the appropriateness of the project design at approval will be assessed; particularly the extent to which the Bank has integrated emerging trends in the design of its projects.

The Cameroon country case study will include the review of the Bank Group's knowledge products, including non-lending technical assistance, economic and sector work, sector analyses, advisory services, economic analysis, as well as policy dialogue that supports Green growth and Climate Change interventions.

The case study will include: (1) semi-structured interviews with stakeholders including executing agencies, Bank's field office, Development partners involved in Green Growth and Climate Change, related private sector institutions, and so on. (2) Site visits to investigate selected projects, (iii) in-depth interviews with direct beneficiaries.

Project Results Assessment (PRA) including quality at entry, supervision and exit analysis.

The main objective of the project results assessment is to assess the development results of the selected Bank-funded projects as well as their sustainability, in order to provide credible background reports for the thematic cluster evaluations and other building blocks of the sector

evaluation. PRAs will contribute to better understand the positive/negative results of the African Development Bank Assistance on the ground, as well as its sustainability. The PRA will specifically: (i) assess the extent to which the project performed from a green growth and climate change perspective. The assessment will be based on four main criteria namely: relevance, effectiveness, efficiency and sustainability; (ii) identify the factors that facilitated/constrained the project performance; and (iii) identify and record, from the above, the key lessons and recommendations relevant for the bank's green growth and climate change related objectives for portfolio improvement.

The evaluation will consider and assess all activities that have been implemented under the selected project with relevance for green growth and climate change. It should examine the performance of the project in accordance with its logic model. The approach through which the project performance will be assessed is the contribution analysis that aims to demonstrate whether or not the evaluated intervention is one of the causes of observed change. It may also rank the evaluated intervention among the various causes explaining the observed change in the project intervention areas. It will be based on a set of logical arguments that are verified through a careful confirmatory analysis.

To be able to assess the performance of project, sector-specific indicators (See annex 1) a PRA template designed for the purpose of this evaluation will be used to provide a common understanding of success or failure of a project. A set of potential indicators, presented in annex 1, will be used as applicable to facilitate the synthesis analyses even if each project will be treated as a very specific case according to its implementation socio-economic and political context.

The following criteria have been considered for the selection of the projects subject to Results Assessment:

- Projects financed between 2008-2018 for both sovereign and non-sovereign projects;
- Projects with Project Completion Reports or with a high level of implementation/disbursement ratio;
- Projects that Cover either infrastructure (i.e. power projects, road projects etc.) or natural resources management (agriculture, forestry, waste management etc.);
- Projects with GG and CC Components or Standalone projects.

Annex 3 and 4 present the template to be used for the preparation of the country case study and PRAs.

Deliverables and Timeline

Evaluation deliverables. The deliveries of the consulting team will be the following outputs (In English):

- Revised Inception report (s);
- Revised Synthesis Report on the Countries Case Studies including in the annex the Five Country Case Study Reports, and in-depth Project Results Assessment (20)19;
- A revised Cluster Evaluation Report Sustainable infrastructure (Power and Transport)

¹⁹ The Project Results assessment will be the main building blocks for the preparation of the 2 cluster evaluations.

- A revised Cluster Evaluation Report on efficient use of natural resources (Agriculture and Environment) , including comments to be received by 10 March but excluding integration of findings from Cameroon
- A revised two volume evaluation report: Volume I - Synthesis Report of the Evaluation of the Bank's support to Green growth and Climate change, 2008-2018 (up to 25 pages excluding key annexes), and Volume II - a detailed report based on all the building blocks reports and including all the relevant annexes such as evaluation Matrix, Data collection Tools, Pictures, Minutes of the meetings, Data base (prepared by IDEV), etc...

The revision will consist of integrating (i) findings from the Cameroun case study into all the planned deliverables; and (ii) comments received from IDEV/Evaluation Reference Group/Operations.

Timeline. Preparing the Cameroun case study and reinforcing the LTS Team to improve the quality of the evaluation products require the extension of the Contract duration for a further term of 3 months and half commencing 17 February 2020 and ending 31 May 2020. This is to account for all final products, as stipulated in the initial terms of reference and in the revised delivery timeline below, to be delivered.

The final Green growth and Climate change evaluation report is expected to be completed and delivered in May 2019.

Timeline for GG & CC Evaluation 2020		
Task	Dates	Responsible
Contract Amendment to include central Africa	18 February 2020	LTS/IDEV
<i>Inception Phase</i>		
Submit updated Draft Inception Report to reflect Cameroon CCS and comments on the Evaluation Matrix	19 February 2020	LTS
IDEV to send one remaining round of comments on available reports (Evaluation matrix, 2 Cluster reports, Morocco and Senegal CCS) including sharing of validation workshop minutes	17 Feb-10 March 2020	IDEV
Submit Final draft reports: CCS for four countries, synthesis CCS, Cluster, Scorecards, Portfolio, Evaluation technical and synthesis report), Benchmarking template, incorporating all the comments received so far (independently of Cameroon CCS)	16 March 2020	LTS
Receive feedback from IDEV on updated inception report	19 February 2020	IDEV
Submit Final updated Inception Report	20 February 2020	LTS
<i>Implementation Phase</i>		
1 in-country visits to prepare country case study (Central Africa)	09-17 March 2020	LTS/IDEV
Complete the Cameroon country mission report and 4 PRAs	31 March 2020	LTS
QA on Cameroon CCS and PRAs (Feedback from IDEV&Peer reviewer)	6 April 2020	IDEV
First revised Cameroon PRAs and Country report	13 April 2020	LTS
QA on Cameroon CCS and PRAs (Feedback from Country and Reference group)	20 April 2020	IDEV
Second revised PRA and Country report	27 April 2020	LTS

Submit updated draft of synthesis report of country case studies (incl. annexed 5 country case study reports) and (20) PRAs	29 April 2020	LTS
QA (Feedback from IDEV)	4 May 2020	IDEV
Submit Final updated draft of synthesis report of country case studies (incl. annexed 5 country case study reports) and (20) PRAs	6 May 2020	LTS
Submit Draft updated draft Sustainable Infrastructure cluster evaluation	04 May 2020	LTS
QA (Feedback from IDEV, PEGC and operations)	13 May 2020	IDEV
Submit Final updated draft Sustainable Infrastructure cluster evaluation	19 May 2020	LTS
Draft Synthesis Report (Volume I)	13 May 2020	LTS
QA (Feedback from IDEV&Peer reviewer)	20 May 2020	IDEV
First Revised Synthesis Report (Volume I)	22 May 2020	LTS
QA (Feedback from Reference Group)	27 May 2020	IDEV
Submit Final Revised Synthesis Report (Volume I) and technical report (Volume II)	29 May 2020	LTS

III. PROFILE OF THE EVALUATION TEAM (qualifications, experiences and competencies)

LTS International Limited should use senior, junior and local consultants and make sure that the team is large enough to ensure the required level of effort is achieved within the required time frame.

IV. MANAGEMENT, ENGAGEMENT AND QUALITY ASSURANCE ARRANGEMENT

An IDEV Task Manager will be responsible for: (i) providing overall guidance to the consultant, and approval of the evaluation process and outputs (inception report; background reports, draft and final evaluation reports); (ii) quality assurance process including the external peer review of the key evaluation products, and receiving comments from the Evaluation Reference Group (ERG); (iii) recruiting of the consultant (iv) briefing the consultant; (v) establishing the ERG; (vi) receiving from the consultant all data, files (including raw data, coded data, interview notes, databases) that will be produced; (vii) preparation of the evaluation approach paper/ToRs and Portfolio review (viii) communicating to the Bank's Management and Board of Directors, and disseminating the final evaluation results to the key stakeholders; (ix) ensuring the payment of the consultant.

The evaluation reference group (ERG) will comprise selected Bank staff from the relevant complexes/Departments/Units. The ERG will review and comment on the evaluation process and outputs (inception report; evaluation reports) and provide a sounding platform for rapid feedback especially on the evaluation plan (including design and methods) and emerging evaluation findings.

The evaluation team will maintain contact with Bank stakeholders (mainly operational complex) throughout the whole evaluation process.

V. EVALUATION BUDGET

The evaluation budget will comprise all expenses including fees, travel and taxes. The detailed below budget with breakdown against activities and key milestones was provided by LTS and accepted by IDEV.

Annex 3. List of Projects for Project Results Assessments

MAROC											
PCR?	NPCR?	Project code	Autonome/ Composante	Project name	Region	Sector Name	Status of	Approval Date	Netloan	Disbursement Ratio	Departement
DISPONIBLE	DISPONIBLE	P-MA-E00-007	Autonome	DIXIEME PROJET D'AEP	North 2	Water Sup/Sanit	CLSD	19/11/2008	59,476,941	100.00	AHWS
DISPONIBLE	NON	P-MA-AAC-014	Composante	PROJET D'APPUI AU PROGRAMME NATIONAL D'ECONOMIE D'EAU D'IRRI	North 2	Agriculture	COMP	14/12/2009	44,464,173	89.56	AHFR
DISPONIBLE	NON	P-MA-EAZ-003	Composante	RECHARGE DE LA NAPPE DU HAOUZ	North 2	Water Sup/Sanit	CLSD	12/01/2009	1,570,227	100.00	AHWS
DISPONIBLE	DISPONIBLE	P-MA-FF0-001	Autonome	Maroc - Projet de centrale solaire de Ouarzazate – Phase 1	North 2	Power	COMP	16/05/2012	154,485,415	100.00	PERN
MOZAMBIQUE											
PCR?	NPCR?	Project code	Autonome/ Composante	Project name	Region	Sector Name	Status of	Approval Date	Netloan	Disbursement Ratio	Departement
DISPONIBLE	DISPONIBLE	P-MZ-E00-006	Composante	NIASSA PROVINCIAL TOWNS WATER AND SANITATION	South 2	Water Sup/Sanit	COMP	29/04/2009	17,549,315	100.00	AHWS
DISPONIBLE	DISPONIBLE	P-MZ-E00-008	Composante	NATIONAL RURAL WATER SUPPLY PROGRAM	South 2	Water Sup/Sanit	COMP	09/11/2010	10,190,291	100.00	AHWS
DISPONIBLE	NON	P-MZ-AAC-005	Autonome	MASSINGIR DAM EMERGENCY REHABILITATION PROJECT SUPPLEMENTARY	South 2	Agriculture	COMP	22/05/2013	22,010,000	82.97	AHFR
NON	NON	P-MZ-CZO-001	Autonome	SUSTAINABLE LAND & WATER RES. MGT PROJECT (SLWRMP) PPCR	South 2	Environment	OnGo	31/10/2012	13,363,516	79.23	PECG
RWANDA											
PCR?	NPCR?	Project code	Autonome/ Composante	Project name	Region	Sector Name	Status of	Approval Date	Netloan	Disbursement Ratio	Departement
DISPONIBLE	NON	P-RW-FG0-001	Autonome	Rwanda - (loan to "KivuWatt Limited") - methane gas extraction and power gene	East 1	Power	COMP	03/02/2011	17,878,597	100.00	PESR
DISPONIBLE	DISPONIBLE	P-RW-DB0-012	Composante	PROJET DE ROUTE BUTARE-KITABI-NTENDEZI	East 1	Transport	CLSD	25/03/2009	13,171,340	100.00	PICU
NON	NON	P-RW-FA0-006	Autonome	SCALING-UP ENERGY ACCESS PROJECT	East 1	Power	OnGo	26/06/2013	27,365,000	70.93	PESD
DISPONIBLE	DISPONIBLE	P-RW-E00-005	Composante	DEUXIEME SOUS-PROGRAMME D'AEPA EN MILIEU RURAL	East 1	Water Sup/Sanit	COMP	01/07/2009	15,735,598	100.00	AHWS
SENEGAL											
PCR?	NPCR?	Project code	Autonome/ Composante	Project name	Region	Sector Name	Status of	Approval Date	Netloan	Disbursement Ratio	Departement
DISPONIBLE	DISPONIBLE	P-SN-AAC-003	Autonome	PROJET D'APPUI A LA PETITE IRRIGATION LOCALE - PRET SUPPLEME	West 2	Agriculture	COMP	31/01/2011	7,990,725	100.00	AHFR
DISPONIBLE	DISPONIBLE	P-SN-E00-004	Autonome	SOUS-PROGRAMME AEPA EN MILIEU RURAL - PHASE II	West 2	Water Sup/Sanit	TERM	18/02/2009	29,118,353	100.00	AHWS
DISPONIBLE	DISPONIBLE	P-SN-DB0-010	Composante	AUTOROUTE DAKAR-DIAMNIADIO	West 2	Transport	COMP	15/07/2009	43,587,490	100.00	PICU
NON	NON	P-SN-A00-004	Autonome	Sénégal - Projet de restauration des fonctions écologiques et économiques du la	West 2	Agriculture	OnGo	04/09/2013	15,940,790	78.93	AHAI

List of project reviewed for Cameroon:

PCR?	NPCR?	Project Code	Autonomous/component	Project Name	Region	Sector	Status	Approval date	Netloan	Disbursement ratio	Department
TBC	TBC	P-CM-FAA-002	Autonomous	DIBAMBA POWER PROJECT	Central	Power	Ongoing	4/28/2010	UAC 17945371.04	100%	PITD
TBC	TBC	P-Z1-DB0-083	Autonomous	CONSTRUCTION DE LA ROUTE KETTA-DJOURM PHASE 2 - CAMEROUN	Central	Transport	Ongoing	10/21/2015	UAC 89039804.71	14%	PICU
TBC	TBC	P-CM-EB0-007	Component	PROJET D'ASSAINISSEMENT DE YAOUNDÉ PHASE II (PADY2)	Central	Water Sup/Sanit	Ongoing	6/19/2013	UAC 23912840.49	46%	PESD
TBC	TBC	P-Z1-C00-054	Autonomous	PROJET POUR LA CONSERVATION DE LA BIODIVERSITE EN AFRIQUE CE	Central	Environment	Completed	7/22/2013	UAC 250000	98%	PECG (RDGC2)

Annex 4. Inception Mission Meeting Schedule 29th July- 2nd August 2019

Monday	Tuesday	Wednesday	Thursday	Friday
9h-12h	9h-10h	9h-10h	9h-10h	10h-11h
Meeting with Mabarakissa DIOMANDE, Senior evaluation officer IDEV Task Manager for Green growth and Climate change evaluation and Fode TURAY IDEV.1 OIC Division manager	LTS Meeting with headquarter 10h-12h30 Meeting with 7 REPRESENTATIVES OF FUNDS See yellow sheet for details	Adongo Georges Task Manager for Kenya Road Project Timboroa 10h-12h30 Meeting with MEMBERS OF REFERENCE GROUP See Red sheet for details	M.SIFUMA JOHN Task Manager for Kenya Small Med Water supply & waste wat 10h-11h Ms SENE MAME SOCE, Consultant, Congo Bassin Forest Fund (CBFF) 11h-12h30 Richard Humphrey Ndwiga (Manager RDG1) Aslaw Solomon Task Manager for Kenya NELSAP interconnection project	Awa BAMBA OIC Manager/Lead Operations Advisor Operations committee secretariat (SNOQ1) 11h-12h30 GARBA LOUALI Chief climate change officer, AHAI2
14h-17h	12h30-14h	14h-15h	13h00-14h 30	14h30-17h
Meeting with Mabarakissa DIOMANDE and her Team Benjamin CAMARA, Junior consultant Rita EFFAH, Young professional	SERGES NGUESSAN Deputy Director General West Africa 15h-16h ROT-MUNSTERMANN KAREN OIC Evaluator General, IDEV 16h-16h30 MUNYARUYENZI Philippe Task Manager of Rwanda Road Project BUTARE-KITABI-NTENDEZI 16h30-17h JACKSON PENELOPE Division Manager, Quality assurance (SNOQ2)	JOSPEH MOUANDA Principal Evaluation Officer (Infrastructure evaluations), IDEV 15h-16h30 SHINGIRO OLIVIER NTARUBIBE Division Manager, Corporate performance and accountability (SNDR1) 16h30-17h JOSPEH MOUANDA Principal Evaluation Officer (Infrastructure evaluations), IDEV	Green growth and Climate Change department (PECG) Team Michelle Layte, Consultant GG&CC RDGS Mwila Musumali Musole, GG&CC officer PEG2 (South region) Eyong Ako Charlotte, Principal GG&CC officer (OIC manager) (Center region) Diego Fernandez Develasco, consultant RDGN 1 (North) Robert Ochieng Mugage, Consultant GG&CC RDGE (Est) 16h-17h Justin ECAAT Lead Environmental Safeguards Officer, RDGE	Evaluation Team (LTS+IDEV) Meeting

Reference Group members present during the meeting/ToC workshop

Name	Department	Division	Full name of Department	Full name of Division	Function
Ms Akane ZOUKPO-SANANK	PIFD	PIFD 2	FINANCIAL SECTOR DEVELOPMENT	CAPITAL MARKETS DEVELOPMENT	Principal Investment Officer
Mr Ihcen Naceur	PEVP	PESA	POWER, ENERGY, CLIMATE AND GREEN GROWTH		Portfolio Data Analyst
EYONG, AKO CHARLOTTE	PECG	PECG 2	CLIMATE CHANGE & GREEN GROWTH	CLIMATE AND GREEN GROWTH	Principal Climate Change and Green Growth Officer
Mr Laouali Garba	AHAI	AHAI2	AGRICULTURE & AGRO-INDUSTRY	AGRICULTURE RESEARCH, PRODUCTIVITY	Chief climate change officer
Mr NARTEY, CECIL	AHFR	AHFR 0	AGRICULTURAL FINANCE & RURAL DEVELOPMENT		Agricultural Economist
VAJETH, OMAR	PESD	PESD 1	POWER SYSTEMS DEVELOPMENT	SYSTÈMES ELECTRIQUES NATIONAUX	Principal Corporate Relationships Officer
Mr Deji Adebola	PESR	PESR2	ENERGY FINANCIAL SOLUTIONS, POLICY AND REGULATION		Senior Investment Officer
Victoria FLATTAU	PICU	PICU2	INFRASTRUCTURE, & URBAN DEVELOPMENT	TRANSPORT & LOGISTICS	Senior Urban Development Officer
Ms. Katja Juvonen	SNSP	SNSP0	STRATEGY AND OPERATIONAL POLICIES		Senior Strategy Officer
NARE, HERMANN	SNDR	SNOQ2	DELIVERY, PERFORMANCE MANAGEMENT	QUALITY ASSURANCE	
Mr Amadou Bamba Diop	RDGC	RDGC2	DIRECTOR GENERAL-Central	REGIONAL SECTOR MANAGER 2	Principal Environment
Mr. Robert Ochieng // Mr. Olufunso Somorin	RGDE	RGDE1 // RGDE1	DIRECTOR GENERAL-East	REGIONAL SECTOR MANAGER 1	Consultant - Climate Change- Growth // Principal Climate Change & Green Growth
OSMAN-ELASHA, BALGIS	RDGN	RDGN1	DIRECTOR GENERAL-North	REGIONAL SECTOR MANAGER 1	Principal Climate Change & Green Growth Officer
MUJA, ANNAH RUTEBUKA	RDGS	RDGS4	DIRECTOR GENERAL-South		
GABA-OUEDRAOGO, FATIM	RDGW	RDGW 1	DIRECTOR GENERAL- West	REGIONAL SECTOR MANAGER 1	

Representatives of funds present at meeting

Name	Funds Name	Function
LITWIN, CAROL ALEXANDRA //GORAN LIMA	Sustainable Energy Fund for Africa	Principal Renewable Energy Officer//Consultant
EMENANJO, IJEOMA	Global Agriculture and Food Security Program Trust Fund	Consultant
OVUIKE, SARA	Global Environmental Facility	Consultant
RUDOLPH, JOCHEN	Rural Water Supply & Sanitation	Focal Point
OLET, EMMANUEL	AfricaWater Facility Fund	OIC of AWF
YAMADJAKO, AUDREY-CYNTHIA	Climate Investment Fund	Senior Climate Finance Officer , PECG1
ABUBAKAR, HABIB AUWAL	Green Climate fund	Consultant
SENE, MAME SOCE	Congo Basin Forest Fund	Consultant

Annex 5. Documents Reviewed

AfDB IDEV (undated): Transport in Africa: The African Development Bank's Intervention and Results for the Last Decade. Brief key Findings and Recommendations.

AfDB IDEV (undated): Transport in Africa: The African Development Bank's Intervention and Results for the Last Decade. Evaluation brief.

AfDB IDEV 2019: Evaluation of the Bank's Support to the Energy Sector (1999-2018) Portfolio Review Report Draft 1 (July 2019)

AfDB IDEV, 2014: Transport in Africa: The African Development Bank's Intervention and Results for the Last Decade Summary Evaluation Report (December 2014)

AfDB IDEV, 2014: Transport in Africa: The African Development Bank's Intervention and Results for the Last Decade Summary Evaluation Report. Executive Summary. (December 2014)

AfDB IDEV, 2016: Comprehensive Evaluation of the Development Results of the African Development Bank Group 2004-2013 Synthesis Report (October 2016)

AfDB IDEV, 2017: 2017: Evaluation of Bank Assistance in the Energy Sector, Summary Report to CODE (June 2017)

AfDB IDEV, 2017: Evaluation of Bank Assistance in the Energy Sector. Summary Report to CODE (June 2017)

AfDB IDEV, 2018: Cabo Verde: Evaluation of the Bank's Country Strategy and Program 2008–2017, Summary Report (November 2018)

AfDB IDEV, 2018: Powering Africa Through Interconnection Cluster Evaluation Report (March 2018)

AfDB IDEV, 2018: Strengthening Agricultural Value Chains to Feed Africa Cluster Evaluation Report (March 2018)

AfDB IDEV, 2019: Evaluation of AfDB's Support to the Water Sector (2005-16) Beyond Infrastructure Development: Toward Service Delivery and Behavioral Change. Summary Report (June 2019)

AfDB IDEV, 2019: Evaluation of AfDB's Support to the Water Sector (2005-16), Beyond Infrastructure Development: Toward Service Delivery and Behavioral Change. Summary Report (June 2019)

AfDB IDEV, 2019: Evaluation of the African Development Bank's Integrated Safeguards System SUMMARY REPORT (July 2019)

AfDB IDEV, Rebel Group International, 2019: Renewables Sector Review Note. 31.07.2019 (Draft)

AfDB Strategy and Policy Department (SNSP) 2018: Mid-Term Review of the Ten Year Strategy, Draft February 2018

AfDB, 2007: African Development Report 2007, Natural Resources for Sustainable Development in Africa. 978-0-19-923886-6

AfDB, 2010: Board of Governors' Report on the Twelfth General Replenishment of the Resources of the African Development Fund (ADF-12), ref. ADF/BG/WP/2010/0610 (November 2010)

AfDB, 2012: Annual Development Effectiveness Review 2012, Growing African Economies Inclusively

AfDB, 2013: Board of Governors' Report on the Thirteenth General Replenishment of the Resources of the African Development Fund (ADF-13), ref. ADF/BD/WP/2013/122/Rev (16 November 2013)

AfDB, 2013: Integrated Water Resources Management in Africa: An Independent Evaluation of Bank's Assistance 2000-2010

AfDB, 2014: Annual Development Effectiveness Review 2014, Towards Africa's transformation

AfDB, 2014: Transport in Africa: The African Development Bank's Intervention and Results for the Last Decade. Summary Evaluation Report (December 2014)

AfDB, 2015: PRA South Africa, Sere Wind Farm, 30 September 2015 (Project Performance Assessment Template for public sector projects)

AfDB, 2015: The African Development Bank at the UNFCCC COP21 meeting — Africa's climate opportunity: Adapting and thriving

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The Rebel Group International 2019: Renewables Sector Review Note African Development Bank Independent Evaluation (31.7.2019)

The Rebel Group International, 2018: Independent Evaluation of African Development Bank's PPP Interventions-Phase 2 African Development Bank Project Results Assessment-Tangier II Wind Farm (11.5.2018)

Annex 6. Draft Data Collection Tools and Report Outlines

Annex 6.1. Benchmarking Analysis Template

A rapid assessment of GG-CC policies and programmes will be undertaken for multilateral development banks (World Bank; Asian Development Bank; EIB; Inter-American Development Bank). The criteria that will be used to assess these projects is outlined in the Benchmarking analysis template.



Benchmarking -
Analysis template.xlsx

Annex 6.2. Portfolio Performance Scorecards

A scorecard approach will be used to synthesise results across the 16 PRAs



Portfolio
performance scorecar

Annex 6.3. Project Results assessment grid



PRA - Assessment
Grid_final.docx

Annex 6.4. Country Case Studies: approach and reporting template

Country Case Study Approach

Inception Report Contribution: COUNTRY CASE STUDIES

Introduction:

Country Case Studies form one of the six building blocks of the GG and CC analysis. Five country case studies will be undertaken:

- Cameroon
- Morocco,
- Rwanda;
- Senegal; and
- Mozambique.

The primary objective of the country case study work is to strengthen the evidence base concerning application of the Bank's strategic objectives with respect to Green Growth and Climate Change. Country visits are focused to make the best use of the available time. The country visits will permit us

to test how the performance of the AfDB at country level has advanced in facilitating GG and addressing the challenges of CC. An inductive approach may prove most useful where the findings on the ground in relation to the evaluation questions contribute to appreciation of the larger picture.

The approach is two pronged: to examine the interaction between HQ and field office (internal) and the interaction between field offices and other stakeholders in country or region (external).

The countries will be visited once the data collection (review of policy documents and guidance, the institutional review and the portfolio reviews) has advanced significantly. In preparation of the country visits, findings from the various reviews can be taken into account and tested on the ground.

The assumption that guides the country visits is: That HQ policies, guidelines and other instructions from HQ are only *one* source for country offices to work with and potentially have limited impact on the country office and its staff. This will be done by examining the entire cycle of Bank operations, from Country Strategy preparation, to project formulation (including assessment of quality at entry), through project delivery (all aspects of execution) to project completion.

The great advantage of the country case studies is that it provides a key opportunity to establish partner country/beneficiary appreciation of the process, its strengths and weaknesses, and the level of ownership achieved, when looking through a Green Growth and Climate Change perspective. It also enables meetings with Country Offices, in order to ascertain their perception of how embedded GG and CC is in the country portfolio, what challenges they face (institutional partners, resources, ownership by beneficiaries etc) and what steps they believe are practical in terms of strengthening GG and CC agenda at country level.

Regional coordination is significant – as they often are for particularly for transport and energy projects²⁰ - so as part of our fieldwork we will take particular account of the performance of multi-country projects.

Country studies will review strategies and portfolios for the five countries. Through review of additional background analysis and selected operations we will identify the key factors that have affected Bank performance on Green Growth and Climate Change. The methodology for the country reviews has been developed with the aim to ensure that they are evidence based, “joined up” and, to the extent possible, triangulated using multiple sources of information. This will facilitate drawing of coherent conclusions.

Country visits will be organised through the following five step process:

Step 1: Contact with the AfDB’s Country Office (CO). This will be undertaken in conjunction with IDEV and will facilitate confirmation of the country review objectives, timing and schedule of meetings. In each case we anticipate meeting the country office at the start of the mission, and will also propose a debriefing at the end of the visit, in order to ensure that the CO has a broad understanding of what has taken place, any difficulties that occurred and any preliminary findings. Since this is an independent evaluation, it would not be appropriate for CO staff to attend all meetings (as this might inhibit feedback from beneficiaries etc.). Despite this in many cases for operational reasons it would be helpful if the Task Manager or another appropriate individual (county economist or even the head of office) could participate in order to make introductions, and to provide background information.

Step 2: Country level document review: This will be undertaken by the lead reviewer for each country, supplemented by information gathered from Project Completion Reports, benchmarking and other “building block” work.

A key aspect will focus on **Country Strategy Papers (CSPs)** and, where available, Country Strategy Completion Reports (CSCRs). These will be reviewed, and additional mid-term reviews and relevant sector reviews will also be assessed. These provide an important source of evidence for this evaluation. Since the timespan of the evaluation is comparatively long, we anticipate that at least two CSPs will be

²⁰ This also applies to water, especially regional water security and agriculture projects, for example with respect to bio-security. The evaluation focuses on transport and energy with respect of the contribution analysis but will still provide insights to these important sectors from the PRA and from the Country Case Studies.

reviewed for each country. The review of CSPs will help to establish the extent to which Bank strategies for delivering its country assistance increasingly reflect GG and CC principles and are therefore likely to support the AfDB's progress with the High 5s from a GG and CC perspective. The evaluator will draw up (for team use only) a list of issues to help inform the interviews.

Similarly, **national policy documents** such as Vision Statements, national and sector development plans will be reviewed, through a green growth and climate change lens. The beneficiary Government's public policy statements, relevant to GG and CC will be assessed for consistency, clarity and purpose. To the extent practical the direction of travel will be assessed i.e. has the green growth agenda gained momentum within the beneficiary country, as a prelude for assessing the Bank's contribution and/or response to evolving priorities.

Consideration will be given to:

- Institutional responsibilities and clarity of vision and purpose;
- The evolution of the national policy setting;
- To the extent practical the degree of leadership and quality of engagement of the public and private sectors and civil society organisations.

This rapid review will help to set the scene for the country reviews. It may be possible to strengthen the evidence base and triangulate findings from key external sources such as economic analyses (prepared by the AfDB, the World Bank, or by external parties such as Think Tanks, research organisations and NGOs).

Step 3: Structuring and implementing the interview programme

Interviews will be divided into three clusters:

- i) Bank staff, both in Country Offices and, where practical in Headquarters and in regional offices;
- ii) Partner country Departments (likely to include the Ministry of Finance, (possibly) Ministry of Foreign Affairs, and key line Ministries, including transport, energy and possibly agriculture;
- iii) Project staff, including implementing partners.

We anticipate that within the five to seven working days of each country visit, the first day will be likely largely with Bank offices, and the remainder of the programme will be largely "external", i.e. with Government Departments and beneficiaries. We will seek to ensure that project visits are not overly capital city focused, but include one or more visits to projects in secondary cities or rural areas.

Interviews will be **semi-structured**, and will be tailored towards informing the evaluation matrix, as well as preparing the country evaluation reports. Interviews cannot be over-loaded, and we will therefore prioritize especially critical issues and those topics with the highest value added. Care will be taken to triangulate findings. Consideration will be given to using focus groups, amongst beneficiaries, but given the nature of the evaluation, this is unlikely to be appropriate or to maximize information gained.

In order to maximize coverage in the limited time available we request that the Country Offices should play a lead role in setting up the interview schedule and facilitating the process. We are also conscious that the country visits, largely scheduled for the end of August and beginning of September, come at the end of the vacation period and some staff may be away. Loss of institutional memory may be a constraint for some older projects due to staff changes and availability constraints. For this reason, it is helpful to spread the net of projects and contacts reasonably wide.

Step 4: Contribution to Project Cluster Evaluation

The purpose of case studies is to gain additional insights into key factors driving or hindering the Bank's performance on Green Growth and Climate Change. This will focus on Sustainable Infrastructure (Power and Transport). From an Institutional perspective at country level we anticipate that different

Ministries, Departments and Agencies will be stakeholders in these sectors, and our reporting will be structured accordingly.

- A review of the **power sector**, including support for renewable energy. Organisation of the sector varies between countries, but is likely to include meetings with the following stakeholders: Ministry of Energy (or equivalent); power sector generators/distribution entities (which may be parastatals, or private companies); public and private sector providers;
- A review of the **transport sector** is expected to provide insights into the key challenges faced by the Bank working in a sector that constitutes a major share of funding. It is likely to include the Ministry of Infrastructure, or Transport (sometimes this is the Ministry of Works) with sector oversight. In addition it will include the Road Agency responsible for constructing and maintaining roads, and any other mode specific implementing bodies (e.g. airport, railway or port authorities). The Bank's main thrust has been on transport infrastructure and not on transport services, so it is less likely that transport service operations have received funding.

The two components of the cluster analysis will be brought together at country level in order to compare and contrast findings between sectors. Where appropriate it will also reflect on sustainable infrastructure in an urban context. Africa is urbanizing rapidly, and the Bank is being increasingly challenged to work in the complex institutional setting often present in urban areas where issues of land tenure, informal settlements, municipality boundaries and overlapping responsibilities are often a challenge.

Step 5: Analysis of Country visits

The purpose of the country visits is to crosscheck findings from organization and PRA review and add further depth to analysis of change at country/regional level. The main questions for the country visits will be:

- a) how country offices and their staff have responded to HQ commitment to the GG and CC priorities since 2008, its action plan, policies, guidelines and other material relevant to mainstreaming these objectives;
- b) how country offices have engaged and supported mobilization of GG and CC on the ground in collaboration with government, the private sectors, NGOs and other parts of civil society and in collaboration with other development partners.

The extent to which Going Green objectives are implemented is also influenced by government and other Development Partners. It is therefore necessary to assess AfDB's performance from the perspective of other stakeholders.

Step 6: Preparation of Country Case Study Reports

Each of the five country case studies will be reported upon using a consistent format, and these will be annexed to the Technical Report. Reporting templates will be synchronized, and a hierarchy of information will be provided, so that it is clear how data provided in the overall annex has been collected. The template for the country report matrix is provided below.

Annex 5.4.1. Interview guides (English versions)

- Key informant interviews: Country Office AfDB Staff



Bank Staff_Country
Level_KII.docx



Bank Staff_Country
Level_KII French.docx

- Key informant interviews: Headquarters and Regional Office AfDB Staff



Bank Staff_HQ and
Regional Level_KII.docx

- Focus Group Discussion and/or Key Informant Interviews: Beneficiaries



Beneficiaries_FDGs.docx



Beneficiaries_FDGs
(002)_French.docx

- Key informant interviews: Government officials



Government
Officials_Country_KII.docx



Government
Officials_Country_KII.docx

- Key informant interviews: Project Staff and Task Managers



Project Staff and
IPs_Country_KII.docx



Project Staff and
IPs_Country_KII French.docx

- Key informant interviews: AfDB Task Managers, country manager, consultants, and other AfDB staff



Questions for AfDB
Task Managers, country manager



Questions for AfDB
Task Managers consultants

Annex 5.4.2. Country case study mission report template



Country Case Study
Report Template.docx

Annex 5.4.3. Draft Table of Contents - Country Case Study Synthesis report



Draft Table of
Contents - Country Case Study

Annex 5.4.4. Draft Table of Contents – Sustainable Infrastructure Cluster Analysis



Cluster Analysis
Report Template MC

Annex 6.5. Draft Table of Contents– Vol 1 – Evaluation Synthesis Report



vol 1 synthesis
table of contents.doc

Annex 6.6. Draft Table of Contents – Vol 2 – Evaluation Technical Report



vol 2 Technical
Table of contents.doc

Annex 7. Risk Management

Evaluation Risks

Table 9 outlines the evaluation risks and the approach proposed to mitigate or minimise these risks. Any risks identified have been quantified in terms of likelihood and possible consequences (refer to Tables 10 and 11 over page). The cumulative risk rating is calculated according to Table 12 (over page).

Table 9. Evaluation Risks

Risk	Inherent Risk			Mitigating Action	Residual Risk		
	Probability	Impact	Risk		Probability	Impact	Risk
1. Risk that that there are significant gaps in GG-CC strategy, evaluation or project documentation or that these are not provided in a timely manner.	Possible (3)	Major (4)	Medium (12)	AfDB has been very supportive in trying to provide full project documentation and documents have been provided promptly to-date.	Unlikely (2)	Moderate (3)	Low (6)
2. Risk that the focus on a sample of countries and projects does not fully represent AfDB's extensive GG-CC portfolio and that the results are not generalisable.	Likely (4)	Major (4)	High (16)	A purposive sample of the case study countries has been used to ensure representation across regions, sectors and project type. The portfolio analysis provided by AfDB will be used to understand how representative the sample is and this information will be presented alongside the findings to support interpretation.	Possible (3)	Moderate (3)	Medium (9)
3. Risk that there is a lack of commitment and/or support within AfDB to engage constructively with the evaluation supplier, resulting in a reduction in quality and/or significant delays to the evaluation.	Possible (3)	Major (4)	Medium (12)	AfDB have been very supportive of evaluation activities to-date and the ERG participated in the inception mission. The Evaluation Team will continue to engage closely with IDEV to maintain momentum.	Unlikely (2)	Major (4)	Medium (8)
4. Risk that closed projects cannot be evaluated as part of the case studies due to lack of ongoing activities by project implementers and/or lack of sustainable results.	Likely (4)	Moderate (3)	Medium (12)	The evaluation has budgeted to provide assistance to closed project staff to assist with the evaluation.	Possible (3)	Moderate (3)	Medium (9)

5. Risk that stakeholders not available during in-country visit.	Likely (4)	Major (4)	High (16)	AfDB has been engaged early and will support with setting up stakeholder meetings for the in-country visits. If necessary, follow up interviews will be conducted via Skype.	Unlikely (2)	Major (4)	Medium (8)
6. Risk that the political/security situation is not conducive to conducting in-country evaluation related work within the case study countries (i.e. potential risk of Ebola in Rwanda).	Possible (3)	Major (4)	Medium (12)	The Evaluation Team has assessed the current security situation and do not expect the situation to change drastically in the few weeks prior to undertaking the fieldwork. In addition, the fieldwork is supported by national team members, who are better able to evaluate and respond to the political situation within each country. In the event that a key country cannot be assessed, LTS will work with AfDB and the ERG to assess how the remaining resources can be reallocated to support the evaluation.	Possible (3)	Minor (2)	Low (6)
7. Given the large number of EQs, there is a risk that the Evaluation Team cannot access sufficient information to give unambiguous answers to all the questions.	Possible (3)	Moderate (3)	Medium (9)	The Evaluation Team will consultant with the ERG prior to finalising the Inception Report to prioritise the ten key questions that must be answered as part of the evaluation. The other EQs will still be addressed to the extent possible but the focus of the key informant interviews and case studies will be to ensure key questions can be fully answered. Furthermore a focus on the overall and specific objectives of the evaluation as per ToR will be maintained.	Unlikely (2)	Moderate (3)	Low (6)

Guidelines on Risk Quantification

Table 10. Qualitative Measures of Likelihood

Descriptor	Score	Example detail description
Rare	1	May occur only in exceptional circumstances
Unlikely	2	Could occur at some time
Possible	3	Might occur at some time
Likely	4	Will probably occur in most circumstances
Almost certain	5	Is expected to occur in most circumstances

Table 11. Qualitative Measures of Impact

Descriptor	Score
Insignificant	1
Minor	2
Moderate	3
Major	4

Table 12. Cumulative Risk Rating

Overall Score	Rating
1-6	Low
7-13	Medium
14-20	High
21-25	Extreme

