

STRATEGIC FRAMEWORK FOR MAINSTREAMING CITIZEN ENGAGEMENT IN WORLD BANK GROUP OPERATIONS

The objective of this strategic framework is to mainstream citizen engagement in World Bank Group-supported policies, programs, projects, and advisory services and analytics to improve their development results and within the scope of these operations, contribute to building sustainable national systems for citizen engagement with governments and the private sector. Progress toward this objective will be assessed using indicators included in program, project, and corporate results frameworks.

*Engaging
with Citizens
for Improved
Results*

Contents

Acknowledgements	vi
Executive Summary	1
I. Context and Objectives	5
A. Objectives.....	7
B. Definitions	7
II. Summary of Evidence and Lessons Learned.....	10
A. Summary of Evidence	10
B. Stocktaking Findings	15
C. Lessons Learned.....	17
D. Guiding Principles.....	19
III. Entry Points for Mainstreaming Citizen Engagement in WBG Operations for Improved Results	21
A. Systematic Country Diagnostic.....	25
B. Country Partnership Framework	26
C. Policy Dialogue	29
D. Development Policy Lending.....	30
E. Beneficiary Feedback: Citizen Engagement in Investment Project Financing.....	31
F. Program-for-Results.....	33
G. Advisory Services and Analytics	33
H. Grant Programs	34
I. IFC	35
J. MIGA	40
IV. Citizen Engagement Approaches	42
A. Consultations.....	42
B. Collaboration.....	43
C. Collecting, Recording, and Reporting on Inputs from Citizens	44
D. Grievance Redress Mechanisms.....	45
E. Citizen-led Monitoring	47
H. ICT	51
V. Improved Monitoring and Results Reporting	54
A. Results Chains and Proposed Indicators	55
B. Internal Reporting.....	56
C. Long-Term Impact Analysis	56
D. IFC	56
VI. Enabling Factors.....	58
A. Access to Information	58
B. Capacity Building.....	60
C. Knowledge Management.....	61
VII. Implementation Arrangements.....	62
A. Implementation Responsibilities	62
B. Working in Partnership with External Stakeholders	62
VIII. Conclusions and Next Steps.....	63
Annex I: Overview of CE Mechanisms, Definitions, and Uses	65

Annex II: Background Literature Review for Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations	68
Annex III: Summary of Stock-Take.....	106
A. Stocktake.....	106
B. Lessons Learned	112
Annex IV: Summary of Regional Approaches	116
A. Africa	116
B. East Asia and Pacific.....	120
C. Europe and Central Asia.....	125
D. Latin America and the Caribbean.....	132
E. Middle East and North Africa.....	136
F. South Asia.....	138
Annex V: Implementation Plan	144
Annex VI: Engaging with External Stakeholders.....	149
References and Bibliography	158

Figures

Figure 1.1. Dimensions of Citizen Engagement	8
Figure 3.1. World Bank Group Product Portfolio.....	21
Figure 4.1. Access to ICTs and Media in Pakistan	53
Figure A3.1. Safeguards Triggered in IDA/IBRD IPFs Approved in FY10, FY11 and FY12.....	107
Figure A3.2. Regional Distribution of CE in IPF (%)	108
Figure A3.3. Sectoral Distribution of Bank Operations with Beneficiary Feedback (%).....	108
Figure A3.8. Funding Sources Cited in Surveyed Projects.....	115
Figure A6.1. Organizations Taking Part in Consultations	150

Tables

Table 2.1. Contextual Factors that Affect Outcomes of CE Initiatives.....	12
Table 2.2. Additional Contextual Factors Affecting CE Outcomes in Various Areas.....	14
Table 3.1. Entry Points for CE in WBG-supported Operations	22
Table 3.2. Overview of CE Approaches and Mechanisms	24
Table 5.1. Factor 4 PSAR, Description and Full Achievement	57
Table 5.2. Factor 4 PSAR, Ratings and Descriptions	57
Table A6.1. Summary of Consultations	149
Table A6.2. Summary of Feedback from Stakeholders	152

Boxes

Box 1.1. Evolution of the Concept of Citizen Engagement in WBG Operations: Openness, Participation, Accountability, Results	6
Box 3.1. Guiding Principles for Including CE in SCDs	25
Box 3.2. Consultations on Country Assistance Strategies (CASs)	26

Box 3.3. Third-Party Monitoring of the World Bank’s CAS for Bangladesh 2011-2014	28
Box 3.4. CSOs as Equal Partners in the Dialogue around Natural Resource Management: The EITI Multi-Stakeholder Group.....	29
Box 3.5. Consultations in the World Bank’s Programmatic Fiscal and Institutional DPL Series in Guatemala.....	30
Box 3.6. Examples of DPL Prior Actions Supporting Country Systems for CE	31
Box 3.7. Tracking Beneficiary Feedback: CE in World Bank-supported IPF Projects with Clearly Identifiable Beneficiaries.....	32
Box 3.8. The Equator Principles	36
Box 3.9. Feedback from Consumers of a Water Company, an IFC Client in Ghana	38
Box 3.10. One-Stop Shop for Local Communities and Skills Development for Mining Suppliers.....	40
Box 3.11. Successful Grievance Redress in the Context of a MIGA-supported Project	41
Box 4.1. Consultation Mechanisms in the WBG Niger Basin Water Resources Development and Sustainable Ecosystems Management Adaptable Program Loan.....	43
Box 4.2. South Kivu, Democratic Republic of Congo: Mobile Technology in Participatory Budgeting Gives Citizens a Voice to Mobilize Resources for the Poor.....	44
Box 4.3. User Feedback in Service Delivery — Example: <i>Vozelectrica</i> , Dominican Republic.....	44
Box 4.4. Key Findings from the 2014 Review “Grievance Redress Mechanisms – On Paper and in Practice”	45
Box 4.5. Feedback and GRMs in the Pakistan Flood Emergency Cash Transfer Project.....	46
Box 4.6. Lessons learned from the E-ISR+.....	48
Box 4.7. Lessons from Decades of Citizen Engagement through CDD: PNPM, Indonesia, and KALAH, the Philippines.....	49
Box 4.8. Building the Capacity of Community Procurement Committees in Fragile Areas to Enhance Transparency in Community Subproject Investments.....	50
Box 4.9. Digital Engagement and Limited Responsiveness	52
Box 4.10. Mobile Phones, SMS, and Inclusiveness.....	53
Box 4.11: Open Contracting: At the Interface of Access to Information, Capacity Building, and CE.	59
Box A2.1. Evolution of CE in development thought.....	69
Box A2.2: Methods to Measure the Impact of CE.....	70
Box A4.1. Shifting Gears: Bringing Accountability into CE.....	122

Abbreviations and Acronyms

AAA	Analytical and advisory activity
AFR	Africa region
BBL	Brown-bag lunch
BF	Beneficiary feedback
BP	Bank Procedures
CAO	Compliance Advisor/Ombudsman
CAS	Country Assistance Strategy
CCT	Conditional cash transfer
CDC	Community development council
CDD	Community-driven development
CDF	Community development fund
CE	Citizen engagement
CMU	Country management unit
CO	Country office
CPF	Country Partnership Framework
CPS	Country Partnership Strategy
CSO	Civil society organization
DFID	Department for International Development (U.K.)
DPL	Development policy lending
EAP	East Asia and Pacific region
ECA	Eastern Europe and Central Asia region
E-ISR+	External Implementation Status and Results Report
EITI	Extractive Industries Transparency Initiative
FY	Fiscal year
GAC	Governance and anticorruption
GP	Global Practice
GPSA	Global Partnership for Social Accountability
GRM	Grievance redress mechanism
HQ	Headquarters (Washington, D.C.)
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
IDS	Institute for Development Studies
ICT	Information and communications technology
IDF	Institutional Development Fund
IFC	International Finance Corporation
IMAGE	Intervention with Microfinance for AIDS and Gender Equity
IMF	International Monetary Fund
IPF	Investment project financing
ISR	Implementation Status and Results report
LCR	Latin America and Caribbean region
LLI	Leadership, Learning, and Innovation (Vice Presidency)
MIGA	Multilateral Investment Guarantee Agency
MIS	Management information system
MNA	Middle East and North Africa region
MUHURI	Muslims for Human Rights
NGO	Nongovernmental organization
OCP	Open Contracting Partnership
OECD	Organization for Economic Cooperation and Development

OP	Operational Policies
OPCS	Operations Policy and Country Services
PAD	Project Appraisal Document
PDU	Presidential delivery unit
PETS	Public Expenditure Tracking Survey
PforR	Program-for-Results
PNPM	PNPM Mandiri (National Program for Community Empowerment)
PPD	Public-private dialogue
PSAR	Performance Standard Achievement Rating
PSIA	Poverty and Social Impact Analysis
SAR	South Asia region
SCD	Systematic Country Diagnostic
SDV	Social Development Vice Presidency
SEED	Save for Education, Entrepreneurship and Down Payment
SMS	Short message service
SPF	Statebuilding and Peacebuilding Fund
TA	Technical assistance
TTL	Task team leader
WBG	World Bank Group
WBI	World Bank Institute

Acknowledgements

The core team for developing this *Strategic Framework For Mainstreaming Citizen Engagement in World Bank Group Operations* included Astrid Manroth (Task Team Leader), Zenaida Hernandez, Harika Masud, and Jad Zakhour (World Bank, OPSRE), and Miguel Angel Rebolledo Dellepiane and Syed A. Mahmood (IFC). Aaron Seyedian and Qays Hamad (OPSOR) contributed the chapter on grievance redress mechanisms. Tiago Peixoto (GGODR) provided the chapter on ICT. Deniz Baharoglu (MIGES) provided input for MIGA. Written contributions from the regions were provided by Sahr Kpundeh (GGODR/AFR), Janelle Plummer (GURDR/EAP), Nicolas Perrin and Asli Gurkan (GURDR/ECA), Sarah Keener (GURDR/LCR), Najat Yamouri and Nina Bhatt (GURDR/MNA), and Luiza Nora (GURDR/SAR). Vinay Bhargava (Consultant) and Saki Kumagai (GGODR/SDV) provided background analysis on results chains and indicators. Victoria Gyllerup and Joshua McLellan Newell (MNADE) and Luc Lecuit (SARDE) provided input on results indicators. Craig Hammer (LLILC), Maria-Luisa Escobar and Yvonne Nkrumah (GHNDR), and Michael Jarvis (GGODR) provided input on open contracting. Valuable inputs were provided by Sumit Manchanda, Aaron Shane Rosenberg, Brian A. Casabianca, Bruce Wise, Catherine Martin, Dan Goldblum, Daniel James Crabtree, Daniel Street, Debra Sequeira, Gael Gregoire, James Emery, Josef Skoldeberg, Maria V. Arsenova, Rafael V. Dominguez, Reidar Kvam, Rossa FitzGerald, Scott T. Adams, Veronica Nyhan Jones, William C. Haworth, Omar Chaudry, Elizabeth Afua Laura Mensah, Carissa Western, Ruchira Kumar and Deepa Chakrapani (IFC).

The framework benefited from several rounds of reviews by a WBG-wide citizen engagement working group. Helpful comments were received from Helene Grandvoinet (GGODR/SDV); Frank Bousquet (MNAVP); Jan Weetjens (GURDR/EAP); Elizabeth Huybens (GURDR/ECA); Maria Correia (GURDR/SAR); Markus Kostner (GURDR/LCR); Stephen Davenport, Mary McNeil, and Jeff Thindwa (GGODR); and John Garrison (ECRGE). In addition, Mariam Sherman (OPSRE) and Linda van Gelder, Edward Mountfield, John Nasir, Manuela Francisco, Fadia Saadah, Maryam Salim, Han Fraeters, and Daria Lavrentieva (OPSPQ) provided useful comments.

Useful input and guidance for the Framework was provided by members of the Citizen Engagement Advisory Council: Stephanie de Chassy (Oxfam), Anabel Cruz (Communication and Development Institute, ICD), Mirza Jahani (Agha Khan Foundation), Dr. Anuradha Joshi (Institute of Development Studies, University of Sussex), Dr. Archon Fung (Harvard University, Kennedy School of Government), Dinky Soliman (Minister for Social Development, Philippines), Emily Kaiser (AVINA), Khaled Koubaa (Google), and Simon Mizrahi (African Development Bank).

Valuable editorial support was provided by Sheldon I. Lippman and Patricia Rogers.

The team wishes to thank all contributors and reviewers for their input and collaborative spirit.

Executive Summary

The World Bank Group (WBG) has a long history of multi-stakeholder engagement in the operations it funds. Multi-stakeholder engagement began in the 1970s, was formalized in the 1980s, and deepened throughout the 1990s through participatory approaches in operations. Concepts of social inclusion, social accountability, and governance and anticorruption (GAC) emerged during the early 2000s. The landmark 2004 World Development Report *Making Services Work for Poor People* highlighted the benefits of listening to citizens to improve pro-poor targeting of service delivery. The 2007 GAC Strategy introduced engagement with demand-side actors, and its 2012 Update undertook to “support initiatives that enable greater openness in governments and closer interaction among citizens, the private sector and the state.” Also in 2012, the establishment of the Global Partnership for Social Accountability (GPSA) provided a mechanism for capacity building for civil society organizations (CSOs) to implement social accountability programs in countries where governments have agreed to these approaches. In addition, the Bank, IFC, and MIGA all require engagement with project-affected people and communities as part of their safeguard policies or performance standards.

The purpose of this strategic framework for citizen engagement (CE) is to capture the diverse experiences, assess lessons learned, and outline methods and entry points to provide a more systematic and results-focused approach for the WBG. Its objective is to facilitate mainstreaming of CE in WBG-supported policies, programs, projects, and advisory services and analytics to improve their development results and, within the scope of these operations, to strengthen engagement processes between governments and the private sector and citizens at the national, regional, local, or sectoral level, as applicable.

The WBG Strategy incorporates CE, including beneficiary feedback, specifically in its treatment of inclusion, which entails empowering citizens to participate in the development process and integrating citizen voice in development programs as key accelerators to achieving results. In addition, under the right circumstances, CE can contribute to achieving development outcomes in support of the goals the WBG aims to support through all of the operations it funds: eradicating extreme poverty and boosting shared prosperity in a sustainable manner. The WBG is therefore committed to mainstreaming CE in operations it supports where it can improve outcomes, and it has made a strong corporate commitment to incorporating CE in 100 percent of projects that have clearly identified beneficiaries (“beneficiary feedback”).

This framework builds on stocktaking and lessons learned from WBG-financed operations across regions and sectors. A key lesson is the importance of country context, government ownership, and clear objectives for CE. Certain regions, such as East and South Asia, have a long history of using participatory development processes, while others, including the Middle East and North Africa region have new opportunities to scale up CE as a result of recent political transitions. A stocktaking of World Bank-financed projects shows that the majority of projects with CE activities have been service delivery, natural resource management, and social inclusion projects. CE is less prevalent in public financial management and governance projects. There is an increasing effort to systematically track and report on results, and draw lessons learned from these activities.

Growing evidence confirms that under the right conditions, CE can help governments achieve improved development results. This framework includes a comprehensive review of impact literature, which has found positive links between CE and improved public service delivery, public financial management, governance, and social inclusion/empowerment. Evidence also shows, however, that the outcomes of CE are highly context-specific and sensitive to governments' and citizens' capacity and willingness to engage, as well as to social, political, economic, environmental, cultural, geographic, and other factors, such as gender dynamics.

The approach to mainstreaming CE in WBG-supported operations is guided by five principles: it is results-focused, it involves engaging throughout the operational cycle, it seeks to strengthen country systems, it is context-specific, and it is gradual. As CE is not without cost, opportunities for engaging citizens in WBG-supported operations should be sought where such engagement can contribute to improved development results. While the preparation of WBG-supported operations frequently involves stakeholder consultations, CE during program and project implementation can be enhanced to facilitate ongoing learning and feedback and to allow making adjustments as necessary. A gradual approach to mainstreaming is recommended to avoid the pitfalls of “box-ticking” and tokenistic approaches, build the capacity of governments and citizens to engage on a sustainable basis, including through adequate processes and systems, and continue to learn and make adjustments as necessary.

While mandatory consultations have been the main form of engagement to date, numerous context-specific entry points for CE exist across the World Bank Group product portfolio. Consultations are mandatory in the preparation of Systematic Country Diagnostics, Country Partnership Frameworks, Program-for-Results operations, and investment project financing (IPF) operations that trigger certain safeguards. In IPF, consultations and grievance redress mechanisms are largely motivated by safeguard requirements and are often focused on project preparation¹. CE during program and project implementation can be scaled up to facilitate ongoing feedback and learning and improved monitoring. There are additional context-specific entry points in Systematic Country Diagnostics, policy dialogue, advisory services and analytics, and IPFs. Much of the work to date on CE has taken place in IPFs—for example, in community-driven development or service delivery projects. Other opportunities include citizen-led monitoring of procurement and other approaches to build feedback into the project cycle. IFC and MIGA engage with stakeholders, including citizens, in the context of their Performance Standards on Social and Environmental Sustainability, which require consultations and grievance redress mechanisms if specific performance standards are triggered. In addition, IFC is piloting CE in public-private dialogues and results measurement approaches.

Scaling up CE across WBG-supported operations for improved results entails several elements. First, an analysis of the specific country, sector, or program/project context is required to identify the appropriate entry point(s) for CE. Second, the objectives of the engagement need to be clearly defined in the context of the operation's results chain, and clearly communicated. Third, a stakeholder mapping is needed to inform the design of the engagement mechanism through an understanding of the interests, incentives, and objectives of key stakeholders,

¹ “The draft Environmental and Social Framework proposes that the Borrower will develop and implement a Stakeholder Engagement Plan (SEP). This SEP will describe the timing and methods of engagement with the project-affected communities and other stakeholders (See ESS10, para 14). This is a mandatory requirement. Additional details will be clarified in forthcoming procedures”.

ensuring inclusion and representation, including for women and marginal and vulnerable groups. Fourth, the engagement level and mechanism need to be tailored to the context, objectives, and willingness and capacity of governments and citizens to engage, and they should support existing national processes for CE as much as possible. Finally, the outcomes of mainstreaming CE activities in WBG operations need to be monitored and reported systematically and consistently.

The quality of mandatory consultations can be enhanced, and there is significant scope to scale up collaborative approaches. Consultations need to respect good practice principles, including providing adequate notice periods and closing the feedback loop more systematically. Grievance redress mechanisms are mandatory in IPFs that trigger certain safeguard policies, but they do not always function well during project implementation. In collaboration with client governments, teams can pursue opportunities to scale up collaborative approaches (such as participatory planning and budgeting, and citizen membership in decision-making bodies) and empowering mechanisms for citizen engagement (such as community management of resources) in WBG-supported operations, in the appropriate context and in areas where they can contribute to improved results.

Improved understanding and monitoring of the outcomes of CE in WBG-supported operations is an objective of this framework. Because such monitoring and reporting is not systematic, it is challenging to learn from and evaluate CE activities. To enhance measuring and reporting on CE going forward, therefore, the framework proposes a focus on clarifying results chains and citizen engagement indicators in five outcome areas (a) improved service delivery, (b) public financial management, (c) governance, (d) natural resource management, and (e) inclusion/empowerment. The results chains and indicators have been informed by impact studies and experience with CE within and outside the WBG.

Access to information is a necessary but not sufficient enabling condition for effective citizen engagement. Relevant information needs to be made available to citizens in a timely manner and in a format they can understand. At the same time, information does not automatically lead to engagement or participation, which depend on additional context factors. ICT has the potential to be leveraged for increased outreach and inclusivity at limited cost, but to yield results it needs to be integrated into the design of CE processes. Further work is required to isolate and study the contribution ICT can make to CE processes and outcomes.

Adequate capacity of governments and citizens to engage is an important prerequisite for scaling up CE in WBG-supported operations. Governments need to understand the benefits of engaging with citizens and to have the time and capacity to respond to their feedback. Capacity building of governments should prioritize strengthening existing institutions. Citizens/CSOs need to be able and willing to engage, and they need to acquire an understanding of relevant tools, processes, responsibilities, and constraints. Capacity building for CE initiatives in WBG-supported operations has been successfully integrated into program and project design and implementation, providing valuable lessons for future opportunities.

Scaling up CE in WBG-funded operations needs to be supported by comprehensive staff training and systematic knowledge management. Only a limited number of WBG staff have in-depth understanding of and practical experience with CE processes. Assessing staff capacity and developing staff training is planned as part of the implementation of this framework. In

addition, systematic and pooled knowledge management through a CE knowledge platform and structured knowledge exchange will be important.

Mainstreaming CE in the new WBG structure will require collaboration between the regions and the new Global Practices. As CE is specific to country contexts, the regions will continue to take the lead in identifying country-specific opportunities and demand for CE and, where relevant, will include them in Country Partnership Frameworks. Each of the new Global Practices will be responsible for integrating CE in the operations it manages, including scaling up the use of citizen engagement in IPF to reach the corporate target on beneficiary feedback, which will be monitored by the Presidential Delivery Unit as well as through the World Bank Corporate Scorecard and the IDA Results Measurement System. IFC will monitor progress through its Performance Standard Achievement Rating. An institutional coordination mechanism is envisioned to facilitate implementation of the agreed results-focused approach, monitor progress, and facilitate knowledge exchange and training across Global Practices and regions.

The implementation of a more systematic approach to CE, as laid out in this framework, will benefit from the continued guidance of an external Citizen Engagement Advisory Council, which includes representatives of government, academia, civil society, the private sector, and development partners. The Advisory Council has engaged with the Bank to inform the design of this framework, assist in assessing lessons of experience, and providing advice on implementation for the next two years. In addition, opportunities for exchange of experience with CSOs and other partners will be sought throughout the implementation of this framework.

I. Context and Objectives

1. **The World Bank Group (WBG) Strategy sets out a framework to align all the WBG’s public and private sector interventions to the goals of ending extreme poverty and promoting shared prosperity in a sustainable manner.** The goals emphasize the importance of economic growth, inclusion, and sustainability. Inclusion entails empowering citizens to participate in the development process, removing barriers against those who are often excluded and ensuring that the voice of all citizens can be heard (World Bank, 2013c).
2. **Supporting client engagement with citizens where such engagement can improve development outcomes is a key component of the WBG’s strengthened focus on results.** As part of this approach, the WBG is strengthening its focus on results and evidence of what works in development. Citizen engagement (CE) entails working with the WBG’s direct clients—whether government or private sector—to find ways to include citizens to assess priorities for interventions, learn about design and implementation to adjust as necessary, contribute to monitoring, and ultimately improve outcomes. This framework builds on evidence of impact that shows that CE can help governments and the private sector improve development outcomes, as well as lessons learned from WBG-supported CE activities. It proposes to systematically scale up CE where such engagement can contribute to improved development results. It also involves strengthening technical support to WBG task teams and clients to design and implement sustainable CE activities for improved development impact.
3. **In Country Opinion Surveys, many respondents consider increased civic participation to be a key area in which the WBG can strengthen its impact.** In the most recent Country Opinion Survey, 32 percent of respondents pointed to an inadequate level of citizen/civil society participation in World Bank-assisted reform efforts as the most important reason these efforts fail or are slow to implement, ahead of government inefficiencies and political obstacles. Similarly, the assessment of the effectiveness of WBG collaboration with groups outside the government shows room for significant improvement.²
4. **In supporting clients to engage with citizens for improved results, the WBG can draw on experiences from a history of multi-stakeholder engagement, participation, governance, social accountability, and transparency work** (see Box 1.1). Over time, the institutional approach has evolved from multi-stakeholder consultations to one focused on participation, social accountability, and improved governance, combined with increased transparency. The challenge of enhancing CE is to understand in which contexts it can contribute to improved results, such as improved quality and access to services for the poor or more efficient resource allocation and use.
5. **Increasing feedback from the direct beneficiaries of WBG-supported projects is part of the WBG’s approach to scaling up CE in 100 percent of projects that have clearly identified beneficiaries.** Feedback from project beneficiaries can contribute to learning from implementation and allow midcourse correction, thereby improving outcomes.

² FY13 World Bank Group Country Opinion Survey for 41 countries.

Box 1.1. Evolution of the Concept of Citizen Engagement in WBG Operations: Openness, Participation, Accountability, Results

The Bank began building relationships with civil society organizations (CSOs) in the late 1970s as part of a new approach to multi-stakeholder engagement. In 1982, a formal World Bank-NGO Committee was established, through which senior Bank managers could have regular and intensifying dialogue with leading international CSOs.^a Following on this dialogue, the Bank developed a reform agenda throughout the 1980s that included information disclosure, environmental protection, and social development.

The concept of participation at the Bank was introduced with the launch of the Participation Sourcebook in 1996, which established how participatory approaches—which include women, the poor, and marginalized groups—could be integrated into Bank-supported projects. Building on this, the concept of social accountability emerged throughout the 2000s. The *2004 World Development Report: Making Services Work for Poor People* highlighted the role of citizen voice in influencing the accountability relationships that make service delivery pro-poor.^b The Bank's first Social Development Strategy, published in 2005, identified inclusion and cohesion as a pillar of socially sustainable development.^c In 2007 the Bank's first Governance and Anticorruption (GAC) Strategy introduced multi-stakeholder engagement with demand-side actors as one of its core principles, while the first GAC benchmarking exercise in 2008 explicitly tracked “transparency, accountability, and participation” efforts in the Bank. In 2012, the Update to the GAC Strategy made governance a focus area of WBG operations, including initiatives that enable greater openness in governments and closer interaction among citizens, the private sector, and the state. Transparency received a further boost through the Bank's landmark Access to Information Policy, adopted in 2011. In 2012, the Global Partnership for Social Accountability (GPSA) was launched to build capacity for CSOs to engage in social accountability initiatives.

The concept of citizen engagement began to emerge in the Bank in 2013, when the WBG hosted a conference on citizen engagement with CIVICUS and InterAction to highlight the value of engaging with citizens for effective development.^d In 2013, the corporate change process adopted a recommendation to scale up engagement with citizens for improved results. In addition, the WBG Strategy adopted in October 2013 undertook to engage more systematically with citizens and beneficiaries and integrate citizen voice in development programs as a key accelerator to achieve results. At the Annual Meetings in October 2013, President Kim undertook to include beneficiary feedback in 100 percent of projects that have clearly identifiable beneficiaries.

^a The World Bank-NGO Committee created in 1982 was phased out in December 2000 and replaced by the World Bank-Civil Society Joint Facilitation Committee in 2003.

^b <https://openknowledge.worldbank.org/handle/10986/5986>.

^c <https://openknowledge.worldbank.org/handle/10986/5986>.

^d <http://wbi.worldbank.org/wbi/stories/citizen-engagement-enhanced-development-impact>.

6. The public sector can learn from private sector feedback and measurement approaches. Traditionally, the market mechanisms of supply/demand and market/consumer research provided information on results and enhanced business accountability. The concept of shared value recognizes that societal needs, not just conventional economic needs, define markets (Porter and Kramer, 2011). Shared value measurement assesses progress and results, generating actionable data and consumers'/suppliers' insights to refine shared value strategies (Porter and others, 2012). Feedback from those who are affected both directly and indirectly can be analyzed with other evidence of development results to enrich the understanding of how companies are performing. Technology is changing the ways in which companies engage and interact with people, especially those at the base of the pyramid. But it is the consumers, producers, or end beneficiaries, combined with these new technologies, that are defining a new norm of interaction—one in which they play a central and active role (Long and Brindley, 2013).

A. Objectives

7. **The overall objective of this strategic framework is to mainstream CE in WBG-supported policies, programs, projects, and advisory services and analytics where such engagement can improve development results and, within the scope of these operations, to contribute to sustainable processes for CE with governments and the private sector.** In this process, WBG-supported development interventions aim to build on and strengthen existing engagement processes and systems between governments, the private sector, and citizens at the national, regional, local, or sectoral level, as applicable.

8. **In operationalizing CE for improved results across its portfolio, the WBG aims to achieve the following sub-objectives:**

- (a) Scaling up context-specific CE across the WBG client engagement spectrum where such engagement can contribute to improved development outcomes;
- (b) Improving the quality and outcomes of mandatory engagement mechanisms (consultations and grievance redress mechanisms);
- (c) Achieving 100 percent CE in projects that have clearly identifiable beneficiaries (referred to as “beneficiary feedback”); and
- (d) Improving the monitoring and results reporting on CE, including beneficiary feedback, in WBG operations.

9. **This framework complements other related work.** Staff guidance, “Piloting Citizen Engagement in Projects,” developed by the Middle East and North Africa region, facilitated piloting and scaling up citizen engagement in projects in FY14, and early feedback and findings have informed this framework. The report by the Africa region, “Listening to Citizens, Learning from Projects in Africa,” identified relevant and useful lessons learned that were integrated in this work. The draft SDV Flagship Report “Opening the Black Box: Contextual Drivers of Social Accountability Effectiveness” studies contextual influences on social accountability interventions in detail; the high-level elements of this work have been integrated in Table 5.1 of this framework. A proposed Policy Research Report, “Transparency, Citizen Engagement and the Politics of Development,” is planned to further study selected aspects related to the interface of information, CE, and political context.

B. Definitions

10. The literature review and stocktake, including interviews of task team leaders (TTLs), undertaken for the preparation of this framework confirmed the need for clear and consistent definitions of *citizen engagement* and *beneficiary feedback* in the context of WBG-supported operations.

11. **Citizens are understood as the ultimate client of government, development institutions’, and private sector interventions in a country.** Citizens can act as individuals or organize themselves in associations and groups such as community-based groups, women’s groups, or indigenous peoples’ groups. Civil society organizations (CSOs) can represent citizens and can include organizations outside the public or for-profit sector, such as nongovernmental organizations (NGOs), charitable organizations, faith-based organizations, foundations, academia, associations, policy development and research institutes, trade unions, and social

movements. In this context, the term *citizen* is not used in a legal sense but is understood in the broad sense of referring to all people in a society or country in an inclusive and nondiscriminatory way.

12. ***Beneficiaries are defined as a subset of citizens directly targeted by and expected to benefit from a development project.*** For the World Bank, clearly identified project beneficiaries are understood to be a subset of citizens who directly benefit from a World Bank-supported project (e.g., children who benefit from an immunization program, or households that have a new piped water connection). As the large majority of such projects with direct beneficiaries are provided through investment project financing (IPF) operations, the target of achieving 100 percent beneficiary feedback in WBG projects that have clearly identifiable beneficiaries will be tracked on the basis of the use of CE mechanisms in IPF.

13. ***Citizen engagement is defined as the two-way interaction between citizens and governments or the private sector within the scope of WBG interventions—policy dialogue, programs, projects, and advisory services and analytics—that gives citizens a stake in decision-making with the objective of improving the intermediate and final development outcomes of the intervention.*** The spectrum of citizen engagement includes consultation; collaboration and participation; and empowerment (see Figure 1.1). Access to information is a necessary enabling condition, but it typically implies a one-way interaction only. Information-sharing and awareness-raising activities alone, therefore, do not meet the definition of citizen engagement. Closing the feedback loop (i.e., a two-way interaction providing a tangible response to citizen feedback) is required to meet citizens' expectations for change created by their engagement, use their input to facilitate improved development outcomes, and justify the cost of engaging with them.

Figure 1.1. Dimensions of Citizen Engagement

Source: Adapted from "[IAP2 Spectrum of Public Participation](#)," International Association for Public Participation.

14. ***Beneficiary feedback***, a subset of citizen engagement that is applicable to World Bank IPF, refers to engagement (consultation, collaboration, and empowerment) with those citizens who are clearly identifiable (direct) project beneficiaries during IPF preparation, implementation, and evaluation. The objective is to integrate consultations, collaboration, and empowerment activities into IPF project design and implementation to facilitate continuous learning, improved project monitoring, and improved project outcomes.

15. **A number of mechanisms exist for engaging with citizens** (see Annex I). They broadly include (a) traditional consultation and feedback mechanisms, such as focus groups and satisfaction surveys; (b) participatory mechanisms, such as community scorecards, participatory planning, and budgeting; and (c) citizen-led mechanisms, such as community management or user management committees. In addition, third-party monitoring mechanisms include social audits, citizen report cards, public expenditure tracking surveys, and working with independent monitoring entities such as information commissions, ombudsmen, or supreme audit institutions.

II. Summary of Evidence and Lessons Learned

A. Summary of Evidence

16. **This section reviews the current state of knowledge on the impact of CE initiatives on development outcomes and on contextual factors that help determine how such engagements shape development results.** See Annex II for more details on the literature review.

1. Citizen Engagement and High-Level Development Goals

17. **Emerging evidence on CE suggests that there is largely untapped potential for CE initiatives to influence high-level development goals such as poverty reduction.** Wong's (2012) review of the impact evaluation results of World Bank-supported community-driven development (CDD) programs over the past 25 years found generally positive evidence for poverty reduction, poverty targeting, and increased access to services. Similarly, a program for inclusion and empowerment, Brazil's *Bolsa Família* conditional cash transfer (CCT) program, has helped reduce inequality and extreme poverty and has improved education outcomes (Soares and others, 2010). CCT programs often use participatory mechanisms to improve beneficiary targeting and monitoring. For example, in Zambia, the targeting and approval systems are designed through Public Welfare Assistance Scheme structures, using elected Community Welfare Assistance Committees operating at the village level, which receive training and use a multi-stage participatory process to identify the neediest 10 percent of households (Schubert, 2005). At the same time, such examples of impact on high-level development goals are still limited because of the highly contextualized nature of CE, the need to establish stronger links between citizen-led interventions and desired development outcomes (Holland and Thirkel, 2009), and the limited extent to which CE interventions can induce changes in policy, practice, behavior, and power relations (Menocal and Sharma, 2008).

2. Citizen Engagement and Intermediate and Final Development Outcomes

18. **There is stronger evidence that CE can lead to improved intermediate and final development outcomes in suitable contexts through better targeting and implementation of development interventions and improved monitoring of the performance of governments and service providers.** CE initiatives have had a positive impact on such outcomes in several areas, including improved service delivery, public financial management, governance, natural resource management, and social inclusion and empowerment, particularly for women and marginalized or vulnerable populations.

19. **However, the literature in this area also points to caveats.** In a smaller number of documented cases, CE initiatives have either had no impact or have led to unintended adverse outcomes. In a review of more than 100 case studies that mapped CE outcomes, Gaventa and Barrett (2010) describe examples in which authorities either refused to respond to citizen demands, or made tokenistic concessions such as declaring policy changes but not implementing them.

3. Impact of Citizen Engagement on Development Outcome Areas

20. **While there is a significant body of evidence that links CE with improved intermediate and final results, the nature and rigor of such evidence varies by type of development outcome.** Based on case studies, randomized control trials, and participatory evaluations, the strongest evidence attests to the impact of CE on the accessibility, coverage, and quality of service delivery in health, education, infrastructure, and water and sanitation. There is also substantive evidence that CE in public financial management processes has led to citizen mobilization, more inclusive budget processes, and pro-poor fiscal policies. Most of such evidence is based on qualitative case studies and case study analysis and to a lesser extent on indices and rankings, though there are efforts to explore and substantiate links between increased budget transparency and improved governance (Islam, 2003); positive development outcomes (Fukuda-Parr and others, 2011); and higher credit ratings and lower spreads between borrowing and lending rates (Hameed, 2011).

21. **In the area of natural resource management, the literature upholds, with exceptions, the influence of CE on process-driven outcomes such as increasing participation of CSOs, promoting disclosure of contracts, and demanding increased revenue transparency.** However, it is less clear about how citizen-centered initiatives have led to institutionalized changes in policy outcomes or influenced corruption and poverty in resource-rich countries. There is also substantial scope to improve evidence in this area, since these conclusions are primarily based on studies of transparency and accountability initiatives and community-based natural resource management systems. In some cases, such community-based natural resource management systems have been found to contribute to more sustainable forest management or more equitable water distribution, for instance, but the overall evidence is mixed (Mansuri and Rao, 2013).

22. **A range of methods, including qualitative analysis, indices, randomized control trials, and participatory evaluations, have been used to measure the impact of CE on improved governance³ and social inclusion and empowerment.** However, the evidence is still mixed and uneven for these areas. While it is difficult to draw an overarching conclusion for an area as broad and complex as governance, a number of relevant interventions attest to impact on intermediate outcomes such as changes in policy, regulation and reform, improved transparency, more active community-level participation, reduced corruption, and improved responsiveness to citizen demands. Similarly, even though there is consensus about the positive economic impact of CCT and CDD programs/projects, their influence on promoting inclusiveness, social cohesion, and empowerment is subject to caveats. In the same vein, a growing body of evidence suggests that increased female participation in self-help groups and other participatory development programs improves economic outcomes (Meier zu Selhausen, 2012; Kandpal and Baylis, 2013; Beath and others, 2010; Blattman and others, 2013; Oxfam, 2013). Still, mobilization of such groups can at times also exclude poor, less educated, or more marginalized women and does not always translate into greater empowerment or a shift in norms that can drive wider social and political changes (Hallward-Dreimeier and Hasan, 2013; Weldon and Htun, 2013; Hasan and Tanzer, 2013; and UN Women, 2011).

³ *Governance* is defined as “...the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them” (Kaufmann and Kraay, 2007).

4. Contextual Factors that Influence the Impact of Citizen Engagement Initiatives

23. The literature points toward a growing recognition that context-specific factors are essential to understand why and how CE interventions can contribute to improved intermediate and final development outcomes (O’Meally, 2014; Buckenya and others, 2012). One of these factors is the availability of timely, user-friendly, reliable, and comprehensive information, as a precondition for effective CE. Examples from countries with highly developed information campaigns and from government programs in India and South Africa show the role of greater transparency in mobilizing citizen-centered interventions. At the same time, Lieberman and others, (2014) and Banerjee and others (2010) describe campaigns on information sharing and dissemination interventions that had no perceptible impact on civic participation or service delivery, and Hubbard (2007), Fox (2007), and Darch and Underwood (2010) question whether access to information by itself can translate into broader social, economic, and political outcomes. Table 2.1 provides a broad overview of additional factors that may be of relevance to analyzing and designing context-specific CE initiatives.

Table 2.1. Contextual Factors that Affect Outcomes of CE Initiatives

Demand-side factors	
Willingness	<ul style="list-style-type: none"> - The degree to which the development issue addressed by citizen engagement initiatives is of interest to all citizens or an identifiable target group of citizens. - Willingness to engage with the state based on factors such as intrinsic motivation, perception of government willingness to engage, belief in the efficacy of participation, or cost(s) of inaction. - Nature of past state-citizen engagement and outcomes achieved. - History and risk of elite capture.
Capacity	<ul style="list-style-type: none"> - Access to timely, credible, comprehensive, relevant, and easy-to-understand information. - Sufficient awareness and understanding of the issue to engage with the government effectively. - Capabilities (economic, human, social, political, technical) to engage in the “upstream” (policy formulation) as well as “downstream” (implementation) stages of the engagement process. - Strong, broad-based, and recognized leadership to engage on the development issue. - Authority, credibility, and legitimacy of CSOs. - Capacity to network within and across state-society. - Capacity of individuals and groups/organizations for collective action, including excluded and marginalized sections of society.
Supply-side factors	
Willingness	<ul style="list-style-type: none"> - Willingness of state functionaries (elected officials/bureaucratic staff/service providers) to (a) engage with citizens, and (b) respond to citizens’ feedback (as determined by interests, ideology, incentives, and reward(s)/cost(s) of action/inaction). - Strength of individual champions within the state. - Level of political competition and whether it creates incentives for reforms and accountability. - Perception of the capability of mobilizing citizens and other stakeholders. - Degree of sanctions triggered by engagement mechanisms (if any). - Effective horizontal accountability institutions (e.g., judiciary, legislative, and other oversight authorities) or well-known legal accountability mechanisms that promote the responsiveness of public officials to citizens’ concerns and priorities. - Politics of patronage.
Capacity	<ul style="list-style-type: none"> - Generation of and access to timely, credible, comprehensive, and useful information on issues that are important to citizens. - Mandate, knowledge, plan/strategy to address the issues. - Capacity to gather, aggregate, and respond to citizen feedback (e.g., organizational, technical, and political competencies).
Sociopolitical, economic, legal, and other factors	
Context and processes	<ul style="list-style-type: none"> - History of civic participation, including existence and history of well-known, open, accessible, credible, and institutionalized citizen-state interface platform(s). - Existence of interlocutors/mobilizers with strong leadership, adequate capacity, and credibility (with citizens and state actors) to mobilize both citizens and state officials and facilitate citizen-state interaction. - Degree of decentralization.

	<ul style="list-style-type: none"> - Relationship (balance of power and terms of negotiation) between principals (clients, citizens, and policymakers), and professions, such as trade unions. - Nature of the rule of law (e.g., existing legislation on right to information and its implementation, procurement monitoring, etc., and credibility of sanctions). - Transitions or “windows of opportunity” (e.g., new legislation or policy commitments). - Existence of functional and free media institutions.
Economic, social, and cultural factors	<ul style="list-style-type: none"> - History of existing state-society relations. - Relationships and nature of interaction between the state (including executive and oversight institutions) and citizens. - Character of formal/informal state-society accountability and bridging mechanisms. - Power relations and nature of socioeconomic inequality and exclusion. - Cultural practices used to frame citizenship that may shape the worldview, interests and incentives of different groups based on ethnicity, income level, class, gender, religion and geography - Values, norms, or social institutions that legitimize or undermine state-citizen interaction (these may differ across factors such as ethnicity, income level, class, gender, religion, and geography). - Types of alliances/solidarity that may be relevant for collective action (e.g., ethnicity, income level, class, gender, religion, geography). - Macro social and economic variables (e.g., economic development, population dynamics). - Existence of supportive global actors and processes.
Other factors	<ul style="list-style-type: none"> - Geographic factors that may affect accessibility to information or ease of congregation, such as degree of urbanization. - Duration of specific citizen-state interaction that may affect institutionalization. - Sector characteristics (e.g., nature of public goods such as education vis-à-vis road infrastructure). - Organic evolution of citizen-state engagement vis-à-vis external, induced, or discrete interventions. - Broad-based cross-sector alliances across different levels and forms of government. - Political “windows of opportunity.”

Source: Based on SDV Social Accountability Flagship; Background Literature Review for Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations (Annex II); Bukenya and others, 2012; O’Meally, 2014.

24. Additional context factors play a role in the effectiveness of CE initiatives in specific outcome areas. For example, community characteristics such as inequality, likelihood of elite capture, and capacity to participate in development processes influence the effectiveness of CE in natural resource management and CDD. In the area of public service delivery, CE outcomes depend on factors such as social norms and values, service characteristics, the degree of choice of service provider, or circumstances influencing the performance of service providers. Legal frameworks and the timing of citizen input into budget processes, among other aspects, determine the impact of CE on public financial management. The organizational culture of public institutions, and the mandate and strength of oversight institutions such as the judiciary, supreme audit institutions, and anticorruption agencies, influence CE outcomes in the area of governance. Table 2.2 provides an overview of additional context factors by outcome area, identified through the literature review.

Table 2.2. Additional Contextual Factors Affecting CE Outcomes in Various Areas

Outcome area	Factors
Public service delivery	<ul style="list-style-type: none"> - Service characteristics, such as availability of information on and complexity of the service provided. - Influence of citizen feedback on the outcomes of service provision vis-à-vis such factors as capacity of service providers. - Accessibility/quality of services affiliated with ideologies and values (e.g., water, sanitation). Concerns about service provision in such areas can emerge into socially and politically salient issues. - Institutional capacity, mandate, and incentives to respond to citizen feedback. - Existence/effectiveness of oversight mechanisms to ensure responsiveness to citizen feedback. - Cultural and social factors that affect decision-making processes (e.g., gender, wealth, ethnicity, and education). - Risks of providing feedback or engaging with service providers (e.g., retribution by the service personnel on whom citizens depend) - Limited or no choice of service providers (e.g., in geographically remote areas).
Public financial management	<ul style="list-style-type: none"> - Existence of legal frameworks that require or facilitate opportunities for CE in budget processes. - Stage of budget process and timing of citizen input: early CE during budget preparation (vs. execution) increases opportunities for impact. - Government structure: governments with existing participatory processes are more likely to be open to a broader range of CE approaches. - Perceived legitimacy of citizen input: citizen input that is collective/representative may lead to greater government responsiveness in budget processes than individual input.
Governance	<ul style="list-style-type: none"> - Organizational culture of public institutions. (e.g., clarity and effectiveness of policies, procedures, and monitoring and control systems). - Form of corruption: extortive corruption practices are more likely than collusive corruption practices to motivate citizen action. - Cultural values such as gift-giving or nepotism. - Mandate and strength of oversight institutions, including legislature, judiciary, supreme audit institutions, and anticorruption agencies. - Independence and proactivity of media. - Degree of decentralization, effectiveness of local institutions, and extent of central government oversight.
Natural resource management	<ul style="list-style-type: none"> - Resource value: high resource value/economic dependence provides fewer incentives for devolution of authority to local communities. - Costs/benefits for relevant stakeholders; e.g., agreement on revenue sharing could help to motivate community engagement. - Community characteristics, such as high inequality, likelihood of elite capture, limited information flows, or low capacity. - Legal framework and reporting requirements on access to and ownership, allocation, and control of natural resources. - Central government support for local management of natural resources, and capacity to negotiate favorable concessions and legal agreements. - Existence/efficacy of the private sector's attempts to understand and address the needs of local communities.
Social inclusion and empowerment	<ul style="list-style-type: none"> - Community characteristics such as transparency of decision-making rules, identification of the poor, and degree of equality. - Community capacity to implement projects and utilize CE mechanisms effectively. - Existence of measures to prevent elite capture (such as contested election of local leaders). - Social norms and incentives for the inclusion of women and other vulnerable and marginalized groups. - Commitment of state actors to decentralization and empowerment of local governments and communities.

Source: Background Literature Review for Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations (Annex II)

25. While political context matters, entry points for CE exist in all types of polities. A higher level of democratization creates more space for CE activities and may facilitate better outcomes. At the same time, the influence of democratic approaches and institutions on CE

outcomes, versus that of informal institutions and other types of political settlement, merits further study (Crook and Booth, 2011). CE can emerge in other political contexts, including less democratic or so-called “closed polities,”⁴ where electoral accountability is typically missing and space for civil society is often controlled. In such cases, avenues for CE may exist in areas where governments are willing to share information and development objectives are aligned—for example, for service provision or environmental protection. Decentralized government structures and independent oversight institutions provide additional entry points for CE in such contexts.

26. CE in fragile contexts requires careful design. Fragile and conflict-affected settings are typically characterized by the absence or weakness of government institutions, lack of a common understanding of the social contract, and, in some cases, limited state authority over territory. In such contexts, engaging with citizens is not without risk, as it can contribute to further fragility or conflict and can entail greater personal risk for those engaged. At the same time, opportunities for CE can be explored in settings where there is precedent for state-citizen interaction, local government structures exist, or there are local customary institutions and other intermediaries that have the government’s trust and the capability to mobilize citizens. “Windows of opportunity” such as elections or other transitions provide additional openings for public engagement.

27. Gender dynamics can be consequential for citizen engagement outcomes. Social norms that reinforce negative stereotypes about women’s ability to contribute to participatory initiatives or that restrict them from participating in public spaces may not be favorable for female participation in decision-making processes. Setting minimum quotas for women’s participation, working with separate women’s groups, and working through alternate formal and informal channels can help to address such gender imbalances in participation (World Bank, 2012e). While in some cases a higher proportion of women in decision-making bodies, such as forest management groups in India, has been associated with improved outcomes (Agarwal, 2009), outcomes of female participation in CE initiatives have been found to also depend on such factors as financial autonomy and representation of the poorest and most vulnerable women.

B. Stocktaking Findings

28. This section presents a synopsis of the lessons learned from World Bank experiences in using CE approaches in projects, drawing on reviews and studies, the stocktaking undertaken for this framework (see Annex III), and regional experiences (Annex IV).

29. Most CE activities in World Bank-supported projects have been motivated by application of safeguard policies. The vast majority of projects reviewed have triggered one of the three safeguard operational policies (OP 4.01, *Environmental Assessment*; OP 4.10, *Involuntary Resettlement*; and OP 4.12, *Indigenous Peoples*) that require CE through consultations and grievance redress mechanisms (GRMs). This fact highlights significant potential for scaling up non-mandatory CE mechanisms in World Bank Group-supported projects and for moving from compliance to systematically integrating citizens’ voices in operations for improved results. In this context, there are opportunities to use CE more systematically for course correction during project implementation (World Bank, 2014b).

⁴ Draft SDV Flagship Study, forthcoming.

30. **CE already occurs mostly during project preparation, and consultations are the primary mechanism for engagement,** largely reflecting safeguard requirements. This framework therefore pursues a systematic approach to scale up CE during implementation to realize opportunities for improving project outcomes through learning and mid-course correction.

31. **CE is implemented in all sectors and WBG geographical regions** (see Annexes III and IV), so that there are numerous opportunities for systematically identifying entry points to scale up CE where it can contribute to improved results. Some regions, including East and South Asia, have a long history of using participatory development processes, while the Middle East and North Africa region has, as a result of recent political transitions, new opportunities to scale up CE. Similarly, CE mechanisms can be found in projects across all sectors, but in some regions, the degree of implementation has been found to vary significantly by sector.⁵

32. **The majority of projects that currently include CE activities are service delivery projects.** As the World Bank has long experience with CE in service delivery projects, this can become a cornerstone of mainstreaming CE in Bank-supported operations. CE mechanisms are also used in natural resource management and social inclusion projects. Interestingly, governance and public financial management projects have included relatively fewer CE activities, pointing to important opportunities for learning from experience and scaling up CE where it can improve outcomes.

33. **CE outcomes are not monitored systematically, and results reporting during project implementation is irregular.** A review of reporting through Implementation Status and Results reports (ISRs) in FY13 for investment lending operations approved in FY10 found that 32 percent of total approved projects reported on CE results indicators in ISRs. Interestingly, the share of results reporting is higher in fragile and conflict-affected states (45 percent). This fact highlights opportunities for the use of CE results indicators to set incentives for adequate monitoring and reporting. TTLs confirmed that the use of results indicators can help focus attention on CE during project implementation.

34. **Most CE takes place at the project level; there are only a few examples of country-level approaches to CE for improved results.** Some of the larger WBG-supported CDD-type projects in, for example, India or Indonesia have arguably achieved regional or national scale. To harness the opportunities of CE at larger scale, country-level and cross-sectoral approaches can be scaled up where they can contribute to improved development outcomes. Examples of country-level approaches to CE in the World Bank portfolio include the Central Asia Citizen Engagement Framework and the Cambodia Social Accountability Framework (see Annex IV).

⁵ The work by the Africa region found that CDD-type projects generally included the most sophisticated instruments for community involvement in decision-making and monitoring, while certain infrastructure projects did not always follow through on implementing the CE mechanisms included at project design, or on reporting.

C. Lessons Learned

35. **Country context is a key determinant for the design and outcome of CE.** As the summary of evidence has shown, government and citizen willingness and capacity to engage, as well as the enabling environment, economic, cultural, and social factors, and the history of government-citizen interaction, are important factors in determining the appropriate entry point and mechanism for CE and in influencing its outcome. For example, a number of countries in Africa that recently adopted decentralization legislation saw an increase in CE instruments, albeit with differences in implementation depending on the characteristics of local jurisdictions (see Annex IV). At the same time, CE has also been found to work in World Bank-supported projects even in countries that do not have an enabling environment for large-scale CE (World Bank, 2014b). The success of CE is also influenced by the timing and degree of political transitions, which can create challenges or opportunities. For example, the political transition in parts of the Middle East and North Africa region has provided opportunities to position citizen participation as part of a sustainable approach to development interventions. Identifying the right entry points for CE for improved results therefore requires analysis and understanding of the relevant country, sector, and local contexts. While context-specific entry points for CE exist in all country types, engagement approaches differ—for example, approaches in fragile and conflict-affected states differ from those in middle-income countries.

36. **Government ownership matters for sustainable engagement processes.** For some Bank-supported projects, government-citizen engagement processes created or strengthened as part of the project were successfully sustained beyond the life of the project;⁶ for others, opportunities for engagement receded after projects closed. This highlights the importance of government ownership of these processes and the need to think through the sustainability of engagement processes from the beginning. Opportunities to build on and strengthen existing country institutions and sectorwide approaches need to be systematically explored with client governments during the design of operations. Incentives for governments to support CE include greater legitimacy and the potential to achieve improved results.

37. **The objectives for CE need to be clear, and CE needs to be integrated into project design,** answering questions such as how CE activities can support the achievement of project development objectives, and which mechanisms at what stage in the project cycle are best suited in the specific country, sector, or local context. Currently, objectives for CE activities are not always clearly articulated either conceptually or vis-à-vis those engaged, so that it is hard to monitor their outcomes.

38. **Early successes help to create trust and buy-in from all stakeholders.** The capacity of and commitment by governments, citizens, and other stakeholders have been found to increase significantly once the initial results of CE have been achieved, typically close to midterm. Thus such results can be a driver for scaling up CE activities. Similarly, additional financing or repeater projects are more effective in recording the early results of CE, as are projects that used multiple entry points for engagement instead of one-off tools. In addition, trust is a key factor: citizens need to trust that governments will take their feedback into account to the extent possible, and governments need to have confidence that citizen feedback reflects pressing needs and priorities.

⁶ An example is the CDD PNPM project in Indonesia.

39. **Multipronged and iterative approaches to CE tend to achieve more sustainable results.** Lessons learned from literature and the stocktaking found that CE approaches that support both supply- and demand-side measures, use a combination of engagement methods, and support CE over the long term tend to achieve more sustainable results. Repeater projects strengthen both supply- and demand-side capacity, enjoy buy-in from earlier results achieved, and in some cases contribute to building institutions that can be used for cross-sectoral engagement approaches.

40. **There is strong demand for systematic guidance and support to mainstream CE in WBG-supported operations.** Bank staff have noted the importance of ongoing designated technical support, and of improved and systematic access to Bank knowledge on CE. The changing composition of Bank teams has been mentioned as an obstacle to passing along institutional knowledge and maintaining focus on CE activities. To ensure adequate attention to CE throughout the project cycle, staff guidance for IPF has been updated to include a set of indicative results indicators for CE. Illustrative results chains are being developed for five outcome areas including public service delivery, public financial management, governance, natural resource management and social inclusion and empowerment to help task teams think through their project results chain as they consider integration of citizen engagement activities in their project.⁷

41. **Technology is not widely used to support CE activities in WBG-supported operations.** The use of ICT depends on the nature of the project, the size of the project area, and the number of beneficiaries. It also depends on the approach and context, as in some cases direct interaction between project implementation units and beneficiaries and citizens is deemed vital by staff to build needed relationships, particularly during the initial stages of the project. In projects where ICT is used to engage with citizens, the use of websites or web portals is most prevalent, followed by mobile short message service (SMS). Technology is often cited as expensive to incorporate into a project; however, experience demonstrates that when used in the right context and processes, it has saved time, reduced costs, and increased outreach.

42. **Time has been cited as a key constraining factor to building CE into project design.** TTLs unanimously noted that meaningful CE requires adequate time for design, implementation, and closing the feedback loop—that is, informing those engaged how the information they provided has been used. Some TTLs also point to the relatively small number of staff with CE skills as a factor to consider in scaling up CE across WBG-supported operations.

43. **Governments are borrowing for CE activities in priority sectors.** Some staff in the Africa region noted inadequate funding as a barrier to implementing CE in World Bank-supported projects. At the same time, the main source of funding for CE activities has been project components. WBG experience demonstrates that a government's willingness to engage is highest when CE is incorporated into project components that are discussed and agreed upon during project design. Counterpart funding is also a significant source of funding for CE activities. Additionally, World Bank budget and trust funds have supported such work, the latter to a lesser extent and primarily to pilot CE activities.

⁷ Given the considerable challenges around isolating and measuring CE impact, results chains will help governments and staff think through the objectives and targeted outcomes of CE in the context of a specific development operation. Results chains will not provide a rigorous impact analysis of CE in operations, which requires a longer time horizon.

D. Guiding Principles

44. **This framework does not propose new mandatory policies but builds on entry points for CE from existing WBG policies and identifies additional context-specific entry points for scaling up CE** across all types of operations where such engagement can improve development outcomes. Drawing on the lessons learned from the literature review and the stocktaking, this framework is guided by five higher-level principles: it is results-focused, it involves engaging throughout the operational cycle, it seeks to strengthen country systems for engagement, it is context-specific, and it is gradual.

- ***Results-focused.*** CE is not without cost; it requires the allocation of resources, time, and effort to design and implement appropriate engagement mechanisms. For these reasons, investments in CE in WBG-supported operations need to be undertaken where they can contribute to improved development outcomes. Operationalizing this approach entails identifying strategic entry points where CE can make the strongest contribution to development outcomes, being clear about the objectives of engaging with citizens, and understanding the results chains for CE in the specific context of the operation. As the stocktaking has shown, the majority of WBG-supported operations with CE pursue development objectives in the outcome areas of improved service delivery, public financial management, governance, natural resource management, and social inclusion. For each of these outcome areas, sample results chains will be made available to help task teams examine their project results chain as they consider integration of citizen engagement activities in their project. An indicative list of outcome indicators that can be used in results frameworks for reporting progress on implementing CE has been included in the updated Results Framework and M&E Guidance Note for IPF.
- ***Engagement throughout the operational cycle.*** While consultations are frequently used during World Bank program and project preparation, engagement is less systematic during implementation, except in CDD projects. This framework therefore promotes an approach to increase CE during program and project preparation, implementation, and evaluation, to contribute to improved outcomes.
- ***Strengthening country systems for CE within the scope of WBG operations.*** To facilitate sustainable development outcomes, including those of engagement processes, WBG-supported operations aim to support and strengthen government systems for engaging with citizens. The scope of such support needs to be agreed with client governments, and it varies by type of operation. For example, a development policy lending (DPL) operation can facilitate the adoption of national legislation on participatory budgeting or procurement monitoring, while an IPF operation can contribute to building effective feedback and recourse mechanisms to improve service delivery in specific sectors or empower citizens at the local level to participate in the planning, implementation, and monitoring of development interventions.

- ***Context-specific.*** As has been discussed, evidence shows that successful CE requires a context-specific approach and adequate capacity and willingness of governments and citizens to engage. Governments need to make relevant information available to citizens in accessible and understandable formats, and to build the capacity and systems to provide adequate responses to citizen feedback. Citizens need to acquire minimum skills to engage, and they need to be interested in the issue.
- ***Gradual, iterative, and scalable.*** Because of the complex nature of CE, the time required to build adequate capacity for engagement where it does not yet exist, and the need for continuous learning, the framework proposes a gradual approach to mainstreaming CE in WBG-supported operations. This approach is informed by the evidence and lessons learned from internal and external impact studies, the stocktaking (see Chapter III and Annex II), and complementary regional initiatives (see Annex IV). In addition, the approach has been elaborated in parallel to and in close collaboration with the rollout of regional pilots in mainstreaming CE in WBG-supported operations, allowing for real-time learning from the pilots. The framework proposes to take stock of progress and lessons from the pilots every six months to make this an iterative and continuous learning process and allow for adjustments.

45. **This framework has been developed in partnership with internal and external partners.** Internally, a CE change subgroup, followed by a WBG-wide CE working group, has provided substantive inputs. Externally, the framework draws on the expertise from external stakeholders provided through a multipronged outreach strategy, including (a) a web-based consultation space; (b) several dialogues in capitals and country offices; and (c) guidance from an external Advisory Council comprising representatives from CSOs, academia, governments, the private sector, and development partners. The partnership approach will continue during the implementation period.

III. Entry Points for Mainstreaming Citizen Engagement in WBG Operations for Improved Results

46. **The WBG Strategy promotes a more evidence-based and selective engagement model with countries.** At its core, the new engagement model seeks to maximize the use of evidence and analysis to help country governments focus on the challenges of meeting the goals of eradicating extreme poverty and boosting shared prosperity in a sustainable manner, in the context of country ownership and national priorities, and in coordination with other development partners. The new engagement model includes a Systematic Country Diagnostic (SCD) and a Country Partnership Framework (CPF).⁸ The CPF process includes a performance and learning review at midterm and a completion and learning review at completion. The SCD and CPF are WBG products that cover World Bank, IFC, and MIGA analyses and operations.

47. **A strategic approach to CE in WBG-supported operations for improved results** includes three steps (a) the identification of the priority development results a country needs to achieve in the context of the goals and its development strategy; (b) the identification of areas in which CE can contribute most to the targeted development results at the country level; and (c) the inclusion of CE in WBG-supported operations that support the achievement of such results, anchored in the CPF.

48. **Entry points for CE for improved results exist across the WBG product portfolio,** including diagnostic, strategic, and operational portfolio products (see Figure 3.1). There are CE entry points throughout the product cycle of all of these operations, from preparation/design to implementation and monitoring and evaluation.

Figure 3.1. World Bank Group Product Portfolio

⁸ Starting on July 1, 2014, the Country Partnership Framework replaced the Country Partnership/Assistance Strategies.

49. **Over time, this approach can lead to a programmatic, cross-sectoral approach for government engagement with citizens.** There are opportunities and entry points for CE not only at the country level, but also at the programmatic level—for example, systematic CE to improve service delivery across several infrastructure sectors. Furthermore, entry points for CE also exist in each World Bank operational product (see Table 3.1).

Table 3.1. Entry Points for CE in WBG-supported Operations

<i>WBG instrument</i>	<i>Entry points for CE</i>
SCD	<ul style="list-style-type: none"> • Consultations with stakeholders (mandatory). • Collaboration with local CSOs, academia, think-tanks to develop SCD. • Analytic work on a country’s enabling environment for CE. • Identification of areas in which CE can contribute to improved development results.
CPF	<ul style="list-style-type: none"> • Stakeholder consultations (mandatory under new CPF Directive). • Consultation with citizens (e.g., through surveys) prior to CPF elaboration to understand citizen demand for WBG interventions. • Inclusion of CE activities in operations where they can improve impact. • Use of CE results indicators in CPF results framework. • CE in performance and learning review. • CE in completion and learning review.
Policy/reform dialogue	<ul style="list-style-type: none"> • CE as part of a multi-stakeholder dialogue on policy design, reforms, and evaluation.
Advisory services and Analytics	<ul style="list-style-type: none"> • Citizen feedback on knowledge product through client feedback surveys. • Engagement by local citizens in design, elaboration, and evaluation of knowledge products. • Where relevant, analytic work on responsiveness of service delivery systems to citizens’ concerns.
DPL	<ul style="list-style-type: none"> • Description of country arrangements for consultations and participation for the operation and outcomes (mandatory, OP 8.60). • Government engagement with citizens in the design of reform programs. • Prior actions/triggers related to CE and participatory approaches by government. • CE in evaluation of reform programs.
PforR	<ul style="list-style-type: none"> • Bank-led stakeholder consultations on environmental and social systems assessment (mandatory, OP/BP 9.00).
IPF projects	<ul style="list-style-type: none"> • Environmental Impact Assessment/Environmental Safeguards Management Plan consultations (if OP 4.01 is triggered). • Involuntary resettlement: consultations and GRMs (if OP 4.12 is triggered). • Indigenous people: consultations and GRMs where applicable (if OP 4.10 is triggered). • CDD projects. • Service delivery projects. • Public financial management projects. • Demand for good governance projects. • Natural resource management projects. • Citizen-led procurement monitoring. • Capacity building for citizen engagement. • Collect, record, and report on inputs from citizens in the preparation, implementation and evaluation of projects
Grant programs	<ul style="list-style-type: none"> • Global Partnership for Social Accountability (GPSA). • Statebuilding and Peacebuilding Fund (SPF). • Japan Social Development Fund.

Source: World Bank Group staff.

50. **Operationalizing CE in each of these instruments requires the following:**

- (a) ***Context analysis.*** Defining the entry points for engaging with citizens requires an analysis of the specific country, sector, and program/project context. This understanding can be gained by analyzing such factors as political, economic, cultural, environmental, and social contexts, including supply- and demand-side factors (see Table 2.1) that influence CE in the country and operation (see Table 3.2). Existing diagnostic processes and analyses, such as the SCD, can be leveraged for such an analysis.
- (b) ***Stakeholder mapping.*** All forms of CE require a stakeholder mapping to facilitate targeting engagement mechanisms and understanding the objectives, interests, and incentives of key stakeholders. For consultations, representative stakeholders, including representatives of marginalized and vulnerable groups, need to be identified at the national, regional, and local levels as applicable. For participatory approaches, target groups and champions need to be identified. Due consideration needs to be given to principles of inclusivity and representation, as well as to the capacity and willingness of the identified target groups to engage. Aspects of political patronage and potential elite capture also require consideration. Existing stakeholder mapping processes—for example, for client surveys—can be leveraged for this purpose, although a detailed understanding of the relevant stakeholders in the context of the operation is required to achieve results.
- (c) ***Clear definition and communication of the objectives for CE.*** The objectives of engaging with citizens need to be clearly defined and to be realistic in terms of what they can achieve. For this purpose, guidance will be made available to help task teams work through the results chain for the planned operation in collaboration with client governments, identifying entry points where engaging with citizens has the potential to improve program or project outcomes. Once defined, the objectives of CE need to be clearly communicated to those to be engaged, and documented in operational documents.
- (d) ***Tailored design of engagement level and mechanisms.*** The objectives, context analysis, and stakeholder mapping can inform the appropriate level and mechanism of CE. Where possible, it is desirable to pursue opportunities for CE in operations that support sustainable national processes for CE with governments and the private sector. However, in countries and environments where the experience, capacity, or willingness to engage with citizens is limited, pragmatic entry points for engagement may be at the level of an individual investment project. Table 3.2 provides an overview of engagement mechanisms along various types of CE approaches and a high-level outline of relevant context factors that can inform the choice of mechanism.
- (e) ***Improved results frameworks, indicators, and reporting.*** There is a need for more systematic monitoring of the outcomes of engagement across the product portfolio. The planned integration of CE results indicators into program and project results

frameworks and reporting on them more consistently during implementation and evaluation will help address this point (see Chapter VII).

The next section summarizes key entry points and opportunities for CE in the various World Bank products.

Table 3.2. Overview of CE Approaches and Mechanisms

CE activity	Mechanisms	Government participation required	Citizen participation required	Technical complexity and skills required	Time	Cost
Consultation	Public hearings	Medium	Low	Medium	Low	Low
	Focus group discussions	Weak	Low	Medium	Medium	Medium
	Advisory body/committee	Medium	Low	Medium	Medium	Low
Grievance Redress	Formal GRMs	Weak	Low	Medium	Low	Low
	Citizens' jury	Medium	Medium	Medium	Low	Low
Collecting, recording, and reporting on inputs from citizens	Public hearings	Medium	Low	Medium	Low	Low
	Focus group discussions	Weak	Low	Medium	Medium	Medium
	Citizen satisfaction surveys	Medium	High	High	High	High
	Community scorecard	Medium	Medium	High	High	High
	Citizen report card	Strong	High	Medium	High	High
Collaboration in decision-making	Citizen/user membership in decision-making bodies	Medium	Medium	Medium	Medium	Low
	Integrity pacts	Strong	Low	Low	Low	Low
	Participatory planning	Medium	Medium	High	High	High
	Participatory budgeting	Strong	Medium	High	High	High
	Citizens' jury	Medium	Medium	Medium	Low	Low
Citizen-led monitoring and evaluation or oversight	Procurement monitoring	Strong	High	High	Medium	Medium
	Public expenditure tracking	Strong	High	Medium	High	High
	Community scorecard	Medium	Medium	High	High	High
	Social audit	Medium	High	High	High	High
	Citizen report card	Strong	High	Medium	High	High
	Citizen satisfaction surveys	Medium	High	High	High	High
Empowering citizens with resources and authority over their use	Participatory planning	Medium	Medium	High	High	High
	Community management	Strong	High	High	High	Medium
	Community contracting	Strong	High	High	High	Medium
	Participatory monitoring	Medium	High	High	Medium	Medium
Building citizen capacity for engagement	Budget literacy campaigns	Weak	Medium	Low	Medium	Medium
	Public reporting of revenues and expenditures	Medium	Low	Low	Low	Low
Information dissemination/demystification*	Information campaigns	Weak	Low	Low	Medium	Medium
	Citizens' charters	Strong	Low	Low	Low	Low
	Citizen service centers	Strong	Low	Low	Medium	Medium
	Budget transparency	Strong	Medium	Low	Medium	Medium
	Public reporting of revenues and expenditures	Medium	Low	Low	Low	Low
	Budget literacy campaigns	Weak	Medium	Low	Medium	Medium
	Independent budget analysis	Weak	High	Low	High	Medium
Citizens' budget	Strong	Medium	Low	Medium	Medium	

Source: Adapted from "How-To Note: How, When and Why to Use Demand-Side Governance Approaches in Projects," SDV.
 *Information dissemination/demystification is a necessary but not sufficient precondition for CE, but without additional engagement mechanisms it is not included in the corporate definition of CE (see Chapter II).

A. Systematic Country Diagnostic

51. **The objectives of CE in the SCD process are threefold:** first, stakeholder consultations including citizens can improve the analytic focus of the SCD by providing information about citizens' perceptions of the country's key development challenges. Second, collaboration with local think-tanks or universities can improve the quality of the SCD's analytic work. Third, the SCD provides an opportunity to identify country-specific areas of development in which CE can help to address constraints and improve development results.

52. **During the preparation of the SCD, stakeholder consultations including citizens can provide an informative grassroots perspective on the country's development challenges,** fill information and data gaps, validate hypotheses, and improve the understanding of context. The SCD is developed in close consultation with the government and is expected to be informed by inputs and feedback from country partners (such as private sector, governments, researchers, or institutions) and citizens. Consulting citizens, CSOs, media, the private sector, and other stakeholders through, for example, online platforms, surveys, townhall meetings, or focus group discussions can yield important insights on perceived and actual development challenges in a country, their relative rankings, and perceived priority solutions. Consultations also create ownership around the SCD process. Consultations should follow good practice principles, be announced well in advance to allow for adequate preparation of those consulted and for input, and respect the principles of stakeholder diversity and representativeness (see Box 3.1).

Box 3.1. Guiding Principles for Including CE in SCDs

The following principles can guide task teams in incorporating CE in SCDs:

- **Country context.** Understanding the local context and political economy factors are key when considering CE in SCDs.
- **Stakeholder mapping.** When mapping relevant stakeholders for engagement, it is useful to differentiate between (a) stakeholders who can provide analytical input to the SCD (such as local universities, think-tanks, media, the private sector), and (b) stakeholders who need to be consulted to understand citizen perceptions of development challenges (CSOs, community organizations, etc.). Principles of diversity and representativeness also need to be respected when engaging citizens as part of the SCD process.
- **Clarity of objective.** It is important to be clear on the scope of citizens' engagement to avoid unrealistic expectations.
- **Government support.** Wherever possible, existing national and local engagement processes should be used.
- **Process and timeline.** Citizens should have at least one month's notice of upcoming consultations and available avenues for engagement.
- **Closing the feedback loop.** Documenting consultations and reporting back how citizen feedback has been used to inform the SCD process needs to be an integral part of engaging citizens in the SCD process.

Source: World Bank Group staff.

53. **Collaboration with local universities, think-tanks, or the private sector can improve the quality and relevance of the SCD.** Local universities may be able to provide an in-depth understanding of specific sector issues, as well as local data. The local private sector can provide a view on issues such as obstacles to competitiveness and the investment climate. Think-tanks can contribute potential work on overcoming core development challenges. Such collaboration can occur both at the design stage of the SCD to inform the concept and focus areas of the SCD, and during the elaboration of the SCD itself.

54. **SCDs can provide an opportunity for analytic work related to areas in which CE can contribute to development results.** In the process of identifying a country's key development challenges, the SCD may identify areas in which CE can strongly contribute to improved governance and results—for example, through improving accountability in public service delivery and transparency in public policy and expenditure. In such cases, an analysis of the enabling legislation for citizen participation, such as laws related to access to information or participatory budgeting, and of existing country systems, can help inform the SCD. Where appropriate, diagnostic work can also assess non-legislated spaces and processes for stakeholders to collaborate with authorities in areas such as third-party monitoring of procurement, or collaboration in or feedback on service provision. Understanding a country's track record in citizen participation and collaboration between government and the private sector can also inform the design of future development solutions.

55. **Ongoing learning from early SCD processes will further inform the approach to CE in SCDs.** A part of the WBG's new approach to inform country partnerships, consultations and participatory approaches in the preparation of early SCDs provide an opportunity to learn and further refine guidance to WBG staff. For example, one SCD being prepared in a post-conflict country has identified the lack of trust between the state and its people as an important obstacle for progress on poverty reduction, increasing shared prosperity, and regional integration.

B. Country Partnership Framework

56. **CE in the CPF process has two objectives:** (a) to inform and improve decision-making about the targeting and expected outcomes of the CPF, and (b) to include CE in programs and projects where it can improve development outcomes.

57. **Stakeholder engagement is an integral part of the CPF process.** The CPF process involves a dialogue with the country authorities, and with citizens and other stakeholders, about the country's development program. Stakeholder engagement in the CPF process should be anchored in national engagement processes around the government's own national development plan. Engagement processes focus on the views of governments, partners, and citizens on how the WBG can best support the objectives and actions set out in the SCD and the government's development strategy (see Box 3.2 on the experience with consultations on Country Assistance Strategies). Tools for engagement in the CPF process include consultations through townhall meetings, workshops, focus groups or interviews, surveys, websites, GRMs, third-party monitoring, social audits, citizen report cards, and community scorecards. Documenting consultations and closing the feedback loop (that is, informing those consulted how their feedback has been used) is an important guiding principle.

Box 3.2. Consultations on Country Assistance Strategies (CASs)

In FY10-12, civil society participated in 82 percent of the 129 CAS-related products approved by the Board of Executive Directors. For example, extensive structured consultations for the 2009-2011 CAS for Burkina Faso involved meetings with multiple stakeholders, including CSOs, rural communities, local municipalities, universities, media, parliament, and the private sector. Some key areas of consensus that emerged from these consultations included the proposition that the World Bank should maintain an appropriate balance between general budget support and project lending, including direct support to local communities, and that it should adopt a better communication strategy in the country.

58. Depending on the country context, the CPF can include CE in programs and projects and support national engagement processes that have the potential to contribute to improved development outcomes. The entry points and extent of CE activities to be included in the CPF depend on the dialogue between the WBG and the client government, based on country demand and on the areas that are most critical to achieving the two goals of ending poverty and promoting shared prosperity sustainably. For example, in countries where the quality of service delivery in sectors such as health, education, and infrastructure provision has been identified as a key constraint to eradicating poverty and increasing shared prosperity, including CE in service delivery projects can help governments to improve service provision for citizens. Similarly, in countries where governance has been identified as an obstacle to development, CPF support could include assistance for strengthening national engagement and accountability processes—for example, support to access to information legislation, or capacity building for transparency and accountability institutions, legislatures, and supreme audit institutions. The WBG operational portfolio in Mongolia, for example, has contributed to improving the overall anticorruption framework by bolstering the functional system of income-and-asset declaration and disclosure and the code of conduct framework for conflict-of-interest prevention and resolution.

59. When analyzing entry points for CE at the country level, country context factors need to be taken into account (see Table 3.1). For example, in countries with a limited history of CE, pragmatic initial entry points for CE may be in service delivery initiatives, while more complex engagements, such as in participatory budgeting, would likely require additional time, capacity, and trust among all actors. The World Bank’s approach in Central Asia (see Annex IV.C.) is a good example of a context-specific approach to mainstreaming CE in country programs. Initiated with the objective of contributing to improved transparency and governance, the Central Asia Citizen Engagement Framework has become a valuable tool to manage risk in operations by introducing third-party monitoring and incorporating CE in country- and project-level operations.

60. Citizen feedback can inform performance and learning reviews during CPF implementation. Potential entry points for CE in performance and learning reviews include the following:

- (a) A client and citizen satisfaction survey addressing the implementation of the CPF to date;
- (b) Focus groups with representative stakeholders of the areas of CPF implementation on lessons learned to date;
- (c) An independent, third-party assessment (e.g., by CSOs, academia, independent experts) of results achieved to date (see Box 3.3.);
- (d) Collaboration with local academics, think-tanks, CSOs, foundations, and so on in collecting results data.

61. Similarly, citizen voices can contribute to the completion and learning reviews. CAS completion reports are based on a self-assessment by the World Bank country team, which also solicits feedback from the government. Potential future entry points for CE in the CPF completion learning review can include the following:

- (a) A client and citizen satisfaction survey addressing the results and implementation of the CPF;
- (b) Direct feedback from CSOs and other stakeholders on the results and implementation of the CPF program to inform the World Bank's self-assessment;
- (c) Governments can be encouraged to solicit feedback from citizens on the results achieved by the CPF program;
- (d) An independent third-party evaluation on the results of the CPF program by CSOs, academia, independent experts, and others (see Box 3.3).

Box 3.3. Third-Party Monitoring of the World Bank's CAS for Bangladesh 2011-2014

Objectives. The 2011-2014 CAS for Bangladesh includes third-party monitoring of CAS implementation by foundations, CSOs, and independent experts to:

- Ensure a continuous focus on progress towards results;
- Promote greater demand for good governance and lower tolerance of corruption over the long term;
- Strengthen domestic accountability mechanisms; and
- Provide avenues for citizens to monitor the delivery and quality of services.

CE tools such as community score cards, focus group discussions, and social audits were used to implement third-party monitoring.

Results. Preliminary findings of a third-party monitoring report to verify progress on selected CAS indicators for public programs and projects indicate that World Bank funds have been used effectively for the following:

- Increased access to roads, bringing improved access to health, education services, and economic opportunities;
- Multifunctional shelters that saved thousands of lives in the recent cyclones;
- Wide coverage of communities with access to safe drinking water; and
- Promoting the satisfaction of women who have gained access to short-term employment.

At the same time, the report identifies additional opportunities for active beneficiary involvement and rigorous internal supervision of the implementation of public projects and programs on the ground.

Source: Manusher Jonno Foundation (2012); World Bank (2010a).

62. Opportunities exist to enhance CE in CAS/CPF products and monitor their outcomes through results indicators. Of the 34 CAS products submitted to the Board in FY12,⁹ half included support to outcomes that enable or include CE in the CAS program,¹⁰ and the majority included in their results frameworks results indicators related to CE. The majority of CAS-supported outcomes and indicators related to CE refer to information disclosure; only five CAS products included outcomes and indicators involving collaboration with citizens, only two included activities related to empowerment of citizens and local communities, and only one included an explicit outcome to strengthen country systems to implement gender and social inclusion policies and frameworks. Country-level results indicators related to CE were used mainly for information and consultation activities, while project-level results indicators were used in the area of collaboration with and empowerment of citizens. These findings point to scope for exploring additional entry points for CE across WBG-supported country programs where such engagement can contribute to improved results, and to the need for an improved understanding of how collaboration and empowerment of citizens might contribute to achieving country-level outcomes.

⁹ Products include Interim Strategy Notes, CAS/CPS, and CAS/CPS progress reports.

¹⁰ Outcomes supported by CAS products enabling or involving CE include increased transparency in budget and procurement processes, improved accountability of institutions, natural resource management, public service monitoring, access to infrastructure, and social inclusion.

C. Policy Dialogue

63. **Policy and reform dialogue provides opportunities for structured interaction with citizens.** The World Bank does not mandate citizen voice and participation in the general policy and reform dialogue it conducts in a country. At the same time, it regularly consults with the major development stakeholders and partners in a country where it leads an active reform dialogue, and it expects the governments to do the same. In addition, taking the voices of citizens and their representatives into account can inform and contribute to the sustainability of governments' policy decisions.

64. **Opportunities exist to test entry points for increased CE in the preparation, implementation, and evaluation of World Bank-supported policy and reform dialogues** with a view to improving their quality and outcomes, including capturing the contribution of citizens to policy adoption and outcomes. Specifically, the World Bank can support the following:

- (a) Assessments and analytic work on a country's structures and processes for citizen voice in policy dialogue, possibly as part of the SCD, where relevant.
- (b) The creation of national/regional/local fora for exchange between government and citizens (CSOs) on policies and reforms, including in the context of multi-stakeholder fora (see Box 3.4).
- (c) The definition of objectives and elaboration of results frameworks for policy dialogue, anchored in national development strategies. Defining the objectives of a policy and reform dialogue allows opportunities to identify how citizen voice and participation can contribute to reaching the expected results. For example, different outcomes would be targeted in a reform dialogue about natural resource management than in one about reforms affecting the enabling environment for citizen participation.

Box 3.4. CSOs as Equal Partners in the Dialogue around Natural Resource Management: The EITI Multi-Stakeholder Group

The Extractive Industries Transparency Initiative (EITI) is a global coalition of governments, companies, and civil society working together to improve openness and accountable management of revenues from natural resources. Countries interested in joining the EITI apply for candidate status and need to be accepted before they can embark on implementing the EITI standard, including the publication of an annual EITI report. Among others, the EITI standard requires the creation of a group, including representatives from governments, companies, and civil society that oversees the EITI implementation in a country, the so-called Multi-Stakeholder Group. The Multi-Stakeholder Group agrees on its governance structure and working modalities; develops the country work plan for EITI implementation and the production of the EITI report; and ensures that the EITI contributes to public debate.

Through the EITI Multi-Donor Trust Fund, the World Bank is supporting EITI implementation in most of the 44 implementing countries, including capacity building for CSOs to engage with and participate in EITI in 31 countries, of which 9 are EITI candidates and 19 have achieved EITI validation (2 are delisted and 1 is a pre-candidate).

Source: Extractive Industries Transparency Initiative (EITI), www.eiti.org.

D. Development Policy Lending

65. DPL is rapidly disbursing policy-based financing that aims to help a borrower achieve sustainable reductions in poverty through a program of policy and institutional actions that promote growth, enhance well-being, and increase the incomes of poor people. Consultation and participation are a policy principle of DPL. According to OP 8.60, *Development Policy Lending*, “In carrying out dialogue with borrowing countries, the Bank advises the clients to consult with and engage the participation of key stakeholders in the country in the process of formulating the country’s development strategies.” The responsibility to initiate a participatory process and design its scope rests with the government, but the World Bank can facilitate, support, and advise on the engagement.

66. **Government-led CE in DPL can help achieve several objectives:** informing the design of the reform program, improving implementation effectiveness, and improving the monitoring and evaluation of reform programs. The World Bank’s 2012 DPL Retrospective found that all DPL operations had reported, in varying degrees of detail, on the country’s consultation and participatory processes related to the program supported by the operation. In consultations on the 2012 Retrospective, stakeholders encouraged the Bank to think how DPL can contribute to further progress in transparency, accountability, and participation.

67. **DPL mainly supports reforms in public sector governance; explicit prior actions related to participation and civic engagement are less prevalent.** The 2012 DPL Retrospective found that 40 percent of prior actions of the 221 development policy loans reviewed are related to public sector governance, 18 percent to financial and private sector development, 12 percent to social protection and management, and only 1 percent to participation and civic engagement. At the same time, prior actions related to public sector governance, such as procurement reforms, may include measures that promote transparency and enable CE at the country level, such as third-party procurement monitoring as part of a new procurement law. Box 3.5 shows how consultations in a series of DPL operations focused on public financial management can contribute to results in this area. A review of 51 development policy loans approved in FY11 and FY12 also found that the vast majority of prior actions were related to information activities; very few of the loans had prior actions related to consultations, citizen feedback, or GRMs; and even fewer included prior actions related to participatory and collaborative processes with citizens.

Box 3.5. Consultations in the World Bank’s Programmatic Fiscal and Institutional DPL Series in Guatemala

Objectives. In addition to other development objectives, the WBG Programmatic Fiscal and Institutional DPL Series for Guatemala has since 2009 provided support for the following:

- Improving governance and transparency of public financial management and expenditures by creating institutional structures to promote public accountability and reduce corruption.
- Strengthening the effectiveness of the *Mi Familia Progres*a CCT program through testing to identify eligible beneficiaries and improving procedures for verifying beneficiaries’ co-responsibilities (i.e., confirming school and health check attendance).

CE mechanisms include consultations between Congress, the Executive branch, and civil society, with the following results:

- Adoption of the Access to Public Information Law, leading to the creation of specialized public information offices in 85 percent of central government agencies.
- Creation of the Vice-Ministry of Fiscal Transparency and Evaluation within the Ministry of Finance, opening avenues for improved accountability, public participation and social auditing, and fighting corruption.

- With improved targeting and transparency, the *Mi Familia Progresa* program was extended into more than 270 municipalities to reach over 900,000 families in a short timeframe. Improved execution resulted in 100 percent of beneficiaries sending their children to school and attending required health check-ups.

Source: 'Fundamentals for Broad-Based and Inclusive Growth in Guatemala' and *GT Fiscal and Institutional DPL*, Projects and Operations Portal, World Bank.

68. **Opportunities exist to leverage DPL to strengthen country processes for CE.** Such opportunities can be informed by the SCD and will need to be discussed with governments in countries that qualify for DPL and have supply- and demand-side conditions that are conducive to strengthening country systems for engagement. Box 3.6 provides examples of prior actions that have been used to support country systems for participation in recent DPL operations. In addition, DPL has been used to support ad hoc participatory mechanisms. For example, the 2010 development policy loan to Rwanda included a prior action related to completion of an assessment of local-level service delivery, using citizen report cards and community scorecards.

Box 3.6. Examples of DPL Prior Actions Supporting Country Systems for CE

- Instruction issued to set forth guidelines and procedures for procurement under community participation method (Vietnam, FY11).
- Instruction issued related to a manual on participatory planning by communes as well as minimum participation by women (Vietnam, FY11).
- Circular issued establishing a participatory process for systematic monitoring of the performance of the public service by civil society, citizens, and service providers (Tunisia, FY11).
- Borrower has created regional committees to pilot processes for citizen participation aimed at identifying regional priorities within the borrower's public policies (Brazil, FY13).
- Decrees issued to strengthen urban governance by broadening participatory mechanisms for budget execution (Brazil, FY13).

Source: Development Policy Actions Database, World Bank.

E. Beneficiary Feedback: Citizen Engagement in Investment Project Financing

69. CE in IPF can improve outcomes in service delivery, public financial management, governance, natural resource management, and social inclusion. The World Bank has long experience in CE in IPFs in service delivery projects, demand for good governance projects, CDD projects, and projects supporting reforms in public financial management. Engagement mechanisms include consultations; GRMs; collecting, recording, and reporting on inputs received from citizens; collaboration in decision-making; citizen-led monitoring, evaluation, or oversight; empowering citizens with resources and authority over their use; and citizen capacity building for engagement (Chapter VI provides examples of each of these approaches). Consultations and grievance redress are mandatory engagement mechanisms in projects that trigger World Bank safeguard policies. There are additional context-specific opportunities for CE in projects that support reforms in areas where CE has been found to contribute to improved results. When choosing the appropriate engagement mechanism, context factors need to be taken into account (see Table 3.2).

70. **To maximize the impact on project outcomes, CE needs to be embedded in project design and continued throughout the project cycle**, including during implementation and evaluation (see Box 3.7). Mandatory consultations—for example, on environmental assessments—typically take place during project preparation. While consultation summaries are included in project documents, it is not always clear how the feedback received has informed the final project design. Typically, consultations are not continued during project implementation, although they could be useful to detect and address environmental and social implementation challenges early on. In contrast, CDD projects involve participatory planning, implementation, and oversight during the life of the project. For projects in sectors such as transport, ongoing user feedback and oversight can contribute to, for example, improved quality of road construction or an improved system to report and address road maintenance issues. Engaging with citizens over the life of the project can improve project risk management, promote continuous learning, and allow for corrections as needed, all facilitating better outcomes.

Box 3.7. Tracking Beneficiary Feedback: CE in World Bank-supported IPF Projects with Clearly Identifiable Beneficiaries

The World Bank's IPF operations aim to promote poverty reduction and sustainable development of member countries by providing financial and related operational support to specific projects that promote broad-based economic growth, contribute to social and environmental sustainability, enhance the effectiveness of the public or private sectors, or otherwise contribute to the overall development of the member states. Except for loans to financial intermediaries, all of these investments (which typically happen in sectors such as agriculture, health, education, and infrastructure) have direct beneficiaries. The World Bank President's commitment to include beneficiary feedback in 100 percent of projects with clearly identifiable beneficiaries is being implemented by including CE activities in IPF.

The World Bank aims to integrate CE mechanisms in IPFs with direct beneficiaries across all sectors, regions, and outcome areas, with a focus on engagement during project implementation to allow for continuous learning and adjustments as needed. The choice of CE mechanism will vary according to the country and sector context, development objective of the project, and capacity of governments and beneficiaries to engage. A focus on results ensures that engagement mechanisms planned at design are being implemented and that beneficiary feedback provided receives an adequate response. For this purpose, project teams are required to include at least one CE results indicator in IPF during project design and report on it during project implementation. Progress on including CE results indicators and reporting on them will be monitored at the corporate level through the Corporate Scorecard and the IDA17 Results Measurement System.

In FY13, the ISR results frameworks of 32 percent of IPFs reported on beneficiary feedback and engagement three years after project approval. The target is to achieve 100 percent.

Scaling up CE across IPFs can leverage several entry points. A number of sectors (such as health and social services, agriculture, education, and public administration) already incorporate a high share of CE results indicators in their project design. In these sectors, the focus is on improving the quality of reporting during project implementation. Other sectors, such as energy and transport, use a relatively low share of CE results indicators during project design. In these sectors, the focus is on including CE mechanisms in project design and ensuring reporting during project implementation. Certain World Bank regions have a long history of CE in IPF operations and are already working with a relatively high share of CE indicators and reporting on them to various degrees. Others may start from a lower base but have developed action plans for scaling up CE in IPF going forward, building on regional windows of opportunity.

Source: World Bank staff.

71. **CE mechanisms should, as much as possible, build on and strengthen existing national, regional, and sectoral processes for participation and feedback** instead of creating project-specific engagement mechanisms. For instance, feedback mechanisms in utility sectors

should support utility-based engagement mechanisms; participatory budgeting processes should be embedded in national legislation; and third-party monitoring mechanisms should be anchored in existing institutions. As an example, the Village Investment Project in the Kyrgyz Republic is a series of CDD projects that have contributed to building decentralized structures and capacity for village-level participation and engagement. Some of these quasi-governmental structures are now being used by other sectors to implement their development projects. Similarly, several CDD programs in countries such as Indonesia, Senegal, the Philippines, and Afghanistan include capacity building for governments, for example, in the area of decentralization reform or social reforms.

F. Program-for-Results

72. **Program-for-Results (PforR) financing aims to promote sustainable development and improve the efficiency and effectiveness of expenditures by financing the expenditures of specific client development programs.** PforR operations disburse on the basis of the achievement of key results under the development programs; and, where appropriate use and strengthen the program systems and strengthen the institutional capacity for such programs to achieve their intended results. OP 9.00 requires the World Bank to consult stakeholders on its environmental and social systems assessment, and all PforR operations have carried out such consultations. The focus is largely on system-level issues, per the design of the instrument.

73. **Feedback from TTLs and regional pilots to mainstream CE have pointed to opportunities to scale up non-mandatory CE in PforR operations,** including in the area of supporting systemic approaches to CE in specific sectors.

G. Advisory Services and Analytics

74. **World Bank advisory services and analytics aim to influence policy choices and programs, enable and empower clients to implement reforms, strengthen institutions, and improve development actions.** World Bank knowledge services include economic and sector work, technical assistance, external training, and impact evaluations.

75. **Advisory services and analytics are frequently used to engage with citizens to build consensus, raise awareness, and influence public debate.** The World Bank's FY13 Client Feedback Survey on knowledge and advisory services included feedback from academic/research institutions, media, and nonprofit organizations, which together accounted for 28 percent of respondents. The majority of respondents stated that the knowledge used led to change. A 2013 review by the WBG Independent Evaluation Group on knowledge-based country programs found that the primary use of WBG knowledge activities is raising stakeholder awareness. The review recommended involving "local experts, partners and local think tanks extensively in knowledge services to help understand better the political economy of reform, bridge the gap between international good practices and local conditions, enhance the applicability of the recommendations, and build local capacity to achieve longer-term impact" (IEG, 2013).

76. **CE in advisory services and analytics is a newer area for the World Bank.** In general, potential entry points for CE in knowledge products include consultations with citizens/CSOs, local academia/research institutions, think-tanks, or media during the design of knowledge products; collaboration with local academia/research institutions and think-tanks in the elaboration of knowledge products; and participation in the evaluation of knowledge products. For example, to assess the impact of knowledge and advisory work to support the review and design of social policies in Turkey between 2008 and 2010, the Bank used surveys to elicit not only the feedback of the government but also that of academia and CSOs (World Bank, 2011b).

77. **Guiding lessons can be drawn from the experience of participation in Poverty and Social Impact Analyses (PSIAs).** Besides informing Bank operations, such as DPL, PSIA also informs government policy processes and the national policy debate. PSIAs determine the distributional impacts of reforms, as well as the processes by which appropriate stakeholders are engaged in policymaking and integrated into country processes. To enhance policymaking and transparency and strengthen country ownership of reform, it is good practice to involve key stakeholders in PSIA design and implementation. Key stakeholder groups typically include different government ministries, CSOs, parliamentarians, the media, and national think-tanks. For example, the PSIA process in Lesotho helped to mediate what had been a heated national debate about electricity reform. The inclusion of participatory processes in the PSIA contributed by not only better informing stakeholders about the objectives and envisaged measures of the reform but also by integrating their views into the reform proposal, which then reduced their opposition and made successful implementation more likely (World Bank, 2008c).

78. **Going forward, the World Bank plans to scale up CE in its advisory services and analytics for improved results.** This will entail (a) identifying the development objectives of knowledge work for which CE can help improve outcomes; and (b) developing guidance for task teams for CE during the design and implementation of advisory services and analytics, and training staff to use stakeholder participation to, for example, define the problem to address; collaborate with citizens, CSOs, academia, and others in the analytic work; crowd-source knowledge; and conduct interactive dissemination of findings. Where relevant, analytic work can also be conducted on country or sector systems for CE, such as the degree of responsiveness of service delivery systems to citizen feedback.

H. Grant Programs

79. **Capacity building provides an entry point for CE.** Capacity building for governments, CSOs, and citizens to collaborate in development interventions can be a component of various operational products, including investment lending or knowledge products. Chapter V.G provides examples for capacity building for CE as part of IPF.

80. **In addition, the World Bank supports capacity building for the CE work of CSOs and other non-state actors through various grant programs:** the Development Grant Facility, the Statebuilding and Peacebuilding Fund (SPF), and the Japan Social Development Fund. Examples include the SPF-funded Program to Enhance Capacities for Social Accountability in Cambodia and the SPF-funded Program on Accountability in Nepal.

81. **Launched in 2012, the Global Partnership for Social Accountability (GPSA) provides strategic and long-term (3-5 years) support to CSOs to strengthen transparency and accountability.** Grants are made directly to CSOs for capacity building, research and knowledge dissemination, networking, and programmatic activities related to social accountability, including activities supporting the enabling environment for social accountability. GPSA support is available to legally registered CSOs in the 39 countries that have joined the GPSA. GPSA has an existing grant funding volume of US\$26.5 million,¹¹ and to date has awarded grants to 22 CSOs in 17 countries through two calls for proposals.

I. IFC

82. **IFC and its private sector clients engage with citizens who are directly or indirectly affected by their operations in a variety of ways.** This section describes the instruments the IFC uses to engage: the Sustainability Framework and the Independent Recourse Mechanism: the Compliance/Advisor Ombudsman.

83. **The IFC Sustainability Framework, an integral part of IFC's approach to risk management, helps articulate IFC's and its clients' strategic commitment to sustainable development.** The framework helps clients to do business in a sustainable way, promoting sound environmental and social practices, encouraging transparency and accountability, and contributing to positive development impacts. The Sustainability Framework applies to all IFC projects (investment and advisory) and consists of (a) the Policy on Environmental and Social Sustainability; (b) Performance Standards 1-8; and (c) the Access to Information Policy, which articulates IFC's commitment to transparency (IFC, 2012).

84. **The Sustainability Framework, originally adopted in 2006, has recently been updated following an 18-month consultation process with stakeholders around the world.** The update reflects the evolution of good practice in sustainability and risk mitigation over the past five years.¹² It incorporates modifications on challenging issues that are increasingly important to sustainable businesses: supply-chain management, resource efficiency, and climate change, as well as business and human rights.

85. **The IFC Policy on Environmental and Social Sustainability and Performance Standards 1-8 include a commitment to effective stakeholder engagement.** They are IFC's efforts to carry out all investment and advisory activities to enhance the sustainability of private sector operations and the markets they work in, and to achieve positive development outcomes. Through them, IFC is committed to ensuring that the costs of economic development do not fall disproportionately on those who are poor or vulnerable, that the environment is not degraded in the process, and that renewable natural resources are managed sustainably. Performance Standard 1 establishes the importance of (a) an integrated assessment to identify the environmental and social impacts, risks, and opportunities of projects; (b) effective stakeholder engagement through disclosure of project-related information and consultation with local

¹¹ Global Partnership for Social Accountability: The GPSA in Review, June 2012-May 2014.

¹² Stakeholder groups participated through consultations with more than 160 private companies; extensive meetings with government agencies around the globe; bilateral meetings with various stakeholder groups; 25 public consultations; and community consultations in nine countries. The reviews by the Board's CODE and numerous meetings and discussions with Executive Directors and their advisors also contributed significantly to the process. IFC received and systematically considered over 300 written submissions from different groups representing a broad range of interested parties.

communities on matters that directly affect them;¹³ and (c) the client's management of environmental and social performance throughout the life of the project. Performance Standards 2 through 8 establish objectives and requirements to avoid or minimize impacts. When residual impacts remain, the Standards are used to compensate for/offset risks and impacts to workers, affected communities, and the environment.¹⁴ Implementation of the environmental and social plans is reported annually to IFC by clients, and verified by IFC environmental and social specialists during site visits.

86. **A positive impact of the Performance Standards is the Equator Principles**, which have increased attention to and focus on social/community standards and responsibility, including labor standards and robust standards for consultation with locally affected communities and indigenous peoples (see Box 3.8). They have also promoted convergence around common environmental and social standards. Multilateral development banks, including the European Bank for Reconstruction and Development, and export credit agencies through the OECD Common Approaches, are increasingly drawing on the same standards as the Equator Principles. The Equator Principles have also helped spur the development of other responsible environmental and social management practices in the financial sector and banking industry: the Carbon Principles in the United States, and Climate Principles worldwide. They have provided a platform for engagement with a broad range of interested stakeholders, including NGOs, clients, and industry.

Box 3.8. The Equator Principles

More than 79 banks worldwide have adopted the Equator Principles, which are a set of good practice guidelines for environmental and social risk management in project finance based on the IFC Performance Standards. In financial markets worldwide, IFC Performance Standards have been catalyzing the rapid convergence of standards for cross-border project finance.

The Equator Principles are a risk management framework, adopted by financial institutions, for determining, assessing, and managing environmental and social risk in projects. They are intended to provide a minimum standard for due diligence to support responsible decision-making. The Equator Principles apply globally to all industry sectors and to four financial products: project finance advisory services, project finance, project-related corporate loans, and bridge loans.

There are Equator Principles Financial Institutions in 35 countries that have officially adopted the Equator Principles, covering over 70 percent of international project finance debt in emerging markets. These institutions commit to implementing the Equator Principles in their internal environmental and social policies, procedures, and standards for financing projects, and they do not provide project finance or project-related corporate loans to projects if the client will not, or is unable to, comply with the Equator Principles.

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Source: <http://www.equator-principles.com/>

87. **The Compliance Advisor/Ombudsman (CAO)¹⁵ reviewed the IFC's adoption of the Policy and Performance Standards on Social and Environmental Sustainability and its Disclosure Policy (Sustainability Framework) as a marked shift in the way in which IFC**

¹³ Stakeholder engagement is an ongoing process that may involve, in varying degrees, the following elements: stakeholder analysis and planning, disclosure and dissemination of information, consultation and participation, grievance mechanisms, and ongoing reporting to affected communities. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and is commensurate with the project's risks, adverse impacts, and phase of development.

¹⁴ When environmental or social risks and impacts are identified, the client is required to manage them through its Environmental and Social Management System, in accordance with Performance Standard 1.

¹⁵ The CAO has three roles: dispute resolution, compliance, and advisor.

addresses environmental and social risks.¹⁶ The review noted that the philosophy inherent in these new policies and standards signaled a move from satisfying a set of prescriptive requirements to an “outcomes-based” approach that requires client companies to engage with host communities early, to build constructive relationships, and to maintain them over time. It added that sound company-community engagement creates predictability for host communities around project-level impacts and mitigation measures, and can help to prevent conflict around private sector projects.¹⁷ The review also noted that gaps in project-level engagement around impact mitigation activities and development impact reporting undermine efforts to build constructive relations and secure community support.¹⁸

88. IFC brings the private sector perspective to the WBG CE model, including the sector’s view on actions by governments, the World Bank, and other development partners. Two important trends have emerged in the field of international development. First, companies are increasingly engaging strategically in helping to address complex country development challenges in ways that harness their core business competencies, skills, and interests and that aim to create value for both shareholders and society. Second, for-profit companies, social enterprises, NGOs, foundations, public donors, and governments are moving beyond one-to-one, project-based collaboration to multi-stakeholder alliances through which to deliver solutions at a more systemic level in particular development sectors or locations (Bulloch and others, 2011). Thus the private sector can play an important role in increasing prosperity and opportunity, which requires that the market system operate within effectively regulated and broadly accepted governance frameworks, spearheaded by principled companies and leaders (Jackson and Nelson, 2004).

89. For the private sector, there are many good business reasons to ensure that business activities are ethical, responsible, and environmentally and socially sustainable (IFC, 2009). Experience has shown that a demonstrated commitment to values and sustainability can help companies¹⁹ achieve a variety of benefits, including the following:

- Gain and retain loyal customers while avoiding boycotts or other undesirable consumer actions;
- Be perceived as more desirable places to work and able to effectively recruit and retain talented staff members;
- Identify ways to increase efficiency and reduce costs in their operations, such as through more sustainable energy use and waste management, or reduced employee absenteeism;
- Forestall legislation or regulation by adopting voluntary programs, allowing them to develop discretionary standards according to their particular circumstances and challenges or to adopt industry agreed codes of practice; and

¹⁶ Office of the CAO (2010).

¹⁷ Drawn from CAO caseload over the past 10 years, and illustrated by CAO’s body of advisory work.

¹⁸ Aside from CAO work on the IFC Sustainability Framework, it provided advice on project-level engagement through its advisory work on grievance mechanisms and participatory water monitoring.

¹⁹ Ultimately, companies are developing more mature social business capabilities by focusing on key social business challenges. Businesses that have more developed social business capabilities do not view social business solely as an application or tool. They have integrated it into many functions, such as strategy and operations, and use it in daily decision-making. Although the discipline of measurement is still evolving, more mature companies do not let measurement challenges halt progress. Finally, social business changes the way work gets done, and processes need to be designed to assure its adoption and success (Kiron and others, 2013).

- Win the support of the communities where they operate and jointly solve problems that affect the company as well as the local population.

90. **Over the past years, a few clients have sought IFC support for measuring the social/development impacts of their work.** This support included advice in defining nonfinancial key performance indicators and the use of feedback tools such as poverty scorecards, narratives, and consumer research. Clients saw value in results measurement and feedback tools, which enabled them to articulate the effects they have on consumers and suppliers—which is important for their “license to operate”—and also assisted them with impact reporting to investors and development institutions (see Box 3.9).

Box 3.9. Feedback from Consumers of a Water Company, an IFC Client in Ghana

The Ghana project provided evidence of the attitudes of over 6,000 water consumers. This evidence was used to underpin business decisions submitted to the company’s investment committee, help benchmark communities, and anticipate consumer reaction in new communities. It was used as an additional tool in the company’s toolkit of proxies—e.g., size of population, taxes paid, and economic activity.

Using a multi-tool approach including simple poverty scorecards and narratives, the project also provided IFC and other investors with evidence of developments that the client is achieving beyond a particular outcome—such as drinking potable water that is healthier than the alternatives available to these poor communities (e.g., wells, river, rainwater). For example, the community relations team provides the communities with extensive and effective education campaigns. The pilot provided evidence that these education efforts have been successful as people can now correctly identify the difference between “pure” / treated water, and other sources. This outcome demonstrates that people in the served communities are aware of the diseases that drinking untreated water might cause.

Source: IFC.

91. **Working with interested clients, IFC will test potential tools and methodologies to provide evidence of the impact of stakeholder engagement, including social impact metrics related to several dimensions of supplier and consumer feedback.** These efforts build on two practice traditions—participatory development and consumer research—that have been widely used for over 60 years but have not yet been fully combined. They draw on a succession of participatory development techniques that emerged in the 1950s—rapid rural appraisal, participatory evaluation, appreciative enquiry, and others—and on the customer research industry. In these pilots, the following guidelines will apply:

- Focus on client companies;
- Emphasis on adding value to existing/potential IFC investment clients;
- Implementation in one or two regions, with each region managing its own projects but coordinating with the other; and
- Provision for clients to share some of the cost of these pilots.

92. **In February 2013, IFC conducted a global survey of its investment and advisory staff to gauge perceptions regarding clients’ demand for results measurement services.** The survey results showed that clients require support on results measurement and stakeholder feedback tools, and that they are willing to pay for these services.

93. **An IFC-commissioned report that looked at the latest tools and approaches used by businesses to consult stakeholders concluded that these tools allow businesses to move from**

compliance to competitive advantage. By helping them to measure simultaneously what matters for business and for development, the use of such tools has led to the following benefits (Dalberg, 2012):

- Monitoring compliance with regulation to avert legal or social consequences of noncompliance;
- Capturing marketing and public relations value from social or environmental compliance;
- Attracting capital from impact investors and socially minded investors; and
- Gaining strategic advantage in the marketplace, increasing profitability and efficiency.

94. **These efforts are also aligned with the current focus of agribusiness companies on listening to consumers and suppliers.** The Committee on Sustainability Assessment, the International Social and Environmental Accreditation and Labeling Alliance, Rainforest Alliance, the Ford Foundation, the Center for Development Innovation at Wageningen, and the Sustainable Food Lab believe that advancing a shared approach to measuring a core set of sustainability indicators within smallholder supply chains will enable better learning opportunities, increase the ability to compare data across diverse initiatives, and allow cost savings (Seas of Change, 2012). A growing number of companies are expanding their smallholder sourcing programs, including the use of third-party certification.²⁰

95. **The IFC Strategic Community Investment team focuses on developing community investment strategies, strengthening supply chains, addressing environmental and social risks, and conveying benefits through tax/royalty payments** (Box 3.10). Working with the IFC natural resources, agribusiness, forestry, and infrastructure sectors, it provides services such as the following:

- Facilitation of corporate-community engagement and communications;
- Design of participatory planning and monitoring processes related to land use, water use, and local benefits;
- Building company capacity to design initiatives that benefit both the company and the local community;
- Conducting economic evaluation and scenario analysis of community investments;
- Ensuring gender and minority mainstreaming;
- Building local government capacity to manage tax/royalty payments to improve community welfare; and
- Supporting CSOs to ensure that local governments are accountable for how they spend tax resources.

²⁰ The Seas of Change International Learning Workshop, held in The Hague in April 2012, brought together 100 leaders from business, government, NGOs, and research and farmer organizations to discuss scaling the benefits of agri-food markets that are inclusive of smallholder farmers. One of the key takeaways from this workshop was the need for better monitoring and assessing of social impact (Woodhill and others, 2012).

Box 3.10. One-Stop Shop for Local Communities and Skills Development for Mining Suppliers

One-Stop Shop for Local Communities. The IFC-developed CommDev.org website aims to increase the access of companies, civil society, and local and regional governments to practical knowledge and tools for navigating complicated, community-focused, social, environmental, and economic development issues related to extractives, agribusiness, forestry, and infrastructure sectors. With over 2,000 visitors each day, it fosters the exchange of knowledge and practical experience on social, environmental, and economic development issues faced by the private sector as it engages with communities around the world.

Skills Development for Mining Suppliers. In South Africa, IFC worked with a mining client to create a program focused on skills development for local suppliers and contracting of local businesses as suppliers to the IFC client. More than 305 contracts have been awarded to 45 small and medium-size enterprises, totaling US\$45.4 million and creating approximately 330 direct jobs.

Source: IFC Advisory Services in Sustainable Business, www.ifc.org/sustainablebusiness.

96. **The commodities roundtables contribute to broad-scale market transformation in key commodities as multi-stakeholder forums where all stakeholders (farmers, traders, suppliers, processors) engage.** Such roundtables aim to reduce risk by developing commodity standards and environmental and social practices through the supply chain that all stakeholders can accept and adopt. IFC participation is consistent with the emphasis of its Performance Standards on the use of certification by clients and their primary supply chains, where credible standards are available. IFC is actively engaged in the Roundtable on Sustainable Palm Oil, the Roundtable on Responsible Soy, and the Better Sugar Cane Initiative. IFC provides support and thought leadership in areas such as smallholder inclusion mechanisms, standards, positioning for new geographic frontiers (e.g., Africa, Asia), and making the business case for greater impact and its measurement.

J. MIGA

97. **Throughout the life of a project supported by a MIGA guarantee, MIGA consults with communities and indigenous populations affected by the project in a manner consistent with the requirements defined in the Performance Standards.**²¹ Stakeholder engagement is a guiding principle of MIGA's Performance Standards.²² While managing environmental and social risks and impacts in a manner consistent with the Performance Standards is the client's responsibility, MIGA seeks to ensure, through its due diligence and monitoring efforts, that the business activities/projects it supports are implemented in accordance with the requirements of the Performance Standards (see Box 3.11). Through the Performance Standards, MIGA requires project companies to engage with affected communities through disclosure of information, consultation, and informed participation, in a manner commensurate with the risks to and impacts on the affected communities. Consultations, community engagement, and GRMs are requirements under several Performance Standards.²³

²¹ MIGA operations are subject to the same performance standards as IFC's operations.

²² Performance Standard 1 stipulates stakeholder engagement in the assessment and management of environmental risks and impacts.

²³ Performance Standards 1, 2, 5, and 7 require one or more of the following: consultations, community engagement, and GRMs.

98. **MIGA is committed to working with the private sector to put into practice processes of community engagement that ensure informed consultation of and participation by the affected communities as well as the free, prior, and informed consent of indigenous peoples.** Informed consultation and participation involves an in-depth exchange of views and information, and an organized and iterative consultation, leading to the client's incorporating into its decision-making process the views of the affected communities on matters that affect them directly—for example, proposed mitigation measures, sharing of development benefits and opportunities, and implementation issues. The consultation process should (a) capture both men's and women's views, if necessary through separate forums or engagements, and (b) reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate. The client is expected to document the process, in particular the measures taken to avoid or minimize risks to and adverse impacts on the affected communities, and to inform those affected about how their concerns have been considered. If indigenous peoples are affected, MIGA expects the client to enter into free, prior, and informed consent negotiations with the affected peoples, with the help of external experts, to identify and mitigate project risks.

Box 3.11. Successful Grievance Redress in the Context of a MIGA-supported Project

MIGA has developed a special environmental and social review process for complex projects in difficult contexts. One of these projects is a green field nickel development project with complex social and environmental impacts, including on 16 directly and indirectly affected villages with indigenous and vulnerable groups; primary tropical forest; cultural habitat; and endangered and vulnerable species and water resources. As a result, the project attracted strong NGO attention and opposition, while the investor was new to the country and had limited experience in effective grievance mechanisms in complex settings.

MIGA worked closely with the investor to put in place a GRM that could respond to the complex challenges of the project. The GRM includes multiple channels for communities, the availability of local field officers, and close coordination with traditional authorities, creating trust between villagers and local field officers. The GRM provides an integrated system for all types of complaints as well as systematic registration and follow-up.

By linking the GRM for the project to its community engagement, the investor was able to gain the trust of the villagers, develop a constructive relationship with local NGOs, and set a working precedent for other mining operations.

Source: MIGA staff

IV. Citizen Engagement Approaches

99. **This chapter describes the main approaches to CE in World Bank operations.**

A. Consultations

100. **Meaningful consultations can contribute to improved design, implementation, and sustainability of development interventions.** The objectives of citizen consultations include receiving input for improved decision-making about the design and implementation arrangements of a development program or project, to contribute to improved results and sustainability. In this context, consultations can potentially give voice to the needs of different population groups, including vulnerable and marginalized groups; improve risk management by identifying opportunities and risks from and to a project (World Bank, 2012b); and increase transparency, public understanding, and citizen involvement in development decision-making (World Bank 2004b).

101. **Consultations with key stakeholders, including project-affected people and civil society, are mandatory in a number of World Bank instruments,** including in CASs/CPFs, PforR financing, and IPFs that trigger certain safeguards. For CPF and PforR, the World Bank is the interlocutor in the required consultations. For DPL and IPF, the government consults, and the World Bank can support and facilitate the consultation. (Box 4.1 provides an example of consultations during project preparation triggered by OP 4.01, *Environmental Assessment*.) Consultation methods include public hearings or meetings, focus group discussions, household surveys and interviews, electronic consultations, and advisory/expert groups. In addition, consultations can include informal structures at the local level, such as village councils and women's groups.

102. **Safeguards-related consultations are the most frequent CE mechanism in World Bank-supported operations, and they take place mostly during project preparation.** As Chapter III pointed out, almost 90 percent of consultations for IPF are motivated by safeguard requirements. However, there are significant opportunities to consult with citizens during project implementation for joint learning, risk management, and course correction as needed.

103. **Good practice approaches to consultation, including closing the feedback loop, need to be applied more systematically.** The WBG consultation guidelines lay out good practice principles such as clear subject and purpose, adequate stakeholder representation and methods of consultation, and disclosure of and timely access to understandable, relevant, and objective information and documentation (World Bank, 2013d). Meaningful consultations also require stakeholder identification and analysis, including due consideration of representativeness and inclusion of women and disadvantaged or vulnerable groups. In addition, safeguard policies require adequate documentation of consultations as part of the project documentation (see Box 4.1).²⁴ These principles are not always applied consistently. Consultations without apparent outcomes are a complaint from CSOs engaged with the Bank,²⁵ pointing to scope for

²⁴ For projects of environmental Category A, OP 4.01 stipulates that an annex to the PAD includes a summary of the borrower's consultations with affected groups and local NGOs, including the issues raised and how they have been taken into account.

²⁵ CIVICUS IGO Scorecard, included in State of Civil Society Report 2014.

improvements in reporting back to those consulted and in monitoring and documenting the outcomes of consultations.

104. **Going forward, more systematic use of results indicators will allow for tracking and documenting outcomes of consultations during the implementation of programs and projects.** Guidance and training will be made available to help teams identify objectives and track the outcomes of consultations during program or project implementation. The inclusion of outcome indicators in project results frameworks can improve the quality of consultations and subsequent results monitoring during project implementation. Indicators can track increased participation from women and marginalized or vulnerable groups, satisfaction with the consultation process, or changes to policies or projects affected as a result of consultations.

Box 4.1. Consultation Mechanisms in the WBG Niger Basin Water Resources Development and Sustainable Ecosystems Management Adaptable Program Loan

The objective of the Water Resources Development and Sustainable Ecosystems Management Adaptable Program Loan is to enhance regional cooperation, development, and sustainability of water resources management in the Niger River Basin. Major environmental impacts of the program include the loss of terrestrial natural habitat due to flooding; the loss of mostly rain-fed agricultural land; and induced environmental, human, and health risks associated with the construction and operation of a dam.

Extensive public consultations on the Environmental and Social Impact Assessment started in 2005 and continued throughout project preparation. Civil society, project-affected people, vulnerable groups, and various stakeholders were consulted on the preparation of all safeguards documents. Safeguards documents were disclosed locally and through the WBG Infoshop. An independent panel of environmental and social experts provided advice during the preparation of the safeguards documents and the public consultation process.

Key issues raised during the consultations included the need to (a) gain access to drinking water, (b) improve access to health and education infrastructure, (c) learn irrigation practices, (d) ensure access to jobs and activities for youth, (e) obtain access to land, (f) strengthen human resources for adult men and women (through functional literacy), (g) gain access to credit, agricultural equipment, and marketing infrastructure, and (h) fulfill women's requests for access to equipment for processing agricultural products and island village women's request for training for new opportunities in the resettlement sites.

These issues have been addressed in project design through detailed planning on the resettlement process, including with host communities; local development activities (establishment of new livelihoods, training, capacity building); establishment of services for the resettlement sites (electricity, water, sanitation, transport, health, education, etc.); and environmental management aimed at the sustainable use of resources (water, land, fisheries, agriculture, etc.).

Source: Niger Basin Water Resources Development and Sustainable Ecosystems Management Project.

B. Collaboration

105. **Collaboration with citizens in decision-making processes and events can make decisions more responsive to citizens' needs and improve the sustainability of program and project outcomes through increased ownership by citizens** (see Box 4.2). Mechanisms for collaboration include citizen/user membership in decision-making bodies, integrity pacts, participatory planning and budgeting, and citizens' juries.

Box 4.2. South Kivu, Democratic Republic of Congo: Mobile Technology in Participatory Budgeting Gives Citizens a Voice to Mobilize Resources for the Poor

Context. As part of the decentralization process in the Democratic Republic of Congo, the law mandated that budgetary funds would be transferred from the provincial to the local governments. As such laws had been widely ignored for years, the process of participatory budgeting was perceived as an effective means to make the budget transfer from provincial to local levels and to increase the legitimacy of the actions of local politicians from the perspective of citizens.

Action. In April 2010, with the assistance of the WBI open development technology alliance ICT4Gov Program in the province of South Kivu, a capacity-building workshop was carried out with the participation of 50 key actors from provincial and local government, civil society, academia, and local IT companies. The workshop introduced the concept of participatory budgeting and showed how ICT could support participatory processes. In August 2010 the provincial government invited all local governments to a meeting and informed of its decision of starting to transfer the funds to the local level. One condition, however, is that local governments start to consult their citizens informally and develop a strategy for the implementation of participatory budgeting. Through the process of participatory budgeting, local governments could now specifically allocate money to provide services to the poor, such as repairing classrooms and roads, and building health centers.

Result. As a result of the ICT-mediated participatory budgeting process in South Kivu in 2011, tax collection increased up to 16-fold in participating local communities as citizens saw that projects started to be implemented, and the provincial government increased transfers of funds to local governments up to fourfold as it saw a more legitimate process to elaborate the budget. In October 2012, the provincial government passed a law to institutionalize participatory budgeting. Other provinces are following suit and are starting to replicate the process.

Source: Social Accountability E-Guide: [A Step-by-Step Approach to Integrating Social Accountability into Projects](https://saeguide.worldbank.org/sites/worldbank.org.saeguide/files/documents/Brochure.pdf), <https://saeguide.worldbank.org/sites/worldbank.org.saeguide/files/documents/Brochure.pdf>

C. Collecting, Recording, and Reporting on Inputs from Citizens

106. **Citizen feedback can be collected periodically on various dimensions of public services provided**, such as effectiveness, inclusiveness, quality, delivery time, transaction costs, and targeting, as well as on resource utilization or engagement processes. Tools include satisfaction surveys, focus group discussions, hotlines, community scorecards, citizen report cards, or SMS/online feedback. Box 4.3 provides an example of a utility-based hotline that was initially designed with grant funding and contributions from the utility and the government counterpart. Following the successful pilot, the government requested WBG assistance in mainstreaming utility-based feedback systems to improve the quality of energy distribution services.

Box 4.3. User Feedback in Service Delivery — Example: *Vozelectrica*, Dominican Republic

Context. For decades, the Dominican Republic power sector has suffered from poor service, inadequate generation capacity, and frequent power cuts. Consumer frustration translated into pillage and vandalism, with nearly half of usage being illegal. At the same time, lack of transparency and accountability at the provider level opened the door to corruption and irregularities. Poor service adversely affects people, especially in underserved areas. Their feedback, if systematically collected, analyzed, published, and responded to, could help improve service provision.

Action. This was the rationale behind *Vozelectrica*, a pilot project that developed a citizen-feedback system for the Dominican electricity sector inspired by a World Bank-organized session where mayors, municipal staff, and civil society organizations showed how the so-called 311 citizen response platforms were being used in Boston (USA) and Serbia. Following the session, a multisectoral team (energy, social, transport, ICT) set out to test whether ICT-enabled feedback platforms could be scaled up in Latin America. The online platform *Vozelectrica* was launched in Santo Domingo in July 2013. Users were invited to send their feedback on issues ranging from warnings of power shortages to complaints about rude technicians or reports of neighbors stealing electricity. This could be done via e-

mail, social media, and a mobile app, but also through phone and in person to ensure the participation of older (and less internet-savvy) people. Each report would then pop up on a map on the *Vozelectrica* website in real time. In turn, the participating electricity distribution companies assessed the reports and had the option to post their responses in public.

To convince citizens their reports would be taken seriously, given the low level of trust in the electricity companies, the team agreed on a new approach—design the platform jointly with local civil society, and let civil society independently manage it. The companies and eight voluntary civil society groups went through training sessions together, negotiated a protocol to handle feedback and complaints, and held regular meetings up to the launch of the pilot.

Results. As a pilot, *Vozelectrica*, the first of its kind in the Dominican Republic, has proven valuable for all actors. It provided rich information to the utilities about how best to reach customers, what channels to use, the profile of participants, and the equity of service provision. The utilities have requested that the platform be mainstreamed beyond the pilot areas, with views to fully integrate it in their customer-response system. Civil society gained experience in the use of an ICT tool for social accountability and became more involved in the oversight of resources spent in the sector. More important yet, several organizations are considering adapting it to other areas: health, the environment, violence against women, and education. The experience is now being replicated by the Ministry of Transport and Public Works in Uruguay for transport and road users, by the new Quito Metro (with requests to expand to the municipal level), to the water sector in Honduras, and to the energy sector in Jamaica, and discussions have started with clients in other countries (Peru, Argentina) who are interested in using the same type of citizen interaction system.

When combined with other social compacts (agreements between users and the utility in specific electricity circuits) and more traditional technical improvements, these citizen-focused systems produced better citizen satisfaction (from 8% to 92% in pilot areas), better income to the utility (via loss reduction), and better hours of service as citizens no longer vandalized meters shortly after rehabilitation.

Source: Latin America and the Caribbean region, World Bank.

D. Grievance Redress Mechanisms

107. World Bank IPF projects that trigger the indigenous peoples and involuntary resettlement policies (OP 4.10 and OP 4.12, respectively) require GRMs. Any project involving involuntary resettlement needs to prepare a Resettlement Action Plan, which includes grievance procedures (i.e., affordable and accessible procedures for third-party settlement of disputes arising from resettlement). Such GRMs should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms, which are particularly relevant in investment projects affecting indigenous peoples.

Box 4.4. Key Findings from the 2014 Review “Grievance Redress Mechanisms – On Paper and in Practice”

In 2013, The World Bank’s Dispute Resolution and Prevention team conducted a first “Global Review of Grievance Redress Mechanisms in World Bank Projects.” A more detailed review was conducted in 2014 to assess the prevalence of GRMs on paper and in practice. The following summarizes the key findings of this review:

GRMs are on the rise in IPF projects. They are included in 66 percent of new projects (FY12), up from 50 percent in FY11 and 28 percent in FY08. Seventy percent of GRMs were outlined extensively in projects approved in FY12—that is, the project documents contained more than a perfunctory reference such as “the project will have a grievance redress mechanism.” Roughly half of the GRMs designed for FY12 approvals contained commitments to collect the data that the mechanism generates, but only 22 percent of projects had committed funds for GRMs.

However, implementation remains a challenge. Of projects that commit to creating GRMs in design, 40 percent do not end up creating one in practice. This points to opportunities to use GRMs earlier in the project cycle to address grievances before they escalate. Furthermore, almost half of all GRMs reported to be working either receive no complaints or have no data on complaints. While service standards are included in a majority of working GRMs, their inclusion is far from complete. A variety of modes are being used as uptake channels, but technology/SMS lags

as a method of receiving complaints.

Regional and context-specific differences exist. The South Asia region has the highest percentage of projects reporting working GRMs during implementation when such a mechanism had been planned in design. In fragile states and conflict-affected situations, projects were far more likely to include a GRM in project design but less likely to report a working GRM than the rest of the portfolio.

Source: World Bank (2014a).

108. **Generally, GRMs succeed when the client and the task team are both committed to using such a mechanism and follow good practice principles:** providing multiple channels for soliciting complaints; registering complaints in a log; publishing timely and service standards for acknowledgement, response, and resolution; and ensuring transparency about the grievance procedure as well as options for mediation and appeal. The capacity of local and national institutions to address grievances also needs to be assessed. Staff training on GRMs is being rolled out.

109. **Recognizing the benefits of identifying and responding to complaints early, the World Bank is adopting a more proactive approach to focus systematically on GRMs in projects and encourages opportunities for alternative dispute resolution, where appropriate** (see Box 4.4). GRMs are increasingly recognized as a means to address complaints early on and manage risks in project preparation and implementation before they escalate (see Box 4.5). For example, the Upper Cisokan Pumped Hydroelectrical Power Project in Indonesia engages an independent monitoring agency to track implementation of project commitments. Grievance forms a central part of the monitoring process, with grievance tracking forms and indicators for a number of cases, meetings and field visits, and satisfactory disposition of cases (World Bank, 2013g).

Box 4.5. Feedback and GRMs in the Pakistan Flood Emergency Cash Transfer Project

Background. In July and August 2010, Pakistan experienced the worst floods in its history, affecting nearly 10 percent of its population across a vast geographical area. The Government of Pakistan set up a rapid response cash transfer program to support flood-affected families—the Citizen’s Damage Compensation Program (CDCP). Phase I provided immediate relief to 1.8 million families, and the World Bank’s Flood Emergency Cash Transfer Project provided technical assistance and helped finance emergency cash grants for Phase II. Among the improvements agreed upon for Phase II were stronger GRMs and a robust public information campaign.

Grievance redress mechanisms. Each of the program’s facilitation centers includes a grievance redress counter staffed by the National Database Registration Authority to address complaints related to computerized national identification cards, eligibility/targeting, payments, maladministration, or lack of response. A public information campaign disseminates information about the grievance redress process through television, radio, and print, as well as word-of-mouth communication facilitated by NGOs and community networks. In addition to the facilitation centers, the grievance redress system receives and channels complaints through text messages and phone calls. Depending on the nature of the grievance and related appeals, different stakeholders are responsible for providing solutions: the National Database Registration Authority, local authorities, the District Administration, and Provincial Disaster Management Authority

Results. While setting up the GRM took time, as of December 2012 the results are as follows:

- 49% of eligibility appeals and 85% of complaints have been resolved.
- 1.087 million eligibility appeals have been logged.
- 536,846 eligibility appeals have been resolved.
- 139,841 of these resolved appeals were accepted for inclusion and issuance of cash transfer debit cards.
- 5,500 complaints (nonworking cards, requests for bribes, etc.) have been logged.

Lessons learned. The project team has identified a number of points for improved outcomes:

- A well-executed and effective public information campaign is critical to participation.
- Developing standard practices: given the large and multinodal grievance redress structure, standard practices are essential for successfully administering the case load.
- Training for all parties to the GRM: all nodes of the grievance redress process must have the same understanding of the process.
- Ownership by District Administrations is essential for efficacious functioning of the oversight body.

Source: South Asia region, World Bank.

110. The World Bank will continue to track the successful resolution of grievances received in projects. According to data for projects approved in FY12, 75 percent of grievances received by projects have been resolved. However, this data point needs to be qualified by the fact that only about one-half of projects reporting a working GRM received any complaints. Data collection remains a challenge, but ongoing corporate monitoring is expected to enhance the adoption of the core sector indicator on grievance redress to make this easier in the future.

111. Corporate recourse mechanisms supplement project-level GRMs. The World Bank's Grievance Redress Service receives complaints and supports teams in addressing project-related grievances that affected communities or individuals may raise directly with Bank Management. In addition, the World Bank's Inspection Panel is an independent complaints mechanism for people who believe that they have been, or are likely to be, adversely affected by the World Bank's failure to comply with its policies in a World Bank-funded project and who wish to request an independent compliance audit.

E. Citizen-led Monitoring

112. Involving citizens in monitoring service delivery, revenues, budget execution, procurement, contract awards, and reform policies can increase transparency, improve efficiency of service delivery or budget execution, and reduce opportunities for corruption. Some mechanisms for citizen-led monitoring include public expenditure tracking surveys, social audits, or citizen report cards. In addition, beneficiaries and CSOs at times participate in the supervision of World Bank projects. A pilot effort in eight countries in the Africa region, the External Implementation Status and Results Report Plus (E-ISR+), aimed to obtain feedback from non-state players on project progress and results, and to systematically reflect external feedback in implementation reporting (Box 4.6 summarizes the main lessons learned from E-ISR+). Additional entry points for CE in monitoring World Bank operations include collaboration with local CSOs, communities, local academia, or think-tanks in gathering results data and conducting joint evaluations of project results after project completion (including in the preparation of project Implementation Completion Reports).

Box 4.6. Lessons learned from the E-ISR+

Background. In 2010, the main sections of a World Bank project's Implementation Status Report (ISR) became accessible to the public, reflecting the Bank's new access to information policy and an effort to open up more information about Bank operations to the external public. The Bank's Africa team spearheaded the E-ISR+ effort in eight countries: Burkina Faso, Congo-Brazzaville, Democratic Republic of Congo, Ghana, Kenya, Nigeria, Sierra Leone, and Zambia. The E-ISR+ pilot was intended primarily to disclose current project information to external stakeholders, to obtain feedback from non-state players on project progress and results, and to systematically reflect external feedback in implementation reporting.

Methodology. Assessment teams generally tended to use a combination of in-depth key interviews and focus groups with project beneficiaries and other stakeholders to gather information. The majority relied on qualitative rather than quantitative inputs in their assessments. With respect to contracting out the work to the assessment team itself, methodologies among Bank country management units varied. Some outsourced the task to market research firms, others to civil society groups that had experience working with the World Bank or to individual in-country consultants with civil society experience.

Lessons learned.

- In general, beneficiaries and stakeholders expressed awareness and understanding of project objectives, although in some cases awareness of project objectives was low. Levels of satisfaction among stakeholders on the quality of consultations before and during project implementation varied.
- Stakeholders identified obstacles to project implementation, such as delays in fund disbursement; lack of clear communication among project managers, government, and beneficiaries; and lack of understanding by community leaders of the potential negative impacts of projects.
- CSOs build capacity in finding and analyzing information as well as the technical aspects of monitoring and evaluation of projects. To scale up citizen-led monitoring approaches such as E-ISR+, the capacity of civil society, and the pool of civil society players that have the technical capacity to carry out monitoring and evaluation of projects, both need to be increased.

Source: World Bank (2014b).

F. Social Inclusion and Empowerment

113. **CDD projects empower beneficiary communities with resources and control over planning decisions and investment allocation.** Over the past decade, CDD projects have become a key way for many national and international aid agencies to deliver services, as participation of affected communities can better meet the needs of communities and thereby increase the efficiency of resource use. The World Bank supports approximately 400 CDD projects in 94 countries, valued at almost US\$30 billion. Over the past 10 years, CDD investments have represented between 5 and 10 percent of the overall World Bank lending portfolio (Wong, 2012). World Bank impact analyses found that such projects demonstrated mixed results on achieving targeted outcomes. In the study by Wong (2012), on a positive note, a small subset of projects was found to have achieved a measurable decline in relevant poverty indicators such as incidences of food insecurity, unemployment, or increase in per capita consumption. In addition, impact related to access to services was generally positive. However, impact related to governance and social capital was mixed to nonexistent. Mansuri and Rao (2013) found equally mixed evidence. Local officials have been found to target poor recipients better, though this is more prevalent in rural than in urban areas. Similarly, while community-based natural resource management has been found to improve sustainability, this impact is more evident for forests with limited livelihood improvement opportunities. Participation in local infrastructure development has been found to improve project maintenance, except in technically complex projects. While additional work is required to better understand the causal chains of impact at the local level, these findings highlight the potential challenges associated with CDD, such as limited capacity, elite capture, or the interplay of local politics and resource allocation.

Box 4.7 summarizes additional lessons learned from the long experience with CDD projects in East Asia.

Box 4.7. Lessons from Decades of Citizen Engagement through CDD: PNPM, Indonesia, and KALAHI, the Philippines

The experience of the PNPM CDD program in Indonesia and the KALAHI program in the Philippines is instructive in understanding better how communities get engaged but is critical to understanding how they stay engaged.

- **Transparency in decision-making and the use of funds to ensure accountability, promote community engagement, and empower beneficiaries as central stakeholders.** Information and transparency strategies include both written and oral methods of communication: (a) publicizing project and financial information including audits through village boards, websites, and the press; (b) transparency of fund transfer, amounts, holding, and control of funds, including proactively in village meetings; (c) a community communication platform, including active monitoring by NGO watchdogs and the media ICT mechanisms through social tools and ICT, and geomapping; and (d) literacy toolkits to help participants operationalize information for the benefit of their village.
- **Local controls to promote financial accountability.** PNPM relies on communities taking control of funds and holding the account managers accountable. Financial management is placed close to the beneficiaries. Communities are empowered through simplified systems of disbursement, contracting, program documentation, and grievance handling. Procurement procedures promote choice; communities are empowered to negotiate locally for the best price. Disbursements are linked to public accountability meetings. Villages also carry out cross-village social audits.
- **Planning and oversight by women in separate women's groups.** In PNPM, women's groups have proven particularly effective in monitoring the use of funds and materials. The separate planning stream for women is effective, with rules that women are required not only at planning and information-gathering meetings but also at decision-making meetings. In KALAHI, consistent efforts toward gender awareness are needed to break old patterns. Internal gender assessments found that, although women make up 40-60 percent of the Barangay assemblies, they have minimal participation in the KALAHI decision-making bodies. Moreover, women's contributions in implementation frequently go unrecognized and uncompensated. Gender awareness among project staff, and especially field staff, is crucial in mainstreaming gender equity.
- **Facilitators are a cornerstone of effective citizen engagement.** Facilitators are the agents of change. As a leader, trainer, and advocate for participatory, transparent, and accountable decision-making, the facilitator should address local power relations. The competencies of facilitators are crucial, and their professional development needs to be taken forward as a sustainable effort. Capacity to assist the community is vital, but so is the facilitators' ability to pass on the tools so more empowered communities can do it themselves.
- **Community leaders emerge from groups of ordinary citizens.** The experience of working as KALAHI community volunteers provided an effective training ground to transform community members into community leaders. Volunteers emerged as a new pool of leaders who are more service-oriented and committed—ordinary citizens trained and skilled in community mobilization and not drawn from elite groups in local communities.
- **Citizen engagement strategies need time and flexibility to shift engrained social norms.** The processes through which communities participate in decision-making and implementation tend to disrupt the equilibrium of the existing social systems that enable resources to be managed in a manner that serves the interests of entrenched elites. Breaking down these social systems is necessarily a slow and gradual process and must be done with care and full knowledge of both beneficial and adverse consequences.
- **The involvement of NGOs adds legitimacy to CDD activities, but capacity is a limiting factor.** The involvement of civil society can take several forms: (a) policy dialogue at the national level, mainly through the participation of NGO representatives; (b) independent monitoring of field implementation, (c) providing training for staff and community volunteers, (d) conducting learning exchanges among communities and facilitation in a few pilot municipalities, (e) discussions between staff and individual NGOs at local level to identify areas of collaboration, and (f) engagement in operations and maintenance. Greater involvement was hindered, at least in part, by difficulties in identifying competent NGOs and civil society groups.

Source: East Asia and Pacific region, World Bank.

114. **CDD projects typically have a longer implementation time and can contribute to sustainable country systems for participatory community development.** A number of CDD projects are being implemented under an adaptable program structure, allowing for follow-on projects with an overall longer duration. The average duration of CDD projects included in the World Bank’s impact analysis was close to 12 years (Wong, 2012). Iterative cycles of engagement have several benefits: they build capacity in both the local community and government agencies, they build trust and ownership of the participatory approach through a realistic timeframe to achieve results, and they allow for learning and course corrections. They can also contribute to sustainable country systems. For example, the planning structure and delivery mechanisms put in place through the Indonesia PNPM project have become part of Indonesia’s national poverty reduction program.

G. Capacity Building for Citizen Engagement

115. **Capacity building for citizens, CSOs, communities, government officials, and national accountability institutions to engage and participate in service delivery, natural resource management, public financial management, or CDD projects can also contribute to improved project outcomes** (see Box 4.8). Capacity-building components are therefore included in a number of World Bank-supported operations. Capacity building for all relevant stakeholders is particularly necessary and needs to be systematically integrated into WBG-supported operations where CE approaches are introduced for the first time at scale at the national, sectoral, program, or project level. A focus on building government capacity is also important to ensure the sustainability of engagement processes beyond the life of a project intervention.

Box 4.8. Building the Capacity of Community Procurement Committees in Fragile Areas to Enhance Transparency in Community Subproject Investments

Context. Two decades of armed conflict in Northern Uganda had led to economic stagnation and weakening of the community safety-net systems and the traditional social and economic fabric. In response to these factors, the Government of Uganda initiated the Northern Uganda Social Action Fund (NUSAF) project to empower communities in 18 districts of Northern Uganda by enhancing their capacity to systematically identify, prioritize, and plan for their needs through subprojects; implement sustainable development initiatives to improve socioeconomic services and opportunities; and, by placing money in the hands of communities, contribute to improved livelihoods. The second NUSAF project further strengthened bottom-up accountability with a support program provided as part of a Transparency, Accountability, and Anti-Corruption Program.

Actions (2009-present)

- NUSAF 1 made an effort to build the capacity of community project management committees and community procurement committees in their core duties, including by conducting executive committee and general community meetings; selecting and undertaking viable procurement options; monitoring the progress of subproject implementation; and managing contractors. These efforts were all geared toward ensuring high subproject completion rates and promoting the use and sustainability of community investments or their spin-off benefits. To enhance the involvement of communities in monitoring their subprojects, the project held trainings with subcounty technical staff. In turn, the trained staff mentored local community members in basic monitoring.
- NUSAF 2 instituted community project management committees with the primary responsibility of handling grievances at the grass-roots level. These committees are also trained to use community scorecards — a qualitative tool used for local-level monitoring of how inputs and expenditures match with entitlements and budget allocations. It also provided support to government to investigate reported cases of corruption and abuse of office during project implementation, including violations of project rules and procedures. Preventive measures include routine monitoring, inspections, education, and raising awareness among citizens; enforcement measures include the investigation of complaints about NUSAF 2 projects and, when necessary, the prosecution

of criminal acts.

Results

- **Improved utilization of community funds.** The direct involvement of communities in monitoring enhanced subproject completion rates and promoted the utilization and sustainability of the investments.
- **Reduced leakage in funds.** The strengthened capacity of communities to perform oversight functions helped minimize some forms of malpractice at the community level, such as corruption, elite capture, and waste of community resources.
- **Increased responsiveness of local governments.** Despite variations in capacities across and within districts, local governments at the district and subcounty level have been responsive about appraising subprojects, providing technical support during implementation, and supporting the certification and commissioning of funded community investments.
- **Enhanced capacity for grievance redress.** A total of 3,695 community project management committees have already been instituted and trained in subproject implementation and grievance handling; 31 percent of the committee members were women. The SMS Corruption Reporting System (Report2IG), which will enable citizens to send SMS text messages to report cases of corruption, has been developed and tested.

Source: World Bank (2013b).

H. ICT

1. Impact of Technology on Citizen Engagement

116. **Growing access to information and communication technologies in developing countries holds the potential to make participatory processes more transparent, inclusive, scalable, and cost-effective.** The impact of ICT-mediated CE initiatives can be reviewed from two angles (a) the effect of technology on participation, and (b) the effect of digital engagement initiatives on public policies and service delivery.

117. **However, there are conflicting findings regarding the effects of technology on levels of participation and on biases in participatory processes.** A number of digital engagement initiatives show low levels of participation, while only a minority have shown significant success in terms of uptake. Regarding participation biases, assessing two Ugandan mobile-based accountability initiatives related to public service delivery and access to safe water, the Institute for Development Studies found that participants are often “the usual suspects”: male, urban dwellers, and the most educated individuals (McGee and Carlitz, 2013). By contrast, a field experiment in the same country studying the use of mobile phones in enhancing engagement between constituents and their representatives found that the use of ICT leads to greater participation of marginalized groups when compared to traditional channels (Grossman and others, 2014).

118. **Similarly, the majority of digital engagement initiatives to date have had limited impact on decision-making and service delivery** (see Box 4.9).²⁶ Nevertheless, a few ICT initiatives show positive results, with clear impact on policies and services, such as collaborative policymaking efforts and participatory budgeting initiatives supported by mobile and web-based applications (Peixoto, 2009; Alvarez and others, 2009). The evidence suggests that the shortcomings in digital engagement initiatives are more than a matter of technological choices; rather, they are the result of a poor understanding of the interplay among technology, institutions,

²⁶ Gyimah-Boadi (2004), Pratchett (2006), Smith (2009), Grofman and others (2014).

and contextual factors (Macintosh and White, 2006; Papadopoulos and Warin, 2007; Grönlund, 2010).

Box 4.9. Digital Engagement and Limited Responsiveness

While the 2011 launch of the Kenyan crowd-sourcing and monitoring platform, Huduma, was much celebrated by the development community, a recent assessment shows that of the 3,000 reports submitted via SMS, email, and Twitter, none had been resolved. Scholars have expressed concern about such tokenistic outcomes. Failures in creating meaningful digital engagement processes may undermine citizens' willingness to participate and evoke further public skepticism about participatory processes.

Source: Bott and Young (2012).

2. Role of Technology in CE

119. **ICT can be used to support CE processes if it is designed to leverage the identified CE approach.** Technology can play a variety of roles, such as facilitating transparency, mobilization, feedback, or responsiveness/closing the feedback loop. To identify at which stage what type of technology can be applied in the specific context of a given CE initiative, the following factors should be considered:

- ***Build on existing institutions, processes, and systems.*** ICT is most likely to produce its expected benefits when articulated with existing institutions, processes, and systems (Chadwick, 2011; Grönlund, 2010). A major source of failure in digital engagement initiatives is a tendency to position ICT as a solution in itself, giving it priority over institutional design matters, often to the detriment of both. Building ICT into existing institutions, processes, and systems reduces the risk of duplication of efforts and associated implementation costs for governments and increases the likelihood of meaningful engagement by citizens at lowered participation costs. ICT mechanisms for CE range from data visualizations to the use of mobile phones. While the selection of technological solutions matters, their effectiveness is dependent on the design and quality of the participatory processes in which they are embedded. ICT has been used successfully for such processes as participatory budgeting, citizens' councils, petitions, or part of an existing intervention within a government or Bank-supported project, such as the digital collection of citizen feedback to inform performance-based management processes, or to feed into ISRs.
- ***Adopting user-centric and hybrid approaches.*** The selection of appropriate technological solutions should be context-sensitive (Van Reijswoud, 2009). Clearly understanding how a population routinely uses technology can lower barriers to participation. For instance, research suggests that the use of SMS solutions may affect the inclusion of rural populations (see Box 4.10), who have lower incomes and educational attainment. The use of alternatives such as voice-based technologies may increase the likelihood of including marginalized groups. Furthermore, different ICT tools (e.g., mobile, web) may mobilize different demographics (see Figure 4.1). The inclusiveness of digital engagement initiatives is increased by adopting a multi-channel approach, diversifying the paths for participation and collaboration, and combining digital with offline processes.
- ***Iterative and incremental approach.*** To ensure scalability and sustainability of digital engagement initiatives, the deployment of ICT tools should follow an iterative

and incremental approach—that is, identifying the best solutions as they are developed and used, allowing for a process of continuous learning that informs the design of subsequent features and solutions. To reduce costs, avoid vendor lock-in, and increase opportunities for collaboration across projects, digital engagement initiatives should, whenever appropriate, give priority to the use of open-source software over proprietary solutions.

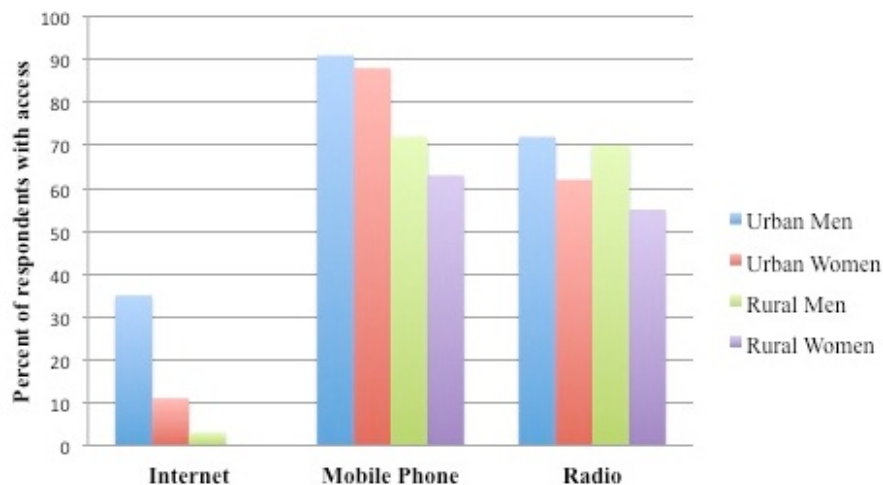
Box 4.10. Mobile Phones, SMS, and Inclusiveness

A study looking at SMS use among the low-income mobile owners in Bangladesh, Pakistan, India, Sri Lanka, and Thailand found the following:

- Approximately 32 percent of the mobile owners have ever used SMS.
- While the distribution of MS) users is similar between urban and rural, a large proportion (73 percent) of the non-SMS users live in rural areas.
- The users’ reported daily income was higher than that of the non-users.
- The non-users tend to have lower education; 83 percent had only primary schooling or no formal education.

Source: Kang and Maity (2012).

Figure 4.1. Access to ICTs and Media in Pakistan



Source: BBC Pakistan 2008 Survey of Adults (15+) n=4020; excluded: high-speed Internet and set-top boxes.

3. The World Bank Approach to Digital Engagement

120. **ICT can play an important role in CE as a means to support scalable, sustainable, inclusive, and cost-effective participatory processes.** This requires bringing together different types of expertise and capabilities relevant to activities found at the intersection of technology and CE. The following strategic points will guide the Bank’s approach to digital engagement in support of mainstreaming CE in its operations.

121. **Bank operations can support governments in learning how to use ICT to support CE.** To avoid the pitfalls highlighted in the previous sections, areas of support to governments may include the following:

- Assistance for governments and task teams to select appropriate technologies reflective of national and subnational engagement contexts, following incremental and iterative approaches.
- Identification of suitable entry points for ICT in a specific results chain design for CE.
- Design and implementation of ICT solutions that can increase transparency, participation, and inclusiveness, and adapting them for specific contexts, including capacity building.
- Monitoring and evaluation of digital engagement initiatives.
- Bridging the government/digital civil society gap by bringing together government demand and civil society expertise.

122. **Knowledge generation and knowledge sharing:** the Bank will develop a digital engagement evaluation framework to assess the effect of ICT in participatory processes as well as the impact of these processes on public policy and service delivery compared to non-ICT-based processes. The Bank will also partner with actors in the field of digital engagement to promote knowledge sharing and collaborative research efforts. To meet TTLs' demand for guidance on the use of ICT for CE, the Bank will strengthen existing services and knowledge and learning programs in the area of digital engagement in coordination with the broader knowledge management for CE.

123. **ICT-enabled CE will be integrated in projects.** The development of ICT components to support CE projects where such engagement can improve results will follow an incremental and iterative approach, prioritizing the use of open-source software to promote the scalability and cost-effectiveness of digital engagement processes. The Bank will also partner with collaborative efforts that aim to reduce the costs of developing digital engagement solutions, ultimately reducing the barriers for the implementation of ICT-supported CE initiatives.²⁷

V. Improved Monitoring and Results Reporting

124. **Better understanding and monitoring of the outcomes of CE in WBG-supported operations is an objective of this framework.** As Chapter III outlined, monitoring and reporting on the outcomes of CE in World Bank-supported operations is not systematic. As part of the results-focused approach, this framework will be followed by work on results chains²⁸ for CE across various outcome areas. Relevant staff guidance which suggests indicators to be used in IPF results frameworks to track progress on implementing CE activities has been issued²⁹.

²⁷ See, for instance, Poplus: A Global Federation for Civic Tech, <http://poplus.org/>.

²⁸ In the context of WBG operations, results chains include inputs/activities, outputs, and intermediate and final outcomes that an operation can reasonably be expected to achieve. In CE and social accountability literature, the alternative terms *causal chains* or *theory of change* are being used to describe similar thinking.

²⁹ See Updated Investment Project Financing Project Preparation Guidance Note and the Results Framework and M&E Guidance Note.

Building adaptive capacity and evaluating the long-term impact of CE in WBG-supported operations is equally relevant.

A. Results Chains and Proposed Indicators

125. **Illustrative results chains will be made available for the five outcome areas of improved service delivery, public financial management, governance, natural resource management, and inclusion and empowerment, as well as enabling information activities** to help operational teams and clients identify how tailored CE activities can best contribute to improve specific outcomes in a given context. For the purpose of developing these results chains, CE approaches have been grouped into seven areas: consultations; complaint and grievance redress-handling mechanisms; collecting, recording; and reporting on inputs received from citizens; collaboration in decision-making; citizen-led monitoring and evaluation and oversight; citizen empowerment over resources and their use; and capacity building for CE. For each of these activity areas, a list of indicative CE indicators has been made available to teams that can be included in project results frameworks and reported on during project implementation.

126. **Measuring CE outcomes and impacts is challenging because of the difficulty of isolating the different contributing factors, the direction of causality, and the important role of context and enabling conditions.** Building on recent research, the results chains are based on certain assumptions that would need to be validated when preparing specific project-level results frameworks—assumptions related to citizens’ ability to access timely and useful information, as well as their capacity, incentives, and means to participate; public officials’ motivation and capacity to respond to citizens’ concerns; and the legitimacy of collective citizen action. In addition, the results of these processes do not necessarily follow a linear process and can depend on a number of context-specific, interrelated, and iterative factors.³⁰

127. An indicative list of outcome indicators to monitor and report on the results of CE activities has been provided in an updated Results Framework and M&E Guidance Note to help WB operational teams and clients develop results frameworks for IPFs. As a basis to select the indicators, the team reviewed the results frameworks of 374 WBG projects and 44 CASs that included CE-related indicators.³¹ To systematically monitor CE outcomes in WBG-supported operations other than IPFs where their inclusion can contribute to improved results, CE indicators need to be developed, included in results frameworks, and reported on where relevant—for example, in CPFs and DPLs. In addition, sector-specific CE approaches can be piloted.

128. Internal and external indicators measuring aspects of CE were also analyzed.³² In addition, useful feedback was obtained from regional pilot projects in mainstreaming CE.

³⁰ For example, see World Bank, SDV Flagship (forthcoming, 2014)

³¹ The review included 300 investment lending projects approved in FY11-12, 74 of the 199 DPL operations approved in FY10-12, and 44 of 66 CAS products.

³² The following sources were reviewed to propose indicators: World Bank Core Sector Indicators; Afrobarometer; Bertelsmann Transformation Index; Countries at the Crossroads—Freedom House; CPIA indicators (World Bank); Global Witness Forest Transparency Scorecard; Global Corruption Barometer; Global Integrity Index; Global Right to Information Ranking; Human Resource Management Index; Indices of Social Development; OECD Better Life Index; Open Budget Index; Public Expenditure and Financial Accountability Initiative; Service Delivery Indicators (World Bank-Africa); Social Inclusion Indicators (World Bank); Sustainable Governance Index; Transparency International Corruption Perception Index; USAID CSO Sustainability Index; World Values Survey; World Justice Project-Rule of Law; and Worldwide Governance Indicators.

B. Internal Reporting

129. **Progress on CE in IPF (“beneficiary feedback”) will be monitored by the Presidential Delivery Unit by tracking (a) the integration of results indicators into project-level results frameworks at design, and (b) reporting on the indicators during project implementation in ISRs³³.** Improvement in scaling up CE and implementation of grievance redress will be monitored through World Bank Corporate Scorecard indicators on (a) IPF operations with beneficiary feedback during implementation (percentage),³⁴ and (b) grievances registered related to delivery of project benefits that are actually addressed (percentage). At the institutional level, it is envisaged that such attention will strengthen incentives to improve implementation of CE and GRMs. The IDA Results Measurement System will also track progress on the percentage of projects using beneficiary feedback.

C. Long-Term Impact Analysis

130. **An institution-wide approach to systematic impact evaluation of CE and beneficiary feedback would provide greater understanding of the links with development outcomes.** World Bank-financed projects typically have an active life of five years, while long-term impacts have a longer gestation period. In terms of approaches to impact evaluation of citizen engagement, the emerging consensus from leading scholars points to a combination of quantitative methods (such as randomized control trials) and qualitative methods, including participatory methods or field-based case study approaches (Joshi, 2013). Such long-term impact evaluations will need to be conducted outside the operational scope of a project to cover long-term lessons learned across a critical mass of experiences.

131. **Opportunities to build adaptive learning mechanisms into project implementation are being piloted.** Such potential mechanisms can build on data generated jointly by project beneficiaries and government implementation agencies and can be supported by decision support systems that enable project staff and participants to make real-time adjustments on the basis of continuous feedback and learning. This approach is being piloted as part of World Bank-supported livelihood projects in India (World Bank, 2013f).

D. IFC

132. IFC has recently developed and is testing a tool, the Performance Standard Achievement Rating (PSAR), which measures progress toward higher-level objectives and key elements in the Performance Standards over time. This tool is an index that allows monitoring of trends and behaviors in different regions, sectors, and countries, and supports decision-making and allocation of appropriate environmental and social resources. The PSAR describes the degree of implementation of applicable elements of a given Performance Standard on the basis of a structured approach and the professional judgment of environmental and social specialists. It

³³ Updated [Results Framework and M&E Guidance Note](#) for Investment Project Financing

³⁴ Percentage of IPF operations that report credible action and/or results on one or more CE results indicators in ISRs three years after their approval.

includes a visual component that provides snapshots of regional and sectoral portfolio trends and behaviors.

133. **IFC has chosen Factor 4 (in Performance Standard 1) of the PSAR to measure progress in the context of this Framework.** Each Performance Standard includes two to five factors based on the key elements of the Performance Standard, and uses a six-point rating scale. Factor 4 in Performance Standard 1 focuses specifically on stakeholder engagement for the subset of IFC projects for which the concept of measuring stakeholder engagement is meaningful.³⁵ Table 5.1 displays the description of Factor 4 Stakeholder Engagement and what it means when it is fully achieved by a project, and Table 5.2 provides guidelines on how to rate Factor 4. Consistent application of PSAR allows the comparison of the PSAR index at appraisal and during the following project supervision cycles, and reflects the value-added of IFC engagement. Additionally, PSAR enables IFC to demonstrate to its stakeholders how it is delivering on its commitment to sustainable development in a way that is easy to understand and aggregate.³⁶

Table 5.1. Factor 4 PSAR, Description and Full Achievement

<i>Factor 4</i>	<i>Description</i>	<i>Full achievement</i>
Stakeholder engagement	Information dissemination, disclosure, consultation and participation processes, including grievance mechanisms.	The project has implemented a plan to regularly engage with its stakeholders to be timely and adequately informed about project issues that could affect them and to take into consideration their views and concerns.

Table 5.2. Factor 4 PSAR, Ratings and Descriptions

<i>Rating</i>	<i>Description</i>
0%	None
20%	A few meetings and discussions, but not an ongoing process yet; grievance mechanism is being developed.
40%	Some public events, limited ongoing engagement process. Grievance mechanism is being implemented.
60%	Stakeholders have been identified and there were several events with effective dialogue; Grievance mechanism is fully implemented however there is not enough evidence of its effectiveness. Applicable consultation processes have been implemented.
80%	Multiple and ongoing public consultation and participation in a culturally appropriate manner. Stakeholders' feedback is actively considered; reporting to communities; effective grievance mechanism is evidenced by formal records.
100%	Stakeholders' engagement is part of the regular project activities. Affected communities' issues and concerns are proactively addressed. The project has built fluent and inclusive communication and consultation process with its stakeholders.

³⁵ The methodology still needs to be adjusted to make it operational in the context of this framework; the PSAR in IFC is owned by the Environmental and Social Department.

³⁶ The PSAR design reflects these key criteria and characteristics: (a) it should have an appropriate balance between simplicity and thoroughness; (b) it must be based on key elements of each Performance Standard; and (c) given the diversity of investment products, it should have broad judgment criteria for grading the degree of Performance Standard implementation.

VI. Enabling Factors

A. Access to Information

134. **Access to timely, user-friendly, reliable, and comprehensive information is a necessary but not sufficient precondition for effective CE.** As Chapter III pointed out, evidence challenges the assumption that open access to transparent information automatically induces participation and impact, which also depend on such context factors as enabling legislation and grassroots activism (Pande, 2007; Keefer and Khemani, 2011; Lieberman and others, 2014). At the same time, access to information is required as a basis for effective citizen CE. Information formats and activities need to be part of the design of CE processes and be based on an understanding of the target audience (e.g., regarding their access to ICT, literacy, and so on). Good practice principles for information sharing as an enabler for CE require that the information provided be relevant (responsive to citizens' interests), timely (sufficient notice), and understandable (language, format, and local context).

135. **The World Bank champions a number of “openness initiatives,” including capacity building for citizens, in the use of relevant information and data.** Through its Access to Information Policy,³⁷ the World Bank makes all operational documents publicly available via its Operations Portal, unless certain exceptions apply. In addition, the World Bank is a founding signatory of and regularly publishes data about its operations to the International Aid Transparency Initiative (IATI). The World Bank also collaborates with and supports an extensive portfolio of openness initiatives, including the following:

- The *Open Government Partnership*, which works with governments, CSOs, and others to develop an action plan, including measures to involve citizens in open government initiatives.
- The *Open Aid Partnership*, which works with governments and citizens to develop open and collaborative maps, and promotes the role of citizens/CSOs as infomediaries to make these maps more accessible and ultimately use them as a feedback tool.
- The *Open Contracting Partnership*, which aims to enhance disclosure and effective monitoring of government procurement and contracts, including through CE around the use of public resources (see Box 4.11).

136. **The IFC Access to Information Policy sets out the scope of information shared with interested stakeholders either routinely or upon request.**³⁸ It also encourages all IFC clients to be more transparent about their businesses to help broaden understanding of their specific projects and of private sector development in general,³⁹ and it requires them to continuously engage with communities affected by their projects through the disclosure of information.⁴⁰ In accordance with these principles, the information that IFC makes available enables its clients, partners, stakeholders, and other interested members of the public to better understand, and to

³⁷ World Bank Access to Information webpage: <http://go.worldbank.org/TRCDVYJ440>

³⁸ Search IFC Access to Information at www.ifc.org.

³⁹ In addition, IFC believes that when clients are committed to transparency and accountability they help promote the long-term profitability of their investments.

⁴⁰ In a manner that is also consistent with IFC's Policy and Performance Standards on Environmental and Social Sustainability.

engage in informed discussion about, IFC business activities, their development outcomes, and other impacts of IFC's activities.⁴¹

Box 4.11: Open Contracting: At the Interface of Access to Information, Capacity Building, and CE

The former World Bank Institute (WBI), now the Leadership, Learning and Innovation (LLI) Vice Presidency of the WBG, has led the incubation of the Open Contracting Partnership (OCP), a collaborative initiative that strengthens transparency and monitoring of government contracts, from pre-award to award to implementation. WBI launched this OCP through multi-stakeholder dialogues comprising leaders from government, civil society, development partners, and the private sector, thereby building commitment to strengthen disclosure and participation in public contracting for better service delivery in different sectors, such as health care.

Open Contracting in Extractives. The OCP is helping to build commitments to open contracting in more than 20 countries, including Afghanistan, Colombia, Iraq, Niger, Sierra Leone, Guinea, DRC, Liberia, Ghana, Peru, Ecuador, East Timor, and the US. In *Ghana*, for example, all government payments to extractives industry actors are now disclosed on a quarterly basis to enable citizens to 'follow the money' from government to the extractives sector; government has also taken the step of disclosing many of Ghana's petroleum agreements, to further enable 'following the money' of royalty payments back to the public. WBI has helped to accelerate these transparency initiatives by launching the Ghana Extractives Industries Map, a free online, interactive mapping platform that gives users access to and visualizes information about the mining, oil, and gas sectors in the country, including links to contracts, company information and sustainability reports. WBI concurrently launched the Governance of Extractive Industries (GOXI) platform as a space for dialogue, peer-learning, and collaboration for those actively working on governance issues in the extractive industries. The Accra-based Civil Society Platform on Oil and Gas—hosted by the Integrated Social Development Center—has been able to guide public sector progress toward a transparent system for managing oil revenues and the inauguration of the Public Interest and Accountability Committee which is tasked with monitoring compliance with the revenue law. Civil Society has started to pilot monitoring tools and applications, to help strengthen accountability among extractives industries in Ghana, and ensure communities are benefitting from extractives royalties, as mandated by law.

Transparent and accountable pharmaceutical procurement and supply chain management. Annual global pharmaceutical expenditure is US\$750 billion, of which consumers lose approximately US\$300 billion to human error and corruption. In Uganda, Kenya, and Tanzania, the OCP is aiming to support better health outcomes by improving efficiency, competition, transparency, and accountability in the procurement and supply of essential medicines. The OCP launched this support in 2010 by convening stakeholders from these countries' pharmaceutical procurement agencies, public procurement oversight authorities, ministries of health, civil society, academia, and the private sector. In all three countries, the initiative has facilitated the design and application of innovative tools, which are generating baseline data and providing an evidence base for joint (state and non-state actor) decision-making on reform priorities in the sector.

- **Uganda.** The multi-stakeholder Medicines Transparency Alliance has completed an extensive survey on medicine availability and health service delivery, covering 200 facilities and 10 districts. The findings (http://blogs.worldbank.org/ic4d/files/Uganda_MeTA_Infographic.pdf) from the exercise are already guiding reforms articulated in both the national Health Sector Strategic Investment Plan and the Uganda Health Systems Strengthening Project, and they have informed the midsector review of the project. In direct response to the findings of the survey, the National Medical Stores has revisited its procedures and practices, with a view to expediting delivery of essential medicines to health facilities, especially at lower levels of care. At the request of the Ministry of Health, the coalition is also leveraging its experience in third-party monitoring to track progress in the implementation of interventions related to other areas of health service delivery, including maternal, newborn, and family planning services.

⁴¹ IFC systematically makes available institutional information and project-level information regarding investments and advisory services provided by IFC to its clients. In determining the availability of any particular information, IFC first considers whether such information falls within the scope of its responsibilities under the Access to Information Policy; and if it does, IFC then determines whether there is any compelling reason not to disclose all or any part of such information. In making this determination, IFC considers whether the disclosure of information is likely to cause harm to specific parties or interests that outweighs the benefit of disclosure.

- **Kenya.** The multi-stakeholder Forum for Transparency and Accountability in Pharmaceutical Procurement collaborated with the Kenya Medical Supplies Authority (KEMSA) to design and test-pilot a Mobile Drug Tracking System (MDTS), which provides citizens, community health workers, health facilities, and health management committees with real-time information on medicine availability in selected health facilities. Since the pilot in 2012, the coalition has received funding from Making All Voices Count (in 2014) to scale up MDTS and to develop a Medicines Price Reference Guide for essential medicines. Such a guide is necessary in the context of Kenya’s new devolution processes to ensure that (a) consumers continue to receive low prices on medicines; (b) counties secure competitive prices for medicines; and (c) the opportunities for corruption are minimized.
- **Tanzania.** The coalition has completed an assessment of procurement practices (for pharmaceuticals) used in the Dodoma region. It is now exploring—with the Regional Commissioner and the Public Procurement and Regulatory Authority—quick, high-impact interventions to address some of the emerging issues.

To facilitate collaboration and knowledge exchange among these stakeholders, the WBG launched the Electronic Network for Procurement Practitioners (e-Nepp) platform; it has become a “safe space” to share challenges, innovative solutions, and resources to help move sensitive reforms forward. In October 2014, the OCP will launch a World Bank Study on *Accelerating Health Reforms through Collective Action: Experiences from East Africa*, which distills key lessons and insights from building and sustaining multi-stakeholder coalitions in the health sector.

B. Capacity Building

1. For Citizens/CSOs

137. **Building adequate citizen/CSO capacity to engage is important for CE to achieve results.** Capacity building for citizens/CSOs that is required for a successful program or project needs to be embedded in the operation. Capacity building for citizen/CSO engagement outside of and complementary to WBG-supported operations can be provided through complementary trust funds such as the GPSA, which provides capacity building to CSOs for third-party monitoring and other social accountability initiatives. In addition, the World Bank has launched preparations for a Massive Open Online Course to educate the public, including CSOs, about the benefits of engaging with governments and the private sector in development interventions. The course will be available in FY15. Additional regional training initiatives are planned (see Annex V).

2. For Governments

138. **Government willingness and capacity to engage with citizens and adequately respond to their feedback is at the heart of successful CE initiatives.** On the basis of an assessment of the government’s capacity for sustainable CE, capacity building for governments to respond to citizens in the context of WBG-supported operations needs to be included in the design of the particular program or project. Capacity building provided through World Bank-supported projects and programs can include training officials in the benefits of engaging with citizens in various sectors and settings and the mechanisms for doing so, including knowledge exchange with other governments that have successfully implemented CE initiatives; investment in complaint management and other systems; and/or additional staff, as government officials typically require time in addition to their existing duties to respond to citizens’ concerns.

139. **Capacity building for governments should include support for building effective national, local, or sectoral institutions for engagement,** such as supreme audit institutions, anticorruption agencies, or local government structures. This is particularly relevant in the context of operations supporting improved outcomes in public financial management, governance, or social inclusion. Capacity building for regulators is also relevant in the context of

infrastructure service delivery projects. For example, the Cambodia Demand for Good Governance Project built the capacity of government institutions by, among other things, providing technical assistance to (a) the Ministry of the National Assembly in law dissemination and complaints handling system under the Land Law; (b) the District Ombudsman Office on complaints handling and resolution; and (c) the Arbitration Council on establishing partnerships and stakeholder outreach and training. As a result, the Arbitration Council has handled nearly 1,000 cases with a 76 percent resolution rate, and the Government has established district ombudsman offices throughout the country.

3. For Staff

140. **In the short term, a number of corporate and regional staff training initiatives are planned to facilitate the rollout of this strategic framework.** The LCR region has already conducted staff training related to ICT-enabled CE; the MNA region is preparing a series of staff training to support mainstreaming initiatives for CE; and the ECA region has launched staff training. A number of existing training materials, such as the Social Accountability E-Guide, are available for this purpose.⁴² CE content will also be included in core operational training programs.

141. **During the rollout of this framework, it will be necessary to take a flexible approach to leveraging the limited staff resources available to support scaling up CE.** In this context, experienced staff across the institution can take the lead in internal training based on their day-to-day work experience in this area. In addition, the model of “engagement leaders” has proven useful: experienced staff coach and work with TTLs to integrate CE mechanisms and tools into their operations. In the medium term, the objective is to ensure that each Global Practice has access to in-house staff skills on CE related to its sector and area of engagement.

C. Knowledge Management

142. **A systematic approach to internal knowledge management is required to maximize learning and facilitate mainstreaming CE in WBG-supported operations.** To meet staff demand for access to experiences, guidance, and resources, the MNA and LCR regions have created a web space for regional task teams. In addition, the social accountability and demand for good governance website provides an overview of materials, including case studies, training materials, handbooks, reports, guidance and how-to notes, toolkits, and presentations.⁴³

143. **Going forward, to take into account the new World Bank organizational structure and to facilitate a coherent approach to institutional mainstreaming of CE, it is recommended that the Bank pool all available and planned resources in one cross-cutting CE knowledge platform.** Responsibility for administering the platform will need to be aligned with the implementation arrangements for mainstreaming CE (see Chapter VII.). A single manager for the knowledge platform is recommended to, among other things, identify case

⁴² Social Accountability E-Guide, <https://saeguide.worldbank.org/>. A stocktaking of other training resources across the WBG is planned.

⁴³ Social Accountability and Demand for Good Governance Database. <http://connect.worldbank.org/explore/SDV/DFGG/Lists/Demand%20for%20Good%20Governance%20DFGG%20Resources/allitems.aspx>

studies and experiences whose results-focused approach and achieved outcomes make them useful to share across the WBG.

VII. Implementation Arrangements

144. **In addition to the enabling factors outlined above, the successful mainstreaming of CE in WBG operations requires clear institutional responsibilities and ongoing work in partnerships.** This chapter lays out the planned approach to both.

A. Implementation Responsibilities

145. **Regions and Global Practices need to be involved to mainstream CE in WBG-supported operations.** The guiding principles for this collaboration include the operational principles identified in this framework—that is, results-focused, context-specific, focused on strengthening country systems, and engaging throughout the operational cycle (see Chapter II.D.) The regions will continue to play an important role in identifying country-specific entry points and demand for CE, and in anchoring CE activities in country programs where such activities can contribute to improved results. In this context, existing regional strategies and approaches for scaling CE can be built on (see Annex IV). The Global Practices will need to prepare and implement the technical operations and monitor progress on the corporate beneficiary feedback target in IPFs. Mapping, consolidating, and scaling up staff skills as well as fostering knowledge exchange among staff, clients, and CSOs are important elements in scaling up CE for improved results in WBG-supported operations.

146. **An implementation structure is being developed to mainstream CE in WBG-supported operations,** building on existing structures and institutional mandates, and including a light coordination mechanism across responsible units. The structure will leverage existing staff skills in the two GPs with substantial operational experience in CE—the Urban, Rural and Social Development GP and the Governance GP—and will involve practitioners from other GPs, regions, and relevant corporate units to facilitate institution-wide mainstreaming, knowledge-sharing, and learning. Efforts will continue to allow for information exchange and training of practitioners, including staff, governments, CSOs, and other partners, building on such efforts as the social accountability community of practice.

B. Working in Partnership with External Stakeholders

147. **During implementation of the framework, there will be opportunities to continue to partner with and seek inputs from external parties.** Building on the participatory approach to the development of this strategic framework, the collaboration with the external Advisory Council that has informed the preparation of this framework will continue during implementation. The Advisory Council, which meets at least every six months, comprises experienced technical experts from civil society, government, private sector, foundations, academia, and development partners with proven experience in achieving improved development outcomes through CE (see Annex VI). In addition, regular dialogue with external partners, including CSOs, will be sought during implementation. Furthermore, implementation experience can also be informed by lessons learned from the GPSA. As relevant, country-level dialogues

with local stakeholders on opportunities and obstacles in implementing CE for improved results as part of the World Bank’s country portfolio are also encouraged.

VIII. Conclusions and Next Steps

148. **When designed carefully, CE has the potential to contribute to improved development results at the country, program, and project levels.** The literature review and stocktaking conducted for this framework have confirmed that CE can contribute to improved intermediate and final development outcomes in the areas of service delivery, public financial management, governance, natural resource management, and social inclusion/empowerment. In some cases, CE has also been found to contribute to higher-level development goals, such as poverty reduction. In all cases, the results of CE were highly contextual, with outcomes being affected by demand- and supply-side factors, such as the capacity and willingness of governments and citizens to engage, as well as by political, economic, social, cultural, or geographic factors. Additional research is required to further unpack the causal chains underlying these contextual impacts. While the evidence points to certain recurring themes, such as the importance of government ownership of engagement processes or citizen capacity to engage, overall it highlights the fact that there is no “one-size-fits-all” approach for scaling up CE in development interventions.

149. **Successful mainstreaming of CE in WBG-supported operations requires several preconditions.** On the side of governments and citizens, they include the need for government ownership, adequate capacity and knowledge to engage, and access to necessary information. On the side of WBG staff, skills need to be scaled up to support CE across sectors and regions; a Bankwide knowledge platform and approaches to knowledge exchange need to be created; and adequate resources need to be provided to cover staff time for the preparation and supervision of CE activities in operations, while funding for their implementation needs to be included in the operation itself.

150. **Going forward, the following steps are required to mainstream CE in WBG-supported operations in the short term:**

- (a) **Systematically incorporating engagement mechanisms in IPF** to move toward the corporate target of including beneficiary feedback in 100 percent of projects with clearly identified beneficiaries. This includes (a) systematically including CE and associated results indicators in all new IPF operations, and (b) improving results reporting on CE indicators in existing operations, with a strategic focus on projects in the sectors that have the largest share of projects (transport, energy, water, agriculture, health, education) and projects that include consultations and GRMs related to safeguards. In addition, GP-specific targets for CE in IPF operations need to be finalized and monitored.
- (b) **Piloting CE activities in the rest of the portfolio**—including in advisory services and analytics (e.g., SCDs), IFC investment operations and public-private dialogues—and capturing knowledge from these pilots.

- (c) **Improving staff skills:** A mapping of staff skills in the urban, rural and social, governance, and other Global Practices needs to be completed. Subsequently, staff skills need to be upgraded to incorporate a basic understanding of the building blocks of a results-focused approach to CE (context analysis, stakeholder mapping, clarity of objective, and monitoring of results). Staff time required both for training and for supporting and training country and task teams in the rollout of CE activities in their portfolios needs to be adequately budgeted for. Creating a comprehensive knowledge platform for CE and facilitating structured knowledge exchange is required.

151. **Over the medium term, areas for potential further work include the following:**

- (a) **Exploring how budget support operations can scale up support for the creation or strengthening of country systems for sustainable CE** with governments and the private sector.
- (b) **Developing an approach to improved results monitoring of and reporting on CE activities across additional operational products and sectors.** To systematically monitor CE outcomes in WBG-supported operations other than IPFs where their inclusion can contribute to improved results, CE indicators need to be developed, included in results frameworks, and reported on where relevant—for example, in CPFs and DPLs. In addition, sector-specific CE approaches can be piloted.
- (c) **Taking stock, consolidating lessons learned, and identifying additional strategic initiatives in support of mainstreaming CE in WBG-supported operations,** such as sector-specific or programmatic approaches, where such engagement may be useful to help accelerate development outcomes.

152. **The long-term agenda for mainstreaming CE in WBG-supported operations could include the following:**

- (a) A long-term impact evaluation of WBG-supported operations with CE;
- (b) Taking stock of adaptive learning pilots and lessons learned; and
- (c) Ongoing longitudinal research on the impact of CE, the role of context factors, and so on.

153. **In mainstreaming CE, the WBG will continue to work with its partners.** At the global level, the External Advisory Council will continue to accompany the implementation of this framework for 24 months. Additional opportunities for exchanges with development partners and CSOs will be sought. At the country level, partnerships will be sought with governments, development partners, and CSOs to support sustainable engagement processes at the country, sector, and local levels.