BUILDING RESILIENCE IN A CHANGING AND CHALLENGING WORK PLACE
ROLE DUTIES AND FUNCTIONS OF THE OFFICE OF
THE OMBUDSMAN AND MEDIATION SERVICES

- An Ombudsman is a designated neutral and impartial conflict resolution practitioner. The primary function of the role is to provide confidential, independent and informal assistance to staff on grievances and complaints related to human resources and workplace issues. The Office facilitates dispute or conflict resolution among staff and between staff and management through mediation and conciliation, and supplements the formal staff recourse systems for conflict resolution, such as the Staff Appeals Committee and the Administrative Tribunal.

- When a complainant visits, the Office of the Ombudsman works with options he/she is comfortable in pursuing in order to find an appropriate solution. The options might include a referral to another organization unit better suited to assist the staff.

- All conversations with the Office are held in strict confidentiality. In certain cases, the complainant can authorize disclosure for the purpose of resolving the issues. In exceptional circumstances, determined at the sole discretion of the Ombudsman, where “there appears to be imminent risk of serious harm, such discretion may be waived.” For that reason, the Office keeps no records on behalf of the Bank and proceeds to destroy all documents that may contain information identifying enquirers as soon as the case is closed.

- The Office does not serve as an advocate for any person in a dispute within the organization; however, it advocates for fair processes and their fair administration.

- As an early warning agent, the Office of the Ombudsman while adhering to tenets of confidentiality and neutrality provides unfiltered and independent upward feedback to Management on case trends, patterns, systemic issues, policies and practices observed and ascertained in the organization. This feedback enables Management to introduce timely preventive or corrective measures that forestall unnecessary adversarial recourses, help to improve the general workplace environment and introduce necessary systemic changes.

- Thus, although it operates outside the normal power structure of the Bank, the Office has no decision-making powers, nor does it formulate policy changes. Through its feedback mechanisms and recommendations, the Office recommends improvements to Management in human resource policies, procedures and practices. The Office works in close conjunction with the Human Resources Management Department, Staff Council and the Staff Integrity and Ethics Office to promote harmonious work environment across the Bank.

- The services of the Office are available to all staff past and present, irrespective of professional stratum, gender, geographic origin and type of contract. Interaction with the Ombudsman is voluntary.

- The Office also pursues ongoing training and development to remain up-to-date. This supports the standards of practice of the profession and fosters communication in relation to the role of the Office to all those served by the Office.

- The Office also administers the Values Promotion Champions (VPC) program, which
enables field office staff to obtain preliminary conflict management services from their selected peers.
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<td>CCW</td>
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<td>Communications and External Relations Department</td>
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<td>CHRM</td>
<td>Human Resources Management Department</td>
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<td>Security Unit</td>
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<td>TZFO</td>
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<tr>
<td>UGFO</td>
<td>Uganda Field Office</td>
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**ABBREVIATIONS**

UNARIO United Nations and Related International Organizations

VPC Values Promotion Champions

YPP Young Professional Program

ZMFO Zambia Field Office

ZWFO Zimbabwe Field Office
A Word from the Ombudsman & Mediator

Dear Colleagues,

In accordance with the OMBU Terms of Reference (see Annex 2), we are pleased to share with staff and management the 11th Annual Report of the Office of the Ombudsman and Mediation Services. The report covers the period January to December 2015 and it “describes in general terms, the issues dealt with and the outcome of the Ombudsman’s interventions”.

The theme chosen for the 2015 Annual Report is “Building Resilience in A Changing and Challenging Work Place”. This theme was chosen because in 2015, the Bank underwent two important events. First, the conclusion of the physical return to the Headquarters (HQ) and then second, a statutory change in Senior Management. The return of the Bank to the HQ brought a lot of challenges, the most demanding being that staff were faced with a lot of uncertainty and the OMBU responded to this through interaction and discussions to help empower staff settle in and manage some of the uncertainty. A change in Management also brought a different type of challenge and in sum total all this meant the texture of the Banks DNA could not be the same.

On assumption of duties the President stated “We will be more than a lending institution. We will build a highly competitive, world-class, knowledge driven Bank. We will become a true development institution with measurable impacts on the lives of Africans.” This statement from the feedback of Staff was that there was a new impetus on delivering on the Bank Ten Year Strategy and indeed Staff began to adjust their programs with the deliverables on the Hi5s.

In 2015 the identified systemic issues were driven significantly by: (a) the transition and change in administration; (b) launching of the “High 5s” embedded in the Ten Year Strategy for the period 2013-2022; (c) the physical movement and settlement of staff to the Headquarters Building whilst others remained in CCIA and (d) The separation through retirement or end of tenure from service of very senior and at times long serving staff.

In order to address these broad areas OMBU engaged with other offices in the Internal Recourse System to foster competent conflict management strategies. Specific to the Office, we used our encounters with staff to: (a) address issues that weighed negatively on their ability to be productive; (b) encourage trust in the use of existing formal structures to handle grievances; (c) encourage individual assumption of responsibility and management of personal misgivings associated with change; (d) instill mental preparedness to the advantages of adjusting and adapting to a changing work environment; (e) supplement efforts to improve the working conditions as well as the quality of human and professional relationships at all levels; and (f) maintaining and enhancing a healthy working environment for the common benefit of the Bank and Staff Members.

Turning to our performance in terms of cases dealt with; one hundred (100) cases where successfully handled in the year under discussions. This registered an increase from the seventy-seven (77) cases managed in the previous year. The increased
Caseloads in 2015 could be attributed to two main issues; (i) The overall changes the Bank underwent including settling staff in the Headquarter building (ii) The empowering of staff and managers to deal with employee work related grievances early by reaching out for resolution.

In terms of outcomes, 99% of all the cases handled were closed within an average of 4 weeks within the OMBU established KPI. A close analysis of the caseload breakdown showed a steady distribution between FO and HQ; an uneven equilibrium between PL staff cases against GS, Regional against Non-Regional staff and Male in relation to Female staff. On case classification, unlike in the past where cases of conduct and abuse were prevalent, grievances on career development and job security matters constituted the bulk of staff concerns. It must however be stated that cases of conduct and abuse of power increased compared to the previous year.

The OMBU also maintained its external networking relations with members of the International Ombudsman Association (IOA), the UNARIO and other MDBs, this association enabled staff to benefitting from the association as they developed skills for best practice in conciliation, mediation, and managing work related grievances.

In conclusion we would like to express our gratitude to the President, First Vice President/Chief Operating Officer, our partnering Oversight and Accountability Offices for the counsel, guidance, and collaboration. They enabled us to focus on facilitating conflict resolution in settling grievances on employment matters between Staff and the Bank and in the process assisted reduce the potential cost of conflict to the Bank during the formative months of the new administration. Finally, we thank you our primary clientele the Staff and Management, for the professionalism, integrity, team spirit and transparency in exploring with us solutions to your grievances and in keeping the interest of the Bank at the fore. Going forward we intend to build on this in 2016.

Yours sincerely,

Alisand SINGOGO (Officer in Charge)

OMBUDSMAN AND MEDIATOR

ANALYSIS OF MAIN ACTIVITIES CARRIED OUT IN 2015

SECTION A: CONCILIATION AND MEDIATION SERVICES TO THE BANK

Caseloads Trends, Types and Outcomes
The total number of caseloads handled by the Office from January to December 2015 was 100, a percentage of approximately 18% increase from the previous year (Fig. 1). The rise was due to: (a) The strategic and focused outreach and problem-solving missions undertaken to the Regional Resource Centre and Field Offices (b) Staff concerns sharply increased due to the challenges they faced as they tried to settle at the Headquarters and (c) The apprehension from staff with regards how the Bank would manage the incentives (i.e. 26% allowance) put in place to cushion staff during the transition process.

Fig. 1: 2011-2015 Caseloads Trend

In terms of prevalence of cases Fig. 2 reveals that 60% of caseloads managed originated from HQ and 33% from Field Offices (FO). Of the 33% only 7% were directly dealt with by the VPCs. The rest of the field office cases were managed through the OMBU either during missions, video or teleconference or at times over skype.

Fig. 2: HQ versus Field Offices
Other characteristics of caseloads managed during the period (Fig. 3 to Fig. 5) shows the general distribution of cases and records a difference in numbers between male to female; regional to non-regional; and PL to GS, a trend consistent even with other like MDBs.

Fig. 3: 2015 Caseloads by Gender
Fig. 4: 2015 Caseloads Geographic Origin

Fig. 5: 2015 Caseloads by Grade
For the case load break down, (Fig.6), the largest segment of the grievances received during the year related to Career Development and Job Security 43%. This increase was anticipated because empirical studies have shown change translates into uncertainty and it is that uncertainty that the OMBU helped manage. In terms of Conduct and Abuse of Power the registered figures was 35%, Compensation and Benefits 12%, Performance Evaluation 2%, Policy practices 6% and Separation 1%.

**Fig. 7: Trends in Caseload Types (2011-2015)**
Further, the trend in caseload types over the past 5 years (Fig.7) showed a rise in Conduct and Abuse of Authority cases which had reduced in the previous year. The increase in this type of cases was more to do with staff who had been empowered to speak out about issues that affect them and also the willingness on the part of Management to address them. The highest number of cases as mentioned were those under Career Development and Job Security and this as earlier mentioned was expected.

Outcomes

As its KPI OMBU targets to close any matter brought before it within 4 weeks. As at 31 December 2015, about 91% of the total cases dealt with were closed with only 9 % carried over to 2016. This exceeded by 95% the KPI that guides OMBU deliverables. (Fig. 8).

Fig. 8 2015 Caseload Outcome

<table>
<thead>
<tr>
<th>Status</th>
<th>Percentage</th>
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</thead>
<tbody>
<tr>
<td>On going</td>
<td>9%</td>
</tr>
<tr>
<td>Closed</td>
<td>91%</td>
</tr>
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</table>

SECTION B: VALUES PROMOTION CHAMPIONS (VPC) PROGRAM

Performance and Contribution to Conflict Management

In the year under review the VPC program entered its seventh year. As shown above (Fig.2), the VPCs resolved 7% out of the 40% case load that arose in the field offices an increase of just under 1% compared to the previous year. Their major challenge was combining their exceptionally heavy workloads with this additional responsibility. Several of the VPCs also completed their term and as such there was need to conduct elections and training for their replacement. At the end of the year the OMBU recognized that the
The current model for managing employee work related grievances delivered through the VPCs will need to be revised in the Work Program of 2016 through building on the current program to bring in a more efficient service. The envisaged model will address VPC, ResReps and Directors concern about striking a balance between their portfolio and the functions of the VPC.

**VPC Training and Capacity Building**

The VPC training was not held in 2015 but is programmed to be held in 2016 as some newly elected VPC will join the program.

### SECTION C: INTERNAL NETWORKING, OUTREACH, PROBLEM-SOLVING AND TEAM-BUILDING ACTIVITIES

#### Internal Networking

*The President*

As provided for in Staff Rule 103 (b) (iv) during the year, the OMBU continued to receive and manage cases sent to it from the Presidency (PRST). Through these referrals, OMBU were able to assist remedy and reduce potentially costly formal resolution of matters that would ordinarily tend to take time and therefore adversely affect Bank work. Most of these were high level and at times exceeded the 4 weeks allocated to conclude.

*First Vice President/Chief Operating Officer (FVP/COO)*

The Ombudsman and Mediator in 2015 scaled up bilateral meetings with the FVP/COO to develop and discuss strategies to better manage staff concerns especially on settling in Abidjan, Strategic Staffing and discussions on the Total Compensation Framework. The OMBU received in return guidance, clarifications and updates on senior management perspectives on the matters as well as ongoing efforts to address them. The exchanges were not only fruitful but they better equipped the Ombudsman to provide informed authentic and quality service to staff.

*Collaboration with other Oversight and Accountability Offices*

The Office was actively involved in “Hearing Committee Meetings”, an Ad hoc platform within the Internal Recourse Mechanism System convened by CHRM. During the year, the platform met to consider a number of Bank-wide concerns. These included discussions on the ongoing revision of the Staff Rules and Regulations, the Total Compensation Framework and the Strategic Staffing Exercise. As part of this peer group, the Ombudsman and Mediator was involved in preparations for participation at the Annual Meetings held in Abidjan, Cote D’ Ivoire.

Additionally, per the Presidential Directive on the election of VPC other oversight offices namely SCO, SIEO and IACD, provided OMBU input in the validation of the candidature of the newly selected VPCs.

Bilaterally, the Ombudsman and Mediator occasionally met with CHRM management team and HR Business Partners to explore possible solutions to close pending cases. The Office also used the CHRM Induction Session of newly recruited staff the
importance of using the Internal Recourse Mechanism, and the profit of using OMBU’s services to resolve employee work related grievances.

The Office participated in the IACD event, namely the “International Anti-Corruption Day” held on 9 December 2015 to mark the annual international awareness on efforts to eradicate corruption worldwide. The OMBU also joined the Bank to observe the world international women’s day and the international day on HIV/AIDs.

Conflict Competency Week (CCW)

The Conflict Competency Week (CCW) was held from 23-27 November 2015, in Abidjan, Cote D’Ivoire, under the theme Building Resilience and Hope in a High Performing Work Environment. From the feedback received the staff found the topics on; Increasing Capacity for Resilience using Emotional Intelligence Managing Staff Pension Plans: A Guide to Managing Benefits ,Dealing with the Challenges of Justice and Accountability in a Diverse Work Place (Four)Coping with Personal, Organizational, Strategic and Social-Cultural Changes, Motivating Staff to deliver Quality and timely projects; Bank values as Pillars to Build Morale and Resilience and; Buying into Change as an Equal; extremely useful.

On the part of the OMBU the importance of the contributions of collaborating partners namely, CHRM, SCO, ICAD, TRIBs, SPRU, SEGO and the Medical Centre not only showcased the immense hidden talent within the Bank but as all the resources were internal, this had a direct impact on clear savings and efficiency gains per the Work Program and Budget. In total close to 65 (sixty-five) staff from the HQ, Regional Resources Centre and the Field Offices participated and received invaluable exchanges on how to build resilience in a changing work environment. Lastly, the feedback both from the Management and Staff was that the theme was timely and the event useful coming at the time of many changes in the Bank.

Outreach, Problem-Solving and Team-Building Activities

The Office undertook three Outreach/Team Building and Problem-Solving Sessions the first from 1-9 February was a back-back mission to SARC (Pretoria) and ZMFO (Lusaka), the second from the 13-17 July 2015 to the SNFO (Dakar). The missions were used to engage staff in conversations on improving the working conditions as well as the quality of human and professional relationships at all levels in the Bank and maintaining and enhancing a healthy working environment for the common benefit of the Bank and Staff. It was also an opportunity to inform and discuss with staff on the virtues of the internal recourse mechanism, particularly the Ombuds and Mediation Services, including the VPC function.

During the one-on-one sessions, at SARC, SNFO and ZMFO a number of employee work related grievances were managed, conciliation process initiated and some issues brought to the attention of the relevant authority at HQ with most brought to closure. The grievances ranged from conduct and abuse of authority; career development and job security concerns; compensation and benefits matters relating to overtime payments and policy malpractices. Specifically, the mission laid to rest concerns that some offices was ear-marked for closure given the review of field offices operations that the Bank was undertaking. The OMBU advised staff to continue to exhibit professionalism, team spirit, transparency and integrity until official communication was sent by Management on the future of the Offices if at all.

SECTION D: EXTERNAL NETWORKING
The Office maintained its contacts and membership with the International Ombudsman Association (IOA) and with the United Nations and Related International Organizations (UNARIO). The Annual gatherings continued to provide invaluable exchanges on the efficient management of the Institutional ombudsman and mediation services based on international best practice. The standards of practice continued to guide the office in the delivery of service at the Bank.

SECTION E: TRAINING AND SKILLS DEVELOPMENT

As provided for in the objectives in the Work Program and in order to add to personal development, the OMBU took part in the Bank-wide training sessions on, SRAS/Budget 2015-2017; Activity Time Recording System (ATRS); SAP Travel; Lync Training Session; and the CHRM New Performance Evaluation System.

SECTION F: SYSTEMIC ISSUES AND UPWARD FEEDBACK

2015 could be seen as a year that the Bank slowly ‘settled’ at the HQ, after its return in 2014. Most of the anxiety expressed by some staff had been dealt with, though certain issues continued to concern staff. The main issues that remained included the following: The management of various transitional measures Management put in place to facilitate the return to Headquarters (e.g. 26% Allowance, Recruitment Freeze, Leave from the Bank for Personal Reasons, and Separation Package after installation in Abidjan). A few matters were also raised concerning Field Office operations, matters relating to career development and job security, performance evaluation and conduct and abuse of authority brought to our attention were raised with the office of the COO/FVP and CHRM management in order to address any shortcomings identified in employment policies, procedures and practices in the Bank.

Management of Transitional Measures to Facilitate the Return to the Headquarters

It will be recalled that during the process of the return to Headquarters Management took certain decisions meant to facilitate the smooth return of the Bank. These included (a) The approval of a 26% allowance as an interim measure to cushion the staff against the measured high cost of living at the Headquarters (b) The guideline that Staff could not during the transition period be allowed to exercise the privilege to apply to be allowed to proceed for leave for personal reasons (c) That given the period in time they be a temporal recruitment freeze in place.

On settling at the HQ Staff argued that, since the 26% cushion was a temporal measure and as the time allocated for it to be in place was one year they wondered what remedies would be instituted after the allocated period. They also expressed concerns about the skills audit as some staff felt this could be linked to layoffs. Other staff were also concerned that even though they had been a ‘recruitment freeze’ it appeared some Complexes where still recruiting and that the same applied with the policy on not proceeding on leave for personal reasons.

In raising these concerns with Management, the Office emphasized the need for transparent, professional, and integrity when communicating with the staff either through the Staff Council, Administration and or during town hall sessions. Upon engaging with the Office of the COO/FVP and CHRM; OMBU was able after discussions
and consultations to obtain agreement of Management to communicate better on matters affecting staff and thus help ease anxiety and fears. Management also clarified that crucial recruitment could be done provided this was cleared through the Office of the COO/FVP. They further guided that some of the staff who had proceeded on leave despite the ‘ban’ had either applied to proceed on leave before the policy and/or they had sought and obtained a waiver. These responses were communicated to affected staff.

It must be stated that difficult as some concerns were, the Office was encouraged by the positive response from Management, because Town Hall meetings were held to discuss in some depth staffing issues and how the Bank would manage sensitive transitional concerns. Management specifically stressed the urgency with which they were attaching the 26% that was due to lapse either once the TCF was adopted or after one year. This is a matter OMBU continued to monitor and discuss with Management.

Settling in of Staff once at Headquarters

As was the case soon after return to HQ, both SCO and Management where preoccupied with how staff could be assisted to adequately meet the high cost of living in Abidjan. This was especially so for Staff in the GS category and their ability to afford base rent costs.

It will be recalled that Management in transferring staff to HQ had attached a condition that Staff who would move from Tunis to Abidjan would have to serve a one year ‘bond’ or pay back the cost of moving them in the event that they considered separating from the Bank. However, for various pressing reasons some GS raised the desire to separate before one year had lapsed.

OMBU engaged with Management pointing out this concern. It was thus gratifying to note that management announced various remedial measures to address the concerns.

In discussions with CHRM and other relevant Units involved in the process, OMBU encouraged CHRM to hold exit interviews with affected staff either through the Business Partners or SCO. OMBU went further and during the Conflict Competency Week included a topic on managing finances upon separation from the bank. The session was well received.

Strategic Staff Planning

In mid to early February 2015, Management took on a flag-ship process of Strategic Staff Planning (SPP). Some Staff concerns were that it was coming too soon after the RTHQ and it would further destabilize the settling in process.

In responding to concerns from Staff, Management pointed out that their actions were based on The AfDB Human Resources Action Plan (HRAP). They further pointed out that the SPP would assist the Bank become the employer of choice, and address, questions on, competitive salaries, work environment, managerial style and organizational culture, rewards and recognition, compensation and benefits, opportunities for learning and skills development, and career opportunities.

To further address staff concerns Management committed to developing a better internal communication strategy that would engage staff on the SPP, and to this end
held town hall meetings. During the meetings Management stated that the SPP was not selective but affected all category of Staff. OMBU continued to engage both SCO and Management on how best to manage the process.

Staff Skills Audit

In April 2015 OMBU received concerns about the Staff Skills Audit (SSA). Some staff concerns were whether the SSA was linked to the SPP and second whether this would affect staff only recently elevated or indeed if the program brought in rapid succession with the SPP, was not a disguise to reduce numbers especially with the recruitment freeze in place.

In justifying the audit, Management stated that given the changing environment, cultural transformation, major internal transformation initiatives and in view of the ten year strategy (TYS) ambitions, it was deemed appropriate to perform an independent assessment of the current skills within the Bank not to separate staff but to identify how to deliver properly on the strategic ambitions.

OMBU continued to conduct shuttle diplomacy between concerned staff and various Units and urged staff to await the final decisions on the audit rather than seek to rely on rumor or emotion. The Office also implored management to communicate often and with clarity with the staff on the aim and progress of the exercise to help ease anxiety which could lead to low production.

Career Development and Job Security

As was the case in 2014, staff career development and job security concerns took prominence in the year ended. Staff concerns included; contracts being renewed for one year rather than the ‘traditional’ three/two years without legitimate explanation; non-respect of timelines relating to contract renewals; and difficulty with re-integration into the bank upon return from non-active service.

In its intervention, OMBU encouraged the use of Human Resource Business Partners to facilitate communication on career related matters between staff and management. It emphasized the need to adhere to the Staff Rules and Regulations and to respect the provisions in the Contract of Appointment. It also urged for the avoidance of doubt early consultation with GECL on contractual issues.

OMBU also held regular sessions with some Business Partners to discuss staff concerns and explore possible solutions to assist them. The solutions were time bound and subject to review from time to time and this worked well.

Performance Evaluation (PE)

In February 2015 the Bank issued directives concerning the Staff Performance Management System. The Directive introduced new processes and practices. Staff consulted with OMBU on the recourse mechanism which had been elevated to the complex level and whether this addressed concerns raised in 2014.

It was clear in discussion with Staff that in the amendments made, most concerns raised in 2014 have been taken on board. OMBU encouraged staff and managers to attend the CHRM briefing sessions on the performance management practice, so that each party understood their role in the process.
Conduct and Abuse of Power

In 2015 most of the cases under this category related to conduct as opposed to abuse. OMBU continued to provide guidance on the relevance of the Code of Conduct, Bank Rules and Regulations and various Presidential Directives that related to staff interpersonal relations and relations with management.

CONCLUSIONS AND WAY FORWARD

Over all 2015 was an exceptionally busy year the workload of the Office as a resource for facilitation of resolution for work related grievances continued to be managed effectively. The increase in new initiatives, change in Senior Management and settling in at HQ all created an ambience that would stretch the resilience of the Bank. The OMBU was again a resource of choice in dealing not only with professional concerns but also with staff relations. OMBU observed the targeted KPI and at every stage kept the parties concerned involved and informed to arrive at resolution. OMBU continued to provide informal assistance with grievances when consulted both by staff and management. The Office also participated in the elaboration of Bank policies and practices with a view to highlight potentially conflict areas. Most of the achievements would not have been possible but for, the freedom accorded the Office to access records, engage in consultations in a confidential and neutral manner and in the process drive options that the parties were comfortable to explore.

The 2016, Work Program therefore, will be reinforced to offer continued quality service to staff and management. The Office will scale up its mandate to prepare and submit reports on comments and recommendations on any shortcomings identified in employment policies, procedures and practices in the Bank. OMBU will continue to deal directly with all Heads of Departments and other supervisors as well as staff members in order to develop a platform for the facilitation of conflict in employee work related grievances. As always the office shall respect and ensure confidentiality of all information and documentation made available to it.

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PHOTO OF OMBU TEAM AND CONTACT DETAILS
From L to R
Jeanette Ndongo, Administrative Assistant: 20263403; Alisand Singogo, Second Ombudsman and Mediator: 20262141; Amabel Orraca-Ndiaye, Bank Ombudsman and Mediator: 20262114; and Mercy Ndubuisi-Okotie, Secretary: 20262944

Contact:

Office Location: CCIA Building 25th Floor Offices- R, S, T.

Fax: + (225) 20 24 21 52
Dedicated e-mail address: ombudsman@afdb.org
ANNEX I

Rule 103.00

Ombudsperson

(a) There shall be an Ombudsperson in the Bank appointed by the President, whose function shall be to facilitate conflict resolution, using mediation and conciliation or other appropriate means for the primary objective of settling grievances on employment matters between a staff member and the Bank. The Ombudsperson shall also be responsible for advising and recommending to Management, solutions for dealing with shortcomings in employment policies, procedures and practices.

(b) The duties of the Ombudsperson shall be as follows:

(i) To consider employment related grievances of a staff member. "Grievance" is to be construed in a broad sense and includes matters pertaining to the administration of benefits as well as professional concerns and staff relations.

(ii) To provide informal assistance with grievances when consulted before they get to the Staff Appeals Committee or in circumstances where the Staff Appeals Committee arrives at a decision, with the agreement of the parties, to delay its proceedings pending an effort at informal resolution by the Ombudsperson.

(iii) To prepare and submit reports on comments and recommendations on any shortcomings identified in employment policies, procedures and practices in the Bank. Such reports shall be submitted to Management and to the responsible Organizational Unit, provided that they shall have no binding effect.

(iv) To provide advice on any personnel matter or issue referred by Management.

(v) At the request of Management, to participate in the elaboration of Bank personnel rule regulations, policies or practices.

(vi) To publish an annual report on the activities of his/her office.

(c) The Ombudsperson shall report directly to the President and shall be independent of any Department or staff member. When required, the Ombudsperson shall have direct access to the President of the Bank.

(d) In the discharge of his/her functions, the Ombudsperson may deal directly with all Heads of Departments and other supervisors as well as with all categories of staff members at the Headquarters and in the Field Offices, and shall:

(i) have the freedom to discuss and consult with all levels of staff including the Staff Council;

(ii) have access to any staff record, which he/she believes to be relevant;
(iii) respect and ensure the confidentiality of all information and documentation made available to him/her;

(iv) maintain appropriate confidential records of all grievances and other matters handled by him/her in the discharge of his/her duties; and

(v) exercise independent and objective judgment in evaluating the grievance. In doing so, the Ombudsperson shall take into account the rights and obligations existing between the Bank and the staff member and the equities of the situation.

(e) The Ombudsperson shall review documents and files, including the personnel records of a staff member and collect whatever information he/she deems relevant to the grievance and to the discharge of his/her functions.

(f) The Ombudsperson shall supplement and co-operate with in the mechanisms set in place by the Bank to improve the working conditions as well as the quality of human and professional relationships at all levels in the Bank.

(g) Heads of Departments, other supervisors and all staff members shall co-operate with the Ombudsperson and shall utilize his/her services to the fullest extent possible with the sole aim of maintaining and enhancing a healthy working environment for the common benefit of the Bank and staff members.

(h) The Ombudsperson may make suggestions or recommendations, as appropriate, on actions needed to settle the grievance. However, the suggestions or the recommendations, as the case may be, are not binding and final decision thereon is the prerogative of the person to whom they are addressed.

(i) The Ombudsperson may decline, at his/her discretion, to consider grievances that may be remedied only by action affecting the staff member at large or all the members of a category of staff, or that the Ombudsperson considers have not been brought to his/her attention in a timely manner.
ANNEX II

TERMS OF REFERENCE OF THE OMBUDSMAN

(Extracted from CMVP circular dated 8 July 2004 on the TOR of the Ombudsman)

Preamble

The post of Ombudsman was first established in 1992 as part of the efforts by Management to improve the working conditions as well as the quality of human and professional relationships at all levels in the Bank. The post supplements the various other mechanisms already in place, such as the Staff Council, the Disciplinary Committee, the Staff Appeals Committee and later, the Administrative Tribunal.

The Ombudsman is a designated neutral and impartial dispute resolution practitioner; his major function is to provide independent, confidential and informal assistance to all staff on grievances and complaints related to human resources and work place issues.

The office will facilitate conflict resolution between staff members and Management through the use of mediation and conciliation or other appropriate means.

Authority of the Ombudsman

The Ombudsman has no formal decision making powers, but will advise and make recommendations to the President and other affected Managers or staff.

In exercising his duties, the Ombudsman will be independent of any official, department, office or other organizational unit of the Bank.

The Ombudsman shall have the right on any matter pertaining to the exercise of his duties, to direct access to any staff member and management of the Bank. All staff members are expected to cooperate with the Ombudsman and to make available all information pertinent to matters he is reviewing; he shall therefore, have access to all records relevant to the exercise of his duties.

Duties of the Ombudsman

The principal duties and activities of the Ombudsman shall include:

1. Provide staff with consultations and advice on issues or problems affecting professional matters or employment conditions in the Bank. These include, but are not limited to, working conditions, job content, relationship with other staff/supervisors, performance evaluation, salary review, career development, benefits administration, harassment and professional ethics; he/she may decline at his/her own discretion, to consider grievances that can be remedied only by action affecting the staff at large or all members of a category of staff, or that the Ombudsman considers have not been brought to his/her attention in a timely manner;

2. Assist in identifying solutions or options to resolve specific issues in an impartial and equitable manner through discussions and consultations
with all levels of staff, and have access to any staff record or relevant Bank documents or records;

3. Prepare and submit to Senior Management and the responsible or affected organizational units, reports containing comments and recommendations on any shortcomings identified in human resource policies, procedures and practices in the Bank;

4. Provide on-going education and communication about the office’s role to all potential inquirers as well as to the Senior Management of the Bank;

5. Prepare an annual report of the types of matters handled and results achieved or accomplishments made during the preceding year. The report shall describe, in general terms, the issues dealt with, and the outcome of the Ombudsman’s intervention. It shall be available to staff and Management upon publication.

Confidentiality

The Ombudsman shall ensure the strict confidentiality of all information and documentation made available to him and maintain appropriate confidential records of all complaints and other matters handled by him in the discharge of his duties.

However, the ombudsman may disclose information if the person seeking assistance consents to disclosure for the purpose of the performance of the duties of the Ombudsman. He may also, at his sole discretion, break confidentiality where there appears to be imminent threat of serious harm.

Reporting relationships

The Ombudsman reports to the President and he is independent of any official or organ of the Bank.

He shall, in the discharge of his functions, also deal directly with the Vice President for Corporate Management.

Heads of Organizational Units, other supervisors and all staff members are accordingly invited and encouraged to cooperate with the Ombudsman and to utilize his services to the fullest extent possible with the sole aim of maintaining and enhancing a healthy working environment for the attainment of the Bank’s objectives.
ANNEX III

A Values Promotion Champions (VPC)

Terms of Reference

The African Development Bank values its human resources as its most important asset. In acknowledgement of that fact, the Bank has been very active in fostering policies and programs aimed at ensuring that respect for staff dignity prevails in the workplace and that the working environment is wholesome. It has therefore adopted policies and practices with the fundamental purpose of guaranteeing a respectful, harassment- and intimidation-free environment. It thus strives to ensure that prompt and serious attention is accorded to any form of grievance or complaint that suggests disrespect for staff dignity. In furtherance of these policies, the Bank has set up several formal and informal channels of recourse to enable persons with such complaints to register them and seek advice and assistance. These channels include Management Review, Human Resources Department, the Staff Council, the Office of the Ombudsman with the Values Promotion Champions (VPCs) Program, the Ethics Office and the Administrative Tribunal. The VPCs are selected by staff members in the respective field offices and the VPC program is managed by the Office of the Ombudsman.

Main Responsibilities of the VPCs

- Serve as a confidential and safe place where colleagues can go for support and information
- Direct colleagues to appropriate channels in the Bank’s Internal Justice System
- Serve as a sounding board for staff concerns in the field offices to the Ombudsman
- Periodically sensitize staff in their respective offices on Bank Ethics and Values as well as brief new staff on the VPC role
- Hold periodic meetings with the Field Office Representatives to discuss trends and general atmosphere in the office without divulging names or information on specific cases
- Send quarterly and confidential logs to the Office of the Ombudsman on the types of issues brought to them in a generic and protected way, divulging no names or information that would lead to the identification of a staff member, in order to strictly secure confidentiality.

The VPCs are not expected to directly intervene in mediation, resolution or investigation. They should, at all times and in all circumstances;

---

1 Inspired both in concept and design with courtesy of the World Bank Respectful Workplace Advisors (RWAs) Program.
• Maintain the highest levels of personal integrity
• Show the example by respecting the rights and dignity of their colleagues
• Keep discussions with colleagues absolutely confidential, even in discussion with other VPCs.

After their appointment, all VPC’s must undergo training before they begin to serve in that role. In order to avoid conflict of interest, staff performing managerial or HR responsibilities and Staff Council Officers will not be eligible for appointment as VPCs. All changes in status, grade, responsibility, or work location of a serving VPC must be reported promptly to the Program Administration.

Knowledge Requirements:

VPCs will be expected:

• To be comprehensively familiar with Bank Group policies and procedures, ethical values and expectations
• To have an understanding of the dynamics of a culturally diverse environment and workplace problems
• To be conversant with the workings and services of the Bank’s recourse channels
• To be able to perform basic advisory functions such as skilled listening and emotion management for constructive action
• To have a very clear understanding of their roles as VPC’s, which include how to handle and respond to workplace problems, and how to refer colleagues to appropriate channels elsewhere in the Bank

Selection Process

• Firstly, the Resident Representative or the Officer in Charge of the field office sensitizes the staff about the importance of the role of the VPC at the workplace, the upcoming selection exercise, and advises staff to nominate in a confidential manner, individuals whom they most respect and trust to represent them as a VPC. The Resident Representative and members of the administrative and management team are not eligible for nomination.

• Secondly, the Resident Representative communicates information about the most-nominated candidate to the Office of the Ombudsman in Tunis.

• Thirdly, the Ombudsman consults with the SCO Chair, the Ethics Officer and the Manager of the Anti-Corruption and Fraud Division of OAGL to validate or vet the nomination and then confirms with the selected staff his/her willingness to serve as VPC. The selection process is considered complete as soon as
confirmation is received from the selected staff member and he/she has provided a photo identity and a short biography to the Office of the Ombudsman.

**Tenure of the VPC**

The Term of Office of the VPC shall be two (2) years renewable only once for a further two (2) years. However, for the pioneering VPCs, (2009) the first term shall run for three (3) years to assist consolidate the program. They shall thereafter be eligible for re-nomination for one more term only for two (2) years.
## ANNEX IV

### VALUES CHAMPIONS PROMOTION

LIST OF VPCs as at 31st DECEMBER 2015

<table>
<thead>
<tr>
<th>Name/Nom</th>
<th>Short CV / CV succinct</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Farah KOROMA K. SLFO</td>
<td>Disbursement Assistant, Sierra Leone Field Office. VPC since February 2009.</td>
</tr>
<tr>
<td>2. Hamaciré DICKO MLFO</td>
<td>Senior Macro-Economist in Mali Field Office. VPC since April 2014.</td>
</tr>
<tr>
<td>3. Camille MBA NGUEMA GAFO</td>
<td>Information Technology and Communication Expert in Gabon Field Office. VPC since February 2012.</td>
</tr>
<tr>
<td>5. Prince TAMBAH Desea LRFO</td>
<td>Transport and Infrastructure Engineer, Liberia Field Office. VPC since March 2013.</td>
</tr>
<tr>
<td></td>
<td>Name</td>
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<tr>
<td>6</td>
<td>Baku YAKUBU</td>
</tr>
<tr>
<td>7</td>
<td>Benson Bhumbe NKHOMA</td>
</tr>
<tr>
<td>8</td>
<td>Tankien DAYO</td>
</tr>
<tr>
<td>9</td>
<td>Joseph NYIRIMANA</td>
</tr>
<tr>
<td>10</td>
<td>Vadjoua GUINEO</td>
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<td></td>
<td></td>
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<td>---</td>
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</tr>
<tr>
<td>11. Albert NYAGA CMFO</td>
<td>Rural Development Specialist in Cameroon Field Office. VPC since February 2012.</td>
</tr>
<tr>
<td>12. Cesar TIQUE MZFO</td>
<td>Agriculture and Rural Development Expert in Mozambique Field Office. VPC since February 2012.</td>
</tr>
<tr>
<td>15. Godfred KAIJAGE TZFO</td>
<td>Principal Financial Manager Officer, Tanzania Field Office. VPC since March 2014.</td>
</tr>
<tr>
<td></td>
<td>Name</td>
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<tr>
<td>16</td>
<td>Mohamed EL ARKOUBI</td>
</tr>
<tr>
<td>17</td>
<td>Nanette DERBY</td>
</tr>
<tr>
<td>19</td>
<td>Souleye KITANE</td>
</tr>
<tr>
<td>20</td>
<td>Mukul KUMAR</td>
</tr>
<tr>
<td>No.</td>
<td>Name and Position</td>
</tr>
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</tr>
<tr>
<td>22.</td>
<td>Nelvina BARRETO GOMES D. AOFO  &lt;br&gt;Principal Country Program Officer in Angola Field Office. VPC since February 2010.</td>
</tr>
<tr>
<td>23.</td>
<td>David ENGWU UGFO  &lt;br&gt;Senior Procurement Officer in Uganda Field Office. VPC since February 2012.</td>
</tr>
<tr>
<td>24.</td>
<td>Lewis Mupeta BANGWE ZMFO  &lt;br&gt;Agriculture and Rural Development Expert in Zambia Field Office. VPC since September 2014.</td>
</tr>
<tr>
<td>25.</td>
<td>Eltahir YOUSIF Bashir SDFO  &lt;br&gt;Senior Country Economist in Sudan Field Office. VPC since December 2012.</td>
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<tr>
<td>No.</td>
<td>Name</td>
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<tr>
<td>27</td>
<td>BENBAHMED Tarik</td>
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<td></td>
<td>DZFO</td>
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<td></td>
<td>EARC</td>
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<tr>
<td>29</td>
<td>Hercule YAMUREMYE</td>
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<td></td>
<td>BIFO</td>
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</table>
ANNEX V

IOA Standards of Practice

Preamble

The IOA Standards of Practice are based upon and derived from the ethical principles stated in the IOA Code of Ethics.

Each Ombuds office should have an organizational Charter or Terms of Reference, approved by senior management, articulating the principles of the Ombuds function in that organization and their consistency with the IOA Standards of Practice.

Standards of Practice

Independence

1.1 The Ombuds Office and the Ombuds are independent from other organizational entities.

1.2 The Ombuds holds no other position within the organization which might compromise independence.

1.3 The Ombuds exercises sole discretion over whether or how to act regarding an individual’s concern, a trend or concerns of multiple individuals over time. The Ombuds may also initiate action on a concern identified through the Ombuds’ direct observation.

1.4 The Ombuds has access to all information and all individuals in the organization, as permitted by law.

1.5 The Ombuds has authority to select Ombuds Office staff and manage Ombuds Office budget and operations.

Neutrality and Impartiality

2.1 The Ombuds is neutral, impartial, and unaligned.

2.2 The Ombuds strives for impartiality, fairness and objectivity in the treatment of people and the consideration of issues. The Ombuds advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization.

2.3 The Ombuds is a designated neutral person reporting to the highest possible level of the organization and operating independent of ordinary line and staff structures. The
Ombuds should not report to, nor be structurally affiliated with any compliance function of the organization.

2.4 The Ombuds serves in no additional role within the organization which would compromise the Ombuds’ neutrality. The Ombuds should not be aligned with any formal or informal associations within the organization in a way that might create actual or perceived conflicts of interest for the Ombuds. The Ombuds should have no personal interest or stake in, and incur no gain or loss from, the outcome of an issue.

2.5 The Ombuds has a responsibility to consider the legitimate concerns and interests of all individuals affected by the matter under consideration.

2.6 The Ombuds helps develop a range of responsible options to resolve problems, and to facilitate discussions to identify the best options.

**Confidentiality**

3.1 The Ombuds holds all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard confidentiality, including the following: (a) The Ombuds does not disclose confidential communications unless given permission to do so in the course of informal discussions with the Ombuds, and even then, at the sole discretion of the Ombuds; (b) the Ombuds does not reveal, and must not be required to reveal, the identity of any individual contacting the Ombuds Office, nor does the Ombuds reveal information provided in confidence that could lead to the identification of any individual contacting the Ombuds Office, without that individual’s express permission; (c) the Ombuds takes specific action related to an individual’s issue only with the individual’s express permission and only to the extent permitted, unless such action can be taken in a way that safeguards the identity of the individual contacting the Ombuds Office. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm, and where there is no other reasonable option. Whether this risk exists is a determination to be made by the Ombuds.

3.2 Communications between the Ombuds and others (made while the Ombuds is serving in that capacity) are considered privileged. The privilege belongs to the Ombuds and the Ombuds Office, rather than to any party to an issue. Others cannot waive this privilege.

3.3 The Ombuds does not testify in any formal process inside the organization and resists testifying in any formal process outside of the organization, even if granted permission or requested to do so.

3.4 If the Ombuds pursues an issue systemically (e.g., provides feedback on trends, issues, policies and practices) the Ombuds does so in a way that safeguards the identity of individuals.

3.5 The Ombuds keeps no records containing identifying information on behalf of the Organization.

3.6 The Ombuds maintains information (e.g., notes, phone messages, appointment calendars) in a secure location and manner, protected from inspection by others.
(including management), and has a consistent and standard practice for the destruction of such information.

3.7 The Ombuds prepares any data and/or reports in a manner that protects confidentiality.

3.8 Communications made to the Ombuds are not notice to the organization. The Ombuds neither acts as agent for, nor accepts notice on behalf of the organization. However, the Ombuds may refer individuals to the appropriate place where formal notice can be made.

**Informality and Other Standards**

4.1 The Ombuds functions on an informal basis by such means as: listening, providing and receiving information, identifying and reframing issues, developing a range of responsible options, and—with permission and at Ombuds discretion—engaging in informal third-party intervention. When possible, the Ombuds helps people develop new ways to solve problems themselves.

4.2 The Ombuds as an informal and off-the-record resource pursues resolution of concerns and looks into procedural irregularities and/or broader systemic problems when appropriate.

4.3 The Ombuds does not make binding decisions, mandate policies, or formally adjudicate issues for the organization.

4.4 The Ombuds supplements, but does not replace, any formal channels. Use of the Ombuds Office is voluntary, and is not a required step in any grievance process or organizational policy.

4.5 The Ombuds does not participate in any formal investigative or adjudicative procedures. Formal investigations should be conducted by others. When a formal investigation is requested, the Ombuds refers individuals to the appropriate offices or individual.

4.6 The Ombuds identifies trends, issues and concerns about policies and procedures, including potential future issues and concerns, without breaching confidentiality or anonymity, and provides recommendations for responsibly addressing them.

4.7 The Ombuds acts in accordance with the IOA Code of Ethics and Standards of Practice, keeps professionally current by pursuing continuing education, and provides opportunities for staff to pursue professional training.

4.8 The Ombuds endeavors to be worthy of the trust placed in the Ombuds Office.
IOA Code of Ethics

Preamble

The IOA is dedicated to excellence in the practice of Ombuds work. The IOA Code of Ethics provides a common set of professional ethical principles to which members adhere in their organizational Ombuds practice.

Based on the traditions and values of Ombuds practice, the Code of Ethics reflects a commitment to promote ethical conduct in the performance of the Ombuds role and to maintain the integrity of the Ombuds profession.

The Ombuds shall be truthful and act with integrity, shall foster respect for all members of the organizations they serve, and shall promote procedural fairness in the content and administration of those organizations’ practices, processes, and policies.

Ethical Principles

Independence
The Ombuds is independent in structure, function, and appearance to the highest degree possible within the organization.

Neutrality and Impartiality
The Ombuds, as designated neutral, remains unaligned and impartial. The Ombuds does not engage in any situation which could create a conflict of interest.

Confidentiality
The Ombuds holds all communications with those seeking assistance in strict confidence, and does not disclose confidential communications unless given permission to do so. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm.

Informality
The Ombuds, as an informal resource, does not participate in any formal adjudicative or administrative procedure related to concerns brought to his/her attention.

22 February 2006
ANNEX VI

Memorandum of Agreement
Dispute Reference OMB/MED/…

To be signed by parties to a Mediator/Conciliation Process prior to the commencement of the Process.

Preamble

Considering the approval by the Board of Directors on 2 March 2007, of measures to strengthen the African Development Bank’s internal recourse mechanisms; the provisions of staff Regulation 10.3 (Settlement of Disputes); and Staff Rule 103.00 (Ombudsperson); and in accordance with the Presidential Directive No. 08/2007 concerning Guidelines for Conciliation and especially Articles 5 (Confidentiality) and 6 (Conclusion of Conciliation Process) of those Guidelines.

1. Declaration of Intent

The Parties to this Memorandum hereby declare their wish to work towards a settlement of the above referenced dispute through the process of mediation facilitated by the Ombudsperson of the Bank. They recognize the Mediator as an independent and neutral party with no vested interests in the dispute, or in its settlement.

2. Confidentiality and privilege

2.1 The parties recognize that mediation proceedings are settlement negotiations and that all offers, promises, conduct and statements, whether written or oral, made in the course of the proceedings including the Record of Settlement, are inadmissible in any arbitration or court proceedings. The parties agree not to subpoena or otherwise require the Ombudsperson/mediator to testify or produce records, notes or work product in any future proceedings and no recording or stenographic record shall be made of the mediation session.

2.2 Moreover, the parties declare that they fully understand and accept that the proceedings of this conciliation process as well as any Record of Settlement therefrom, shall be kept confidential, and that they shall not disclose any settlement agreed upon, nor information provided in the course
of the proceedings except to the extent that such information is already available to them otherwise than as a result of the conciliation proceedings.

3. **Termination of Mediation**

The mediation process shall be terminated under any of the circumstances stated hereunder:

(a) By a declaration by the Mediator that a settlement has been reached.
(b) By a declaration by the Mediator that further attempts at mediation are no longer considered necessary and worthwhile.
(c) By a declaration by any of the parties that the process should be terminated.

4. **Binding Undertaking**

4.1 Should an agreement be reached as a result of these proceedings, the Parties accept to sign the Record of Settlement as furnished by the Mediator. They also accept that the Record of Settlement so signed shall be final and binding on the parties and that no appeal or further proceedings may be brought in relation to the matters stated in the Record of Settlement.

4.2 Having read and understood the terms of this document, the Parties agree to be bound by them, as witnessed by their signatures below.

Done in Tunis, on

Signed Signed

__________________ ____________________
Requester Ombudsman & Mediator

Signed (Parties)

__________________ ____________________

ANNEX VII

REQUEST FOR CONCILIATION / MEDIATION MADE TO THE OMBUDSMAN & MEDIATOR OF THE BANK

I Information concerning the Requestor

1. Full name:
2. Date and Place of Birth:
3. Civil Status:
4. Nationality:
5. Date of Recruitment:
6. Professional status and department:
   (as at date of contested decision)
7. Duty station:
8. Date of written notification of contested decision:
9. Contacts (Tel.; e-mail; etc...):

II Parties to decision being challenged:

1. Name:
   o Department:
   o Professional:
   o Relationship to requestor as at time of decision:

2. Name:
   o Department:
   o Professional:
   o Relationship to requestor as at time of decision:

3. Name:
   o Department:
   o Professional:
   o Relationship to requestor as at time of decision:

III Decision Being Disputed: (Kindly summarize the facts which gave rise to the request. Any document submitted should be referred to in the summary of the facts and attached to this request).
IV  Reasons for disputing the decision

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

V  Desired relief by Requestor

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

Requestor’s Signature

(Please provide a list of documents mentioned)
ANNEX VIII

FEEDBACK ON THE OFFICE OF THE OMBUDSMAN & MEDIATOR

This survey questionnaire may be filled anonymously

The information you provide will help to tailor the services of the Ombudsman & Mediator’s office to meet the expectations of staff.

I - IDENTIFICATION

1- Professional Category

☐ GS
☐ PL
☐ Managerial Grade

2- Gender

☐ Male
☐ Female

II - KNOWLEDGE OF AND ACCESS TO THE SERVICES OF THE OFFICE OF THE OMBUDSMAN & MEDIATOR

3. How did you learn about the Office of the Ombudsman & Mediator?
   Choose up to the maximum number of selections.

☐ CHRM Orientation Seminar for New Staff
☐ Brochures or Posters of the Office of the Ombudsperson
☐ Appeals Committee Secretariat
☐ Ombudsperson’s Annual Activity Report
☐ Human Resources (HR) or Supervisor
☐ Staff Council
☐ Word of mouth (from colleagues)
☐ I had used this service before
☐ Other: ___________________________________________________

4. What means were used to communicate with the Ombudsman & Mediator?

☐ Through a visit to the Office
☐ By Telephone
☐ By E-mail
☐ Other: (such as memo)__________________________________________

5. Please rank the following in terms of why you came to the Office of the Ombudsman & Mediator. Rank from 1 to 5
☐ I did not know whom to discuss my concern with
☐ I wanted the Ombudsman & Mediator to be aware of an issue
☐ Other avenues had failed
☐ I wanted to understand what my options were
☐ I wanted the Ombudsman & Mediator to put pressure on the person involved with my issue on my behalf

☐ I wanted to get information about Bank Policies and Procedures
☐ I wanted to put Bank Management on notice
☐ Other:

6. Was access to the Office of the Ombudsman & Mediator easy and convenient?
   ☐ Yes
   ☐ Somewhat
   ☐ No

7. Did you fear being seen coming to the Office of the Ombudsman & Mediator?
   ☐ Yes
   ☐ Somewhat
   ☐ No

8. Were there any negative consequences resulting from contacting the Office of the Ombudsman & Mediator?
   ☐ Yes,
   ☐ Somewhat
   ☐ No

9. Were you considering filing a formal appeal before consulting the Office of the Ombudsman & Mediator?
   ☐ Yes,
   ☐ Somewhat
   ☐ No

10. If the answer to question 7 was YES, did you decide not to file a formal appeal as a result of your visit to the Office of the Ombudsman & Mediator?
    ☐ Yes
    ☐ In part
    ☐ No

11. How often did you consult/meet the Ombudsman & mediator for the same case?
    ☐ Once
    ☐ Two to four visits
    ☐ More than four visits
    ☐ Never
III. EVALUATION OF THE SERVICES OF THE OFFICE OF THE OMBUDSMAN & MEDIATOR

12. Did the Ombudsman & Mediator clearly explain his/her role and guiding principles such as confidentiality, neutrality and independence?
   - [ ] Yes,
   - [ ] Somewhat
   - [ ] No

13. Did the Ombudsman & Mediator help you feel comfortable discussing your concerns?
   - [ ] Yes,
   - [ ] Somewhat
   - [ ] No

14. Did you receive sufficient time for your discussion?
   - [ ] Yes,
   - [ ] Somewhat
   - [ ] No

15. Were you satisfied with the assistance the Ombudsman & Mediator provided?
   - [ ] Yes,
   - [ ] Somewhat
   - [ ] No

16. Besides addressing your issue, were there any additional benefits from using the Office of the Ombudsman & Mediator?
   - [ ] Yes
   - [ ] Somewhat
   - [ ] No

17. Did the Assistant to the Office of the Ombudsman & Mediator treat you with courtesy and respect?
   - [ ] Yes
   - [ ] Somewhat
   - [ ] No

18. Did the Ombudsman & Mediator treat you with courtesy and respect?
   - [ ] Yes
   - [ ] Somewhat
   - [ ] No
19. To what extent do you feel that the Ombudsman & Mediator was impartial in the handling of your case?
   - Yes
   - Somewhat
   - No

20. Did the Ombudsman & Mediator maintain appropriate confidentiality about your communication with him/her?
   - Yes
   - Somewhat
   - No

21. Did the Assistant to the Ombudsman & Mediator maintain appropriate confidentiality about your visit to the office?
   - Yes
   - Somewhat
   - No

22. Did the Ombudsman & Mediator appear to be conversant with the issues involved in your situation?
   - Yes
   - Somewhat
   - No

23. Would you consider using the Office of the Ombudsman & Mediator again?
   - Yes
   - Somewhat
   - No

24. Would you recommend the Office of the Ombudsman & Mediator to others?
   - Yes
   - Somewhat
   - No

25. Please provide an Overall Evaluation:
   - Poor
   - Good
   - Very good
   - Excellent

   We will appreciate any recommendation you may wish to make (maximum 20 words):