

# IDB's Ninth General Capital Increase: Implementation and Results

**ove** Office of  
Evaluation  
and Oversight

RE-515-4

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BACKGROUND NOTE

## IDB-9 SURVEY: OVERVIEW OF THE RESULTS

January 2018



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This background note was prepared by Agustina Schijman and Juan Felipe Garcia, as an input to the Evaluation of IDB's Ninth General Capital Increase: Implementation and Results.

## I. THE SURVEY

- 1.1 The IDB-9 Survey was an electronic poll sent by the Office of Evaluation and Oversight (OVE) to the operational staff of the IDB between October 17<sup>th</sup> and October 25<sup>th</sup>, 2017. Together with the first IDB-9 Survey conducted by OVE in September 2012, this second IDB-9 Survey provides information on the extent of implementation of the reforms mandated in the IDB-9 Agreement. Many of the questions in this second poll are similar to those in the previous survey, allowing for comparison of the answers over time.
- 1.2 As its predecessor, the second IDB-9 survey was designed with *Qualtrics* software and included up to 21 closed questions organized in the following six modules: Basic Information (three questions) , Sector framework documents (three questions), Lending and non-lending instruments (one question), Development Effectiveness Framework (nine questions), **Error! Reference source not found.** (three questions), and **Error! Reference source not found.** future directions (two questions). The survey also included two open-ended questions.

### A. Target population

- 1.3 OVE used the IDB telephone directory (<http://teldir/>) to find the e-mail addresses, units and positions of all IDB operational staff working in the Vice Presidency for Sectors and Knowledge (VPS) and Vice Presidency for Countries (VPC). Because OVE was conducting another survey of IDB staff on knowledge products in parallel to the IDB-9 one, OVE selected about 840 staff members between grades 2 and 6, and randomly assigned the personnel to one of the two polls. Given the nature of the surveys, staff in RES, KNL, SPD and EXR were assigned only to the knowledge survey. The sample for the IDB-9 evaluation is shown in Table 1.1.

**Table 1.1. Distribution of Staff Included in the IDB-9 Sample**

Vice Presidency	Unit	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Total
VPC	CAN	0	6	2	4	5	3	20
	CCB	1	1	2	7	2	3	16
	CID	1	4	7	3	10	7	32
	CSC	0	4	2	4	5	3	18
	VPC	1	2	15	19	17	5	59
VPS	CSD	4	1	14	13	17	0	49
	IFD	5	7	20	20	11	2	65
	INE	3	6	18	28	15	0	70
	INT	2	3	4	5	3	1	18
	SCL	4	5	21	20	6	1	57
	VPS	0	3	4	6	3	0	16
<b>Total</b>		<b>21</b>	<b>42</b>	<b>109</b>	<b>129</b>	<b>94</b>	<b>25</b>	<b>420</b>

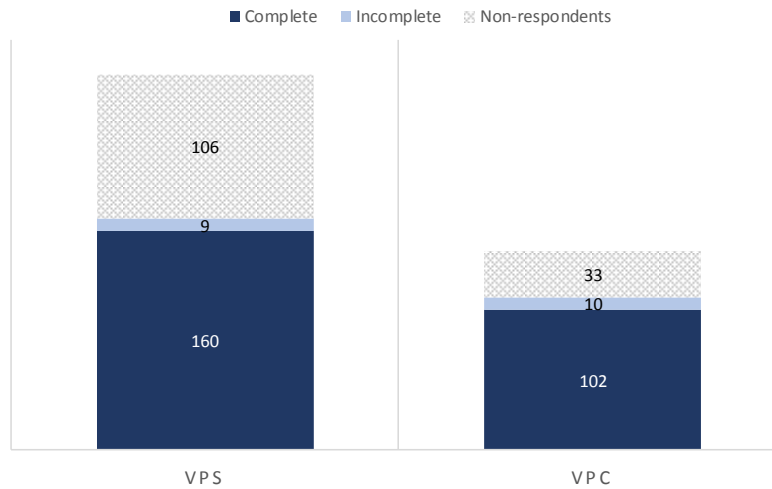
Source: OVE

### B. Response rates and respondent population

- 1.4 Once the random sample of IDB operational staff was selected, the Director of OVE sent an invitation through the Qualtrics server. Every selected member received the invitation on October 17<sup>th</sup>, 2017. Staff who did not complete their surveys during the first four days received two additional reminders.

- 1.5 Access to the survey was closed at 11:59pm on October 27<sup>th</sup>. The final response rate was 67%, including 262 completed surveys and 19 incomplete surveys.<sup>1</sup> Among respondents, 60% work in VPS (169 respondents) and the remaining 40%, in VPC (112 respondents) (Figures 1.1 and 1.2).

**Figure 1.1. Distribution of Respondents by Vice-Presidency**



Source: OVE, n=420

**Figure 1.2. Distribution of Respondents by Functional Unit**



Source: OVE, n=281

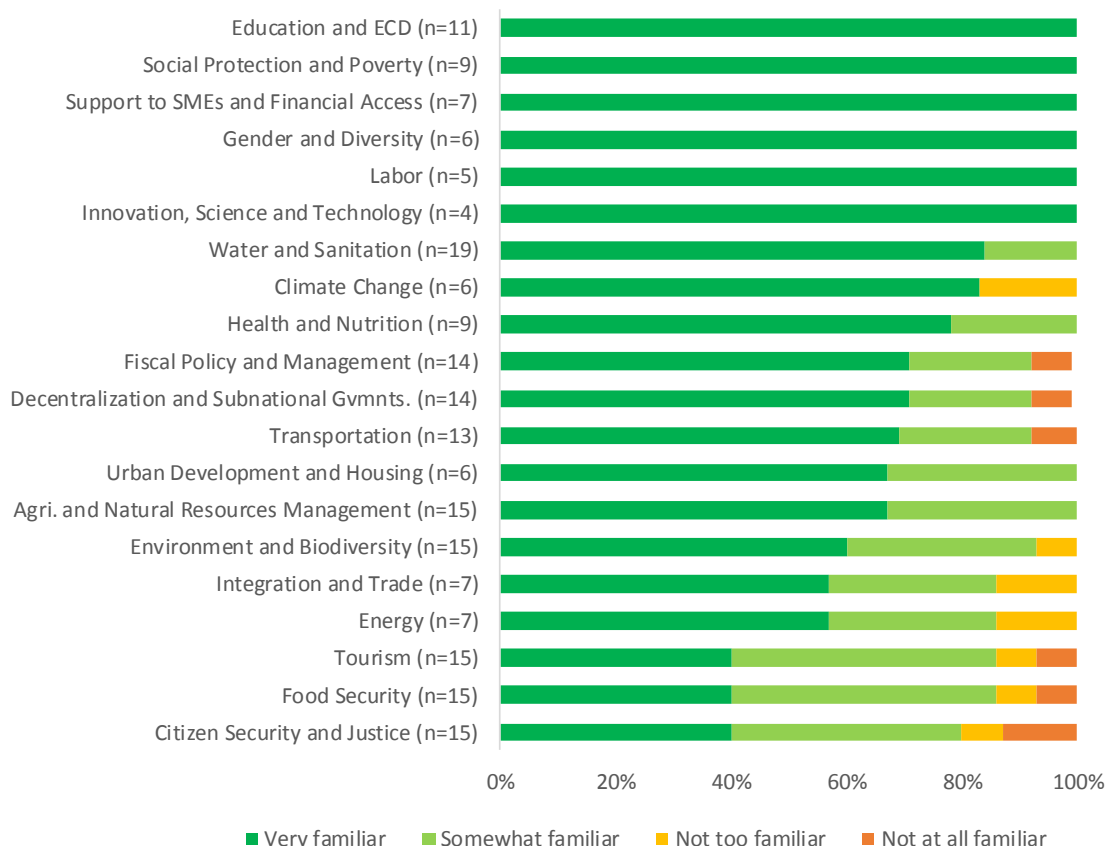
<sup>1</sup> The response rate was higher for VPC (79%) than for VPS (61%). Variation in response rates across units of each vice presidency was high, ranging from 56% to 85%. In VPC, VPC/VPC, CAN and CID had the highest response rates; in VPS, VPS/VPS, INT and IFD had the highest response rates.

## II. FINDINGS

### A. Sector framework documents

- 2.1 The first module was designed to measure familiarity and use of Sector Framework Documents (SFD) among operational staff in VPS. Some variation across SFD notwithstanding (Figure 2.1), on average, the large majority of the respondents were very familiar (74%) or somewhat familiar (19%) with the relevant SFD for their Division.

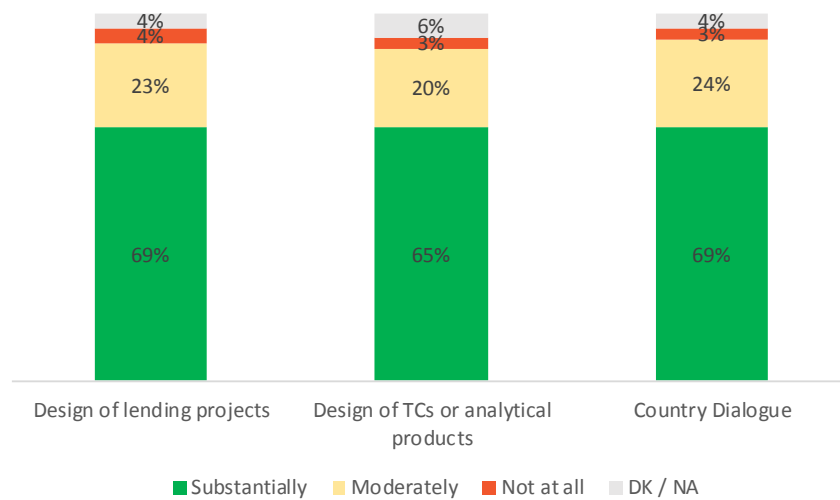
**Figure 2.1: Familiarity with Sector Framework Documents**



Source: OVE, n=146 (operational staff in VPS)

- 2.2 OVE asked those who were very or somewhat familiar with the relevant SFD, how it influenced different aspects of their day-to-day work. The large majority of respondents stated that the SFD substantially influenced the design of lending projects and the content of country dialogue (69% each) and the design of TCs or analytical work (65%) (Figure 2.2). However, there are important differences across SFDs. The SFDs that were reported to have the highest influence are Labor; Innovation, Science and Technology; Education and Early Childhood Development; and Integration and Trade (Figures I.1-I.3, Appendix).

**Figure 2.2: Influence of Sector Framework Documents on IDB work**

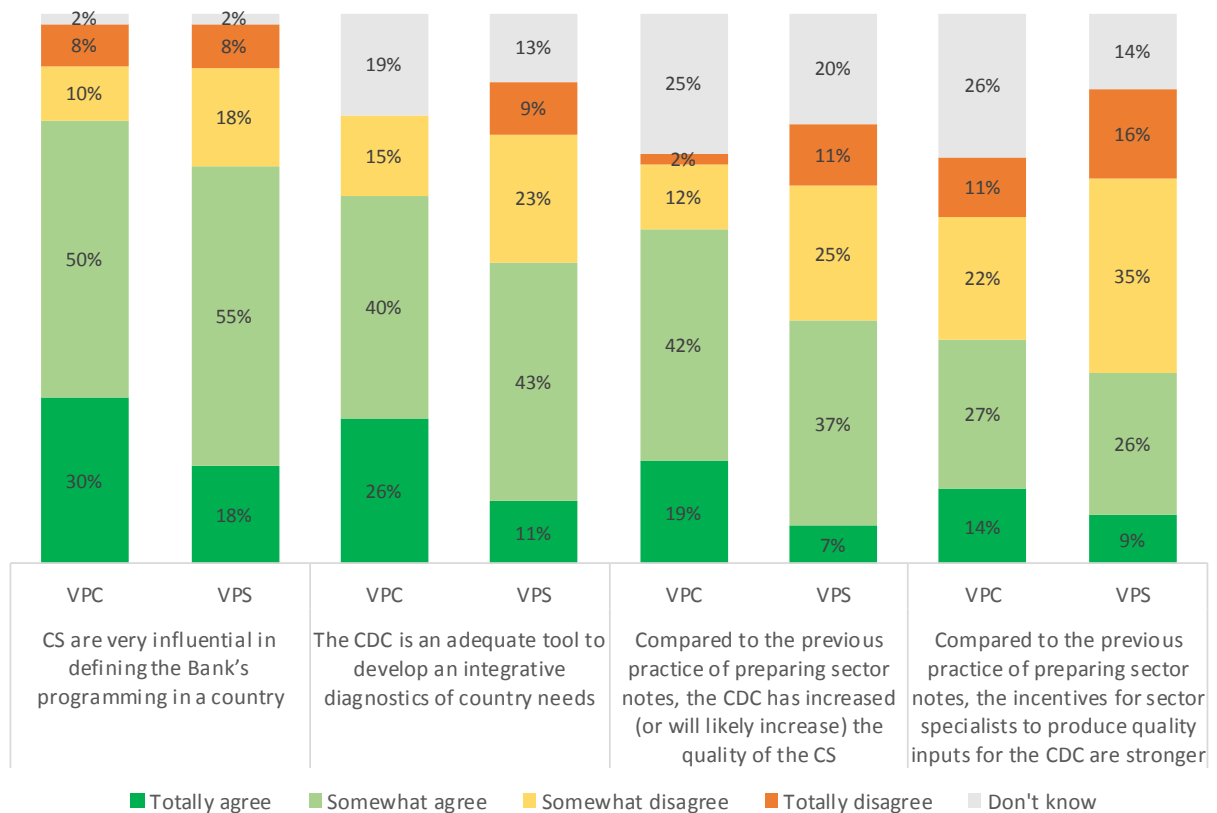


Source: OVE, n=136 (operational staff in VPS that responded they were “very familiar” or “somewhat familiar” with the relevant SFD)

## **B. Bank programming**

- 2.3 In this module, VPS and VPC staff were asked about the use of the Country Strategies (CS) for the countries where they have recently worked, as well as their opinion on the changes introduced to the CS under the 2015 Guidelines (including the Country Development Challenges (CDC)).
- 2.4 More than eight in every 10 respondents said they agreed or somewhat agreed with the statement “I have fully read the Bank Country Strategy for the country(ies) that I have worked on over the past three years” (compared to 70% who reported reading all or part of the CS under the first IDB-9 survey). The values are slightly higher for VPC (90%) than for VPS (81%).
- 2.5 Staff in VPC and VPS overwhelmingly believe that CS are very influential in defining the Bank’s programming in a country (76%), just as they did five years ago in OVE’s previous IDB-9 survey (at which time, 80% declared that the CS was important for the direction of the Bank’s operations in the country). VPC seems to have a more positive opinion than VPS of the changes introduced in 2015 (Figure 2.3): a larger proportion of VPC respondents believe that the CDC is an adequate tool to develop an integrative diagnostics of country needs; that the CDC has increased (or will likely increase) the quality of the CS; and that the incentives for sector specialists to produce quality inputs for the CDC are stronger now.

**Figure 2.3: Opinion about Country Strategies**



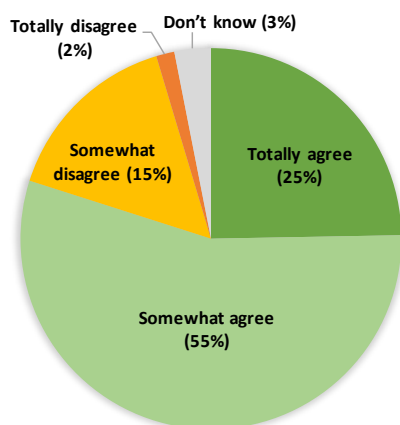
Source: OVE, n=281

### C. Lending and non-lending instruments

- 2.6 The large majority of IDB staff (80%) believe that the Bank's lending instruments are adequate to meet clients' needs (Figure 2.4). Staff are also satisfied with non-reimbursable TCs, but with caveats. As in the IDB-9 survey conducted five years ago, staff rate technical cooperation best on how it responds to country priorities and builds analytical capabilities (Figure 2.5). Staff also overwhelmingly consider that outputs generated by TCs are used by the intended beneficiaries and that TCs are aligned with CSs. A smaller proportion of staff agree that TCs are provided in a timely manner and that TCs are identified in the annual programming of the country. There are no significant differences across Vice-Presidencies (Figure I.4, Appendix).
- 2.7 Almost 79% of respondents have participated in projects co-led with other Bank divisions/units. However, only about 20% believe that double (or multiple) booking creates enough incentives for staff to participate in projects led by other divisions/units. Despite some adjustments to the multiple-booking scheme, staff seem to be more skeptical about this cross-collaboration tool than five years ago, when half of respondents said the possibility of double-booking provided sufficient incentives to participate in other projects.

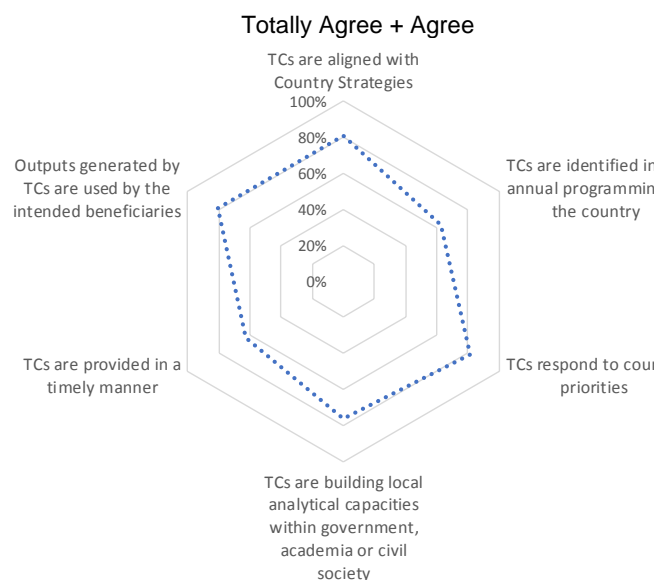
**Figure 2.4: Adequacy of Lending Instruments**

*"The Bank has adequate lending instruments to meet client needs"*



Source: OVE, n=281

**Figure 2.5: Opinion about TCs**

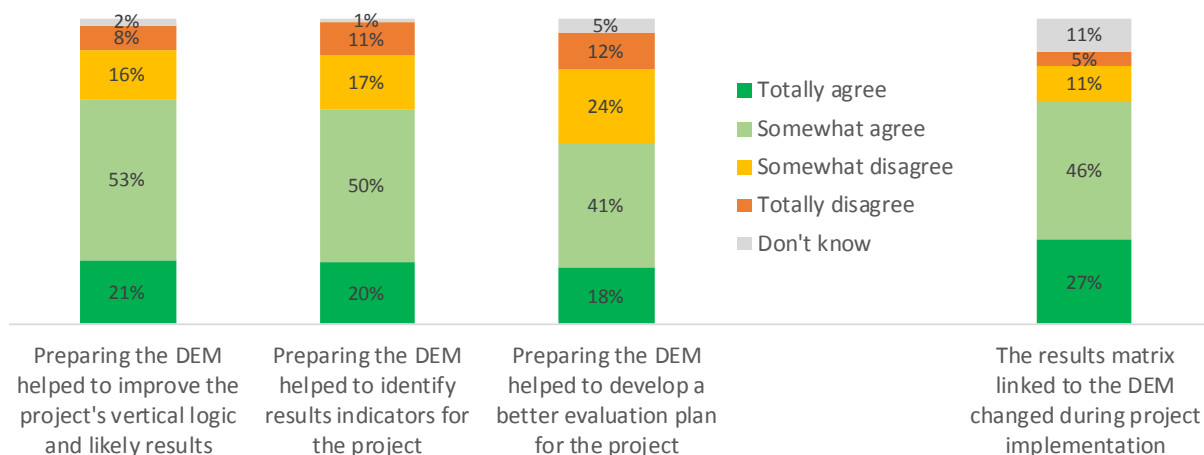


Source: OVE, n=281

## D. Development Effectiveness Framework (DEF)

- 2.8 More than two-thirds of respondents have participated in the preparation of a Development Effectiveness Matrix (DEM)—as expected, the proportion being higher for VPS staff (86%) than VPC (62%). In line with the results of the previous IDB-9 evaluation, the DEM is better rated with regards to its usefulness to improving the project vertical logic and identifying the results indicators for the project than for helping develop a better evaluation plan for the project (Figure 2.6). In addition, 73% of the respondents reported that the results matrix linked to the DEM changes during project implementation.

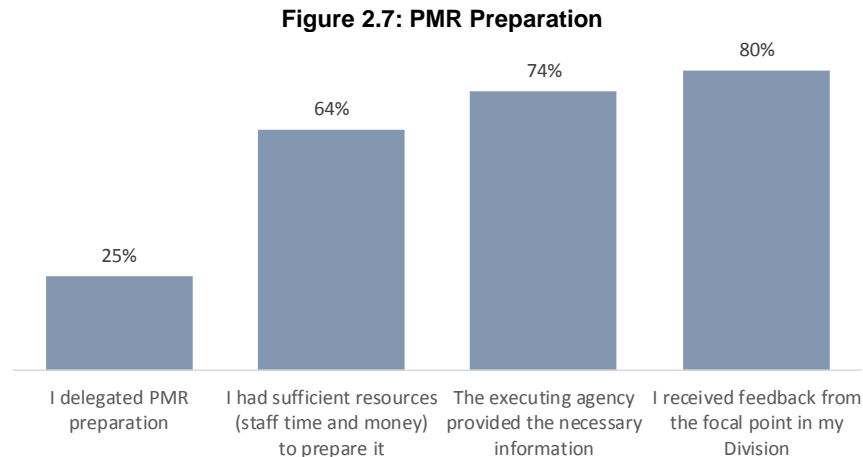
**Figure 2.6: Opinion about Usefulness of the DEM**



Source: OVE, n=200 (VPS and VPC staff that have participated in the preparation of a DEM)

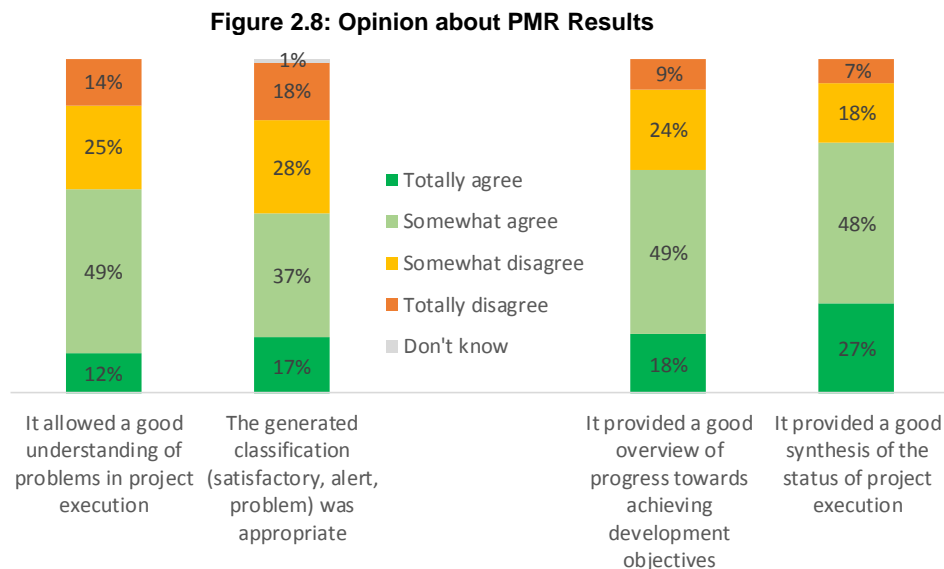


- 2.9 Among respondents, 68% had been responsible for the preparation of a Progress Monitoring Report (PMR). Of these, only 25% reported having delegated PMR preparation, and reported sufficient resources and support from the executing agency to prepare the report as well as feedback from the local point in their Division (Figure 2.7) – better results than in the 2012 survey.



Source: OVE, n=108 (VPS staff who had been responsible for the preparation of a PMR)

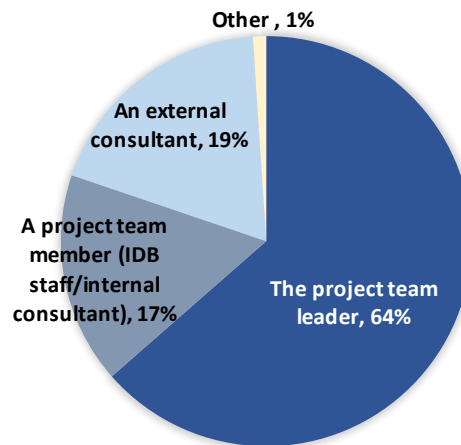
- 2.10 OVE also asked satisfaction with the PMR output. Staff believe that PMRs are slightly better at providing a synthesis of the status of project execution and an overview of the progress towards achieving development objectives than at allowing a good understanding of problems in project execution (Figure 2.8). Moreover, and in line with the first IDB-9 survey, almost half the staff do not deem the generated classification as appropriate.



Source: OVE, n=108 (VPS staff who had been responsible for the preparation of a PMR)

- 2.11 The last section in the DEF module was on Project Completion Reports (PCRs). Six in every 10 VPS respondents have participated in or overseen the preparation of PCRs in the last three years; according to them, PCRs are generally prepared by the project team leader, with smaller shares prepared by an external consultant or another project team member (Figure 2.9).

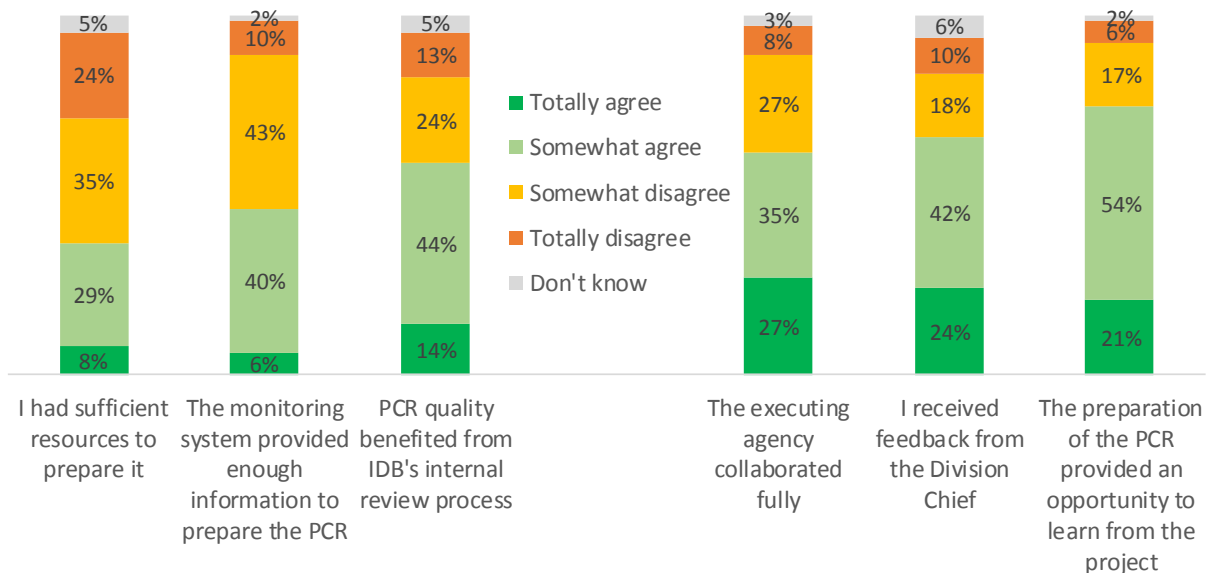
**Figure 2.9: PCR Preparation**



Source: OVE, n=96 (VPS staff who have participated in or overseen the preparation of PCRs)

- 2.12 Sector specialists who have prepared PCRs under the new guidelines introduced in 2014 (applicable to projects approved with a DEM, i.e. as of 2009) rate PCRs relatively low with respect to both the resources and the monitoring information available to prepare them. In comparison, they are more satisfied with the PCR internal review process (including feedback received from Division Chiefs) and collaboration from executing agencies. Their most positive response was on the opportunity PCRs provide to learn (Figure 2.10).

**Figure 2.10: Opinion about Usefulness of PCRs**

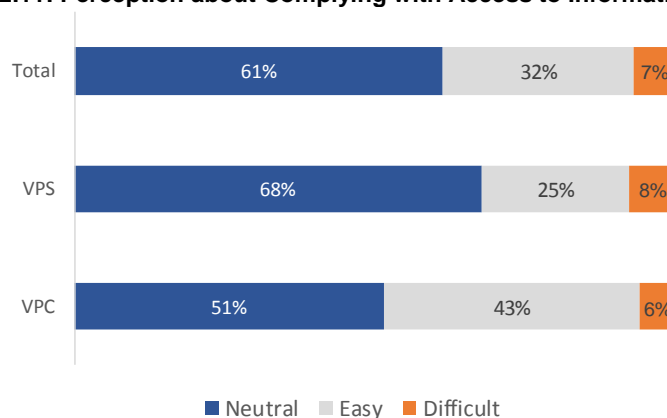


Source: OVE, n=63 (VPS staff who have participated in or overseen the preparation of PCRs under the new Guidelines)

## E. Access to information policy

- 2.13 Six in ten respondents believe that complying with the Access to Information Policy has a neutral effect on their day-to-day work, and an additional third find it easy to comply with such policy. Only 8% of the VPS respondents, and 6% of the VPC respondents, consider that complying with the Access to Information Policy is difficult (Figure 2.11).
- 2.14 More than a quarter of the respondents reported that they were “aware of a case where a Bank document was not disclosed because the country raised the exception to the disclosure policy that the material would “harm country relations”, and roughly 30% reported that they were “aware of a case where sensitive material was removed from a document to avoid that exception to the disclosure policy (that is, “harm country relations”).

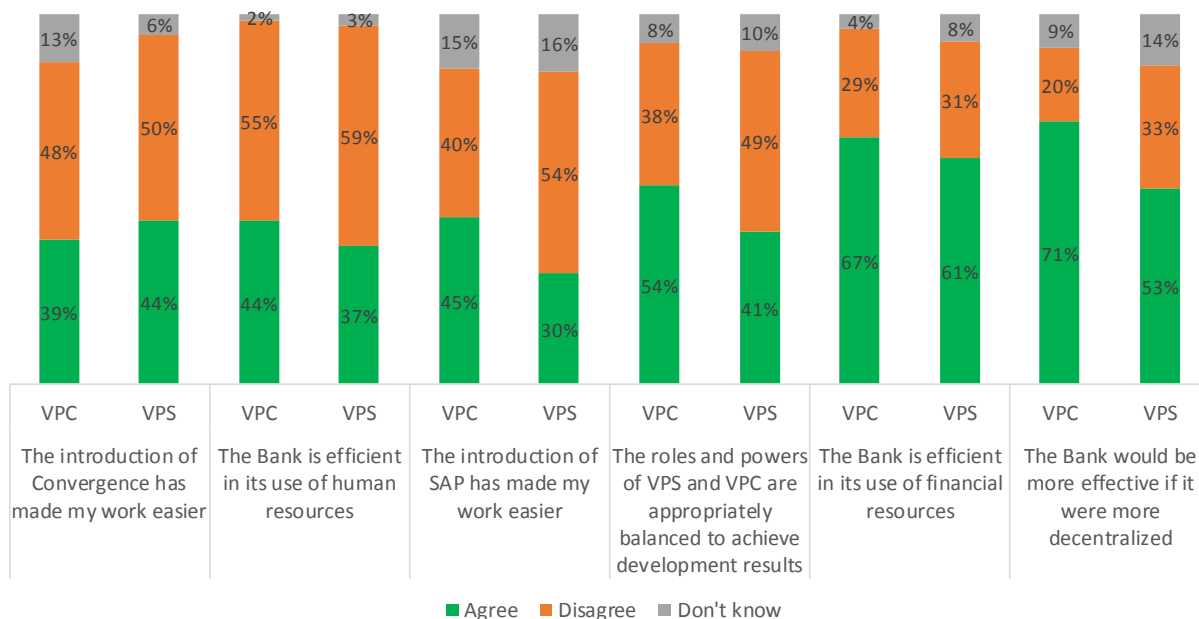
**Figure 2.11: Perception about Complying with Access to Information Policy**



Source: OVE, n=281

## F. IDB's resource management

**Figure 2.12: Opinion on Various Aspects of the Bank**



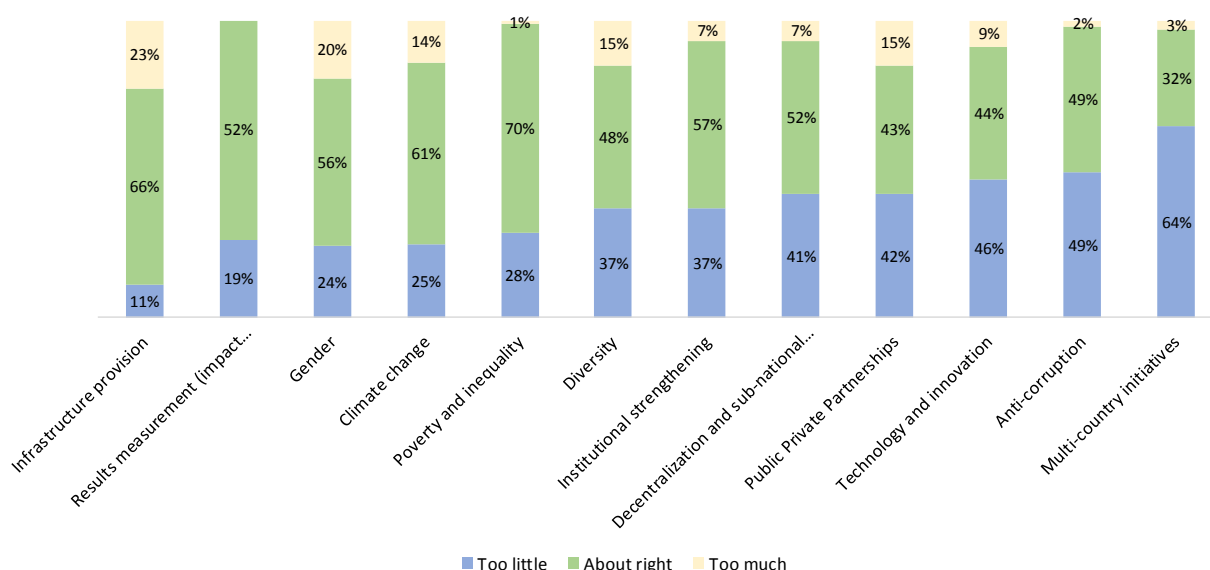
Source: OVE, n=259

- 2.15 This survey asked VPS and VPC staff about their opinions on various aspects of how the Bank works (Figure 2.12). Most staff reported that the introduction of SAP and Convergence has not made their work easier—with VPS being especially critical of SAP. Most staff believe that the Bank is efficient in its use of financial resources, but far fewer see it as efficient in its use of human resources. There is not a clear view on whether the roles and powers of VPS and VPC are appropriately balanced to achieve development results, with 54% of VPC staff and 41% of VPS staff responding positively. Almost three-fourths (71%) of VPC staff believe that the Bank would be more effective if it were more decentralized, compared with 53% of VPS staff.

## G. Attention to development issues

- 2.16 The survey asked about staff opinions on the extent of attention given by the Bank to various development issues (Figure 2.13). Staff consider that the Bank is giving about the right amount of attention to many issues. The four topics where they think too little attention is being given are multi-country initiatives, anti-corruption, technology and innovation, and public-private partnerships.

Figure 2.13: Bank's Attention to Development Issues



Source: OVE, n=259

- 2.17 The module also asked about IDB's main strengths and areas for improvement (Figures 2.14 and 2.15). Bank staff consider strong regional presence combined with high human capital to be the Bank's greatest strength. The Bank's in-depth regional knowledge and close relationships with its clients are seen as main sources of value added, with country offices as key to this proximity. Staff further highlighted the IDB's human resources, particularly their technical capacity, as one of its greatest strengths. On the other hand, respondents identified the Bank's governance as a problem area, highlighting particularly the large administrative burden on staff created by internal bureaucracy. A common concern was the high degree of centralization in the Bank's decision-making process, which reduces flexibility and curtails incentives for innovation.

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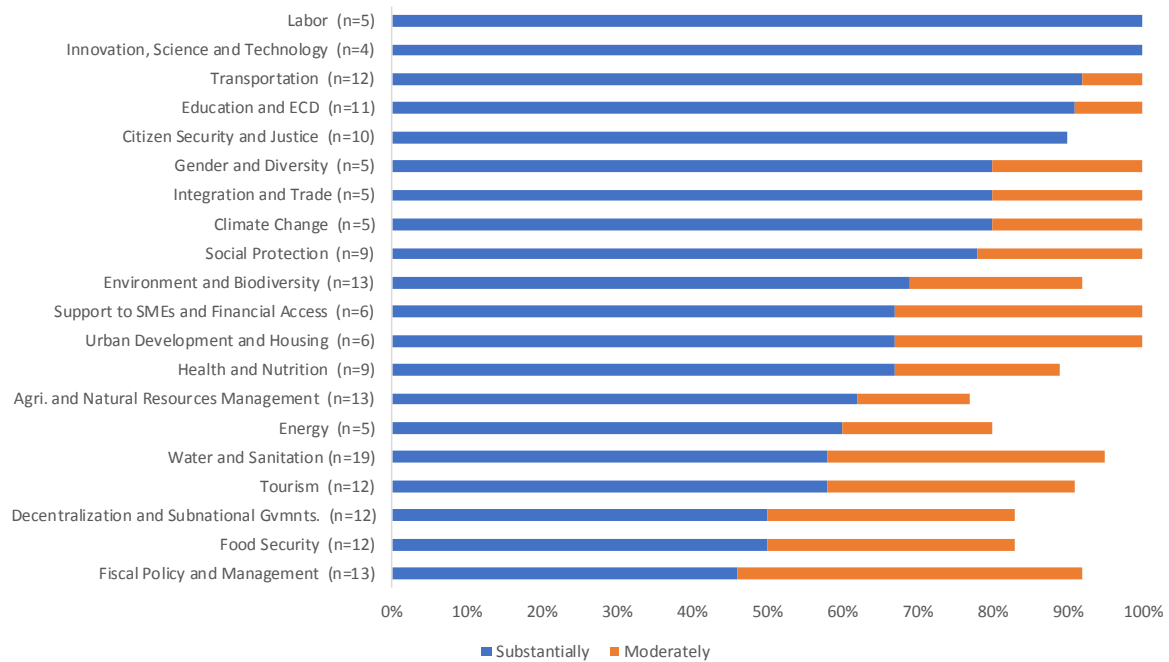
Source: OVE

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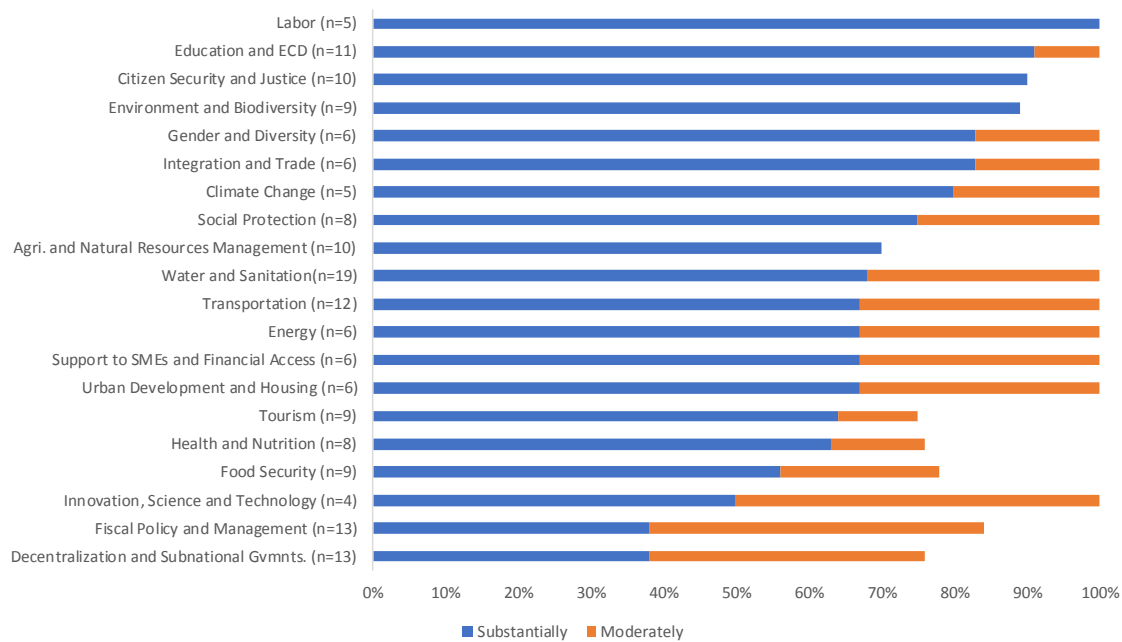
## APPENDIX

**Figure I.1. How do SFD influence the design of lending instruments?  
(substantially and moderately only)**



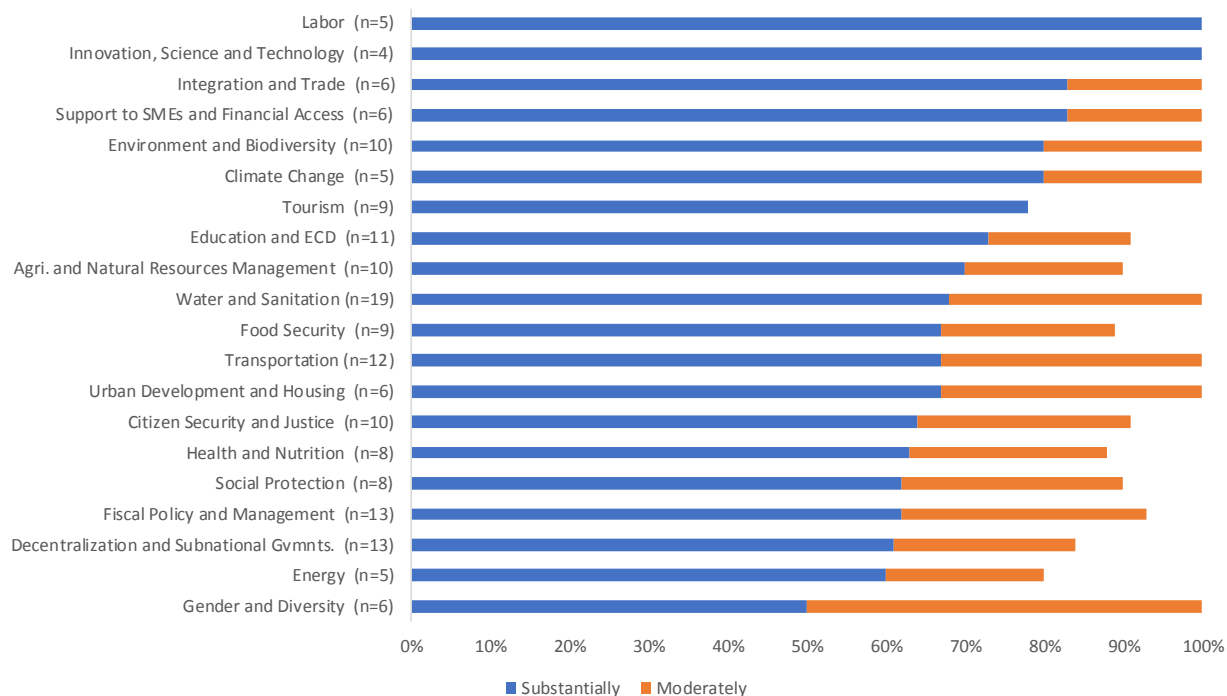
Source: OVE

**Figure I.2. How do SFD influence the design of lending instruments?  
(substantially and moderately only)**



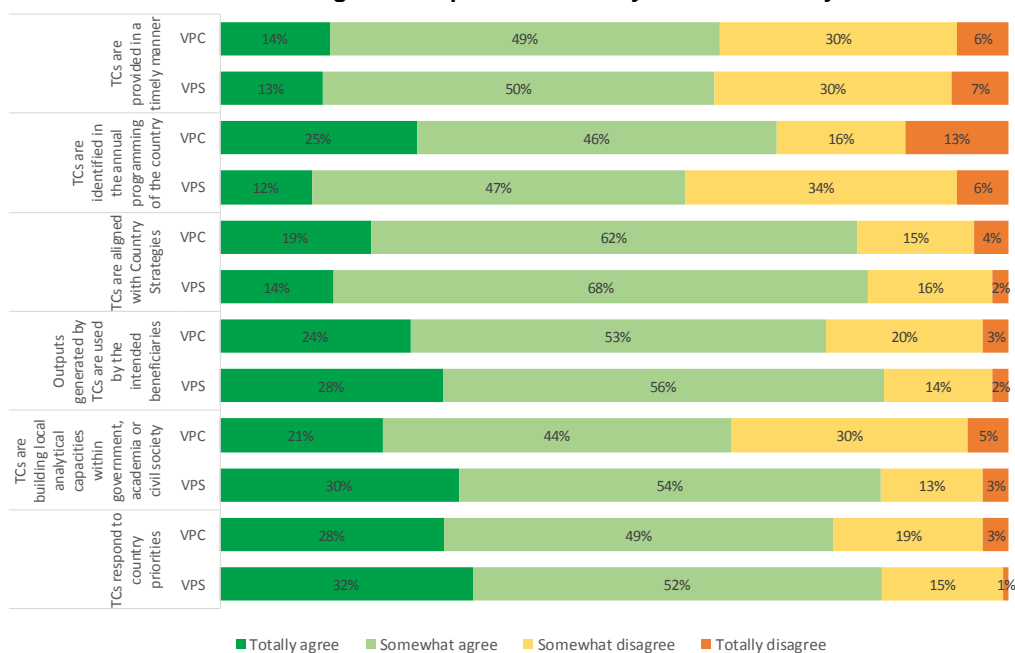
Source: OVE

**Figure I.3. How do SFD influence country dialogue?  
(substantially and moderately only)**



Source: OVE

**Figure I.4. Opinion on TCs by Vice-Presidency**



Source: OVE