

AFRICAN DEVELOPMENT BANK GROUP



An Evaluation of Environmental
Mainstreaming in African Development
Bank Support to the Road Transport
Subsector:
Approach Paper

**OPERATIONS EVALUATION DEPARTMENT
(OPEV)**

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List of Acronyms

AfDB	African Development Bank
BTOR	Back to Office Reports
CODE	Committee on Development Effectiveness
CSP	Country Strategy Papers
EAP	Environmental Assessment Procedures
EIA	Environmental Impact Assessments
ESAP	Environmental and Social Assessment Procedures
ESMP	Environmental and Social Management Plans
GEF	Global Environmental Fund
ICA	Infrastructure Consortium of Africa
IESIA	Integrated Environmental and Social Impact Assessment
IIED	International Institute for Environment and Development
NGO	Non-Governmental Organization
OITC	Transport, and Information and Communication Technology
ONEC	Energy, Environment and Climate Change
OPEV	Operations Evaluation
OPSM	Private Sector Operations
ORQR	Quality Assurance and Results
OWAS	Water and Sanitation
PCR	Project Completion Report
PPER	Project Performance Evaluation Report
RAP	Resettlement Action Plan
RG	Reference Group
RMC	Regional Member Countries
TM	Task Manager

An Evaluation of Environmental Mainstreaming in African Development Bank Support to the Road Transport Subsector

INTRODUCTION

1. Environmental awareness in the African Development Bank has increased in recent years with a growing understanding of the potential risks to its operations if the wider impacts of projects on the environment are not fully considered. The Bank recognizes that African countries need to address environmental problems such as local air and water pollution, noise, soil erosion, water scarcity, deforestation, loss of biodiversity, and climate change to achieve sustainable development. Accordingly, the Bank has committed itself to mainstream environmental¹ management issues in its overall policy framework, including support to specific investment operations that protect the environment. This commitment is clearly articulated in the Bank's Vision statement, its Strategic Plan, and its Environment Policy.
2. In line with this commitment, in 1987, the Bank institutionalized environmental considerations to oversee environmental matters in meeting its development objectives. In 1990, it adopted an Environmental Policy to integrate environmental concerns into its operations. Since then, the Bank has made considerable progress in integrating environmental concerns into its country programming and lending operations. The Bank has also produced a number of policy documents and guidelines to mainstream environmental considerations into its operations. In May 1992, the Bank produced its very first set of Environmental Assessment Procedures (EAP) for public sector operations, to guide environmental concerns and practices in its lending program. This was followed, in May 2000, by Environmental Review Procedures for private sector operations.
3. In order to facilitate a systematic approach to the supervision and monitoring of environmental aspects of Bank-financed projects and to integrate the Bank's new vision and emerging priorities, the Bank revised its environmental assessment procedures and published these as Environmental and Social Assessment Procedures (ESAP)² in 2001. The Bank revised these procedures in 2003 and prepared Integrated Environmental and Social Impact Assessment Guidelines (IESIA Guidelines). A Revised Environmental Policy was issued in 2004, followed by an implementation plan.³
4. The IESIA Guidelines are intended to provide reference material to the staff of the Bank and regional member countries (RMCs) on how to adequately consider crosscutting themes while assessing the environmental and social impacts of a project. They are

¹ Environmental mainstreaming is the integration of environmental considerations into an organisations policies, programming and operations to ensure the coherence and sustainability of its mission and practices.

² AfDB (2001). Environmental and social assessment procedures for African Development Bank's public sector operations.

³ AfDB (2004).African Development Bank Group's policy on the environment: Implementation plan for 2005-2007.

crafted to help in avoiding or mitigating many potential adverse impacts by modifying or adding certain project components to the initial design, as well as enhancing beneficiary impacts at a minimal cost.

5. While there has been progress in mainstreaming environmental issues in Bank operations, the critical areas of pollution, loss of biodiversity, land appropriation and climate change emerge as significant challenges as infrastructure projects or programs are implemented. In view of the public goods nature of these concerns, the Bank has a special role to play with respect to environmental issues in Africa. Other challenges include the extent of RMC governments' commitment and/or uptake of environmental goals, and weak institutional capacity to deal with them. Also, there may be constraints within the Bank associated with inadequate staffing and skill mix for project supervision.
6. This approach paper lays out a plan for evaluating how environmental issues have been mainstreamed into road infrastructure projects and the extent of uptake by RMCs. It will also assess the coherence of environmental mainstreaming with the relevant AfDB policies, the partner Governments' priorities and activities and the coordination and complementarities with other donors and actors.
7. The roads subsector is selected for this evaluation because of its leading role in the Bank's total financial commitments and because of its high potential to impact the environment. During the past year alone, over 16 percent of total lending commitments supported transport projects and by 2009, the Bank's transport infrastructure budget has become the largest, with roads accounting for the leading share.⁴ On the other hand, road construction is likely to damage the environment in its land appropriation and destruction of habitat, and also in its use of non-renewable resources. The opportunity for the road subsector to complement the goal of environmental sustainability is subject to the Bank's strategy in mainstreaming environmental issues in projects and the RMCs value systems, their institutional strength and political will.

EVALUATION RATIONALE

8. As noted in the 2004 policy document, the general objectives of the Revised Environmental Policy include incorporation of environmental considerations into project design and implementation; support to RMCs in making environment an integral part of their national planning; strengthening environmental institutions; and building human resource capabilities. The incorporation of environmental issues into project design addresses internal operations of the Bank and, according to an OPEV evaluation report of 2004,⁵ this objective was seen as being met to a large extent, particularly at the design stage of road transport projects. What may be missing is follow-through at project implementation and the provision of adequate institutional and capacity building support to RMCs.

⁴ African Development Bank Annual Report, 2008.

⁵ OPEV (2004). Evaluation of environmental management of Category I and Category II projects.

9. The present evaluation is motivated by recognition of the increasing importance of environmental sustainability in achieving the Bank's goals of economic growth and poverty reduction, and the increasing investment in the road transport sub-sector towards these goals. The evaluation will address a number of emerging issues:

- **The need to mainstream environmental assessment into project implementation.** A 2004 OPEV evaluation of the environmental management of Category I and II projects in RMCs emphasized this issue.
- **Availability of resources for environmental mainstreaming.** Concerns have been raised⁶ that there might be a sub-optimal quality of implementation and achievement of intended project outcomes due to inadequate resources (skilled personnel, knowledge management, funding) available throughout the project cycle, both within the Bank and at the level of the RMCs for the satisfactory consideration of environmental issues in Bank-funded operations.
- **Gaps in environmental safeguard policies and procedures.** Concerns have also been raised⁷ that gaps might exist in safeguard policies and procedures in addressing emerging development issues like climate change and how RMCs engage in the private and public sectors.
- **Balancing safeguard requirements and business imperatives.** Initial discussions with the Bank's operations staff have identified a need for the Bank to clarify the optimum balance between safeguard requirements and business imperatives. It will thus be informative to study how the costs due to mainstreaming environmental sustainability requirements are currently weighed against value added in mitigating negative impacts of road infrastructure projects.
- **Infrastructure and environmental risks.** Road infrastructure ranks number one, in terms of share of the Bank's infrastructure portfolio, in the most recent years. But it has high potential to damage the environment. Other safeguards-intensive infrastructure sectors supported by the Bank (hydropower, extractive industries and agriculture) can benefit from an examination of the experience in the road transport infrastructure sector.
- **A knowledge gap.** No conclusive study has been undertaken to look at how Bank's transport infrastructure projects are mainstreaming environmental sustainability issues.
- **RMC experiences.** The evaluation provides an opportunity for AfDB to learn from RMC's experiences in mainstreaming environmental issues, which may serve as a feedback loop into programming.

10. With the above issues in view, the proposed evaluation will carry out an in-depth and forward-looking analysis of the effectiveness of the Bank in mainstreaming environmental issues into the road transport subsector. It will assess how and how well the AfDB has supported its RMCs to mainstream environmental sustainability in road projects over the 1999-2009 period. It will also attempt to identify the principal external and internal constraints on Bank effectiveness and suggest how these constraints can be reduced. Issues such as internal quality controls and the extent of client ownership will also be addressed. It will also assess the coordination and complementarities with other

⁶ ORQR, (2009). Revision of the Bank Group environmental and social safeguard policies and procedures, Draft Approach paper

⁷ Ibid

donors and actors, and relevance to AfDB policies and the partner Governments' priorities and activities.

11. The evaluation is part of OPEV's three year (2009-2011) rolling work program to systematically explore the Bank's role and effectiveness in mainstreaming cross cutting issues into its operations. It will build on the work of the two previous OPEV evaluations on environmental issues⁸. The final output of the evaluation will present the main findings, lessons learned and recommendations, and will enumerate challenges the road transport sector is likely to face in the future as it relates to mainstreaming environmental sustainability. The evaluation will also seek to provide information that could feed into measures to improve the way the Bank and the RMCs work toward achieving the environmental policy goals. The results will also serve policy decision-making and project management purposes.
12. The main users of the evaluation will be members of CODE and the Board; senior management; and staff of the new ONEC and OITC departments, ICA, ORPC, OPSM, ORQR, and OSAN. Other departments incorporating environmental issues into their programming and activities may also benefit from the results of this evaluation. The evaluation results will also be of interest to a broader audience, including governments of RMCs and civil societies.

AfDB ENVIRONMENT STRATEGIES AND FINANCIAL SUPPORT

13. Since the 1980s, the AfDB has engaged in developing and updating policies and guidelines to address environmental issues in its operations. In 1987, the Bank institutionalized environmental considerations to oversee environmental matters in meeting its development objectives. In 1990, the Bank adopted an Environmental Policy with the following goals:
 - To assess the state of the environment in the continent and assist RMCs in identifying major environmental issues;
 - To present environmental policies for each of the sectors of the AfDB Group project and non-project lending programs;
 - To recommend steps for the implementation of environmental policies and the use of appropriate environmental assessment procedures in the project cycle; and,
 - To assist RMCs in developing national environmental policies, legislative framework, and institutions involved with environmental management.
14. The 1990 Environmental Policy was followed by Environmental Assessment Guidelines in 1992 to guide environmental concerns and practices in the Bank's lending program. Since then, environmental issues have become an integral part of Bank's operations and progress has been made in developing and updating environmental policies, procedures

⁸ OPEV (2000):Evaluation of the Performance and Effectiveness of ADB's Environment Policy and Environment Assessment Procedure, and OPEV (2004): Evaluating environmental management of category I and II projects in regional member countries.

and guidelines including Environmental Review Procedures for Private Sector Operations (2000), Disclosure Policy (2000), Governance Policy (2000), Environmental and Social Assessment Procedures (2001), Involuntary Resettlement Policy (2003), Environmental and Social Audit Guidelines (2003), Poverty Reduction (2003) and the revised Environment Policy (2004).

15. The Bank has also been active in the international efforts on the management of climate change risks and has recently developed its Climate Risk Management and Adaptation Strategy. In addition, the Bank is a Global Environmental Fund (GEF) executing agency, enabling it to appraise and implement projects on behalf of GEF.
16. A major environmental assessment task in project lending operations is the screening of projects to determine to which environmental category a project shall be assigned. The categorization is based on the Project Brief, prepared by operations at pipeline entry stage of a project in its life cycle, on the basis of baseline information provided by the borrower, and on the 2001 Environmental and Social Assessment Procedures (ESAP). Over the years, projects have been systematically categorized into Category I, II and III depending on the level of impact on the environment.⁹
17. Because of their potential impact on the environmental, most transport projects are classified into category 1 and II. Our preliminary desk review of Bank financed road infrastructure projects for the period, 1999-2009, shows that 106 projects have been approved, 19 have been completed and 62 are ongoing and the remaining are either terminated or abandoned. Of this total, 83 percent were classified as category I and 17 percent as category II projects. Even though majority of the projects are classified as category I, less than 1 percent of total cost of 2009 financed road infrastructure projects was allocated to address environmental issues.

OBJECTIVES

18. The overarching **goal** of the evaluation is to strengthen the Bank's efforts to ensure that appropriate environmental standards are met in infrastructure activities it finances.
19. The **purpose** of the evaluation is to assess the extent to which the Bank's efforts to mainstream environmental issues into the road infrastructure projects it finances have been relevant, efficient, and effective; to consider how far such measures have been taken up by RMCs; and to review how far the outcomes of the Bank's assistance may be sustainable.
20. Specifically:

⁹ Category I projects require a full environmental and social impact assessment (ESIA) including Management Plan (ESMP) due to the expected adverse environmental and social impacts; Category II projects require Environmental and Social Management Plan (ESMP) as their impact is less adverse; Category III require no impact assessment and ESMP since no adverse impacts are expected. The new Policy has included a Category IV for sub-projects financed through Financial Intermediaries (FIs).

- a) To evaluate the **relevance** of the Bank's approach to environmental mainstreaming in the road transport sub-sector as regards:
- The clarity and coherence of the Bank and RMC environmental policies and strategies in the transport infrastructure subsector, and their consistency with wider policy goals
 - Bank's responsiveness to the national development objectives and environmental sustainability needs of RMCs, including dialogue around these needs
 - The extent to which the Bank's approach is adequate or sufficient in relation to environmental challenges in the region
 - The relevance and quality of road transport infrastructure Environmental and Social Management Plan (ESMP) reports.
- b) To evaluate the **efficiency** of the Bank's approach to environmental mainstreaming efforts regarding:
- The balance between cost and benefit in mainstreaming environmental issues into road transport infrastructure projects
 - Timeliness of project preparation, start-up and completion associated with mainstreaming environmental issues in roads projects
 - Budget overruns in mainstreaming environmental issues in roads projects
 - Consideration of alternative means to achieve stated objectives
- c) To evaluate the **effectiveness** of the Bank's approach to environmental mainstreaming efforts relating to:
- The effectiveness of environmental policy and procedures in terms of reducing negative impacts of road transport projects and enhancing positive benefits from the Bank's operations
 - Compliance with environmental supervision, monitoring and reporting requirements at the Bank and in RMCs and the quality of related mitigation measures
 - The principal external and internal constraints on AfDB compliance with environmental mainstreaming requirements in the road transport subsector
 - The Bank support to RMCs in developed appropriate regulatory and policy frameworks
 - Bank support to RMCs in developing adequate institutional capacity for environmental mainstreaming in the road infrastructure subsector
- d) To evaluate the degree of **sustainability** of outcomes from the Bank's environmental mainstreaming efforts, including:
- The readiness of the Bank and Borrowers to respond to emerging environmental challenges that affect roads infrastructure project outcomes

- The extent to which current environmental procedures are capturing emerging environmental issues like climate change
- The quality and capacity of partnerships among local and international organizations to maintain environmental mainstreaming efforts.

EVALUATIVE QUESTIONS

21. The evaluation will address the following overarching questions:

First, to what extent has the Bank's effort been relevant, efficient, effective and sustainable in mainstreaming environmental issues into the design and implementation of road infrastructure projects and how has this effort been taken up by RMCs.

Second tier questions, which are related to the standard evaluation criteria, are as follows:

Relevance

- Are the Bank's environmental safeguard procedures relevant to the Bank's own policy and strategy, and consistent with the policies and strategies of the RMCs?
- Were the road transport projects consistent with the national development objectives and environmental sustainability needs of RMCs?
- How have the Bank strategies been integrated and operationalized in country strategies and portfolio development
 - To what extent has the Bank's strategy and operations changed?
 - How are the guidelines introduced and operationalized at the level of the RMCs to ensure relevance?

Efficiency

- To what degree has mainstreaming environmental issues into road transport infrastructure project design and implementation balanced costs and benefits?
- Were there any time and budget overruns in mainstreaming environmental issues?
- What internal incentives has the Bank offered staff to encourage mainstreaming environmental issues in road infrastructure projects?
- What percentage of the Bank's operational budget is allocated to environmental mainstreaming efforts and how has this changed over the ten year period (1999-2009)?

Effectiveness

- To what extent are the Bank's efforts to mainstream environmental issues into all road transport infrastructure projects achieving the desired results within the Bank and at the country level?
- What is the level of awareness among bank staff of environmental mainstreaming efforts in road transport projects?

- To what degree are the Bank’s environmental policy and strategy applied to the road infrastructure interventions successfully addressing national environmental sustainability objectives of RMCs?
- To what extent has the Bank’s strategy in environmental mainstreaming taken account of the efforts of other development partners in achieving similar environmental objectives?
- How effective has the Bank’s ESMP report been in shaping and improving monitoring and supervision of category I and II projects?

Sustainability

- To what extent have the projects generated a commitment of sufficient resources and organizational capacity to ensure that environmental issues are mainstreamed into maintenance of roads?
- To what extent have the road transport projects engendered collaboration among related local and international organizations to ensure mainstreaming of environmental issues in project implementation and sustainability?
- What factors are contributing to or inhibiting the environmental mainstreaming efforts and sustainability of the roads projects results?

SCOPE AND LIMITATIONS

Scope

22. The evaluation will cover Bank-financed road transportation subsector projects from 1999 to 2009. This period has seen an expansion in AfDB’s attention to environmental issues through the implementation of safeguards or standards to minimize adverse environmental impacts from its financing. The period also covers the years before and after the introduction of the 2004 environmental safeguard policy that currently guides the process of environmental mainstreaming in Bank’s operations. The evaluation will provide an overview of the Bank’s institutional response to the implementation of the Environmental Policy and Guidelines.
23. OPEV carried out two post evaluation work on environmental issues in 2000¹⁰ and 2004¹¹. This work will build on the recommendations of the two evaluations. Evaluation of the Bank’s road transport projects will be divided according to whether they fall before or after the introduction of the Bank’s environmental policy framework in 2004. Since projects approved post 2004 are mostly being implemented and few have been completed, they may not be sufficiently mature for ex-post evaluation of environmental outcomes and impacts. The evaluation will therefore focus mainly on analyzing differences between the pre and post 2004 road infrastructure projects at appraisal and during implementation.

¹⁰ OPEV (2004). Evaluating environmental management of category I and II projects in regional member countries.

¹¹ OPEV (2000). Evaluation of the performance and effectiveness of the African Development Bank’s environmental policy and environmental assessment procedure.

While ensuring the independence of OPEV's evaluation, the study will apply an interactive and collaborative approach with the appropriate AfDB operations departments and regional offices to ensure that the approach is methodologically sound and that all available data can be accessed. Workshops and structured interviews will be held with appropriate operational staff, government officials, civil society representatives, and other bodies in the RMCs interested in issues relating to environmental mainstreaming in the transport sector.

EVALUATION METHODOLOGY

24. The methodology to address the questions raised above is shown below while the evaluation matrix in the annex provides further information. In sequence, the evaluation Task Manager (TM) at OPEV will undertake a **portfolio review** to establish what information is available internally within the Bank. The TM will also carry out a **literature review** of research and published documents on mainstreaming environmental issues into road infrastructure projects particularly in developing countries, and a **review of donor experience** to see if the lessons from other donors' experiences are qualitatively different from those of the Bank Group.
25. The papers noted above would be summarized in an **Intermediate Report**, which would include a methodological annex refining the design of the remaining evaluation phases.
26. The evaluation will then move to the field stage to assess the external environmental mainstreaming efforts and project results through selected **project case studies** to verify the portfolio findings. Where feasible, with available data from the financed projects, a cost and benefit assessment will be made of the support to mainstreaming environmental issues compared with quasi counterfactual projects. Also compliance analysis will be carried out with focus on quality in thoroughness of environmental mainstreaming in road infrastructure projects, to identify applicable safeguard compliance, performance standards and the establishment of clear environmental objectives, performance indicators, and appropriate project supervision. Assessment will also be made of the national policy and institutional context with regard to environmental issues and the road transport subsector.
27. The **final report** will be a synthesis report drawing on the findings of the component studies described above.

Design

28. The evaluation will utilize a mixed methods design, giving equal weight to the quantitative and qualitative aspects of the study. The qualitative findings will be used to inform quantitative data collection, while results from the quantitative analysis will be used to substantiate themes of the qualitative analysis.

Sampling

29. For the case studies discussed below, the selection of the countries will be purposive as it will aim at highlighting key issues that could be of relevance to the Bank in future

decision making on environmental mainstreaming in road infrastructure projects and also to open areas for future detailed transport sector study. A minimum of 3 and at most 5 cases will be selected. Sampling will be carried out in the light of analysis conducted during the desk phase.

Data and Initial Analysis

30. A number of instruments will be used to conduct this evaluation (further details are in the evaluation matrix). The components of the study are described below:

Phase 1: Desk Phase

Portfolio review

31. Projects will be examined covering the period 2000-2009, building on 2000 and 2004 reviews that were done by OPEV, but focusing on environmental mainstreaming in road infrastructure projects. A matrix on compliance will be developed with key environmental safeguard policy requirements during the project cycle using selected evaluative questions. The importance of good project design will also be assessed. In general, a stratified sample of projects will be selected from road infrastructure portfolio, for projects approved during the period 1999-2009. The samples will be stratified based on the significance of the expected environmental impacts (as indicated by the environmental categorization of the project). The initial findings of the portfolio review will be compared with those of earlier OPEV evaluations and differences, if any, will be identified and discussed.
32. From the sample, the evaluation will also review key appraisal and supervision documentation for projects approved during 1999-2009 to uncover trends within the road infrastructure sector. Information on safeguards will be extracted from Supervisory Reports, Back-to-Office Reports, Project Completion Reports and Project Performance Evaluation Reports, as available, for projects in the review period. The sample of projects will be reviewed in respect of the quality, applicability, and usage of Environmental Impact Assessments (EIAs), Environmental and Social Management Plans (ESMP), and Resettlement Action Plans (RAP). The results will be compared pre and post 2004 safeguard policy. Other documentation that may be accessed may include but not limited to Quality-at-Entry Assessments and reports concerning complaints from the public about the compliance of Bank's projects. The EIA and ESMP documents will be used as the main database to assess projects that have been appraised and supervised under the Bank's environmental policy.

Literature review

33. The review will cover published documents from all sources on mainstreaming environmental sustainability issues into road infrastructure projects particularly in developing countries. A survey of key Bank documents addressing environmental

safeguard and mainstreaming issues will be carried out. Other documents such as research and background papers on environmental mainstreaming will also be perused.

Review of Donor Experience

34. The review will identify publications dealing with mainstreaming environmental issues in road infrastructure projects to see if the lessons from other donors' experiences are qualitatively different from those of the Bank Group. Where possible and within limits of the budget, visits will be made to other multilateral, bilateral and private sector institutions to elicit their opinions, advice and experience concerning environmental safeguard policy frameworks and practices. Evaluation reports, policy documents, and any other relevant information obtained, will also be reviewed and the findings will be presented as a compendium of good practice in multilateral and bilateral funded projects. It will also benchmark policies and guidelines that are relevant and appropriate to the operations of the Bank.

Intermediate report

35. An intermediate report will be prepared, drawing on findings from the above reviews. The analysis is designed to use triangulation: each data source will be tested by two or more data sources to cross-validate final findings.

Phase 2: Field Phase

Project Case Studies and Stakeholder Interviews

36. On the basis of the analysis conducted in the desk phase, a detailed sampling framework will be prepared to guide choice of projects and countries for closer study, including field visits
37. The case studies will consist of an initial review of reports from the desk phase studies and then, supplemented by more detailed in-country visits and stakeholder interviews. A random sample of completed and ongoing projects will be used as a basis for the initial selection of Bank project desk case studies. These will be screened under the portfolio review for process compliance and then a purposive sample will be chosen from the completed projects for field visits. The field study will entail an in-depth analysis of stakeholder opinions on environmental mainstreaming in road infrastructure projects in selected countries. It will look at factors associated with success and failure of mainstreaming environmental sustainability at the project level, and assess the overall contribution of the totality of Bank work in light of country needs and priorities. Additional purpose of the field studies will be to "reality test" the results of the desk findings.

Analysis of costs and benefits of safeguard policy frameworks will be conducted using multiple approaches; client surveys, case studies, stakeholder interviews and analyzing the Bank's cost structure. Given the ongoing decentralized project management

responsibilities in the Bank, these discussions will also draw on inputs and experience from head quarters and country-based project staff and management. In order to provide additional material and to widen the stakeholder coverage, interviews will also include government officials, transport infrastructure project affected persons, NGO's, civil society and other interested parties such as consultants and academics.

Phase 3: Reporting

39. The outputs for this evaluation will include intermediated stand alone products and a final evaluation report produced at different times as shown in a timeline in Table 1. Intermediate products will be stand alone reports that include:

- ✓ Portfolio review that will provide as synthesis of Banks effort in mainstreaming environmental issues in road infrastructure projects, covering the period 2000-2009.
- ✓ Literature review that will cover published documents on mainstreaming environmental issues into infrastructure projects. It will draw on emerging international best practice.
- ✓ Compendium of good practice: It will provide information on emerging good practice (both within and outside the Bank) to see if the lessons from other donors' experiences are qualitatively different from those of the AfDB.
- ✓ Synthesis of desk review from the above desk studies that will delineate lessons learned.
- ✓ An inception report that outlines the methodology for the field case studies, initial findings from the desk reviews and key issues to be explored further, and the scope of work. It will also serve as a guide to manage the evaluation under contractual agreement with the consultants.
- ✓ Three to five stand alone case studies (final number of cases and method of selection will be determined after the desk review). Each case will provide an assessment of the contribution the Bank has made to mainstreaming environmental issues into road transport projects and the extent of uptake by RMCs.
- ✓ An evaluation report which summarises the analysis, results and conclusions from all the overall evaluation.
- ✓ An evaluation note, suitable for electronic circulation, which will highlight the key findings of the evaluation, including lessons learned.

Phase 4: Communications

40. The evaluation findings, lessons and recommendations will be communicated to different audiences within and out of the Bank. CODE, Bank's management and RMCs will be

the key audience for this evaluation. The Bank's systems for communicating and disseminating information, including other channels and methods for communicating findings to all stakeholders, other donors, and interested partners will be utilized.

41. Within budget limits, workshops will be conducted at Bank's headquarters and RMCs connected via video conferencing, in order to discuss evaluation findings, lessons learned and recommendations on modalities of integrating environmental issues into Bank's operations. Alternatively, one or two in-country workshops will be conducted. These workshops will be covered by local media to transmit results to a wider audience. Opportunities will also be sought to present the report to donor and other partners involved in environmental mainstreaming in infrastructure projects.
42. After the workshops, the evaluation report will be finalized and sent to CODE and management for review. Their responses will be incorporated and the final evaluation report published and disseminated by OPEV within the Bank and to RMCs. The report will be posted on the OPEV website.
43. As environmental mainstreaming will require some institutional learning and change in practice, lesson learning products directed at Bank staff and staff of regional member governments will be produced in order to guarantee a rapid incorporation and assimilation of the evaluation findings. OPEV will also produce presentations and/or journal articles on the evaluation to be presented at conferences or symposia addressing similar issues.

EVALUATION MANAGEMENT

Task Manager

44. An OPEV Task Manager will oversee the smooth implementation of the evaluation and lead the desk reviews (portfolio review, literature review and review of donor experience). The final report will be approved by the Manager of OPEV 2 and prepared for further dissemination within and outside the Bank.

Reference Group

45. The progress of the evaluation will be followed closely by a Reference Group (RG) consisting of staff of the Bank. The principal function of the Reference Group is to follow the evaluation process and more specifically:
 - I. To advice on the scope and focus of the evaluation and the elaboration of the Terms of Reference for field work and final reporting;
 - II. To facilitate access to information and documentation;
 - III. To facilitate interaction between the consultants and the Bank;
 - IV. To advise on the quality of the work of the consultants;

V. To facilitate and assist in feedback of the findings and recommendations from the evaluation.

46. About Reference Group meetings will be held during the evaluation period. Meeting dates and times will be determined by RG availability, evaluation deliverables and timeline as projected in Table 1.

Peer Review

47. A group of external advisors will be established to advise the evaluation team during the evaluative process. The group will consist of an internationally recognized transport expert and practitioner with background in environmental sustainability, and an international environmental specialist. They will comment on the ongoing evaluation, drafts and final reports of the various intermediate products. The group will review and provide written comments on drafts and final reports.

Consultants

48. Two international consultants, viz-a viz an infrastructure economist and environmentalist, will be hired, to carry out the project case studies with oversight by the Task Manager. The international consultants will have counterpart national experts in each chosen country for the field work. The national counterpart will support the international consultants in communicating with government for all processes and outputs of the consultancy. Each national counterpart will, where possible, be either an infrastructure specialist, or environmental specialist, with experience in the other field of expertise.

Coordination with other OPEV Evaluations

49. This evaluation will be coordinated with relevant ongoing and planned project performance evaluations being conducted by the OPEV 1 team. This will serve as a quality control and information management measure.

Consultation

50. Extensive consultation with all stakeholders will be an ongoing process, specific to the needs and roles of each stakeholder. Specific stakeholders will include Bank staff (headquarters, regional and country level), governments, civil society and direct beneficiaries of projects. The most effective line of communication that facilitates quality and speed of delivery will be utilized.

51. Table 1: Deliverables and Timeline

Deliverables	Timeline (March, 2010-August,2011)																	
	March, 2010	April	May	June	July	August	Septemb	October	Novemb	Decemb	January 2011	Februar	March	April	May	June	July	August
Draft Approach Paper	↔																	
Consult and Finalize Approach Paper		↔																
-Portfolio Review					↔													
-Literature Review						↔												
-Review of Donor Experience								↔										
Mid Term Progress Report (Synthesis of Desk review)									↔									
Inception Report										↔								
Intermediate Project Case Studies Papers												↔						
Case Studies Draft Synthesis Report														↔				
Final Case Studies Report															↔			
Synthesis Evaluation Report (Draft Report)																↔		
Final Report																	↔	

A final report that summarizes the work undertaken in the components described above will be prepared for CODE by end of the first half of FY2011.

Annex I: DEFINITION OF TERMS

Crosscutting theme

1. The crosscutting themes are defined as transversal issues that are critical to achieve sustainable development. The crosscutting themes prioritized by the Bank are the following: poverty, environment, population, gender and participation. In addition, the Bank has recently adopted health priorities that are transversal issues by nature: HIV/AIDS and Malaria control.

Environment

2. The environment consists of the components of the biosphere in which all life exists. Therefore, it encompasses the air, water, soil and related ecosystems. It also includes the flora, fauna and landscape as well as the natural and cultural heritage. Mainstreaming the environment also involves considering the human interactions and impacts on the biosphere, both positive and negative.

Environmental mainstreaming

3. Environmental mainstreaming is the integration of environmental considerations into an organization's policies, programming and operations to ensure the coherence and sustainability of its mission and practices. It encompasses the process(es) by which environmental considerations are brought to the attention of organizations and individuals involved in decision-making on the economic, social and physical development of a country (at national, sub-national and/or local levels), and the process(es) by which environment is considered in taking those decisions. This is the definition that has been adopted by the International Institute for Environment and Development (IIED).

Environmental Sustainability

4. The definition of sustainability used in this report is based on an agreed concept of the world Commission on Environment and Development, Our Common Future (1987) - "as environmental interventions that meet the needs of the present without compromising the ability of future generations to meet their own needs."

Annex II: Evaluation Framework/Matrix

Evaluation Criteria	Areas of Evaluation	Major Indicators and Areas of Consideration	Sources of Information	Data Collection Methods
<p>Relevance of the Bank’s approach to environmental mainstreaming</p>	<p>Are the Banks environmental safeguard procedures relevant to the Bank’s own policy and strategy, and consistent with the policies and strategies of the RMCs?</p> <p>Were the road transport projects consistent with the national development objectives and environmental sustainability needs of RMCs?</p> <p>How have the Bank strategies been integrated and operationalized in country strategies and portfolio development?</p> <p>To what extent has the Bank’s strategy and operations changed?</p> <p>How are the guidelines introduced and operationalized at the level of the RMCs to ensure relevance?</p>	<p>Environmental and road transport sector reform milestones</p> <p>Changes in AfDB’s environmental policy and strategy</p> <p>Critical development trends and key indicators in the transport sector</p> <p>Bank’s dialogue with RMCs around national development objectives and environmental sustainability needs</p> <p>Changes in RMCs approach in relation to environmental challenges in the region.</p> <p>Changes in road transport infrastructure ESMP reports</p> <p>Coordination with activities and strategies of RMCs</p> <p>Appropriate project/ program designs</p>	<p>Bank environmental and Infrastructure policy and strategy</p> <p>Bank environment and Transport sector reports</p> <p>Government reports</p> <p>Thematic reports</p> <p>Key stakeholders</p> <p>BTOR</p>	<p>Desk review of relevant documents</p> <p>Interviews with AfDB staff</p> <p>Key informant interviews with government officials and key stakeholders</p> <p>Focus group discussions</p>

<p>Effectiveness of the Bank's approach to environmental mainstreaming</p>	<p>To what extent are the Bank's efforts to mainstream environmental issues into all road transport infrastructure projects achieving the desired results within the Bank and at the country level?</p> <p>What is the level of awareness among bank staff of environmental mainstreaming efforts in road transport projects?</p> <p>To what degree are the Bank's environmental policy and strategy applied to the road infrastructure interventions successfully addressing national environmental sustainability objectives of RMCs?</p> <p>To what extent has the Bank's strategy in environmental mainstreaming taken account of the efforts of other development partners in achieving similar environmental objectives?</p> <p>How effective has the Bank's ESMP report been in shaping and improving monitoring and supervision of category I and II projects?</p>	<p>Compliance with environmental supervision, monitoring and reporting requirements at the Bank and in RMCs</p> <p>Related mitigation measures</p> <p>The principal external and internal constraints on AfDB compliance with environmental mainstreaming requirements</p> <p>The Bank support to RMCs to developed appropriate regulatory and policy frameworks</p> <p>Bank support to RMCs in developing adequate institutional capacity for environmental mainstreaming in the road infrastructure subsector</p> <p>Fulfillment of stated objectives for completed projects</p> <p>Feasibility of achieving objectives in view of current progress</p>	<p>AfDB status reports, BTORs, Appraisal reports, ESMP reports and other such reports</p> <p>Key stakeholders</p> <p>PCRs</p> <p>Government reports</p> <p>Other non-governmental organizations</p>	<p>Desk review of relevant documents</p> <p>Rapid technical assessment of selected project sites</p> <p>Field observations</p> <p>Key informant interviews with government staff, observers, development partners, and other stakeholders</p>
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<p>Efficiency of the Bank’s approach to environmental mainstreaming efforts</p>	<p>To what degree has mainstreaming environmental issues into road transport infrastructure project design and implementation balanced costs and benefits?</p> <p>Were there any time and budget overruns in mainstreaming environmental issues?</p> <p>What internal incentives has the Bank offered staff to encourage mainstreaming environmental issues in road infrastructure projects?</p> <p>What percentage of the Bank’s operational budget is allocated to environmental mainstreaming efforts and how has this changed over the ten year period (1999-2009)?</p>	<p>Cost and benefit in mainstreaming environmental issues into road transport infrastructure projects</p> <p>Timeliness of project preparation, start-up and completion associated with mainstreaming environmental issues in roads projects</p> <p>Budget overruns in mainstreaming environmental issues in roads projects</p> <p>Environmental analyses of completed projects</p> <p>Timeliness and adequacy of counterpart funding if any</p> <p>Cost-effectiveness in generating outputs</p>	<p>PCRs and PPERs</p> <p>Government agencies</p>	<p>Desk review of relevant documents</p> <p>Field observations</p>
<p>Sustainability of outcomes from the Bank’s environmental mainstreaming efforts</p>	<p>To what extent have the projects generated a commitment of sufficient resources and organizational capacity to ensure that environmental issues are mainstreamed into maintenance of roads?</p> <p>To what extent have the road transport projects engendered</p>	<p>Institutional capacity to make available adequate funding and other resources</p> <p>Financial viability of RMC operating entities responsible for environmental sustainability of the projects</p> <p>Government ownership and</p>	<p>Data from Government, AfDB, and development partners</p> <p>Progress reports</p> <p>PCRs</p>	<p>Quick assessment of the pipeline of road maintenance investment</p> <p>Desk review of relevant</p>

	<p>collaboration among related local and international organizations to ensure mainstreaming of environmental issues in project implementation and sustainability?</p> <p>What factors are contributing to or inhibiting the environmental mainstreaming efforts and sustainability of the roads projects results?</p> <p>To what extent has local community and/or government involvement in an Environmental Protection Program, if any, been sustained after completion of a road infrastructure project?</p> <p>To what extent did a road infrastructure project contribute to creating partnerships in environmental mainstreaming that in turn affected the achievement of results?</p>	<p>commitment to programs and projects</p> <p>Pricing</p> <p>Emerging environmental challenges that affects project outcomes</p> <p>The appropriateness of environmental procedures in capturing emerging environmental issues like climate change</p> <p>Partnerships among local and international organizations to maintain environmental mainstreaming efforts</p>	CSP	documents
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AfDB = African Development Bank, BTOR = back-to-office report, CSP = country strategy papers, PCR = project completion report, PPER = project performance evaluation report