

## Annex 1 - World Bank CE Focal Point Survey Questionnaire

### A. Your role as CE focal point

1. a. What percentage of your time do you devote to CESA?

- 80 to 100%
- 60 to 79%
- 40 to 59%
- 20 to 39%
- Less than 20%

b. Comments (optional):

2. a. Is this amount of time adequate to respond to needs?

- Entirely adequate
- Adequate
- Inadequate
- Entirely inadequate

b. Comments (optional):

3. If you had more time, what aspects of CESA would you commit time to?

4. How much annual budget, if any, do you have for CESA purposes?

- BB:
- Other (please specify):

5. a. How would you assess the availability of adequate in-country expertise on CESA within your portfolio?

- Very Strong
- Strong
- Moderate
- Limited

b. Comments (optional):

6. a. How would you assess the level of human resources dedicated to CESA in your region/sector?

- Entirely adequate
- Adequate
- Inadequate
- Entirely inadequate

b. Comments (optional):

7. a. How would you assess your personal level of expertise in CESA?

- Very Strong
- Strong
- Moderate
- Limited

b. Comments (optional):

8. a. How would you assess opportunities to keep up your skills and expertise in CESA?
- Entirely adequate
  - Adequate
  - Inadequate
  - Entirely inadequate
- b. Comments (optional):

## **B. WB support for CESA**

9. a. How would you assess the level of resources available for implementing CESA effectively?
- Entirely adequate
  - Adequate
  - Inadequate
  - Entirely inadequate
- b. Comments (optional):

10. a. How would you assess the current system of CESA monitoring and reporting?
- Very effective
  - Effective (could use some minor improvements)
  - Somewhat effective (could be significantly improved)
  - Ineffective (requires an overhaul)

b. In your view, how could CESA monitoring and reporting be made more effective? (optional):

11. What do you see as the WB's main strengths or key accomplishments regarding CESA? (What is the Bank doing right?)

12. In your view, what are the WB's current principal challenges, shortcomings, or limitations with regard to CESA? (What could the Bank be doing better?)

13. What are your recommendations for improvement? (What should the Bank do to enhance CESA?)

14. In your view, what should the Bank do to enhance *incentives* for high quality CESA?

## **C. Recommended examples of good practice**

15. For the stock-take, we're aiming to identify a range of examples of "thick" or deep CE or SA in different WB products and processes. We're particularly interested in examples of systems-oriented or country-systems focused CESA and mechanisms that give citizens/communities meaningful influence over decision-making. Please recommend up to three examples of good practice you would suggest we investigate in the following categories. Note that these can be operations/products you have first-hand experience with or that you've simply heard about.

- a. Examples of the effective/meaningful incorporation of CESA into strategic products (e.g., CPF)

- b. Examples of thick/meaningful/systems-oriented CESA in investment operations (i.e., IPFs, DPFs or PforRs)
- c. Examples of CESA-related ASA

16. We're also looking for examples of good practice in the following specific areas. If you have any recommendations regarding examples related to any of the following themes, please indicate those below. These may include the same examples as ones provided above where you can see overlap.

- a. CESA mechanisms at the country-level or portfolio-level
- b. Strengthening/leveraging CESA mechanisms in country institutions/systems
- c. Multi-donor CESA mechanisms
- d. CESA mechanisms that give citizens/communities/CSOs a formal oversight role
- e. "Downwards" accountability (i.e., Bank programs/projects that report to citizens/communities in a proactive manner)
- f. Stakeholder Engagement Plans that effectively incorporate/promote CESA
- g. Creative communication with citizens and/or specific social groups
- h. Effective use of digital technologies (e.g., to amplify citizen voice and/or scale up impact)
- i. Particularly effective/successful GRMs
- j. Innovative CESA financing
- k. Effective or innovative CESA capacity development
- l. Inclusive CESA (that explicitly takes into account gender, age, minority status, differing abilities, etc.)
- m. Innovative or participatory M&E of CESA initiatives and results
- n. Tools (e.g., roadmaps, indexes) used to monitor and assess the quality or results of CESA across the portfolio
- o. CESA in climate adaptation/mitigation
- p. CESA in fragile and conflict-affected situations

## Annex 2 - Case Studies of CESA in WB Operations

<b>Case Study 2.1: Kenya Devolution Support Project (P149129) and Government Financing Locally Led Climate Action Program (G-FLLoCA) (P173065) (2016 - 2026)</b>			
<b>Project/Product Type:</b> IPF & PfR	<b>Region:</b> AFR	<b>Country:</b> Kenya	<b>GP/Sector:</b> Sub-national Government, Social sustainability & inclusion
<b>Key Features:</b> These two projects consist of a decade long string of interconnected operations, policy dialogue, and associated technical assistance. Engagements include two hybrid (IPF+P4R) operations, where direct investment in capacity building for CESA was supported with P4R milestones.			
<b>Implementing Agencies:</b> Ministry of Devolution and ASAL for the <i>Devolution Support Project</i> , The National Treasury and Ministry of Planning for the <i>Financing Locally Led Climate Action Program</i>			
<b>PDO:</b>  <i>Kenya Devolution Support Project:</i> To strengthen the capacity of core national and county institutions to improve the delivery of devolved services at the county level. <i>G-FLLoCA Program:</i> To deliver locally led climate resilience actions and strengthen county and national government's capacity to manage climate risks			
<b>Summary Description</b>  In June 2020, the Government of Kenya launched the <i>G-FLLoCA Program</i> . It was based on the National Climate Change Action Plan and developed with support from the WB (through a P4R Instrument) and the Governments of Denmark and Sweden. This new program establishes the first national-scale model of devolved climate finance and supports the Government of Kenya to translate its ambitious climate agenda into scaled-up action on the ground. The program recognizes that locally led adaptation can be more effective than top-down interventions, as local communities are more aware of the context and what is needed to drive change. It applies principles of meaningful citizen engagement in climate decision-making and builds on the foundations and structures set up through Kenya's devolution efforts. Ninety percent of program funding from the <i>G-FLLoCA Program</i> will be spent at county and community levels to ensure that support for climate resilience reaches those most at risk, including women, youth, persons with disabilities, elders, and other traditionally marginalized groups. Delivering 100% climate co-benefits, the program supports partnerships between local governments and their citizens to assess climate risks and identify socially inclusive solutions tailored to local needs. Specifically, the project (and the climate action follow-on operation) empowers communities to identify an envelope of feasible activities at the county level. This is achieved through organizing and holding public meetings to discuss budgetary priorities and the development of priorities for counties.  The <i>G-FLLoCA Program</i> builds on the previous <b><i>Devolution Support Project</i></b> , a pilot program that introduced an integrated "citizen-centric" approach to devolved service delivery whereby the needs, priorities, and interests of citizens drive public service provision across the service delivery cycle. The team developed the evidence base and detailed guidelines (based on international experience) on how to engage citizens in decision-making related to development spending at the county and ward levels. <b>The <i>Devolution Support Project</i> introduced</b> a 10-step systematic process for engaging communities in the budgetary process. This included inviting proposals for activities at the county level, engaging citizens in feasibility studies of proposed subprojects, organizing and holding public meetings to discuss and vote on identified feasible priorities. The current <i>G-FLLoCA Program</i> is			

expected to utilize the same citizen engagement and participatory budgeting modalities. Similar to the **Devolution Support Project**, the *G-FLLoCA Program* will include performance-based financing for (i) improving resilience against climate and disaster risks by increasing the number of counties with laws, funding mechanisms, and capacity for climate resilience planning, (ii) implementing Integrated Climate Risk Management Action Plans, (iii) increasing the number of ward committees reporting increased resilience to climate and disaster risk, (iv) increasing the number of counties reporting on climate resilience activities, and, (v) holding intergovernmental committee coordination meetings.

### **Good Practices**

Both the *Devolution Support Project* and the *G-FLLoCA Program* showcase three main elements of CESA:

- Information Disclosure through the introduction of clear financial reporting and citizen access to timely accurate information on budgets, government programs, and results.
- Social/ community accountability in pilot districts through Independent Commissions to oversee the implementation of constitutional provisions and citizen complaints.
- A participatory approach to collaborative decision-making through public consultation in budget and policy formulation and social service delivery priority setting.

### **Results and Success Factors**

#### *Results*

- The *Devolution Support Project* has been successful in improving the timeliness and quality of county-level audits.
- Due to project activities, county capacity in the National Capacity Building Framework (NCBF) for devolution is assessed annually (by an independent firm) & is linked to funding through a performance-based grant system.
- Improved national government-executed capacity support to counties in PFM, HR, planning and M&E, and civic education is in place.
- An increased number of counties have basic fiduciary, procurement, environmental and social management, grievance redress systems, and staff in place.

#### *Success factors*

- A clear continuum of early-on policy dialogue and technical assistance, resulting in a hybrid operation with additional technical assistance and direct investments to support county capacity to engage citizens, as well as performance-based payments (DLIs) are some of the key factors that contributed to achieving the intended results.
- Hybrid financing by the Bank, gave the implementing partner (the Ministry) additional resources to increase the capacity of counties to implement participatory budgeting.
- The project built on a previous operation (including a system whereby citizens engaged with local governments on prioritizing public capital expenditures) to advance an emerging priority related to climate change.

### **Challenges**

- A lot of capacity building and hand holding from WB staff and consultants was required to support the new PforR instrument and the introduction of CESA innovations.

<ul style="list-style-type: none"> <li>• The project has at times led to raised expectations among citizens that could not subsequently be met via project activities.</li> <li>• There are open questions on whether the voting process for the selection of projects is fair or subject to manipulation by people with hidden agendas, such as contractors.</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>• According to the task team, implementing CE mechanisms is costly and there were instances when the cost was considered to outweigh the actual improvement in quality of investments that could be attributed to citizen engagement.</li> <li>• The follow-up operation showed that once systems are set up, they can be used across sectors, topics, and emerging national priorities.</li> <li>• Social accountability in the implementation/execution of projects at the local level can be used across sectors.</li> <li>• Piloting programs is the best approach for proof of concept even if a specific CE approach has already been tested in similar country contexts.</li> </ul>
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<p><b>More Information:</b></p> <ul style="list-style-type: none"> <li>• Project - Financing Locally-Led Climate Action Program: <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P173065">https://projects.worldbank.org/en/projects-operations/project-detail/P173065</a></li> <li>• World Bank Blogs – “Kenya moves to locally led climate action”: <a href="https://blogs.worldbank.org/nasikiliza/kenya-moves-locally-led-climate-action">https://blogs.worldbank.org/nasikiliza/kenya-moves-locally-led-climate-action</a></li> <li>• World Bank Live – “Locally Led Climate Action in Kenya”: <a href="https://live.worldbank.org/cop26-locally-led-climate-action-kenya#speaker">https://live.worldbank.org/cop26-locally-led-climate-action-kenya#speaker</a></li> </ul>

<b>Case Study 2.2: Country Partnership Framework for Malawi (FY21-FY25)</b>			
<b>Project/Product Type:</b> Country Partnership Framework	<b>Region:</b> AFR	<b>Country:</b> Malawi	<b>GP/Sector:</b> N/A
<b>Key Features:</b> The ambitious Citizen Engagement Roadmap included in the Country Partnership Framework (CPF) is backed by multiple World Bank Operations and ASAs for its implementation on the ground.			
<b>Summary Description</b>			
<p>The Malawi Country Partnership Framework (FY21-25) is guided by a Citizen Engagement (CE) Roadmap targeted at integrating demand-side interventions into the design and implementation of the WB country program. The roadmap is an action plan that aims to leverage CE well beyond its traditional project-level impacts. Proposed interventions under the roadmap will take place at three levels: (1) <b>Macro Level:</b> Strengthening the enabling environment for public accountability by increasing transparency, publicity, and pathways for broader public interests to engage in policymaking and implementation. This can include structural reforms promoted through instruments such as the potential programmatic DPO, the facilitation of spaces for citizens to convene and</p>			

deliberate on high-priority development issues, and the WBG’s systematic, substantive engagement with civil society partners. (2) **Sector and Systems Level:** Focusing on how CE innovations can be taken to scale and institutionalized within government systems, while also encouraging the use of technology to amplify citizen’s voices and strengthen citizen-state feedback loops. This can include support to the media and civil society to make information more accessible and actionable, innovations with CivicTech tools, and the strengthening of government systems to institutionalize incentives for responsiveness to citizens. (3) **Portfolio Level:** Encouraging CE synergies and economies of scale across the WBG’s Malawi portfolio to strengthen safeguards compliance and monitoring while supporting mechanisms that go beyond enabling individual feedback to bolster collective action. This could include the exploration of an umbrella grievance redress mechanism across clusters of WBG projects, the launch of a portfolio-wide approach to citizen satisfaction surveys, and the provision of a standardized package of CE support to projects at the design stage.

### Good Practices

- The CE roadmap included in the Malawi CPF introduced a politically informed approach to thinking about CE- a clear shift from the more traditional projectized approach to CE. It is not a program but an action plan that promotes a deeper approach to CE and identifies new entry points for collective action.
- The CPF was developed after extensive consultations with a broad range of stakeholders including the government, civil society organizations, and development partners.
- The CPF’s objectives are congruent with the country’s context of recent amplification of citizen voice and collective responsibility. It is aligned with the aspiration of Malawian citizens who were successful in amplifying citizen voice by combining pressure on the ruling party, with selective collaboration with other contesting elite coalitions (opposition, judiciary, military).
- Importantly, numerous action items mentioned in the Malawi CE roadmap are already being planned or implemented in the context of active or pipeline projects. For example, the “CE and Civil Society Partnerships” subcomponent of the *Governance to Enable Service Delivery* (P164961) project helped set up CE committees at the district level to promote deliberative dialogue and accountability between citizens and local government<sup>1</sup>. The *Malawi Citizen Engagement for Anti-Corruption* (P178289) ASA supported TA for the implementation of the Access to Information Law and public participation in the external audit process.

### Results and Success Factors

- Among other things, the CPF intends to achieve the following specific CESA results: (i) publish a comprehensive Citizens’ Budget each year; (ii) support the operationalization of the Access to Information Act, and (iii) improve citizen engagement on Local Authority Annual Investment Plans.
- This CPF builds on the momentum of citizen-driven political change experienced over the past couple of years in Malawi, and the public’s continued demand for increased transparency, more accountable service delivery, and reduced corruption.
- The collective frustration of Malawian citizens - driven by power asymmetries, exclusion, capture, and clientelism - led to collective action that gave citizens a ‘seat at the table’.
- Lessons learned from the previous Country Assistance Strategy (CAS) for FY13-17 highlighted the importance of CE to the WB’s strategy in Malawi -- but highlighted that the ‘traditional’ projectized approach to the topic was largely disconnected from Malawi’s recent lessons of the

<sup>1</sup> The Second *Governance to Enable Service Delivery Project* (P180295) is in the pipeline.

centrality of collective action and contestation to drive change. Therefore, the current CE Roadmap builds on existing program and sector engagements, promotes economies of scale and iterative learning across the portfolio, and prioritizes a focus on increasing contestability for high-priority policy areas.

### Challenges

- Malawi has seen a variety of CESA initiatives supported by a range of donors, but most of these have focused on "consultations", versus citizens having a say in decision-making or oversight, and impact has been limited. Therefore, the CE Roadmap incorporated objectives such as identifying new and innovative entry points for collective action and contestation in the context of Malawi's evolving social contract.
- The implementation process will grapple with the challenging political economy dynamics of Malawi and how, in practice, the WBG can address the inherent tension between growing corruption scandals and resource needs backed by quick disbursements.

### Lessons

- IEG's 2021 Completion and Learning Review (CLR) for Malawi's CAS (FY13-FY17) found that "mainstreaming governance for enhanced development effectiveness" was the poorest-performing theme, with both the outcome of improved public sector management and the outcome of strengthened social accountability being only partially achieved. This CPF incorporates several lessons from that review.
- First, understanding the political economy is critical if social accountability reforms are to be achieved that go beyond form and deliver functional gains. Under this CPF, the country team will commission several ASAs towards this end.
- Achieving results will also require the application of performance-based financing and strengthening CESA mechanisms within WBG instruments. To this end, the CPF emphasizes multisector and programmatic approaches as essential to address targeted governance challenges over the long term.
- Finally, the CPF aims to respond to the imperative for transformative impact beyond the life of individual projects by bringing in systemic changes such as transparency in local government finances and strengthening collaboration between local government and civil society for stronger social accountability at the grassroots level.

**Budget/Source of Financing** BB Funding

### Contact Person

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### More Information:

- FY21-FY25 Country Partnership Framework for Republic of Malawi:  
<https://documents1.worldbank.org/curated/en/573101618580009934/pdf/Malawi-Country-Partnership-Framework-for-the-Period-FY21-FY25.pdf>
- IEG CLR Review – Malawi FY13-FY17:  
[https://ieg.worldbankgroup.org/sites/default/files/Data/reports/clrr\\_malawify1317.pdf](https://ieg.worldbankgroup.org/sites/default/files/Data/reports/clrr_malawify1317.pdf)



<b>Case Study 2.3: Nigeria Agro-Climatic Resilience in Semi-Arid Landscapes (ACReSAL) Project (P175237) (2021 – 2028)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> AFR	<b>Country:</b> Nigeria	<b>GP/Sector:</b> Environment, Natural Resources & the Blue Economy
<b>Key Features:</b> <i>This project is notable for its application of multiple CESA measures and its focus on social cohesion and peacebuilding. It is also a good example of institution building for social accountability through support for “local project implementation committees” and community priority setting.</i>			
<b>Implementing Agency:</b> Federal Ministry of Environment, Govt. of Nigeria			
<b>PDO:</b> To increase the implementation of sustainable landscape management practices in targeted watersheds in northern Nigeria and strengthen Nigeria’s long-term enabling environment for integrated climate-resilient landscape management.			
<p><b>Summary Description</b></p> <p>The World Bank together with the Government of Nigeria launched the <b>ACReSAL Project</b> with the objective to increase the adoption of climate resilient landscape management practices in targeted arid/semi-arid watersheds in central-north Nigeria. Citizen engagement and social accountability are at the core of this project design. The project will finance participatory management planning to restore degraded landscapes and protect environmental services and critical water supplies. Support will be provided to strengthen existing community groups and, where necessary, establish new community groups to facilitate the participatory planning process. Key areas of focus for participatory planning include the design, implementation, and monitoring of watershed management plans; community infrastructure; and income generation activities. Special measures will be in place to ensure the participation of vulnerable groups, including women and persons with disabilities in planning processes. The project’s CESA interventions will include consultations and focus group discussions, and the establishment of a Grievance Redressal Mechanism (GRM) to ensure clarifications about the project are responded to, problems with implementation are resolved, and complaints and grievances are addressed efficiently and effectively. A citizen satisfaction survey will be conducted to obtain a quantitative assessment of the project’s CESA approach. Beneficiary feedback will be monitored through two indicators in the Result Framework: (a) the number of integrated micro-watershed management plans completed with community participants, and (b) grievances responded to and resolved within the stipulated service standards for response times.</p>			
<p><b>Good Practices</b></p> <ul style="list-style-type: none"> <li>• The majority of project funding is devoted to the formation of CESA mechanisms. At community level, emphasis will be given to transparency and local-level accountability. This will be done for example, by equipping communities with GPS-enabled digital cameras to photograph the physical progress of civil works so they can submit them to a Google Map maintained by the third-party M&amp;E entity and accessible to stakeholders.</li> <li>• During project implementation, issues that arise which cannot be dealt with at the community level will be addressed by the project’s GRM system.</li> </ul>			
<p><b>Results and Success Factors</b></p> <p>The project is only in the first year of implementation. Some progress has been made towards building local implementation committees, engaging with stakeholders, and assessing needs to</p>			

identify measures of social cohesion, gender inclusion, etc. The following enabling conditions have led to the successful positioning of CESA at the center of the design of this project:

- Strong access to information laws in Nigeria created an enabling environment for CESA under this project.
- The World Bank has had a long-term engagement in Nigeria focused on enhanced citizen participation which has resulted in substantial citizen participation in the budget process, citizen feedback being published online, etc.
- Nigeria’s membership in the Open Government Partnership also acted as an impetus for advancing citizen participation even at the sub-national level.

### **Challenges**

- Since community-based organizations are important stakeholders in the project, sensitizing and involving them will require significant effort. The project’s Stakeholder Engagement Plan has a specific section on “Community Entry” where specific steps will be carried out to initiate, establish and nurture a relationship with communities with the purpose of securing and sustaining the community’s interest, gaining support from community leaders, and ensuring the establishment of good working relationships and the sustainability of the project.
- Community outreach plans include: visits to traditional/religious leaders to explain the project and its objectives; establishing a communication line of feedback with the community through local NGOs; and, using culturally and linguistically-sensitive IEC materials including banners, signposts, and flyers to create awareness and sensitization of the project in the communities.

### **Lessons**

- Since the project has a wide range of stakeholders (such as community-based organizations, traditional leaders/faith-based leaders, host communities, crop farmers, livestock farmers, herders, farmers association, women farmer groups, water users association, community associations, and interest groups), it is essential to undertake stakeholder outreach through multiple channels such as religious meetings, village meetings, interactions with traditional leaders, face to face meetings and workshops, advocacy and sensitization through the use of IEC materials including banners, signposts, and flyers, etc.

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### **Sources of information:**

- IAD Project Appraisal Document - ACREsAL:  
<https://documents1.worldbank.org/curated/en/651961639671634678/pdf/Nigeria-Agro-Climatic-Resilience-in-Semi-Arid-Landscapes-ACReSAL-Project.pdf>
- Federal Ministry of the Environment (Nigeria) – ACREsAL Stakeholder Engagement Plan:  
<https://ead.gov.ng/wp-content/uploads/2021/10/SEP.pdf>
- The Guardian Nigeria – “Kano commits to ACREsAL project”:  
<https://guardian.ng/property/kano-commits-to-acresal-project/>

- World Bank – “New Project to Build a Climate-Resilient Landscape in Nigeria”:  
<https://www.worldbank.org/en/news/press-release/2021/12/15/new-project-to-build-a-climate-resilient-landscape-in-nigeria>
- IDA Restructuring Paper on a Proposed Program Restructuring of the States Fiscal Transparency, Accountability and Sustainability PforR:  
<https://documents1.worldbank.org/curated/en/099051923025071287/pdf/P1620090cc0d7004e087cc03f040e7414bf.pdf>

<b>Case Study 2.4: West Africa Coastal Areas (WACA) Resilience Investment Project (ResIP) 2 (P175525) (2022- 2028)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> AFR	<b>Countries:</b> Gambia, Ghana, Guinea-Bissau	<b>GP/Sector:</b> Environment, Natural Resources, and the Blue Economy
<b>Key Features:</b> The project seeks to "vertically integrate" citizen/CSO voice and decision-making influence from the local to national and sub-regional level around sustainable blue practices.			
<b>Implementing Agencies:</b> Institute for Biodiversity and Areas (IBAP) - Guinea-Bissau, Ministry of Agriculture - The Gambia, Ministry of Environment, Science, Technology & Innovation (MESTI) - Ghana, Ministry of Environment, Climate Change and Natural Resources (MECCNAR) - The Gambia			
<b>PDO:</b> To strengthen the resilience of targeted communities and areas in coastal Western Africa.			
<b>Summary Description</b>			
<p>In collaboration with the Regional Partnership for Coastal and Marine Conservation (PRCM), the WACA Resilience Investment Project (ResIP) 2 plans to expand the Local Action and Citizen Engagement (LACE) initiative launched by ResIP 1. The expected deliverables under this CE initiative are (i) practice notes on sustainable blue livelihoods, with a focus on gender and citizen engagement; (ii) design and delivery of CE training in pilot communities; and (iii) a model design for country-level civil society organization (CSO) platforms. The intention is to ensure project interventions are consistent with the adaptation goals of communities as well as feed into longer-term objectives of strengthening citizen voice in decision-making and strengthening linkages between local and national-level policy goals around sustainable blue practices. National-level CSO platforms, and where applicable, sub-national level groups (for example, non-government organizations, community-based organizations, traditional authority, research institutions, and district assemblies) will be represented in the national steering and technical committees of ResIP 2. Across all three countries, the project will support community-driven development approaches to social subprojects to systematize the approach to community control over planning decisions in natural resources management.</p>			
<b>Good Practices</b>			
<ul style="list-style-type: none"> <li>• Specifically in Ghana, WACA ResIP 2 will pilot the establishment of a 3-tier CSO engagement plan - comprised of the Civil Society Platform on Oil and Gas, Ghana EITI and the Public Interest Accountability Committee at the national level; various platforms at the regional/subnational level; and the Community Resource Management Area model at the local level. The plan is to replicate this three-tier engagement model across all three countries.</li> <li>• The project is also planning to set up a CSO Platform Secretariat to provide implementation support for the project's CESA agenda.</li> </ul>			
<b>Results and Success Factors</b>			

<ul style="list-style-type: none"> <li>• Project implementation was just started but a factor that contributed to success during the design phase is the improved understanding, trust, and cooperation between the WB and the CSO community that was developed due to the prolonged dialogue that started during ResIP 1 and led to the complementary value proposition brought via ResIP 2.</li> <li>• The fact that sustainable blue livelihoods are a priority across all three participating countries has also contributed to the success of the initiative.</li> </ul>
<p><b>Challenges</b></p> <ul style="list-style-type: none"> <li>• This is a complex regional project with multiple countries involved. This makes the coordination for project implementation challenging.</li> <li>• A lot of capacity building and handholding from WB staff and consultants was required to support the new PforR instrument and the introduction of CESA innovations.</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>• It is helpful to leverage the ESF stakeholder engagement plan to implement CESA activities. The institutional backing for the stakeholder engagement plan helps in mainstreaming CESA-related activities.</li> </ul>
<p><b>Budget/Source of Financing:</b> BB and Trust Funds</p>
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<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>• West Africa Coastal Areas Management Program: Dialogue &amp; Engagement: <a href="https://www.wacaprogram.org/dialogue-engagement">https://www.wacaprogram.org/dialogue-engagement</a></li> <li>• IDA Project Paper on Proposed Additional Credits for the West Africa Coastal Areas Resilience Investment Project: <a href="https://documents1.worldbank.org/curated/en/367011624327396860/pdf/Benin-and-Togo-West-Africa-Coastal-Areas-Resilience-Investment-Project-Additional-Financing.pdf">https://documents1.worldbank.org/curated/en/367011624327396860/pdf/Benin-and-Togo-West-Africa-Coastal-Areas-Resilience-Investment-Project-Additional-Financing.pdf</a></li> <li>• Government of Ghana, Ministry of Environment Science, Technology, and Innovation – West Africa Coastal Areas Resilience Investment Project II Stakeholder Engagement Plan: <a href="https://mesti.gov.gh/wp-content/uploads/2022/10/Stakeholder-Engagement-Plan.pdf">https://mesti.gov.gh/wp-content/uploads/2022/10/Stakeholder-Engagement-Plan.pdf</a> (Section 2.5)</li> </ul>

<p><b>Case Study 2.5: Voice and Action: Social Accountability for Improved Service Delivery</b> (P146160) closed in 2019. Currently implemented under <b>Integration of Social Accountability into National and Subnational Systems Project</b> (P173527, and Phase II - P178921) by the National Committee for Sub-National Democratic Development Secretariat (supply side) and <b>Engaging Citizens to Improve Service Delivery Through Social Accountability</b> (P172630 and Additional Financing P178920) by civil society organisations (demand side)</p>			
Project/Product Type: IPF	Region: EAP	Country: Cambodia	GP/Sector: Sub-national Government, Primary Health, and Education
<p><b>Key Features:</b> The ISAF program represents a unique example of an institutionalised nation-wide social accountability framework across multiple essential public services.</p>			

**PDO:** To support the improvement of service delivery in schools, health centers and communes, for rural households in selected districts.

**Summary Description**

Through the well elaborated process of the Implementation of Social Accountability Framework (ISAF) local citizens are empowered to hold service providers directly accountable for the quality of their work. Sharing information on standards for service delivery and the use of public funds, engaging service users and providers in a participatory evaluation process and agreeing a collective action plan for improvements all contribute to improved service delivery and the promotion of good governance.

**Good Practices**

- The project was designed in support of the National Program for Sub-National Democratic Development (SNDD) 2010–2019 that aimed to establish a vibrant, democratically-elected and locally accountable sub-national governance system, supported by local budgets to empower local government councils and effective citizen engagement in local decision-making. Since 2015, ISAF has implemented social accountability activities in 75% of Cambodia’s provinces, 62% of districts and 56% of communes. This joint government-civil society initiative has supported the engagement of local government and service providers with communities in the ISAF process (an annual cycle that involves access to information about performance against established service standards, open budgets, citizen monitoring and collective action-planning) to improve the responsiveness and performance of services provided by commune councils, primary schools and primary health centers to rural families in Cambodia.
- A core element of the ISAF process is an extensive network of community members (in total 2,700 CAFS trained were recruited, of which some 2,124 remained active as of end May 2023), mostly young people, who are trained as Community Accountability Facilitators (CAFs). These community volunteers facilitate each stage of the ISAF process - from educating community members about service standards, to implementing the Community Scorecard process, facilitating dialogue between citizens and their local services providers on the quality of services and guiding the development of collectively agreed action plans - Joint Accountability Action Plans (JAAP) - for service improvements. JAAP committees are formed in every commune to support and monitor the JAAP implementation. The ongoing operations are working to align the development of the JAAPs with the development of the Commune Investment Programmes, to ensure that the collectively agreed actions are funded from budgetary funds.

**Results and Success Factors**

*Results*

- Increasing share of actions included in JAAPs are implemented annually. An increasing number of JAAPs are integrated into Commune Investment Programmes, funded from the public budget.
- Program implementers have registered improvements in the performance of local service providers and the quality of public services.
- Citizens has improved knowledge of their rights, the standards that local service providers are supposed to meet and on financial information related to local budgets that strengthen their

ability to influence local planning and budgeting processes. Citizens have also improved confidence that their voice and actions can have an impact on public service quality.

- Authorities at all levels have begun to allocate budget to financially support the implementation of the demand side of the ISAF process on an ongoing basis.

#### *Success factors*

- CAFs are trained to implement the ISAF process with the highest quality standards.
- Clear labour division between different partners working on different components but in a coordinated manner. Coordination between government actors (who were responsible for collecting and disseminating performance data) and a large coalition of local and international CSOs was key to ensuring the successful implementation and scaling of the program.
- Ensuring national commitment to SA was key. ISAF was preceded by CESA awareness-raising and capacity building (for both state and non-state actors) as well as the formation of a Partnership Steering Committee composed of government actors (line ministries) and civil society organizations with development partners observers, guided by a collectively agreed set of SA principles.
- Processes and systems have been created to institutionalise the ISAF system and ensure that social accountability practices are sustained in the long-term.

#### **Challenges**

- Recruitment and training of CAFs is an important but time-consuming process.
- Given the scale of ISAF implementation, mobilizing staff at the district level to collect and compile data involved a significant effort.
- ISAF involves a massive awareness raising campaign and social mapping for securing inclusion. Initially, the challenge was to make sure that people who attend are representative of the target communities selected through the social mapping process.
- Expanding ISAF to the remaining provinces of the country and other sectors (beyond school education, health, water and sanitation) is a challenge that still lies ahead.

#### **Lessons**

- There are limits to services improvements that can be achieved at the local level, when services targeted by the local SA process are centralised (like health and education). While financing for public services comes from the central level, only low-cost improvements can be made at the local level with the resources available, while higher cost improvements (e.g. building new facilities, hiring more staff, or purchasing expensive equipment) are dependent on the central level.
- Innovation and learning are important for improving and adopting the ISAF process to different public services and levels of administration.
- Training community members to facilitate SA activities themselves takes time but brings significant added value and contributes to the sustainability of the process. Achieving an ambitious, country-wide program like ISAF was the result of quite a long period of awareness-raising, capacity development and relationship-building.

#### **Budget/Source of Financing**

As a complement to government, “supply side” ISAF activities such as the public display of service provider budgets and expenditures, from 2015 to 2019, the World Bank channelled financing from

the Japan Social Development Fund (*Social Accountability for Improved Service Delivery* grant) to two NGOs (Save the Children and World Vision International) to implement “demand side” ISAF activities. Since then, the World Bank has approved two complementary projects to support implementation of ISAF Phase II - *Integration of Social Accountability into National and Sub-national Systems* (supply side) and *Engaging Citizens to Improve Service Delivery Through Social Accountability* (demand side), both of which have recently been extended through December 30, 2025. One project is implemented by government and the other by an NGO. The two projects are viewed as two parts of a whole, financed separately so that the implementing agencies on each side can act freely to balance each other out, and to collaborate and partner on their own terms. All operations in support of ISAF are Recipient Executed Trust Fund grants. Two projects (P172630 and P173527) are financed by the Social Accountability and Service Delivery Multi Donor Trust Fund (with financing from Switzerland Germany), while the phase II/additional financing (P178920 and P178921) are financed by the PROMISE Trust Fund provided by DFAT Australia.

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**More Information**

- The World Bank – Engaging Citizens to Improve Service Delivery Through Social Accountability and Integration of Social Accountability into National and Subnational Systems Projects: <https://documents1.worldbank.org/curated/en/674931605623888370/pdf/Engaging-Citizens-to-Improve-Service-Delivery-Through-Social-Accountability-and-Integration-of-Social-Accountability-into-National-and-Subnational-Systems-Projects.pdf>
- IDA Project Appraisal Document – Engaging Citizens to Improve Service Delivery Through Social Accountability: <https://documents1.worldbank.org/curated/en/589541617300413711/pdf/Cambodia-Engaging-Citizens-to-Improve-Service-Delivery-through-Social-Accountability-Project.pdf>
- ISAF Phase II – Engaging Citizens to Improve Service Delivery Through Social Accountability (Fact Sheet): <https://www.wvi.org/sites/default/files/2023-03/Final-ISAF%20factsheet2023-Eng-min.pdf>
- Feature Story – Cambodia’s Social Accountability Framework Helps Improve Basic Public Services in Rural Areas: <https://www.worldbank.org/en/news/feature/2018/04/14/cambodias-social-accountability-framework-helps-improve-basic-public-services-in-rural-areas>
- Voice and Action: Social Accountability for Improved Service Delivery: <https://projects.worldbank.org/en/projects-operations/project-detail/P146160?lang=en>
- ADB Technical Assistance Consultant’s Report – Cambodia: Process Review Implementation of Social Accountability Framework (I-SAF): <https://www.adb.org/sites/default/files/project-documents/47213/47213-001-tacr-en.pdf>

**Case Study 2.6: Improving Teacher Performance and Accountability - KIAT Guru (P167216)** closed in 2020.

<b>Project/Product Type:</b> IPF	<b>Region:</b> EAP	<b>Country:</b> Indonesia	<b>GP/Sector:</b> Education, Public administration
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**Key Features:** The project provides an example of an innovative approach to monitoring the quality of education through a combination of social accountability tools, ICT instruments and objective assessment of children's knowledge.

**PDO:** To improve teacher presence and service performance in pilot schools.

### Summary Description

The KIAT Guru Project works on reducing teachers' absence rate through community empowerment and pay-for-performance mechanism. Based on periodic citizen-led monitoring of school education (through independent assessment of children's knowledge and a Scorecard tool), citizens understand the status of education quality in their area and are further empowered to act through Users Committees to collectively bring positive change to learning. Results of participatory monitoring were linked to the former performance assessment of teachers by the district authorities. It's a citizen-led assessment of school education inspired by the movement pioneered by Pratham's Annual Status of Education in India.

### Good Practices

- Teacher absenteeism is twice higher in remote areas than national average, and controlling teacher attendance in these areas is very challenging due to geographic, operational and financial conditions. The project supports the government of Indonesia to improve education service delivery to remote villages by empowering citizens in remote areas to hold teachers accountable.
- The project was piloted in three districts (Kaimana, Keeromi and Ketapang), where three innovative elements were introduced:
  - *Teachers mobile phone-based attendance monitoring.* This is being done using a simple mobile phone application in which teachers daily are supposed to make short video of them "checking-in" and "checking-out" of the school.
  - *Periodic students' learning mapping assessment.* Through easy to understand, visual representation of results, stakeholders can appreciate the reading and mathematics achievements of primary school students, as compared to national curriculum targets for their grades. The assessment addresses the information asymmetry on learning quality between parents, teachers, and school administration, resulting in concrete actions to improve the learning environment in schools and at home. Although teachers are not involved in the test administration, they disseminate the test results in village-wide meetings. Results are used by citizens and schools to develop a joint agreement, which includes three linked indicators that principals, teachers, and parents commit to. These indicators include improving teacher's presence, in-classroom and at home learning activities, and remedial learning assistance. With these indicators, teachers and parents can monitor their performance monthly. At the end of each semester, the assessment is re-administered to measure progress and inform the revision of the joint agreement for the following semester.
  - *Participatory community monitoring.* A key element of this monitoring is a Scorecard process that involves students, parents and teachers, and is facilitated by trained sub-district facilitators and village cadres. Scorecard results are discussed between the school management and specially established User Committees, where local government, religious leaders and community activists are also represented. Jointly, they develop Service



Agreements that are the basis for further school services improvement, monitored by the Committee.

### **Results and Success Factors**

#### *Results*

- Already after one year of the KIAT Guru program, teacher and parent meetings on learning outcomes increased from 1.8 times to 3 times a year; student learning outcomes improved from a baseline of 37 to 49 in math (12% increase), and from 37 to 50 in language (13% increase); and teachers became more mindful and disciplined.
- Some schools in Keeromi district, previously closed due to their non-functionality resulting from teacher absenteeism, reopened.
- Parents became more interested in school education processes and outcomes.
- During COVID-19 the government asked for project support in using the tested SA instruments to identify underperforming schools to benefit from a special support fund.

#### *Success factors*

- Community readiness and capacity, on one hand, combined with the willingness of targeted districts to introduce SA and make data available, on the other hand.
- Combination of education outcomes assessment, SA tools allowing for a qualitative assessment of community perceptions of school performance and a mobile phone application for objective teacher attendance monitoring.
- Availability of local public funds to support the functioning of User Committees and school improvement initiatives identified by the Committees.
- Willingness of the national government to apply special policies in targeted districts to test the innovative SA approach.

### **Challenges**

- Changes in the Ministry of Education in 2020 brought new people and a new policy agenda, under which a commitment to roll out the tested model beyond the pilot districts has not yet been confirmed. Without top-down policy support the model is difficult to sustain.
- The idea of applying sanctions to under-performing schools and teachers was unpopular and did not gain government buy-in.

### **Lessons**

- High-level political commitment and links of the vertical accountability system (monitoring system to teacher formal performance assessment and incentives) was essential for social accountability initiatives to work and have an impact.
- Availability of credible qualitative and quantitative information on children's actual educational outcomes (level of students' knowledge and skills defined through an objective assessment) is a powerful means for enabling community members to take collective action with other stakeholders to support learning and for encouraging parents to take greater responsibility for children's education ("anchor for conversation").

### **Budget/Source of Financing**

Capacity building of User Committee and the assessments were funded from the World Bank project budget, while the functioning of the User Committees and school improvements were funded from local resources.

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**More Information**

- World Bank Blogs - Using technology to assess and improve student learning outcomes in Indonesia's remote areas: <https://blogs.worldbank.org/eastasiapacific/using-technology-assess-and-improve-student-learning-outcomes-indonesias-remote>
- Indonesia: Improving Teacher Performance and Accountability (KIAT Guru) Phase 2: <https://projects.worldbank.org/en/projects-operations/project-detail/P167216>
- World Bank Blogs – Empowering Frontlines, Leveraging Technology: Basic Service Delivery in 21<sup>st</sup> century Indonesia: <https://blogs.worldbank.org/eastasiapacific/empowering-frontlines-leveraging-technology-basic-service-delivery-21st-century>

**Case Study 2.7: Philippines Rural Development Project (P132317) (2014 – 2025)**

<b>Project/Product Type:</b> CDD	<b>Region:</b> EAP	<b>Country:</b> Philippines	<b>Major sectors:</b> Agriculture, Fishing, Forestry, Transportation, Industry, Trade and Services <b>Themes:</b> Environment and Natural Resource Management, Urban and Rural Development, and Private Sector Development
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**Key Features:** This is a strong example of fully mainstreamed CESA in a CDD project.

**PDO:** To increase rural incomes and enhance farm and fishery productivity in the targeted areas.

**Summary Description**

Very structured and systemic involvement of beneficiaries in local level infrastructure and livelihoods sub-projects at every stage of the process – including priorities setting, planning, design, procurement, implementation monitoring, operation, and maintenance. Exemplary practice is well elaborated in the Operational Manual and institutionalized by the implementor, the Department of Agriculture.

**Good Practices**

Engagement of primary stakeholders is mainstreamed throughout the project implementation process:

- The Provincial Commodity Investment Plans (PCIP) prepared by the provincial local government units integrate, on the one hand, technical inputs resulting from vulnerability assessments, resilience assessments and value chain analysis and, on the other hand, primary stakeholder views on priorities for infrastructure and enterprise investment projects. Moreover, when feasibility studies are conducted, community members participate in the field works (e.g., community members' knowledge of gravity flow of water during the inspection of waterways for irrigation would be considered in technical project design).
- Each sub-project is based on a Memorandum of Agreement (MOA) and an Implementation Management Agreement (IMA) between the project and the local authorities which outlines clear requirements on community participation. This also includes an open procurement process which communities are invited to participate in and observe (including the pre-bid conference and the opening of bids). This ensures that communities are aware of what is tendered on their territories and provides community members with the information they

need (i.e., details of the technical specifications) to monitor the work of sub-project contractors.

- During implementation, Citizen Monitoring Teams (CMT) are invited to participate in governmental and experts' monitoring activities.
- Further, during construction, the CMT ensures that at least 50% of unskilled labor and at least 30% of skilled labor comes from the communities, to increase local income and livelihood opportunities.
- During sub-project operation and maintenance (O&M), community participation is equally important. In enterprise sub-projects, community members are engaged along the entire value chain. Each infrastructure sub-project is accompanied by an O&M plan that clearly defines community involvement entry points (e.g., small repair works) and oversight roles (e.g., monitoring that overloaded vehicles do not use the upgraded local roads), as well as provisions for local ownership and management (e.g., community-based irrigators' associations (water users' associations) and farmers'/fisherfolk's associations are largely responsible for the O&M of local systems).

### **Results and Success Factors**

#### *Results*

- All PCIPs fully reflect community priorities.
- High level of citizen engagement in and ownership of sub-projects.

#### *Success factors*

- Capable and experienced country team and client (Department of Agriculture)
- CESA is systematically reflected throughout the Project Operational Manual
- Clear CESA provisions in the MOA and IMA
- CESA is geared towards tangible benefits – implementation of priority infrastructure and enterprise investment sub-projects

### **Lessons**

- Functional GRM and the CMT are the two venues through which beneficiaries' participation can be maximized and proactively sought.
- The CMTs, which beneficiaries are part of, reinforce regular project monitoring and assist in addressing claims and grievances, which is fully accepted and appreciated by the client/ implementing public agency.
- Promoting modern, climate-smart, and market-oriented approaches stimulates citizen engagement.
- Sub-projects are identified and prioritized by the beneficiaries which motivate and encourage CE.
- The rigorous CESA process institutionalized by PRDP was not captured in the CESA indicators of the original project (prepared 8 years ago). Since then, PRDP has made significant progress in institutionalizing the CESA process within the Department of Agriculture. Learning from the importance of the mainstreaming and institutionalization process, the latest PRDP Scale Up (P180379, FY23) includes an indicator capturing institutionalization.

### **Budget/Source of Financing**

CESA activities are an integral part of the overall project budget and sub-projects budget

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### More Information

- Republic of the Philippines – Department of Agriculture – Philippine Rural Development Project: <http://prdp.da.gov.ph/>
- WB Project Detail – Philippine Rural Development Project: <https://projects.worldbank.org/en/projects-operations/project-detail/P132317>
- Project Documents – Philippine Rural Development Project: <http://prdp.da.gov.ph/resources/project-documents/>
- Sample PCIPs - <https://drive.google.com/drive/folders/1rtpcqRpKYfOK46ikY6M63PaQAmHipm5X?usp=sharing>

<b>Case Study 2.8: Kakheti Connectivity Improvement Project (P173782) (2022-2026)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> ECA	<b>Country:</b> Georgia	<b>GP/Sector:</b> Transport
<b>Key Features:</b> This project is an example of going beyond standard ESF requirements to use CESA and SEP design and implementation processes for strengthening country systems.			
<b>Implementing Agency:</b> The Road Department of Georgia			
<b>PDO:</b> To improve the connectivity and safety of road transportation in the Kakheti region of Georgia along the Sagarejo-Badiauri section of the Tbilisi-Bakurtsikhe- Lagodekhi highway.			
<b>Summary Description</b>			
The project aims to employ a combination of face-to-face and virtual consultations and digital tools to engage with local communities, project beneficiaries, project-affected parties, other interested stakeholders, and the public.			
<b>Good Practices</b>			
<ul style="list-style-type: none"><li>• In this project the WB and the Road Department went beyond the narrowly defined ESF process and corporate requirement for the development of a Stakeholder Engagement Plan (SEP). This process was informed by a prior ESF Gap Analysis that was conducted to identify how the ESF instrument could be better used to strengthen country systems across different sectors.</li><li>• In addition to traditional activities under ESF, the Road Department hired a consulting firm to conduct an in-depth study on road impacts on local communities, and vendors specifically - including an analysis of gender and other influencing factors. This led not only to adjusting the design of the road to better meet community needs, including the construction of a marketplace, but also to the development of a SEP that foresees active decision-making roles for local communities regarding road use and the maintenance of economic infrastructure along the highway.</li><li>• Under the SEP framework, intensive consultations with different population groups, people affected by resettlement and NGOs were conducted. Consultations in communities were undertaken during project preparation to understand their needs and concerns regarding the</li></ul>			

project and potential ways in which benefits to them could be maximized through project activities. This was especially important due to the introduction into the road project of a livelihood restoration component - whereby households and communities affected by the road construction received extra support to restore their livelihoods (construction, training in alternative business skills, financial support, etc.). Efforts were made to ensure that consultations were gender-balanced, considering that at least half of the vendors at the marketplace were expected to be women.

- The project has also established a local level GRM that relies on local *Difficult Grievances Redress Commissions* in which all main project stakeholders are represented – from the Roads Department and contractors to local communities. In addition, a hotline has been established, and ongoing proactive information dissemination and discussions take place via Facebook and WhatsApp.
- A digital platform for managing and systematizing feedback and grievances is being also established in the framework of the project.

## **Results and Success Factors**

### *Results*

- Enhanced citizen understanding of the project process and expected benefits translated into increased public support, cooperation, and less grievances.
- The engagement process resulted in less conflicts, and more constructive solutions for resettlement with local community involvement.
- The Road Department internalized the CESA tools and integrated them into its standards for national roads construction.

### *Success factors*

- The receptiveness of the Road Department to adopt a more in-depth approach to citizen engagement was also pushed by the need to address livelihoods concerns of people/communities affected by the road construction.
- Proactive communication and CESA were mainstreamed into contractual arrangements, thus, obliging all contractors to align with the SEP.

## **Challenges**

- Communication between contractors and local communities was challenging, especially where contractors were foreign (e.g., Chinese) companies that had difficulties understanding/interpreting local realities and a different communication culture. Addressing this challenge required time and additional resources.
- A shortage of staff to facilitate outreach and stakeholder engagement locally, especially in rural areas, was a challenge which required additional training inputs.
- The Road Department found it challenging to manage communication with citizens and communities under different requirements/ conditions applied by different IFIs funding different segments of the road (e.g., in relation to compensation for land acquisition).

## **Lessons**

- An effective SEP should draw on a multiplicity of channels ranging from information sharing and consultations to community engagement in decision-making on pedestrian safety and economic infrastructure constructed along the road.

<ul style="list-style-type: none"> <li>• Not just the initial quality of the SEP matters but also its regular review and updating, to ensure that it remains relevant.</li> <li>• The implementation of the SEP is only feasible when it is supported by adequate financial and human resources.</li> </ul>
<p><b>Budget/Source of Financing:</b> Trust Fund (funding from Japan). Along with social specialist, a special staff is dedicated communication and engagement of citizens funded from governmental budget.</p>
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<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>• Georgia – Kakheti Connectivity Improvement Project: <a href="https://documents.worldbank.org/en/publication/documents-reports/documentdetail/609861648048394299/georgia-kakheti-connectivity-improvement-project?cid=WBW_AL_whatsnew_EN_EXT">https://documents.worldbank.org/en/publication/documents-reports/documentdetail/609861648048394299/georgia-kakheti-connectivity-improvement-project?cid=WBW_AL_whatsnew_EN_EXT</a></li> <li>• Analysis of Gaps Between National Legislation of Georgia and World Bank Environmental and Social Framework: <a href="https://documents1.worldbank.org/curated/en/105031592550795667/pdf/Analysis-of-Gaps-between-National-Legislation-of-Georgia-and-World-Bank-Environmental-and-Social-Framework.pdf">https://documents1.worldbank.org/curated/en/105031592550795667/pdf/Analysis-of-Gaps-between-National-Legislation-of-Georgia-and-World-Bank-Environmental-and-Social-Framework.pdf</a></li> </ul>

<p><b>Case Study 2.9: Kyrgyzstan Community Development and Investment Agency (ARIS) - Implementing agency for: <i>CASA1000 Community Support Project (P163592), Sustainable Rural Water Supply and Sanitation Development Project (P154778), Village Investment Project and COVID-19 Additional Financing (P174316), Heat Supply Improvement Project (P157079), Regional Economic Development project for Kyrgyz Republic (P167428)</i></b></p>			
<p><b>Project/Product Type:</b> CDD</p>	<p><b>Region:</b> ECA</p>	<p><b>Country:</b> Kyrgyzstan</p>	<p><b>GP/Sector:</b> Multiple</p>
<p><b>Key Features:</b> Example of an institutionalized, country-level CESA support agency and a digital CESA platform used by multiple WB projects to complement and support offline engagement.</p>			
<p><b>Implementing Agency:</b> Community Development and Investment Agency (ARIS)</p>			
<p><b>PDOs:</b></p> <p><i>CASA1000:</i> To engage communities in the development of social and economic infrastructure to improve services, livelihoods in target Oblasts near CASA1000 Transmission Line regions.</p> <p><i>SRWSSDP:</i> To assist the Kyrgyz Republic to improve access and quality of water supply and sanitation services in selected rural communities; and to strengthen capacity of the national institutions in the water supply and sanitation sector.</p> <p><i>VIP:</i> To build local capacity for participatory development and to improve access to quality community infrastructure services.</p> <p><i>HSIP:</i> To improve the efficiency and quality of heating in selected project areas.</p> <p><i>REDP:</i> To support the Recipient to enhance regional economic development through targeted interventions in the selected sectors in the Osh region.</p>			

**Summary Description**

On-line CESA platform managed by ARIS serving multiple WB CDD projects. The platform serves as a tool for deliberation, consultations, priority setting and decision making on other issues, as well as a depository of experience related to the application of different CESA tools and activities (social audits, community meetings, community scorecards, etc.) specific to each project and targeted location (village level).

**Good Practices**

- The development of ARIS's e-platform was accelerated by the Covid-19 pandemic which considerably restricted the ability of project teams to conduct social mobilization activities in small towns and rural areas targeted by the WB projects.
- For instance, under the CASA1000 project, in each village, small off-line FGDs defined initial list of sub-project priorities, which is then uploaded to the village portals on the online platform to conduct the discussions and voting by the residents of each village. The on-line platform created an individual portal for each village to conduct all online project activities. WhatsApp groups were set up in each village to share information on identification of village priority, video tutorials on how to take a vote, and invitation/notification about the start of online activity. People were given 10 days for online discussions, and subsequent voting to select village priority. The volunteers (facilitators) recruited among local young people, representatives of local authorities as well as public activists, were appointed for each village to inform the communities about the project's online activity. Where households had poor/ no access to technology (e.g., elderly people), village technology inclusion focal points made home visits with their devices to ensure inclusive voting.
- The platform is also used for public consultations on social and environmental safeguards, conducting public hearings and information dissemination on sub-projects, staff, and thematic issues (women rights, etc.), as well as feedback collection.
- The platform isn't just for discussing and voting on sub-projects. It has now been expanded to include "social accountability," including a mechanism for submitting complaints and concerns. The platform's user-friendly features include the ability to comment — anonymously if desired — via text, photo, video, audio message (with an automatically generated transcript) or video. Artificial intelligence is used to screen out inappropriate language and content.
- Community-level CESA activities (e.g., social audits, community check meetings and community scorecards with action planning in each village) were supported by information made available on the portal and also served to populate the platform with feedback and findings generated from community level CESA activities. While conducting social audits, community members can access necessary data (including financial and technical details) on all sub-projects and information about CESA events and outcomes via the dedicated online portal. The findings of in-person community check meetings and community scorecard processes are subsequently posted on the online platform, allowing for ongoing access by implementing partners and community members.

**Results and Success Factors**

*Results*

- Up to 30% of local populations participated in decision-making on priority projects (compared to some 5% in earlier interventions). This included the ability to extend reach beyond village activists, local elites, and respected elders (*akskals*) to involve lay people.
- Availability of local youth in each targeted village trained as Facilitators and Community Reporters to support the implementation of community-level CESA activities.
- Almost 50% women participation, a significant increase from in-person interactions prior to the online-platform (during which women were less vocal in the presence of their in-laws and community).
- Increased participation of community residents (including women and youth) in offline SA activities (i.e. social audits, community check meetings and community scorecards).
- Greater transparency and legitimacy of decisions made on priority investments – thus, greater citizen support for their implementation.
- Greater awareness on the part of citizens about public investments in their locations.
- Greater efficiency related to decrease of costs for social mobilisation, time reduction/ ability to conduct consultations simultaneously in different locations, and quick / instant availability of statistics on citizen participation.
- The platform is expected to be used for CE implementation under projects of other development partners (outside World Bank).

#### *Success factors*

- Active social mobilization campaigns at three levels (regional/district and local) accompanied by awareness building with video on the use of the online platform for people (Communication Strategy).
- Youth involvement facilitating the use of technology and ensuring inclusion (significant number of young people trained as facilitators, community reporters, village technology inclusion focal points).
- Results of each public hearings, voting, CESA event on the e-platform are communicated back (closing the loop), which contributed greatly to building trust to the new instrument.
- The team opted for developing a single comprehensive, multi-functional platform (rather than having to use multiple tools like Survey Monkey, Ushahidi, Tindie, You Record and SeeClickFix).
- Partnership with the Citizen Foundation USA, and its "Your Priorities" platform provided open-source software that could be used for free and tweaked by ARIS.
- Integration of CESA e-platform with ARIS internal MIS.

#### **Challenges**

- Scepticism related to wide use of new instrument by people, which was addressed through awareness building (training, information dissemination in public places).
- Initial deficit of know-how related to effective awareness-building materials and technical development of the platform which was addressed through TA and capacity building.
- On-going transfer of ownership of the e-platform to ARIS that will maintain and further develop the platform in the future.

#### **Lessons**

- Online and offline CESA processes can effectively complement each other for greater impact. Technology can greatly facilitate the development and scale-up of participatory democracy tools. However, social mobilization and public awareness building is an important pre-requisite for wide acceptance and use of such tools.



- Going digital can rapidly accelerate the number of people who are engaged and broaden participation to individuals who cannot attend in-person meetings, such as the elderly, people with limited mobility and women in conservative communities.
- Government-CSO coordination and collaboration was instrumental for achieving community-level engagement and results, supported by the online platform.
- A detailed description of proposed CESA mechanisms and roles in the Project Operations Manuals (POM) and the subsequent development of a step-by-step CESA Operational Field Guide facilitated the successful implementation of CESA activities and effective coordination among multiple actors.

### Contact Persons

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### More Information

#### *ARIS*

- ARIS Homepage: [www.aris.kg/](http://www.aris.kg/)
- People Powered – Digital platform and training boost participation in rural Kyrgyzstan: <https://www.peoplepowered.org/news-content/donor-online-community-driven-development>

#### *CASA1000*

- CASA1000 Community Support Project – Kyrgyz Republic: <https://projects.worldbank.org/en/projects-operations/procurement-detail/OP00195318>
- CASA 1000 Homepage: <https://www.casa-1000.org>

#### *REDP*

- Kyrgyz Republic Regional Economic Development Project: <https://projects.worldbank.org/en/projects-operations/project-detail/P167428>

#### *SRWSSDP*

- Kyrgyz – Second Rural Water Supply and Sanitation Project: resettlement plan (Vol. 7) : Resettlement action plan for subproject for rehabilitation of water supply system of Tugol-Sai village: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/370191468044938261/resettlement-action-plan-for-subproject-for-rehabilitation-of-water-supply-system-of-tugol-sai-village>

#### *HSIP*

- Heat Supply Improvement Project: <https://projects.worldbank.org/en/projects-operations/project-detail/P157079?lang=en>

#### *VIP + Covid-19 Additional Financing*

- IDA Project Paper on a Proposed Additional Credit and Proposed Additional Grant to the Kyrgyz Republic for the Additional Financing – Third Village Investment Project (COVID-19 Response): <https://documents1.worldbank.org/curated/en/306571602259427512/pdf/Kyrgyz-Republic-Third-Village-Investment-Project-COVID-19-Response-Additional-Financing.pdf>

**Case Study 2.10: *Serving People, Improving Health Project (P144893), Emergency COVID-19 Response and Vaccination Project (P175895) and Health Enhancement and Lifesaving (HEAL) Ukraine Project (P180245) (2015-2024)***

<b>Project/Product Type:</b> IBRD-financed IPFs	<b>Region:</b> ECA	<b>Country:</b> Ukraine	<b>GP/Sector:</b> Health
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**Key Features:** This cluster of projects is notable for the use of multiple CESA tools brought under a unified system linking local and national levels and closing the loop. The adoption of a flexible and adaptive approach to respond to the realities of a FCV environment is also a key feature.

**PDOs:**

P144803: To: (i) improve the efficiency and quality of health services, particularly for non-communicable diseases in line with the health sector reforms, and (ii) prevent, detect, and respond to the threat posed by COVID-19.

P175895: To prevent, detect and respond to the threat posed by COVID-19 and strengthen the national health system for public health preparedness in Ukraine.

P180245: To (i) restore and improve access to essential health care, (ii) address new and urgent needs for health services, and (iii) provide financial protection in an emergency context.

**Summary Description**

Implementation of multiple user feedback mechanisms at different levels throughout the health sector in Ukraine, which gradually evolved into an effort to support a unified system to achieve "vertical integration" and close the feedback loop.

**Good Practices**

- In the context of growing demand for transparency and accountability of the public sector in Ukraine, following the “Revolution of Dignity”, the WB actively sought ways to enhance citizen engagement across the portfolio. All three WB-supported health sector projects collaborate with CSOs to enhance the transparency of procurement systems and collaborating with the Rukh “Chesno” Movement to engage users in assessing health care services using a Community Scorecard instrument. The Scorecards, in combination with beneficiary satisfaction surveys at primary care facilities surveys, proved to be a powerful tool for improving the quality of public health care services, especially as their findings were systematically presented and discussed at regional conferences.
- During the Covid-19 project, due to safety measures, WB health interventions relied on Third Party Monitoring, whereby CSOs conducted structured field observations (looking at access to adequate information, vaccination dynamics, infection control measures, waste disposal, etc.) at the facilities level. These observational audits were reinforced by findings from interviews and participatory interactions with patients. The findings of CSO implementing partners in Kyiv, Odea and Chernivtsi oblasts were discussed at the regional level and presented to the national Covid-19 Task Force, effectively informing the steering of the vaccination process. Furthermore, targeted Action Plans to improve COVID-19 vaccination were prepared in some oblasts, although their implementation was jeopardized by the war.
- Following the breakout of the pandemic, an open public Covid-19 hotline became widely popular (with approximately 2 million phone calls registered during the acute epidemic period) and served to reveal important tendencies that informed the MoH’s response. It

later became a general hotline of the MoH, also used as a grievance feedback handling mechanism.

- To facilitate a systemic approach, under the new Health Framework Project, WB now supports the MoH in streamlining multiple existing instruments for collecting users' feedback into a unified information management system, which incorporates the MoH hotline, the National Health Survey, different feedback mechanisms applied at the regional level and diverse GRM tools used by individual facilities.

## **Results and Success Factors**

### *Results*

- Notable improvements in the accessibility and quality of health services in project-targeted areas, according to user feedback.
- Based on citizen feedback, the MoH has adjusted its programs, approaches to public communication campaigns (e.g., channeling health messages through churches, schools and other relevant channels for enhanced outreach) and training programs (e.g., strengthening the capacity of medical practitioners to become better informed advocates of vaccination).
- Mechanisms for user feedback has been institutionalized through national regulations and systems.
- As third-party monitors, CSOs improved their capacity to advocate for and address issues related to inclusion in health care (e.g., regarding vaccination campaigns targeting Roma people, support to Internally Displaced People, assessment of women's health in conflict areas, and mental health needs).

### *Success factors*

- Persistent efforts by WB-supported projects to promote user feedback and to try and test different approaches while operating in a challenging operational environment.
- Users' feedback hotline supported by adapted analytical software.
- Political commitment from the MoH, rooted in a broader relationship of trust and collaboration between the government and the WB.
- Willingness of pioneers at the facilities level to set the standard for user feedback.

## **Challenges**

- Weak capacities of local level CSOs was a challenge. During project implementation, the WB team in partnership with national CSOs attempted to build capacity and engage with local CSOs for implementation of regular third-party monitoring activities. However, after initiating several rounds of calls for proposals, local CSOs appeared to be not interested or not capable enough to lead activities. They also reported a lack of adequate financial resources to conduct regular check ins on the ground. In addition, during the war, the CSOs have been mainly focused on humanitarian response activities, and additional activities seem to be an overstretch of already limited capacity on the ground.
- Low awareness of the TPM concept and initial skepticism on the part of CSOs to cooperate with MoH, and of the MoH to cooperate with CSOs was one of the initial challenges faced by the team. In this case the Bank supported CSO-MoH partnerships, by facilitating dialogue to establish productive and constructive working relationships and finding ways to resolve issues together.

<ul style="list-style-type: none"> <li>• The preference on the part of some CSOs to make public criticisms, rather than bringing them directly to the ministerial technical team, served to bring attention to priority problems but put MoH actors in defensive positions.</li> <li>• Lack of capacity of the MoH in understanding CESA approaches resulted in initial pushback and delays in streamlining a unified user feedback system. The already constrained capacities of the MoH are currently exacerbated due to multiple emergency challenges, including understaffing. The WB continues to assist the government in setting up systems that will be effective and practical, including modernized processing of patient feedbacks, but this process may take longer than initially planned.</li> <li>• A feedback loop study has been launched in partnership with CSO partners to assess existing government systems and streamline beneficiary feedback at central, regional, and local levels.</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>• With the right structure and support, CSOs can play a constructive role as third-party monitors, contributing to policy dialogue at the national level.</li> <li>• Systematic engagement of CSOs in constructive relationships helps build a culture of mutual trust and partnership in implementing projects and national initiatives.</li> <li>• Trust comes from grassroots evidence and constructive engagement. Working closely with CSOs allowed the WB to coach them on methods of collecting evidence and structuring this evidence in a constructive proposal that takes accounts of existing operational modalities. Once the MoH witnessed the positive contributions of this constructive engagement, it was more inclined to respond to proposals and partner with CSOs to implement them. Over time, collaboration between the MoH and CSOs to jointly design and implement activities, led to increased mutual understanding and trust.</li> <li>• Adequate budget allocations by WB and the MoH were critical to make user feedback instruments functional. The Bank prioritized financing CESA activities and was able to obtain additional financing from a Trust Fund of the Swiss Agency for Cooperation and Development, which continues to support work with CSOs around WB-financed projects and major government initiatives in the health sector.</li> </ul>
<p><b>Budget/Source of Financing:</b> Dedicated budget at the WB project allocated along with additional Trust Fund support from the Swiss Agency for Cooperation and Development.</p>
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<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>• Serving People, Improving Health Project: <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P144893">https://projects.worldbank.org/en/projects-operations/project-detail/P144893</a></li> <li>• AF to Ukraine Emergency COVID-19 Reponse and Vaccination Project: <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P177894">https://projects.worldbank.org/en/projects-operations/project-detail/P177894</a></li> </ul>

<b>Case Study 2.11: Distribution Grid Modernization and Loss Reduction Project (P147277) (2015 - 2022)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> LAC	<b>Country:</b> Dominican Republic	<b>GP/Sector:</b> Energy
<b>Key Features:</b> This is a <i>unique example of using CESA practices to solve connectivity, access, revenue collection, and loss reduction challenges in the energy sector. The project included the borrowing of US\$4.56 million for an essential social component to enable strong citizen engagement and community participation. It relied on social compacts and a social management strategy to achieve project objectives.</i>			
<b>Implementing Agencies:</b> Dominican Corporation of State Electrical Companies, Streamline Integrated Energy Corp			
<b>PDO:</b> To improve the financial viability of electricity distribution companies by reducing energy losses and increasing revenue collection in the circuits rehabilitated under the project, and consequently increasing the supply of electricity.			
<p><b>Summary Description</b></p> <p>The project intervened at the neighborhood level to engage citizens both in identifying priorities to improve service delivery by electrical distribution companies and in the participatory monitoring of actions and outcomes. In project-targeted communities, members of a monitoring committee (Comité de Seguimiento y Evaluacion) are directly elected by neighborhood residents and play a key role in: sensitizing community members on rational electricity use and payments, monitoring project activities, collecting grievances, and sharing them with the project’s social specialists of the distribution companies.</p> <p>The project relied on engaging with community leaders, including through FGDs, to discern perceptions of community members related to electricity grid modernization, distribution, and revenues. The project also conducted socio-economic baseline assessments prior to inform the development of social compacts (service delivery improvement in exchange for increasing revenue collection). These compacts include operationalization of the GRM mechanism. The project conducted community training on how to ensure efficient use of electricity and reduce consumption which in turn offers more opportunities for the formalization of electricity utilization and lower costs for low-income consumers. Finally, the project relied heavily on participatory M&amp;E to ensure that commitments of the social compact are met and to develop options to sustain interventions initially supported by the WB project.</p> <p>Project steps for engaging with the community included:</p> <ul style="list-style-type: none"> <li>• Development of social compacts with selected CSOs to: (1) facilitate agreements with communities to help pay for services in exchange for grid modernization rehabilitation of the circuit and (2) participate in meetings and help with service contacts.</li> <li>• Hiring of Social mobilization teams (by the electricity companies) to work together with PIU social specialists, to manage and support the social engagement process, including on the ground education and sensitization activities.</li> </ul>			
<p><b>Good Practices</b></p> <ul style="list-style-type: none"> <li>• Early identification of community needs. All activities began with and were based on the identification of the community’s perceived priority needs.</li> <li>• Transparent and fair selection and election of representatives. COSEs members were elected in a transparent and democratic manner and are widely perceived as representative of</li> </ul>			

<p>communities' interests and priorities. They were also key in guaranteeing that communities' feedback and inputs were taken into account throughout the implementation of the electricity service plans.</p> <ul style="list-style-type: none"> <li>• Appropriate allocation of resources and staffing: The PIU employed a social manager. Each electricity distribution company that worked with the project had its own social coordinator who reported to the social manager of the PIU.</li> </ul>
<p><b>Results and Success Factors</b></p> <ul style="list-style-type: none"> <li>• The scale of the participatory effort under this project is illustrated by the following: (i) 875 organizations were involved in the Social Management Strategy; (ii) 9,967 community members participated in discussions on the electricity distribution company's plans to improve services; (iii) 42 monitoring and coordination committees, comprised of 9,967 community representatives, were established within target communities,; and (iv) more than 350,000 people were reached through the project's awareness campaign.</li> <li>• The social component proved to be instrumental to project success by improving communication between utilities and their customers, enhancing the design of plans, and facilitating smooth implementation. Achievements were confirmed by an ex-post-service satisfaction survey.</li> </ul>
<p><b>Challenges</b></p> <p>Although the development of a 'Social Management Strategy' was an innovative and unique experience in the country, the strategy was lacking in some areas that required continued support (and appear to be addressed in future iterations of the engagement in the sector). Specific areas of limitation include:</p> <ul style="list-style-type: none"> <li>• Lack of clear and timely communications with communities on the state of electrical transmissions and power cuts.</li> <li>• Training on energy efficiency programs that require more support than project resources allowed for, including engagement at the household rather than the community level.</li> <li>• The management of conflicts among neighboring communities was not included in the rehabilitation plan.</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>• This project relied on citizen engagement as the main (and most effective) means for achieving the project's development objective.</li> <li>• The design of the 'Outreach to Community' component was innovative. It demonstrated the effectiveness of participatory approaches to establish trust between consumers and electricity distribution companies, increasing consumers' willingness to pay for services.</li> </ul>
<p><b>Budget/Source of Financing:</b> Lending and Trust Fund support. Of the total project budget, approximately 3 to 4 percent was allocated to the social component.</p>
<p><b>Contact Persons:</b></p> <p>Huong Mai Nguyen, Energy Specialist, <a href="mailto:hnguyen15@worldbank.org">hnguyen15@worldbank.org</a>, and Bruce Macphail, Senior Social Development Specialist, <a href="mailto:bmacphail@worldbank.org">bmacphail@worldbank.org</a></p>
<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>• Distribution Grid Modernization and Loss Reduction Project: <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P147277">https://projects.worldbank.org/en/projects-operations/project-detail/P147277</a></li> </ul>

<b>Case Study 2.12: Lima Metropolitan BRT North Extension (P170595) (2020-2024)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> LCR	<b>Country:</b> Peru	<b>GP/Sector:</b> Transport
<b>Key Features:</b> The project is an example of an effort to align ESF and CESA goals, with strong attention to stakeholder consultations and ongoing monitoring of citizen satisfaction with engagement mechanisms.			
<b>PDO:</b> Improve urban mobility and accessibility to jobs in the coverage area of the Metropolitan BRT North Extension.			
<p><b>Summary Description</b></p> <p>The project SEP, which is part of a larger citizen engagement strategy, calls for a range of stakeholder consultations including: face-to-face open consultation events with the local population; meetings and task force groups with the local municipalities; and virtual consultation on draft instruments. In addition to general consultations, events were organized to address specific concerns including: i) impacts on informal street vendors; ii) involuntary resettlement; and iii) the inclusion of gender groups and people with disabilities. The overall CE process was monitored via a participants' satisfaction survey and an analysis of participant interventions was supported by a specialized consulting firm that also carried out the gap assessment of the Borrower's framework under the ESF.</p>			
<p><b>Good Practices</b></p> <ul style="list-style-type: none"> <li>• A gap assessment conducted by a specialized independent consulting firm served to identify key issues and guide project and SEP design.</li> <li>• Engagement of high-level officials from the outset resulted in a good level of government buy-in, including regarding resource allocation and mitigation measures for negatively affected parties.</li> <li>• Provisions were made for SEP activities, including a Communications Plan and Grievance Mechanism, to be sustained throughout the duration of project implementation.</li> <li>• CE has been ongoing throughout project implementation, with engagement activities planned on a regular basis.</li> <li>• The project has conducted CE satisfaction surveys to monitor CE indicators and shares findings, disaggregated by gender.</li> </ul>			
<p><b>Challenges</b></p> <ul style="list-style-type: none"> <li>• In the early phase of the ESF implementation, there was no clear path for collaboration on CE and stakeholder engagement. The CE focal point for LCR provided general guidance on CE methodological aspects and best practices (i.e., examples of CE indicators), and based on that guidance, project teams had to do their best to operationalize practices in the context of each project.</li> <li>• Since CE is a WB corporate mandate, and the SEP is a requirement for the client, it was unclear how to bring those two facets together and who within the team was responsible for what. In this case, someone from the technical team took the initiative to prepare a draft CE plan which was then reviewed and strengthened by the project's Social Development specialist (despite some uncertainty on the part of the SD specialist as to what extent they were expected to have a leading or supporting role in this process).</li> <li>• Allocation of adequate financial resources to conduct the Bank's social due diligence was a challenge - given that Lima is a large and highly populated city (over 11 million people), and there were multiple stakeholders that needed to be involved as part of the process.</li> </ul>			

- As the implementation of ESS10 provisions was new to the PIU, close guidance and significant on-the-ground support by the Bank team was required. This included technical advice and assistance on ensuring balanced stakeholder representation and sampling, identifying priority groups, engaging with organizations working with people in vulnerable situation and designing and implementing meaningful engagement mechanisms.
- Given time and resource constraints, ensuring adequate documentation of the consultation efforts carried out was a challenge.
- During preparation, stakeholders were largely supportive of the project, except for one group that objected to the location of the bus yard. During implementation, complaints filed by citizens who were negatively affected by the project (e.g., due to structural damage to their property) led to legal disputes with contractors that fell outside the purview of the project's GRM and resolution.
- A high turnover of PIU personnel and lack of adequate social staff posed a challenge to the effective implementation of SEP and CESA activities.

#### **Lessons**

- The early adoption of CESA strategy from the planning phase would allow a more thorough stakeholder engagement throughout the project period.
- According to the project team, stronger alignment between SEP and CE indicators would be beneficial for enhanced integration of ESF and CESA work.
- It's important for the methodology used in the SEP (according to ESS10 provisions) to be strongly aligned with the project's/government's broader Communication Plans, to ensure a consistent approach and shared understanding of goals and processes.
- More support is needed to build the capacity of the PIU on ESF and CESA.
- The Bank should consider partnering with a capacity development provider (e.g., a specialized CSO, university or training firm) to develop and provide trainings in the early stages of the project to build the ESF and CESA expertise of PIU staff and potential consultants and implementing partners. Such an investment could benefit the current project as well as future Bank-supported projects.
- The CE satisfaction survey (conducted twice since the project start) is a useful vehicle to capture positive feedback as well as complaints or negative impacts on the citizens in the affected areas.
- Citizen and community engagement could be improved through more strategic forms of participation, as well as stronger and more accessible communication channels (to date, the project has no on-site service offices or social field staff).

#### **Budget/Source of Financing**

As CESA aspects were embedded in the project and not separate/standalone activities, it is not clear how much budget was allocated for CESA work.

#### **Contact Persons**

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#### **More Information**

- Project Stakeholder Engagement Plan  
<https://worldbankgroup.sharepoint.com/sites/P170595/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FP170595%2FShared%20Documents%2FProject%2FStakeholder%20Engagement%20Plan%20%28SEP%29%20Lima%20Metropolitano%20BRT%20North%20Extension%20%28P17059%2Epdf&parent=%2Fsites%2FP170595%2FShared%20Documents%2FProject%2F>



- Lima’s bus rapid transit (BRT) system: <https://content.gihub.org/live/media/1553/el-metropolitano-bus-rapid-transit.pdf>

**Case Study 2.13: Integrated Management Project of the Putumayo-Içá River Basin (P172893) (2022-2027)**

<b>Project/Product Type:</b> IPF	<b>Region:</b> LCR	<b>Countries:</b> Brazil, Columbia, Ecuador, Peru	<b>GP/Sector:</b> Environment, Natural Resources & the Blue Economy
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**Key Features:** The project is an example of an effort to align ESF and CESA goals, with strong attention to stakeholder mapping and social inclusion, especially of women and Indigenous Peoples.

**PDO:** To strengthen enabling conditions for participant countries to manage the shared freshwater ecosystems of the Putumayo-Içá River basin in the Amazon region.

**Summary Description**

The project is still in early stages of implementation; however, it sets a good practice example given the extensive and inclusive stakeholder consultations that have been conducted in the design and preparation phases, particularly with strong engagement of Indigenous Peoples in the project locations. The implementing agency invested a full year in identifying stakeholders and analyzing their needs in a participatory manner. During this period, more than 60 meetings were conducted to give local communities, institutions, and indigenous groups a say in project design. The results of the assessment will be shared and discussed with communities to identify the specific locations where project activities will be implemented.

**Good Practices**

- Project activities will involve the active participation of local people and communities, reflecting gender and cultural considerations of different stakeholders in decision-making while protecting cultural traditions, to promote the sustainable use of resources and enhance environmental benefits and ecosystem services.
- The project adopted a collaborative, cross-border approach to developing a common vision for an integrated system of management of water resources throughout the river basin. The common vision seeks to represent the perspectives of all stakeholders present in the basin, including indigenous communities, peasants, afro-descendants, companies, local governments, and NGOs.
- The Wildlife Conservation Society (WCS), which is the implementing agency, has a dedicated expert who oversees both ESF and CESA issues ensuring strong alignment and the use of an integrated approach in addressing both areas in project preparation and planned implementation.
- In addition to updating the SEP on an ongoing basis, the WCS is drafting an *Indigenous People’s Planning Framework* which will also be adapted throughout the project period.
- The SEP introduces a two phased approach of stakeholder engagement and outreach focused on extensive and proactive information dissemination in the first phase, followed by a second phase aimed at trust-building and nurturing strong ownership of the project among the key stakeholders. The project aims to do this through ongoing dialogue, constructive collaboration with the different stakeholder groups, and regular and timely public progress reports.

**Results and Success Factors**

- The ESF was of high importance given that the project affects a wide group of stakeholders in four countries, making risk monitoring and mitigation measures a high priority.
- The government has shown strong commitment as the project's community participation and engagement approach is strongly aligned with the government's strategy.
- As a GEF-funded project, attention to gender dimensions during project design and the development of a strong gender strategy during implementation was a requirement.
- A central regional committee composed of focal points from all countries, including citizens and CSO representatives, provides a strong foundation for multistakeholder monitoring and decision-making throughout the project period.
- Scientific, academic and NGO entities contributed knowledge and expertise to applied research in the project region.

#### Challenges

- Due to administrative/budget-related factors, PIU team members changed from the preparation stage to the implementation stage. The constant presence of the WCS team and the careful documentation of all consultation and preparation processes helped to ensure that there was no knowledge gap during the transition.
- The social/ ESF specialist indicated the need for training on ESF among a broader field-based staff going forward.

#### Lessons

- The upfront investment of time in stakeholder mapping and consultations, which included a series of dialogues and needs assessments with marginalized and vulnerable groups, paid off in the long term.
- Strong engagement of key stakeholders from the early stages of project planning coupled with their continued involvement as part of the monitoring and decision-making committee creates a system of checks and balances and can serve to inform updates to the SEP over time as required.
- The process of identifying all stakeholders in the basin, understanding their perspectives, and engaging them in processes of deliberation and decision-making was essential to relationship-building and facilitated project preparation.
- Attention to social inclusion in planning and decision-making processes strengthens trust and generates credibility.

#### Budget/Source of Financing

Stakeholder engagement and consultations during project planning and preparation were funded by GEF. However, research revealed no dedicated budget allocations for CESA activities during project implementation.

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#### More Information

- **Project website:** <https://cuencaputumayoica.com/proyecto/>
- **Stakeholder Engagement Plan:**  
[https://worldbankgroup.sharepoint.com/:w:/r/sites/P172893/\\_layouts/15/Doc.aspx?sourcedoc=%7B81DC2B9C-6EA4-4448-B80C-DA2E5CC51767%7D&file=Stakeholder%20Engagement%20Plan%20\(SEP\)%20-%20Integrated%20watershed%20management%20of%20the%20Putumayo-1%20river%20basin%20-%20P172893.docx&action=default&mobileredirect=true](https://worldbankgroup.sharepoint.com/:w:/r/sites/P172893/_layouts/15/Doc.aspx?sourcedoc=%7B81DC2B9C-6EA4-4448-B80C-DA2E5CC51767%7D&file=Stakeholder%20Engagement%20Plan%20(SEP)%20-%20Integrated%20watershed%20management%20of%20the%20Putumayo-1%20river%20basin%20-%20P172893.docx&action=default&mobileredirect=true)

<b>Case Study 2.14: Country Partnership Framework for Iraq (FY2022 - FY2026)</b>			
<b>Project/Product Type:</b> Country Partnership Framework	<b>Region:</b> MENA	<b>Country:</b> Iraq	<b>GP/Sector:</b> N/A
<b>Key Features:</b> Citizen Engagement features prominently throughout the CPF and is mainstreamed through different pillars of the CPF.			
<p><b>Summary Description</b></p> <p>The Iraq Country Partnership Framework (FY 2022-FY 2026) doesn't employ citizen engagement as a cross-cutting issue but rather adopts a pillar-based approach to integrate CE in the CPF design. To fulfill the objective of Pillar 1 (Improved Governance, Public Service Delivery, and Private Sector Participation) the CPF plans to facilitate citizen feedback and improve citizen satisfaction. The focus here is to leverage e-government tools such as mobile-based citizen feedback platforms or repeat surveys of public services end-users. Pillar 2 of the CPF (Strengthened Human Capital) takes a localized community approach to mitigate learning loss and prevent further dropouts due to the recent crises. The CPF mentions Iraq's low score in the Open Budget Survey (9 out of 100) and identifies the improvement of this score by publishing key budget documents as a key CPF result. A second key result is enhancing the use of e-Government tools for efficiency, CE, and social inclusion. A CE training program on utility provision is planned to provide Government officials with the necessary skillset for to enable them to meet objectives under Pillar 1 and Pillar 2. The CPF proposes to employ citizen satisfaction surveys (administered through an ICT-based Grievance Redress Mechanism system) to gather insights on the progress of utility reforms. This GRM system will address inquiries and grievances and provide feedback in a timely manner and is integral to achieving Pillar 1 and Pillar 2 objectives. The CPF plans to undertake surveys and community scorecards to enhance social accountability and results under various objectives of the CPF by providing channels for citizens to provide feedback on the performance of the health, education, and social protection sectors. At the policy level, it proposes the adoption and dissemination of service delivery charters in social sectors to establish performance benchmarks and measure progress vis-à-vis these (measured in part based on feedback from beneficiaries).</p>			
<p><b>Good Practices</b></p> <ul style="list-style-type: none"> <li>• The CPF was developed after extensive consultations with a broad range of stakeholders including the government, civil society organizations, and development partners. Youth groups and private sector consultations proved particularly helpful in developing some of the key principles of citizen engagement laid out in the CPF.</li> <li>• The CPF's objectives are congruent with the country's context of the recent amplification of citizen voice and collective responsibility.</li> <li>• There is a lot of scope for CE in systems strengthening on climate change and service delivery areas in the CPF.</li> <li>• After the CPF, a Citizen Engagement Framework for Iraq was developed by the Bank which provides the government with options for entry points to mainstream CE. This is not a road map, but a framework that outlines the entry points for CE based on the CPF and the Iraqi government's development priorities.</li> </ul>			
<p><b>Results and Success Factors</b></p> <ul style="list-style-type: none"> <li>• The impetus for the CE Framework and reforms that the govt is willing to consider vis-à-vis the CPF was borne out of active citizenships and protests happening in Iraq.</li> </ul>			

<ul style="list-style-type: none"> <li>CE indicators are present in the CPF results matrix which will help to track and measure implementation.</li> </ul>
<p><b>Challenges</b></p> <ul style="list-style-type: none"> <li>There are challenges to mainstreaming CE in Iraq due to the nature of the operational portfolio, which consists only of IPFs with no PforRs or DPOs. Disbursement rates are low resulting in a low implementation rate. Therefore, fiduciary requirements are not being met, safeguards requirements are very difficult to meet and the implementation of citizen engagement initiatives is challenging.</li> <li>There are important restrictions to civic space in Iraq. CSO capacity is limited, and their collaboration is restricted. The more established and better organized CSOs tend to attract more funding from donors, while non-Baghdad-based CSOs and those located in the Southern part of the country tend to lose out. CSOs also tend to focus on specific areas of intervention, so CE may not be on their radar or in their wheelhouse.</li> <li>Even though Iraq has a huge number of persons with disabilities, efforts to include their voices in Iraq’s CPF consultations and CE plans are lacking.</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>The role of the CMU is very important in acting as a bridge between the government and stakeholders involved in CPF preparation and implementation.</li> <li>Stakeholder consultations should not be a one-time process during CPF preparation but should be institutionalized as a way of doing business.</li> <li>Hybrid consultations (that combine in-person and virtual participation) are extremely useful where security or budget concerns prevent the CMU from engaging with a wide variety of stakeholders.</li> </ul>
<p><b>Budget/Source of Financing</b> BB Funded</p>
<p><b>Contact Persons</b> Harika Masud, Senior Social Development Specialist, hmasud@worldbank.org and Ramzi Afif Neman, Senior Operations Officer, <a href="mailto:rneman@worldbank.org">rneman@worldbank.org</a></p>
<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>FY2022-FY2026 Partnership Framework for the Republic of Iraq: <a href="https://openknowledge.worldbank.org/server/api/core/bitstreams/2d1bbb91-8b19-54d9-8f3d-6e62a4a78421/content">https://openknowledge.worldbank.org/server/api/core/bitstreams/2d1bbb91-8b19-54d9-8f3d-6e62a4a78421/content</a></li> <li>USAID – Democracy &amp; Governance in Iraq: <a href="https://www.usaid.gov/sites/default/files/2023-04/DG%20in%20Iraq_Fact%20Sheet_March_2023_0.pdf">https://www.usaid.gov/sites/default/files/2023-04/DG%20in%20Iraq_Fact%20Sheet_March_2023_0.pdf</a></li> </ul>

<b>Case Study 2.15: Jordan Inclusive, Transparent and Climate Responsive Investments Program for Results (P180285) (2021 - 2028)</b>			
<b>Project/Product Type:</b> P4R	<b>Region:</b> MENA	<b>Country:</b> Jordan	<b>GP/Sector:</b> Governance
<b>Key Features:</b> <i>This program provides an example of how to create incentives to advance CESA and social agenda using Disbursement Linked Indicators (DLIs) in the context of a P4R instrument.</i>			
<b>Implementing Agencies:</b> Ministry of Planning and International Cooperation			
<b>PDO:</b> Improve accountability to foster climate responsive investments and growth.			
<b>Summary Description of CESA Example:</b>			
<p>The aim of the project is to help Jordan improve accountability to foster public and private investments (including tourism) for economic recovery and achieving national climate goals. The project includes disbursement conditions subject to the achievement of Disbursement Linked Results (DLRs) on social accountability of public investments. These include results linked to higher quality public investments (DLI1), responsiveness to citizen feedback through improved government service standards, and the operationalization of a government-centralized GRM (DLI9) and evidence-based policy making (DLI10). DLI 11 supports the use of e-participation, in compliance with the 2021 Jordanian Policy for Electronic Participation, to help capture stakeholders’ feedback in regulatory impact assessments. Under Results Area 1, the program has already been successful in institutionalizing public consultations for Public-Private Partnership/Public Investment Management projects through the adoption by the government of a project concept template and appraisal methodology to be used by project sponsors when submitting their capital projects for approval. Results Area 3, has also fostered public consultation for the regulatory impact assessments completed so far.</p>			
<b>Good Practices</b>			
<ul style="list-style-type: none"> <li>• The PforR instrument responds to the country's demand for financing and expertise to support its efforts in implementing its own programs for development. The Bank team did not have to persuade the government to include CESA mechanisms in program design but is rather financing activities to advance Jordan’s own citizen engagement policies.</li> <li>• As PforR disbursements finance a borrower’s expenditure program rather than being linked to individual transactions (as for IPF), the Bank team could use different pricing models to incentivize e-participation. For example, the completion of targeted Regulatory Impact Assessments will be priced 50 percent more when they are informed by documented e-consultation than when they are not.</li> <li>• Over the last twenty years, Jordan has followed a path of gradual modernization and reform that has accelerated since the 2011 Arab Spring, which called for a greater voice in public decisions. In response, King Abdullah set up a Royal Committee and the National Dialogue Committee to identify reform priorities and engage in meaningful discussions with the public. In 2007, the adoption of Access to information law, the first in the Arab region, set a key milestone towards opening up Jordan's government. The country's regional leadership in promoting an open government agenda also highlights its reform process as evidenced by its being the first Arab country to join the OGP in 2011. As part of these efforts, Jordan has undertaken five OGP National Action Plans.</li> </ul>			
<b>Success Factors</b>			

- The PforR Program builds on substantial technical assistance provided in parallel under the Jordan Multi-Donor Trust Fund (including under the Strengthening Reform Management project). Such technical assistance served, for example, to develop the project appraisal methodology including environmental and social aspects and incorporating public consultations. It is also capacitating the three main implementing agencies in charge of the CESA agenda, i.e., the Public Investment Management (PIM) and Public-Private Partnership (PPP) units and the Fiscal Commitment and Contingent Liabilities (FCCL) unit in the Ministry of Finance, ensuring that those three entities are adequately staffed and equipped, including with environmental and social expertise as needed.
- To strengthen the capacity of the Program Management Unit (PMU), MOPIC intends to contract a program management support consulting firm. The firm will facilitate stakeholder consultation, help strengthen the M&E function of the PMU, mobilize ad hoc technical expertise as required, and support institutional capacity building of the implementing agencies. It is expected that the contracting of such a consulting firm will be financed by the Strengthening Reform Management in Jordan Recipient-Executed Trust Fund (RETF) project under Jordan Growth Multi-Donor Trust Fund.
- There is an Open Government Unit under the Ministry of Planning and International Cooperation (MoPIC), to help the MoPIC and all concerned governmental institutions and NGOs to bolster transparency; establish and institutionalize the participatory consultation approach in public affairs management; and become interconnected with all stakeholders in the sector including other government institutions.
- The World Bank team also prepared a Stakeholder Engagement Plan that includes a Stakeholder Engagement Guideline for line ministries on conducting public/NGO/Citizen engagement for reform processes. The guideline will be rolled out to ministries in the coming months.
- Jordan also has several examples of constructive engagement with NGOs. E.g., in March 2021, MoSD announced the formation of a committee to review the Law on Societies<sup>1</sup>. Community dialogue sessions led by the committee engaged over 2,500 CSO representatives and were supplemented by CSO input submitted through videoconferencing and other online platforms. CSO representatives reported that the process thus far helped to identify problem areas and build communication between the sector and government representatives and agree that more discussion is needed to pass the amendments through all necessary legislative steps.

### **Challenges**

- Policy continuity remains a challenge in Jordan. CESA-related policies take time to show results and this agenda cannot withstand frequent changes in policies.
- Despite sustained efforts by the MDTF program team, the lack of institutional capacity within the government to create capacities within government ministries for citizen engagement, guidelines, and implement various CESA-related activities remains one of the key challenges for this program.
- CSO training opportunities are available in Amman and gradually began to return to in-person sessions in 2021. However, available programs are not based on on-the-ground needs assessments so do not necessarily meet the needs of CSOs or activists in local communities.

- CSOs esp. community-based organizations that are in rural areas lack opportunities for training in proposal writing and attracting funding, non-profit financial management, and conducting advocacy campaigns.

#### **Lessons**

- Since the PMU that supports this program is also the government counterpart for the management of the MDTF that provides technical assistance under BTEF, it is well placed for ensuring that technical assistance (including that provided by donors outside of the MDTF) is targeted to the achievement of the program DLIs. This arrangement is expected to also foster better donor coordination across the Results Areas of the program.

**Budget/Source of Financing:** Bank lending & MDTF

#### **Contact Persons:**

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#### **More Information**

- Jordan Inclusive, Transparent and Climate Responsive Investments Program for Results: [https://ewdata.rightsindevelopment.org/files/documents/85/WB-P180285\\_sGu0UCm.pdf](https://ewdata.rightsindevelopment.org/files/documents/85/WB-P180285_sGu0UCm.pdf)
- Environmental and Social Systems Assessment (May 2021): <https://documents1.worldbank.org/curated/en/651191621406378464/pdf/Final-Environmental-and-Social-Systems-Assessment-ESSA-Jordan-Inclusive-Transparent-and-Climate-Responsive-Investments-Program-For-Results-P175662.pdf>
- Jordan – Inclusive, Transparent, and Climate Responsive Investments Program for Results : Additional Financing and Restructuring: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099185003212328277/bosib0f99afb990a70b9ed00156d11aa04a>
- 2021 Civil Society Organization Sustainability Index: <https://haqqi.info/en/haqqi/research/2021-civil-society-organization-sustainability-index>

<b>Case Study 2.16: Morocco First and Second Transparency and Accountability DPLs (P130903 and P154041) (2013 - 2016)</b>			
<b>Project/Product Type:</b> DPL	<b>Region:</b> MENA	<b>Country:</b> Morocco	<b>GP/Sector:</b> Public administration
<b>Key Features:</b> These loans are a good example of CESA in DPL and how the CESA reforms can be made sustainable by embedding them in legislation.			
<b>Implementing Agencies:</b> The Ministry of Economy and Finance and the Ministry of General Affairs and Governance			
<b>Summary Description</b>			
<p>Two consecutive Transparency and Accountability Development Policy Loans (DPLs), totaling \$407 million, were implemented in Morocco from 2013 to 2016. These loans supported new constitutional governance principles and rights reforms aimed at increasing transparency and access to information (the Hakama program) and enhancing citizen engagement and accountability. CESA is featured prominently in this series of DPL, through three prior actions, all of which have been implemented:</p> <ul style="list-style-type: none"> <li>• Publication on a publicly accessible website of draft laws and regulations before their submission to the cabinet (DPL 1).</li> <li>• Establishment of a structured National Dialogue for the implementation of constitutional provisions on citizens' participation (DPL 1 and DPL 2).</li> <li>• A draft organic law on "Public Petitions", in line with the recommendations of the National Dialogue (DPL2).</li> </ul>			
<b>Good Practices</b>			
<ul style="list-style-type: none"> <li>• The DPLs are based on extensive public consultations in the framework of the National Dialogue on citizens' new constitutional rights, government consultations on different aspects of reform as well as online consultations, and a nano survey to gather citizens' feedback on the reform agenda.</li> <li>• The reforms supported through the DPL directly enable increased citizen engagement in Moroccan public space. Citizens can now access and comment on draft laws, submit petitions, voice their concerns and priorities in public consultations, and benefit from e-government services.</li> </ul>			
<b>Results and Success Factors</b>			
<i>Results</i>			
<ul style="list-style-type: none"> <li>• The Secretary General of the government adopted and implemented a policy under which draft laws and regulations are published on the website before their submission to the cabinet for adoption.</li> <li>• The Minister in Charge of Relations with Parliament and Civil Society adopted a decision establishing a structured national dialogue for the implementation of the constitutional provisions on citizen participation.</li> <li>• The draft organic law on public petitions, in line with the recommendations of the National Dialogue, was adopted by the Council of Ministers.</li> <li>• Several public petitions were launched recently. Among them was one in favor of prioritizing Moroccan recruits (over French nationals) in instructing science, and another was in favor of women's inheritance rights.</li> </ul>			



- A new e-government application allowing citizens to access their birth certificates online was developed and rolled out to 20 provinces and 100 municipalities.
- More than 100 draft legal texts have been published and made available for public comment, an innovation for Morocco. Feedback was collected, summarized, and submitted for parliament's consideration before prioritization of the law concerned. All legal texts now go through this process.
- Morocco joined the Open Government Partnership (OGP) immediately after the completion of the second DPL in April 2018.

#### *Success factors*

- Due to the political will behind the reform, leadership was able to “sell” the reform to the public sector.
- The government persisted in implementing the reforms despite delays, changes in administration, and coordination challenges, which reflects the high priority attached to the reforms.
- As most reforms are embedded in legislation and already being implemented, policy reversals are unlikely.
- A highly capable TTL and local team who took a patient approach and used consensus-building methods was a factor of success.
- In this series, the operations were approved two years apart, during which time effective policy dialogue was sustained through supervision via monthly policy dialogue, policy notes, international benchmarking, advice and comments on the draft texts, consultations, and workshops and training.
- Additional resources for this support were made available by the World Bank and through a multi-donor trust fund.

#### **Challenges**

- The limited capacity of various ministries for strategy formulation and implementation remains a constraint to effectiveness.
- Government reshuffles delayed the preparation and implementation of some actions in 2013 and 2015. The participatory way laws were formulated also resulted in longer than expected preparation times. Also, coordination issues at the central and local government levels resulted in significant delays in the implementation of the parallel technical assistance operation, which included a capacity-building program for parliament.
- According to IEG's report, despite the participatory process, some stakeholders feel that the thresholds for taking up a petition are set too high in the Organic Law on Petitions.

#### **Lessons**

- These types of reforms require patience from the World Bank team because it takes a lot of time and effort to build consensus, especially when it involves gathering citizens' feedback on the reform agenda.
- Multi-stakeholder collaboration between government, CSOs, the Court of Auditors and Parliament played a key role in advancing the CESA agenda in this context.
- A substantial technical assistance/capacity building program for parliamentary stakeholders (i.e., MPs, committee staff, clerks) especially on various technical aspects of budget implementation and how to engage better with Auditor General's office proved important in achieving success.

**Contact Person**

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**More Information** Insert a title before each hyperlink

- Project Performance Assessment Report - First and Second Transparency and Accountability Development Policy Loan:  
[https://ieg.worldbankgroup.org/sites/default/files/Data/reports/ppar\\_moroccotransparency.pdf](https://ieg.worldbankgroup.org/sites/default/files/Data/reports/ppar_moroccotransparency.pdf)
- CABRI PFM Blog – Programme-based budgeting reform in Tunisia – Lessons learned  
<https://www.cabri-sbo.org/en/blog/2018/programme-based-budgeting-reform-in-tunisia-lessons-learned>
- Link?: <https://www.finances.gov.ma/fr/Pages/plf2019.aspx>
- Link?: [https://www.huffpostmaghreb.com/entry/plf-2019-adoption-en-commission-de-la-premiere-partie-du-projet-de-loi-de-finances\\_mg\\_5be94545e4b0769d24cf0a2a](https://www.huffpostmaghreb.com/entry/plf-2019-adoption-en-commission-de-la-premiere-partie-du-projet-de-loi-de-finances_mg_5be94545e4b0769d24cf0a2a)

**Case Study 2.17: Citizens' Charter Afghanistan Project (P160567) and its predecessor the Afghanistan National Solidarity Program (P117103) (2003-2017)**

<b>Project/Product Type:</b> CDD	<b>Region:</b> SAR	<b>Country:</b> Afghanistan	<b>GP/Sector:</b> Local development
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**Key Features:** Both operations represent rich systems-level CESA experiences and lessons in the context of a conflict-affected/dysfunctional state.

**PDO:** To improve the delivery of core infrastructure and social services to participating communities through strengthened Community Development Councils.

**Summary Description**

The project supports "downwards accountability" by building on successful participatory, community-level monitoring methods introduced under the National Solidarity Program (NSP), including Community Scorecards, social audits, and grievance handling mechanisms. "Upwards accountability" is also supported through oversight by district and provincial governors and municipalities at the sub-national level, Ministry of Finance and Presidential oversight, ministerial and facilitating partner oversight of the work of CDCs at the local level, and third-party monitoring.

**Good Practices**

- The NSP (2003-17) was designed to extend the administrative reach of the state, build representative institutions for local governance, and deliver critical services to the rural population of Afghanistan. The programme was implemented by the Ministry of Rural Rehabilitation and Development (MRRD) but executed through a mix of national and international NGOs hired by the government. The NSP provided block grants to communities that they could invest based on community development plans formulated with the help of NGOs.
- The Citizens' Charter Afghanistan Program (CCAP), a successor of the NSP, aimed to improve infrastructure and service delivery (water, electricity, roads and irrigation, healthcare, and education). The CCAP supports the government of Afghanistan's 10-year Citizens Charter

National Priority program to promote inclusive development and accountability and give voice to groups in vulnerable situations such as women, returnees, and the poor. The CCAP contributes to the government's long-term goals of reducing poverty and deepening the relationship between citizens and the state.

- Community Development Councils (CDC) and their clusters (which group 4-8 CDCs in rural areas and 4-5 CDCs in urban areas, forming a *Gozar*) are the linchpin of the Citizens' Charter strategy. They are the central body for community development, overseeing sectoral associations or *shuras* as sub-committees. Education, health and agricultural *shuras* are integrated with CDCs/clusters to deliver the minimum package of services. Inclusion is meant to be ensured through community mapping and well-being exercises, needs identification and gap analysis, inclusion training of all staff and members of CDCs, clusters, and *Gozar* Assemblies, and monitoring and evaluation of poverty targeting.
- The CCAP is a partnership between government and communities, which means community members and CDCs have specific responsibilities they must agree to benefit from the programme. Most of the work – including building the infrastructure needed, assisting the government to ensure that services reach every family, and engaging people in self-initiatives to improve their lives in villages and cities – depends on CDCs. Their role is to assess, analyse, make development plans with the people, implement projects, oversee, and account for the funds received, organise service delivery in villages (cities/neighbourhoods), monitor Government decisions and actions and provide feedback to improve services delivery. Furthermore, CDCs and communities must commit to protect the safety of government and NGO staff working for the Citizens' Charter, contribute in cash or kind to projects, ensure inclusive development planning, commit to annual audits, and undertake basic maintenance and upkeep of community infrastructure.
- In addition to overseeing implementation of infrastructure projects, CDCs monitor and report on service delivery from other line ministries at the community level (e.g., monitoring teacher attendance, health clinic hours and services, etc.). CDCs, assisted by NGOs, complete simple scorecards on the achievement of standards, and these scorecards are discussed with local service providers (schools, health clinics, and district line ministries) and reported back to the district and provincial levels where results are reviewed at a forum chaired by the governor and at urban centres by the mayor. Semi-annual reports are sent to the Office of the President, MoF, and Citizens' Charter national working group to monitor progress, remove obstacles, and reallocate resources if needed.
- Furthermore, taking advantage of technology and high mobile access coverage in the country, the Citizens' Charter introduced mobile applications for reporting and grievance redress. The programme also plans to innovate and use the satellite imagery of the existing Afghanistan Reconstruction Trust Fund's third-party monitoring activity to validate infrastructure gaps and service delivery outputs (e.g., the presence of schools and irrigation canals in a sample number of areas will be validated through satellite imagery against community monitoring reports).

## **Results and Success Factors**

### *Results*

- The NSP helped establish 32,000 CDCs across 361 districts out of a total of almost 400 districts. Half of all council seats were allocated to women, elected through a secret ballot.

The CDCs identified and implemented some 82,000 small-scale reconstruction and development activities, providing over 20 million Afghans with access to one or more of the following services: improved water supply and sanitation, rural roads, irrigation, power supply, health, and education.

- Development and organizational goals, such as the number of communities with greater infrastructure access and percentage of elections conducted according to established standards, have generally been met throughout the project. However, participation in the process and ongoing community development has been minimal as few residents outside of the CDC board get involved in the development process despite program design that encourages this.
- The CDCs are primarily mechanisms for extending service delivery coverage to rural communities, including areas with adverse security conditions. While CDCs have proved effective as resource distribution and community investment vehicles, broader goals of social cohesion and accountability benefits have not been demonstrated. Neither have the NSP nor the Citizens' Charter been shown to create a tangible peace dividend. However, the government now plans with donor support to pilot reconciliation and social cohesion activities within the Citizens' Charter in three provinces in the east of the country (Nangrahar, Laghman and Kunar).

#### *Success factors*

- Transparency and oversight have been central to the programme through both downward and upward accountability mechanisms.
- The Office of the President has signalled its strong commitment to the CCAP flagship programme and is determined to monitor it closely.

#### **Challenges:**

- The deteriorating security situation poses the largest risk to the programme.
- Corruption and rent-seeking behaviour pose another high risk to programme implementation.
- The use of community-led social mobilization processes and participatory exercises was supposed to be instrumental to promote a pro-poor environment and prevent elite capture of public resources. The NSP generated better economic outcomes but there was no measurable improvement related to social change. The CCAP continuously faces the challenge of local elites and tribal elders dominating CDCs in many areas.
- Participating NGOs are dependent on government disbursing the funds and providing technical oversight, which has caused delays in program implementation.

#### **Lessons**

- Partnering with NGOs is instrumental in reaching out to communities in insecure environment. However, **sustaining and expanding on the gains of NSP requires continued commitment and financial assistance.**
- Although the project is associated with development gains related to access to basic services for different population groups, in the current political and security context in Afghanistan achieving sustainable goals related to social accountability, participation of women and inclusion is overambitious.

<ul style="list-style-type: none"> <li>The program impacted the perception of government amongst villagers due to the diffusion of authority created by the coexistence of Community Development Councils with local customary institutions, as well as the ambiguous mandates of the CDCs after a project is completed. This underscored the importance of clarifying the role of CDCs vis-à-vis existing local customary institutions following project completion.</li> </ul>
<b>Budget/Source of Financing:</b> Multi-donor through the Afghanistan Reconstruction Trust Fund administered by the WB
<b>Contact Person:</b> S. I. Afzali, CEO Integrity Watch Afghanistan, <a href="mailto:si.afzali@integritywatch.ca">si.afzali@integritywatch.ca</a> ,
<b>More Information</b> <ul style="list-style-type: none"> <li><i>Citizens' Charter Afghanistan Project</i> - <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P160567?lang=en">https://projects.worldbank.org/en/projects-operations/project-detail/P160567?lang=en</a></li> <li><i>Afghanistan National Solidarity Program III</i> - <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P117103">https://projects.worldbank.org/en/projects-operations/project-detail/P117103</a></li> <li><i>Participedia Case Study of the Afghanistan National Solidarity Program</i> - <a href="https://participedia.net/case/4772">https://participedia.net/case/4772</a></li> <li><i>Evaluation of the Afghanistan National Solidarity Program</i> - <a href="https://policy-practice.oxfam.org/resources/citizen-voice-in-afghanistan-evaluation-of-national-solidarity-programme-iii-620090/">https://policy-practice.oxfam.org/resources/citizen-voice-in-afghanistan-evaluation-of-national-solidarity-programme-iii-620090/</a></li> <li><i>Is the Citizens' Charter the right vehicle for reconciliation?</i> <a href="https://www.afghanistan-analysts.org/en/reports/rights-freedom/is-the-citizens-charter-the-right-vehicle-for-reconciliation-the-risks-of-monetising-peace/">https://www.afghanistan-analysts.org/en/reports/rights-freedom/is-the-citizens-charter-the-right-vehicle-for-reconciliation-the-risks-of-monetising-peace/</a></li> <li><i>Citizens' Charter National Priority Program</i> - <a href="https://www.refworld.org/pdfid/5b28f2ed4.pdf">https://www.refworld.org/pdfid/5b28f2ed4.pdf</a></li> <li><i>Afghanistan Citizens' Charter Results Brief</i> - <a href="https://www.worldbank.org/en/results/2020/10/20/afghanistans-citizens-charter-program-empowering-communities-for-better-services">https://www.worldbank.org/en/results/2020/10/20/afghanistans-citizens-charter-program-empowering-communities-for-better-services</a></li> <li><i>Lessons from the National Solidarity Programme in Afghanistan</i> - <a href="https://www.wider.unu.edu/publication/lessons-national-solidarity-programme-afghanistan">https://www.wider.unu.edu/publication/lessons-national-solidarity-programme-afghanistan</a></li> </ul>

<b>Case Study 2.18: Nagaland: Enhancing Classroom Teaching and Resources (NECTAR) (P172213) (2020-2026)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> SAR	<b>Country:</b> India	<b>GP/Sector:</b> Education
<b>Key Features:</b> The project integrated CESA and ESF elements into core project design and supports engagement practices that are both broad (cover a wide range and large number of stakeholders) and deep (include meaningful influence in decision-making processes).			
<b>PDO:</b> The objectives of the Project are to (i) enhance the governance of schools across the state and (ii) improve teaching practices and learning environments in selected school complexes.			
<b>Summary Description</b> <p>The project has engaged a broad range of stakeholders at the state, district, and block level. The project does not have standalone citizen engagement and social accountability activities; rather CESA elements have been integrated into the design and implementation of the SEP. These included consultations from the very outset to ensure the project reflected the priority needs of different stakeholder groups, as well as stakeholder engagement in the monitoring of project</p>			

implementation and grievance redress, the findings of which are published in monthly SEP monitoring reports.

On the "supply-side", the *Department of School Education* manages the project and implements its communication strategy; while the *Department of Women and Children* and the *Ministry of Tribal Affairs* support the implementation of a Gender and Vulnerable People Action Plan, engage in community mobilization activities to instill a sense of ownership over the program on the part of tribal groups, and create platforms and opportunities to encourage active participation and dialogue with students, parents, teachers, vulnerable groups and relevant government departments.

On the "demand-side", a range of *CSOs, NGOs and faith-based organizations* have supported efforts to raise awareness of equitable and inclusive *Education for All* and to facilitate ongoing participation and dialogue, especially with vulnerable populations, on improving the education system in Nagaland. At the community level, the project actively engages both students and parents in designing interventions for school strengthening and functioning, via various implementation and advocacy committees and roundtable events. *School Management Committees, supervised by Village Councils*, actively encourage community inputs, ensure adequate representation of opinions and suggestions of vulnerable groups, and participate in capacity building activities.

#### **Good Practices**

- CESA/SEP have not been presented as stand-alone agendas, but instead harmonized into the government's core approaches and strategies.
- Project activities were designed and planned based on consultations with a range of categories of stakeholders at different levels. The SEP was developed with the engagement of not only (direct and indirect) project beneficiaries but in consultation with a broader group of stakeholders involved in overall education in Nagaland.
- The SEP is a living document with updates made on an ongoing basis according to the feedback and monitoring findings received through the SEP monthly reports.
- An inclusive approach was applied in the selection of target schools and grant recipients which, beyond the performance of schools, gave priority to underserved schools in remote locations and those serving marginalized and vulnerable groups.
- Stakeholder engagement activities have evolved over the course of the project cycle. Early phase activities focused on awareness-raising and sensitization, while subsequent activities emphasized beneficiary feedback and engagement in decision-making.
- Stakeholder consultations played an important part in informing decisions related to the selection of the school complexes (lighthouse schools) in every district that will be eligible to receive supplementary learning environment support. Stakeholder engagement also served to inform the nature of this support (including infrastructure reforms, digital support to improve teaching pedagogy, enhanced school-community interaction, and the creation of safe learning spaces, for example through the adoption of protocols to address school-related gender-based violence).

#### **Challenges**

- Although the implementation of the SEP is monitored monthly by the PIU, the project lacks a system (e.g., a digital dashboard) to allow for analyzing the massive amount of information collected from the monthly SEP reports and tracking the resolution of issues raised. As a result, there is no way to ensure that all complaints and feedback received have actually been addressed and to close the feedback loop.

<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>• Strategic thinking is required to update and utilize the SEP as a strong channel of CESA and stakeholder engagement, while also managing the expectations of the various stakeholders.</li> <li>• Embedding ESF/CESA practices into the project itself across all components and activities, rather than organizing them standalone activities, has facilitated buy-in and implementation.</li> <li>• Engagement of high-level government entities is key to building ownership and ensuring prioritization of the CESA and ESF agendas.</li> <li>• The team suggested that it would be useful if the Bank can provide simplified templates for SEP and CESA monitoring to facilitate implementation and buy-in.</li> </ul>
<p><b>Budget/Source of Financing</b></p> <p>The PIU has dedicated specialists for both CESA and ESF. While there has been no dedicated budget set aside for CESA or ESF work, given the large scale of the project, the PIU has been able to implement CESA and ESF work, even without a specifically allocated budget.</p>
<p><b>Contact Persons</b></p> <p>Meghna Sharma, Education Specialist/ Task Team Leader <a href="mailto:msharma9@worldbank.org">msharma9@worldbank.org</a>  Kanchan Rajeevsingh Parmar, Social Development Specialist <a href="mailto:kparmar@worldbank.org">kparmar@worldbank.org</a></p>
<p><b>More Information</b></p> <p><i>Stakeholder Engagement Plan:</i></p> <ul style="list-style-type: none"> <li>• <a href="https://worldbankgroup.sharepoint.com/sites/P172213/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FP172213%2FShared%20Documents%2FProject%2FStakeholder%20Engagement%20Plan%20%28SEP%29%20%2D%20Nagaland%20Enhancing%20Classroom%20Teaching%20and%20Resources%20%2D%20P172213%2Epdf&amp;parent=%2Fsites%2FP172213%2FShared%20Documents%2FProject%2F">https://worldbankgroup.sharepoint.com/sites/P172213/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FP172213%2FShared%20Documents%2FProject%2FStakeholder%20Engagement%20Plan%20%28SEP%29%20%2D%20Nagaland%20Enhancing%20Classroom%20Teaching%20and%20Resources%20%2D%20P172213%2Epdf&amp;parent=%2Fsites%2FP172213%2FShared%20Documents%2FProject%2F</a></li> </ul> <p><i>Articles:</i></p> <ul style="list-style-type: none"> <li>• Nagaland Post – Various activities organized for students, faculty: <a href="https://nagalandpost.com/index.php/various-activities-organised-for-students-faculty/">https://nagalandpost.com/index.php/various-activities-organised-for-students-faculty/</a></li> <li>• The Morung Express – Nagaland: Govt teachers urged to give their best to impart quality education: <a href="https://morungexpress.com/nagaland-govt-teachers-urged-to-give-their-best-to-impart-quality-education">https://morungexpress.com/nagaland-govt-teachers-urged-to-give-their-best-to-impart-quality-education</a></li> <li>• Northeast Now – Nagaland: Enhancing classroom teaching and resource project launched: <a href="https://nenow.in/north-east-news/nagaland/nagaland-enhancing-classroom-teaching-and-resource-project-launched.html">https://nenow.in/north-east-news/nagaland/nagaland-enhancing-classroom-teaching-and-resource-project-launched.html</a></li> </ul>

<b>Case Study 2.19: Swachh Bharat Mission Support Operation Project (ID19929) (2016-2021)</b>			
<b>Project/Product Type:</b> P4R	<b>Region:</b> SAR	<b>Country:</b> India	<b>GP/Sector:</b> Water and Sanitation
<b>Key Features:</b> The project provides an example of an effective nation-wide social mobilization campaign aimed at changing public behavior towards sanitation, implemented through exemplary public participation and capacity building of in-country systems.			
<b>PDOs:</b> To reduce open defecation in rural areas and strengthen drinking water and sanitation authorities' capacity to manage the national Swachh Bharat Mission program.			
<b>Summary Description</b>			

In the framework of the Swachh Bharat Mission (SBM) to eliminate open defecation in rural areas, a national campaign was implemented involving behavior change, construction of household-owned and community-owned toilets and establishing mechanisms for monitoring toilet construction and usage. Under the mission, villages, Gram Panchayats, Districts, States and Union Territories in India were competing for declaring themselves "open-defecation free" (ODF). The communities were nudged into adopting safe and sustainable sanitation practices through effective Behaviour Change Communication (BCC), as well as generating a demand for sanitary facilities in households, community, and villages, and for Solid and Liquid Waste Management activities. The BCC involved a massive grassroots social mobilization spearheaded by trained community facilitators. Community-led and third-party monitoring instruments were developed to track implementation.

#### **Good Practices**

- *The program's overall strategy included:* augmenting the institutional capacity of districts for undertaking intensive behavior change activities at the grassroots level; strengthening the capacity of implementing agencies to roll out the program in a time-bound manner and measure collective outcomes; and incentivizing the performance of state level institutions to implement behavioral change activities in communities.
- *A dedicated, trained and properly incentivized community sanitation workforce was built at the Gram Panchayat (GP) level. An army of frontline community mobilizers 'swachhagrahis' was developed and engaged through existing arrangements like Panchayati Raj institutions, co-operatives, Anganwadi workers, community-based organizations, women, and self-help groups. The swachhagrahis were key pillars of community education and mobilization. They triggered sanitation action within their communities using the Community-Led Total Sanitation (CLTS) approach; supported the GPs in the preparation of a timebound village-level action plan to eliminate open defecation; conducted household visits to generate demand for toilet construction and use and raise awareness about safe sanitation and hygiene; provided information on appropriate toilet technologies; supported the supply chain management; monitored the quality of construction of toilets and facilitated in training and coordinating with masons.*
- *A robust monitoring system was put in place across the country to monitor the ODF (open defecation free) status of villages, the implementation of solid and liquid waste management projects as well as the construction and use of household, school and Anganwadi toilets, and Community Sanitary Complexes. This monitoring system relied extensively upon community-led arrangements, social audits, GRMs, community-based monitoring and vigilance committees that helped in creating peer pressure.*
- *Extensive participation and engagement of citizens (financially or otherwise) in the setting up of the toilets was encouraged to promote ownership and sustainability, both at the household and community levels.*
- *[Annual surveys \(Swachh Survekshan Grameen\)](#), conducted by the Department of Drinking Water and Sanitation since 2018, serve to rank states and districts across India based on their performance on key quantitative and qualitative SBM sanitation parameters.*
- *A national database for local sanitation solutions was created using methodologies of 'organizational knowledge sharing'. More than 200 local community facilitators and sanitation officials from 75 districts in four states with high levels of open defecation were trained in creating and packaging local sanitation solutions and lessons in a user-friendly manner. Building*



on existing practices to communicate local lessons, a story-telling approach was used, to emphasize not only ‘what’ has been achieved on sanitation, but also ‘how.’

## Results and Success Factors

### Results

- An unprecedented rise in Indian villages attaining the ODF status owing to community involvement in the construction of toilets and widespread adoption of hygiene and sanitation related behavior change within the last five years. Progress is publicly reported on the [live dashboard of the Department of Drinking Water and Sanitation](#), where the situation with improving sanitation is constantly monitored and villages are classified as: aspirants, performers, achievers, high achievers, or front runners.

### Success factors

- *Political leadership* - Integral to the success of the SBM efforts was the push from the highest political level, trickling down to the bottom layer of public servants and local communities. The Indian Prime Minister, Narendra Modi, kickstarted this initiative in 2014 and was considered the “communicator-in-chief”. Political championship was a great incentive for scaling up India’s sanitation efforts, and this model is being replicated elsewhere, such as in the case of the “[Clean Nigeria: Use the Toilet](#)” campaign that was kickstarted by the President of Nigeria to make Nigeria open defecation free by 2025.
- *People’s participation* - Rallying grassroots participation, supported by motivated facilitators and competition among communities, was one of the central pillars of the success of the SBM. Besides the community mobilizers, people from all walks of life contributed in some way to the country’s ODF agenda showing that behavior change and communication campaigns that spur beneficiaries to take ownership of sanitation efforts can go a long way in accomplishing safe sanitation practices in any community, country, or region.
- *Incentivizing rural sanitation* - Provision of incentives for rural households in addition to extensive motivational and behavioral change interventions was used to maximize coverage and attain community outcomes towards the ODF status.

## Challenges

- *The scale and quality of implementation* - Although the project design was built on flexibility and a decentralized approach, rolling out a nation-wide social mobilization campaign involving all states and territories of India and ensuring same quality of implementation across the board was challenging. It was possible though after a great number of trained facilitators was made available.
- *Monitoring* - Along with the availability of quality infrastructure, community-level behavioral changes had to be integrated in the monitoring system to ensure sustainable and habit-forming behavior for toilet use – this was tackled through standardizing the monitoring system across the country.

## Lessons

- For achieving success in applying the fundamentally new approach where investments in the construction of toilets was tightly linked to its usage, large-scale social mobilization for behavior change was critical at the community level.

<ul style="list-style-type: none"> <li>The ODF villages could not be achieved without all the households and individuals conforming to the desired behavior of toilet use every day and every time, community action and generation of peer pressure on the outliers were key important elements of the behavior change campaign.</li> </ul>
<p><b>Budget/Source of Financing</b></p> <p>No earmarked funding assigned under the P4R for the CE component. CE outcomes were part of the conditionality and performance-based funding of the program.</p>
<p><b>Contact Person</b></p> <p>Neti Raghava, TTL, <a href="mailto:nraghava@worldbank.org">nraghava@worldbank.org</a></p>
<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>India – Swachh Bharat Mission Support Operation Project (Program Information Document): <a href="https://documents.worldbank.org/en/publication/documents-reports/documentdetail/850971468033846496/india-swachh-bharat-mission-support-operation-project">https://documents.worldbank.org/en/publication/documents-reports/documentdetail/850971468033846496/india-swachh-bharat-mission-support-operation-project</a></li> <li>Wikipedia – Swachh Bharat Mission: <a href="https://en.wikipedia.org/wiki/Swachh_Bharat_Mission">https://en.wikipedia.org/wiki/Swachh_Bharat_Mission</a></li> <li>Swachh Bharat Mission (Government of India): <a href="https://swachhbharatmission.gov.in/sbmcms/index.htm">https://swachhbharatmission.gov.in/sbmcms/index.htm</a></li> <li>Swachh Bharat Mission Guidelines (Government of India): <a href="https://swachhbharatmission.gov.in/sbmcms/writereaddata/images/pdf/Guidelines/Complete-set-guidelines.pdf">https://swachhbharatmission.gov.in/sbmcms/writereaddata/images/pdf/Guidelines/Complete-set-guidelines.pdf</a></li> <li>Department of Drinking Water and Sanitation (Government of India): <a href="https://jalshakti-ddws.gov.in/en">https://jalshakti-ddws.gov.in/en</a></li> <li>SBM(G) Capacity Building Dashboard: <a href="https://watersanitationlearning.gov.in">https://watersanitationlearning.gov.in</a></li> <li>World Bank Blogs – Changing the village, changing the country: <a href="https://blogs.worldbank.org/water/changing-village-changing-country">https://blogs.worldbank.org/water/changing-village-changing-country</a></li> <li>India Water Portal – Swachhagrahis: The frontline workers of India’s largest sanitation program: <a href="https://www.indiawaterportal.org/articles/swachhagrahis-frontline-workers-indias-largest-sanitation-program">https://www.indiawaterportal.org/articles/swachhagrahis-frontline-workers-indias-largest-sanitation-program</a></li> </ul>

<b>Case Study 2.20: Punjab Public Management Reform Program (P132234) (2014 – 2018)</b>			
<b>Project/Product Type:</b> PforR	<b>Region:</b> SAR	<b>Country:</b> Pakistan	<b>GP/Sector:</b> Public administration
<b>Key Features:</b> This P4R offers a good example of a systems approach that aims to match 'supply' and "demand" sides of SA by establishing a sustainable, mobile-based system for monitoring the performance of public service providers.			
<b>Implementing Agencies:</b> Planning and Development Board, Punjab Resource Management Program, Punjab Information Technology Board, Excise & Taxation Department, Punjab Public Procurement Regulatory Authority			
<b>PDO:</b> Improve transparency and resource management of targeted departments of the Province of Punjab.			

## Summary Description

The Punjab Public Management Reform Program, prepared in a context of volatile fiscal, macro-economic and security conditions, was the first governance sector PforR in Pakistan. Following a period of strong economic growth in the early 2000s, Punjab faced significant service delivery challenges in a context of limited fiscal space and capacities. Critical constraints to service delivery were (i) a lack of accountability due to limited transparency and access to information for citizens and decision-makers about available services and service delivery performance; and (ii) resource management challenges related to low provincial own-source revenues and challenges in public procurement.

As part of a broader Governance Reform Program in Punjab which aimed to improve governance and delivery of public services, the project was designed to include an explicit focus on social accountability and a performance monitoring system.

The concept of CESA was already introduced in Punjab, when a provincial e-hotline to strengthen the accountability of public service delivery was established under the former Chief Minister Office of the province, who recently became the Federal Prime Minister. In general, the Punjab government is known for being a pioneer of ambitious reforms.

*Improvements on the supply side.* To enhance service delivery effectiveness and efficiency (including addressing key constraints such as a disconnect between the departmental heads and field offices, and inefficient manual data management), the project chose to focus on management processes and accountability linkages by digitalizing field records and monitoring the performance of the field staff, supported by a system of internal sanctions and incentives. For instance, during previous vaccination campaigns people would come for a vaccination, find facilities closed and leave without receiving the service. In some cases, health providers would only visit easily accessible areas for vaccination campaign. Now health providers are obliged to input data via a smartphone or device, which is linked up with the MIS at the central level, whereby the health department can instantly monitor vaccination dynamics for each area. Polio infections were monitored in the same way, informing effective and timely policy decision making.

*Improvements on the demand side.* Following the Punjab Transparency and RTI Act 2013, the Government of Punjab became more open. Citizens now have access to information on institutions, policies, and projects through websites of 84 provincial public entities and service providing facilities. They can also enquire about public services through a 24/7 Citizen's Contact Center established in Lahore. Establishing a system of pro-active citizen feedback was another innovation introduced in the province. Rather than waiting for citizen complaints, the provincial government proactively seeks feedback from citizens through calls and text messages. More than two million users of public (health, revenue, police, etc.) services receive automated calls with the chief minister's voice followed by a text message (SMS) enquiring about the quality of service received. It is the first large-scale mobile application for day-to-day management of a public agency in the country. The information is automatically uploaded and validated into a database. A data dashboard, with open public access, generates real time reports with user-friendly charts and maps, from which the citizens can see the performance of facilities in their area. This is particularly relevant since poor performance and staff absenteeism are critical and persistent challenges for Pakistan and many countries in the region. Citizens can now monitor the performance of public agencies and facilities in their area, including how they compare to other areas and changes over time.

## Good Practices

- This e-governance innovation example shows how the improvement of internal systems of public agencies performance monitoring (supply side) and investments in citizen feedback (demand side) can be mutually reinforcing for improving public service accountability and outcomes.
- Performance monitoring and citizen feedback systems are institutionalised in Punjab. The potential for wider application of the innovative approaches introduced is vast both within and outside the province.

## **Results and Success Factors**

### *Results*

- The number of inquiries and feedback calls increased from 50,000 calls received in 2013 to 2.9 million in 2018.
- Province wide, 161 citizens facilitation centers have been set up to provide selected services under one roof and closer to the citizens, promoting social accountability in the province.
- More than 300,000 citizens have used these centers, and 8,000 have reported corruption of some kind. As a result, several officials have been sanctioned, and district officers are being asked to explain patterns of corruption or bad service. Resulting legal action was possible due to internal systemic commitment to sanction misconduct.
- E-governance reforms piloted in Punjab have been replicated in other provinces of Pakistan.
- Multiple impressive positive outcomes in various sectors have been observed in terms of improved access and quality of services (including in public health, education, agriculture, etc.).

### *Success factors*

- Political will behind the reform, provincial leadership able to “sell” the reform to the public sector.
- Solidly designed interventions backed by analytical studies and pilot experiences, with clear indicators and sub-targets aligned with policy decisions of the government.
- A capable, visionary, and client-oriented implementing agency. The Punjab Information Technology Board is a public agency with a corporate organizational culture and a pioneer of IT in governance in the country.
- Ability to show results and value for money borrowed. Targeting a wide range of state-citizen interactions (education, health livestock, irrigation, agriculture, etc.) made service delivery improvements more visible, and helped to spawn political ownership.
- Highly capable task team of the World Bank (including people with former public service experience from Punjab) with little turnover of the TTL.
- Effective communication thanks to coordinated policies and the use of multiple channels, targeting government officials and the public.
- Ability to launch a follow up program for consolidating the achievements and scaling up (PRIDE - Punjab Resource Improvement and Digital Effectiveness Program).
- Healthy competition between the provinces for implementing governance reforms.

## **Challenges**

- The citizen feedback model was less effective in non-competitive constituencies where apparent patronage systems rule and politically connected inspectors and doctors were less sensitive to citizen feedback monitoring.

<ul style="list-style-type: none"> <li>The project was the first P4R in Pakistan. Classically PforR is a budgetary support instrument with no direct engagement of WB staff, which constrained the implementation of CESA initiatives and the provision of external know-how and TA in this area (as TA was not integrated into the project budget, however an EFO was linked with the program for activities to support RTI act).</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>TA provision to CESA should be an integral part of P4R interventions.</li> <li>The potential for leapfrogging in government data collection and MIS is huge in the context of the recent penetration mobile technologies. However, without political commitment, a good change management strategy and relevant policies, as well as citizen engagement, technology alone cannot guarantee social accountability.</li> </ul>
<p><b>Budget/Source of Financing</b></p> <p>A lot of capacity building and hand holding from WB staff and consultants was required to support the new PforR instrument and the introduction of CESA innovations. Bank budget was used for funding the CE activities.</p>
<p><b>Contact Persons</b></p> <p>Irum Touqeer, Public Sector Specialist and TTL <a href="mailto:itouqeer@worldbank.org">itouqeer@worldbank.org</a>  Sajid Latif, Director General E-Governance, PITB <a href="mailto:latif.sajid@pitb.gov.pk">latif.sajid@pitb.gov.pk</a></p>
<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>Pakistan: Punjab Public Management Reform Project: <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P132234">https://projects.worldbank.org/en/projects-operations/project-detail/P132234</a></li> <li>Pakistan – Punjab Public Management Reform Program Project (Implementation Completion and Results Report): <a href="https://documents.worldbank.org/en/publication/documents-reports/documentdetail/667331563725965478/pakistan-punjab-public-management-reform-program-project">https://documents.worldbank.org/en/publication/documents-reports/documentdetail/667331563725965478/pakistan-punjab-public-management-reform-program-project</a></li> <li>World Bank Blogs – M-Government? – Innovations from Punjab: <a href="https://blogs.worldbank.org/governance/m-government-innovations-punjab/">https://blogs.worldbank.org/governance/m-government-innovations-punjab/</a></li> <li>IDA Implementation Completion and Results Report – Punjab Public Management Reform Program: <a href="https://documents1.worldbank.org/curated/ar/667331563725965478/pdf/Pakistan-Punjab-Public-Management-Reform-Program-Project.pdf">https://documents1.worldbank.org/curated/ar/667331563725965478/pdf/Pakistan-Punjab-Public-Management-Reform-Program-Project.pdf</a></li> <li>World Bank Blogs – Technology is transforming governance in Pakistan: <a href="https://blogs.worldbank.org/endpovertyinsouthasia/technology-transforming-governance-pakistan">https://blogs.worldbank.org/endpovertyinsouthasia/technology-transforming-governance-pakistan</a></li> <li>The Economist – Zapping mosquitoes, and corruption: <a href="https://www.economist.com/technology-quarterly/2013/06/01/zapping-mosquitoes-and-corruption">https://www.economist.com/technology-quarterly/2013/06/01/zapping-mosquitoes-and-corruption</a></li> </ul>

<b>Case Study 2.21: Bangladesh Rural Water, Sanitation and Hygiene for Human Capital Development Project (P169342) (2021-2025)</b>			
<b>Project/Product Type:</b> IPF	<b>Region:</b> SAR	<b>Country:</b> Bangladesh	<b>GP/Sector:</b> Water and sanitation

**Key Features:** The project prioritizes community-level human capital and institutional strengthening to influence behavior change and manage the local systems.

**PDO:** The project objective is to: (a) improve access to 'safely managed' water supply and sanitation, and (b) strengthen sector institutional capacity for water and sanitation.

### **Summary Description of CESA Example**

Community engagement is the most important part of this project which is being implemented in the rural areas of Bangladesh in 30 districts of 98 upazilas. The project provides household loans for water improvement, sanitation and hygiene facilities, along with the investments into the WASH market services development. The project's strategy involves handing over the improved water and sanitation infrastructure to communities for operation and maintenance. Citizen engagement is implemented through community meetings, participatory committees, GRM and social audits - which are integrated into the SEP, mainstreamed into the Project Operational Manual and incorporated into the obligations of each contractor on the ground.

### **Good Practices**

Communities are engaged from the first step of site selection for project implementation. Through community orientation sessions, information about the project is shared, community needs are assessed, and community contributions are discussed.

A four-tier GRM, that includes Union, Upazila, District and National level Grievance Committees, is well known to communities. Most grievances are effectively redressed at the lowest Union level (if not resolved within 10 days they move to the Upazila level or higher).

The Department of Public Health Engineering (DPHE) is both an implementor and beneficiary of capacity strengthening. Monitoring of project implementation (including performance, procurement, fiduciary, E&S safeguards, development and implementation of the SEP) is undertaken by the DPHE and the government-established apex foundation, PKSF.

### **Results and Success Factors**

#### Project Results

- Behavioural change at the household level related to WASH practices is taking place.
- First signs of sustainability of implemented community level WASH projects.
- Conducting post-project monitoring of infrastructure maintenance and community engagement has become a standard practice of the client.

#### Success factors

- The project developed detailed Operational Manuals with clearly defined roles and responsibilities of each stakeholder as well as GRM and other processes to facilitate better engagement and communication between the contractor, government, and the community.
- An intensive communication campaign was instrumental to shifting WASH related behaviour of community members.
- An enabling national policy environment contributed to success. This includes the national Vision to achieve universal access to safe & affordable drinking water for all and ensure access to adequate and equitable sanitation and hygiene by 2030, along with the government's community-led total sanitation (CLTS) approach to mobilizing communities to identify the negative effects of open defecation and to take action to eliminate it, and development of sanitation entrepreneurship.

### **Challenges**

- Implementing citizen engagement in the context of market-driven solutions for the WASH sector was a challenge.

<ul style="list-style-type: none"> <li>• The capacity development of 57 microfinance institutions (sub-partners of the project) on citizen engagement requires time.</li> </ul>
<p><b>Lessons</b></p> <ul style="list-style-type: none"> <li>• Community engagement is crucial for addressing safeguard issues and finding consensus on controversial issues (e.g., assigning/donating land for construction of the sanitation infrastructure, identifying eligible beneficiaries for pit-latrines, etc.).</li> <li>• Citizen engagement is operationalized only when it is included into the contractors' Terms of Reference, well understood and accepted by the contractors.</li> <li>• When empowered from the project start, communities can play their role in a very responsible manner which is a pre-condition for the sustainability of the implemented community-level infrastructure.</li> </ul>
<p><b>Budget/Source of Financing</b> Bank budget</p>
<p><b>Contact Persons</b> Kirti Nishan Chakma, Social Development Specialist, <a href="mailto:knchakma@worldbank.org">knchakma@worldbank.org</a>; Rokeya Ahmed, Senior Water Supply and Sanitation Specialist, <a href="mailto:rahmed3@worldbank.org">rahmed3@worldbank.org</a>; Sabah Moyeen, Senior Social Development Specialist, <a href="mailto:smoyeen@worldbank.org">smoyeen@worldbank.org</a></p>
<p><b>More Information</b></p> <ul style="list-style-type: none"> <li>• BD Rural Water, Sanitation and Hygiene for Human Capital Development Project: <a href="https://projects.worldbank.org/en/projects-operations/project-detail/P169342">https://projects.worldbank.org/en/projects-operations/project-detail/P169342</a></li> <li>• Project At A Glance (PKSF): <a href="https://pkf.org.bd/projects/bd-rural-wash-for-hcd-project/">https://pkf.org.bd/projects/bd-rural-wash-for-hcd-project/</a></li> </ul>

## Annex 3 - List of Individuals Consulted

### World Bank

1. Asli Gurkan, Senior Social Development Specialist, SSIGL
2. Benjamin Burckhart, Senior Social Development Specialist, SEAS1
3. Bruce Macphail, Senior Social Development Specialist, SLCSO
4. Bushra Binte Alam, Senior Health Specialist, HSAHP
5. Carolina Escobar Victoria, Social Development Consultant, Integrated Watershed Management of the Putumayo-Ica River Basin Project
6. Chris Finch, Senior Social Development Specialist, WB Kenya
7. Clelia Rontoyanni, Lead Public Sector Specialist, WB Pakistan
8. David Jijelava, Social Development Specialist, WB Georgia
9. David Warren, Practice Manager, SAES3
10. Deborah Beth Berger, Senior Social Development Specialist, WB MENA
11. Deepika Eranjanie Attygalle Senior Health Specialist, WB SAR
12. Dewi Susanti, Senior Research and Policy Consultant, WB Indonesia
13. Ditte Fallesen, Senior Social Development Specialist, WB Philippines
14. Erik Johnson, Senior Operations Officer, EAP SDN
15. Fithya Findie, Operations Officer, WB Cambodia
16. Harika Masud, Senior Social Development Specialist, SMNSO
17. Hélène Grandvoinet Lead Public Sector Specialist, EGVPF
18. Irum Touqeer, TTL, WB Pakistan
19. Janmejay Singh, Practice Manager, SEAS2
20. Jean Edouard Albert Saint-Geours, IFC
21. Kamakshi Nadisha Perera Mubarak, Social Development Specialist, SAWS1
22. Kamila Galeza, Social Development Specialist, SLCSO
23. Kanchan Rajeevsingh Parmar, Social Development Specialist, SSAS2
24. Leena Kempainen, Social Development Specialist SSAS1
25. Luiza Nora, Senior Social Development Specialist, SCASO
26. Maria Manuela Faria, Consultant, WB Cambodia
27. Maria Theresa G. Quinones, TTL, WB Philippines
28. Mariana Felicio, Senior Social Development Specialist, SSIGL
29. Mariia Nikitova, Social Development Specialist, WB Ukraine
30. Meghna Sharma, Education Specialist, HSAED
31. Mickey Chopra, Lead Health Specialist, HSAHP
32. Mio Takada, TTL, WB Philippines
33. Najat Yamouri, Senior Social Development Specialist, SWAGL
34. Nicolas Perrin, Practice Manager, SAWS1
35. Olena Doroshenko, TTL, WB Ukraine
36. Raghava Neti, Operational Specialist, WB India
37. Ramzi Afif Neman, Senior Operations Officer, MNCA5
38. Rawong Rojvanit, Operations Officer, WB Cambodia
39. Robin Mearnes, Practice Manager, SSAS1
40. Roland Lomme, Senior Governance Specialist, EMNGU
41. Rodolfo Tello, Senior Social Development Specialist, SAES3
42. Samina Yasmin, Agricultural Economist, South Asia Region Team of the Agriculture and Food Global Practice



43. Sandra Kdolsky, Consultant, SCASO
44. Sanjay Agarwal, Senior Social Development Specialist, SLCSO
45. Shanek Mario Fernando, Social Development Specialist, SSAS1
46. Sonja Riebandt, Consultant, SMNSO
47. Talaipek Torokulovich Koshmatov, Senior Agricultural Specialist, SCAAG, WB Kyrgyzstan
48. Toufiq Ahmed, Operations Officer, WB Cambodia
49. Valerie Morrica, Senior Social Development Specialist
50. Yuri Park, Social Development Specialist, SSIIGL

#### **Non-World Bank**

1. Bart Edes, McGill University and Asian Development Bank
2. Benjamin Guisasola Cabrera, Lima Metropolitan BRT North Extension Project Implementation Unit
3. Christian Donaldson, Oxfam
4. Eduardo Villegas, Integrated Watershed Management of the Putumayo-Ica River Basin Project Implementation Unit
5. Flavia Milano, Inter-American Development Bank
6. Jeff Thindwa, Ex-Program Manager of the Global Partnership for Social Accountability
7. John Clark, Partnership for Transparency Fund
8. Keam Han, National Committee for Subnational Democratic Development Secretariat, Cambodia
9. Mariami Begiashvili, State Road Department of Georgia
10. Marina Best, NGO and Civil Society Centre, Asian Development Bank
11. Ngy Chanpal, World Vision Cambodia
12. Pierre-Arnaud Barthel, Agence Française de Développement
13. Rachel Nadelman, Accountability Research Center, American University
14. Richard Holloway, Partnership for Transparency Fund
15. Rosario Gomez, Integrated Watershed Management of the Putumayo-Ica River Basin Project Implementation Unit
16. Sayed Ikram Afzali, Integrity Watch Afghanistan
17. Shaazka Beyerle, George Mason University and Georgetown University
18. Tanja Kuchenmüller, World Health Organization
19. Vinay Bhargava, Partnership for Transparency Fund
20. Vita Dumanska, Rukh Chesno NGO, Ukraine

## Annex 4 - List of Group Consultations and Key Findings

### 1. Focus group discussions with in-country CSO and PIU representatives

In the context of the CESA strategic review, a series of online focus group discussions (FGDs) were conducted to gather diverse perspectives and insights from key stakeholders. These discussions, involving representatives from Project Implementation Units (PIUs) and Civil Society Organizations (CSOs) with firsthand experience in implementing CESA initiatives, provided important perspectives of on the ground realities. FGDs with CSOs were held on March 28, 2023 with representatives from the EAP, SAR, AFR and MENA regions and on April 10 with representatives from LAC. Discussions with PIUs were held on March 30 and May 8 with representatives from the AFR and MENA regions and the SAR region respectively. A total of 52 CSO representatives and 32 PIU representatives were consulted.

#### Key messages from CSO representatives

Across the various regions engaged in discussion, common messages were:

- Respond to the need for more funding and long-term support for CSOs.
- Emphasize sustainability and beyond-project-level strategies.
- Strengthen third-party monitoring and grievance redress mechanisms.
- Support the development of national frameworks to facilitate relationships between the state and CSOs.
- Close the feedback loop and emphasize accountability.
- Importance of adequate human resources at the country level to act as intermediaries.
- Importance of anti-corruption measures and careful selection of NGOs/CSOs.
- Importance of grassroots-level interventions and institutionalizing citizen engagement at the national level.

#### I. EAP and SAR Regions

- Appreciation of the sincere efforts of Bank staff in consulting people and providing opportunities for diverse voices to be heard.
- Emphasize the importance of CESA in peacebuilding.
- Conduct more frequent engagement and improved quality and impact.
- Develop regional or country-level equivalents of GPSA for better on-the-ground support and monitoring.
- Adopt citizen-friendly technologies for feedback and grievance mechanisms.
- Do not overlook stateless persons, those at risk of statelessness, or refugees as "citizens" in engagement approaches.
- Conduct deeper and systematic engagement with target communities to understand root causes and develop solutions.
- Address the lack of engagement with local communities during the early stage of project design.
- Improve implementation and ensure consistent engagement throughout the project cycle.
- Align the Bank's CE framework with international standards and practices on disability inclusion.

#### II. AFR and MENA regions

- Build on positive results achieved with Community Scorecards in pilot projects.

- Support the development of more methodologies and tools for CESA at the national level (such as GRMs).
- Incentivize CSOs and community groups to independently monitor project activities.
- Support systems for CSO and community monitoring that can be sustained over time.
- Address the current lack of resources for civil society actors; provide more support and funding for CSOs.
- Ensure adequate human resources, specifically country-level World Bank staff as intermediaries between CSOs and the Bank.
- Strengthen the government's capacity (at all levels) in CESA themes.
- Develop a long-term vision and collaborate with other development partners for continuity.
- Support evidence-backed, grassroots advocacy in the context of policy reform.
- Emphasize the importance of transparency, accountability and good governance, at the country and community levels.
- Emphasize the anti-corruption aspect of CESA to prevent and detect corruption issues.
- Institutionalize sustained engagement with civil society at the national level.

### III. LAC Region

- **Communication:** Address language accessibility, digital accessibility to ensure knowledge of World Bank policies and safeguards. Enhance direct communication between the Bank and affected communities, especially in conflict zones.
- **Active participation:** Engage project beneficiaries as active participants from the earliest stage of project preparation.
- **Indigenous perspectives:** Address the lack of participation of indigenous peoples in project development and ensure continuous consultation and information sharing with indigenous communities throughout the project life cycle.
- **Implementation of regulations:** Address the gap between regulatory frameworks and their actual implementation in accordance with World Bank safeguards. Regulations highlighted were in regard to the rights of indigenous people.
- **Outreach to non-Spanish speaking populations:** Proactively reach out to populations that do not primarily speak Spanish. Publish key project information in local languages, taking into account the digital divide.
- **Staffing challenges:** Dealing with constant personnel changes is a challenge and impacts CESA efforts.
- **Documentation of experiences:** Document positive experiences and lessons learned.
- **Strategic national-level approach:** Move beyond project-level engagement to develop a strategic approach at the national level.
- **Trust building:** Emphasize the importance of building trust, particularly with indigenous peoples and marginalized social groups.
- **Nurturing political will:** Take steps, such as incentives and capacity development, to nurture political will and deepen engagement with government counterparts.
- **Monitoring:** Revise the current system of monitoring for compliance with CE corporate requirements to promote efficacy and incentives for higher quality CESA.

### Key messages from PIU representatives

Across the various regions engaged in discussion, common messages were:

- Allocate resources for the implementation of CESA activities and CESA capacity building at various levels (community to national level).
- Promote the institutionalization of CESA through enhanced government involvement and ownership of tools.

- Allow sufficient time to ensure meaningful stakeholder consultation, including with vulnerable groups.
- Incorporate citizen feedback through well-designed methodologies and stakeholder engagement plans.
- Strengthen third-party monitoring and grievance redress mechanisms for effective communication and resolution.
- Establish national frameworks to facilitate collaboration between the state and civil society organizations.
- Promote sustainability by empowering local actors and systematically closing the feedback loop.
- Utilize digital tools for real-time monitoring, feedback collection, and complaint resolution.

## I. AFR and MENA Region

- Focus on capacity building for CESA at various levels, including organizational, community, and stakeholder levels.
- Institutionalize CESA with government involvement and improve ownership of tools and documents related to CESA.
- Allocate more resources and funding for CESA activities and capacity building.
- Allow sufficient time for meaningful stakeholder consultation, particularly with vulnerable groups.
- Develop stakeholder engagement plans (SEPs) with meaningful content and purpose.
- Utilize well-designed methodologies to incorporate citizen feedback into project decision-making.
- Strengthen third-party monitoring and grievance redress mechanisms (GRMs) for effective communication and complaint resolution.
- Establish national frameworks to facilitate collaboration between the state and civil society organizations (CSOs).
- Emphasize the importance of always closing the feedback loop.
- Empower local actors for monitoring and oversight roles to enhance accountability.
- Facilitate communication and knowledge sharing among WB projects and countries.
- Improve representation and selection of stakeholders for better inclusivity.
- Ensure the sustainability of mechanisms and activities beyond the end of the project.
- Address funding and resource mobilization gaps for CESA activities.
- Support grassroots level interventions and community-level engagement.
- Strengthen knowledge management and sharing of experiences across sectors and countries.
- Address time constraints due to WB project cycle; allow for proper in-depth engagement.
- Identify project budget and direct financial support for CSO implementing partners.

## II. SAR Region

- Implement systemic communication, awareness building, and proactive information disclosure to encourage active engagement.
- Conduct community orientation sessions and provide safe spaces for discussing project benefits, potential negative impacts that may occur as a result of the project, and the trade-offs or compromises that individuals or the community may need to make for the successful implementation of the project.
- Adopt a structured participatory approach to citizen engagement, involving people at every step through information dissemination, communication, facilitation, consultative processes, and feedback closure.
- Design inclusive engagement strategies to encourage the participation of women and marginalized groups.
- Continuously engage stakeholders during project execution to build ownership and sustainability.
- Emphasize post-project operational and maintenance monitoring for a few years to ensure sustainability.
- Address capacity building needs, including training for national counterparts.
- Provide support for analysis/documentation and overcoming monitoring/reporting bottlenecks.

- Develop well-elaborated operational manuals that clearly define mechanisms and responsibilities for CESA.
- Implement lessons learned in ensuring a well-functioning grievance redress mechanism (GRM), such as using a tiered approach, multiple mechanisms, community representation in grievance committees, and closing the feedback loop.
- Utilize digital tools, such as GEMs, informational dashboards, and digital GRMs for real-time monitoring, feedback collection, and complaint resolution.

### III. EAP Region

- Utilizing and strengthening ICT systems for effective two-way communication with beneficiaries is especially prevalent in areas with geographic challenges.
- Modern approaches to designing communication can be effective by absorbing authentic and community-generated knowledge. Involvement of children and youth in generating and communicating knowledge related to environment.
- Emphasize the importance of investing into self-organisation and legalisation of collective action for the benefits of producers and farmers. Beneficiaries are systematically involved in rehabilitation sub-projects throughout through the Social Audit Committees.
- Identify how in rural areas community-based water management committees can be made more engaged in O&M and financially sustainable.
- Training and understanding technical issues proves to be essential for effective social audit committees functioning and interfacing constructively with contractors.

### IV. ECA Region

- Communication plays a crucial role in citizen engagement and needs improvement, including the better use of Information and Communication Technology (ICT).
- Citizen engagement provisions are often included in governance processes, but there is a lack of widespread utilization, especially in rural areas.
- Reluctance to participate voluntarily and limited local ownership are common challenges in engaging citizens.
- Utilizing frameworks like the Open Government Partnership (OGP) can enhance citizen engagement, but political commitment is essential.
- Information platforms exist, but they are predominantly used for one-way communication, highlighting the need for more feedback channels.
- Meaningful consultations and participatory experiences are being piloted in specific projects, but integrating them into regular governance processes is a challenge.
- Weak and under-resourced local governance systems can hinder effective citizen engagement.
- Developing e-platforms can facilitate communication between government entities and the population, improving citizen engagement.
- Public consultations face challenges related to timing, organization, and representation of civil society interests.
- Governance Risk Management (GRM) practices can contribute to successful citizen engagement across various projects and sectors.

## 2. Open online consultation

To expand accessibility for those unable to participate in online FGDs, the research team conducted an open online consultation from March through May 2023. The online questionnaire invited respondents to: identify the current strengths and weaknesses of the Bank's support for CESA and to propose potential actions that the Bank could undertake to further enhance citizen engagement and social accountability within the development projects it supports and more broadly. This section consolidates the diverse perspectives shared by the 33 individuals who responded to the online questionnaire.

## **Key Strengths**

### *Civil society respondents:*

- Project design focuses on citizens, aligning projects with their needs and aspirations.
- The Bank strengthens national systems for collaboration and inclusive decision-making.
- Financing supports the development and implementation of legislation on citizen participation.
- Capacity building empowers civil society organizations (CSOs) to advocate for citizen issues.
- Transparency and accountability are ensured through detailed project information.

### *PIU/government respondents:*

- Direct involvement of beneficiaries in project design and implementation.
- Strengthening monitoring and maintenance of infrastructure by project beneficiaries.
- Ownership of the project by beneficiaries for sustainability.
- Enhanced community participation in control, access, and quality of services.
- Financing and training of citizen engagement actors.
- Provision of necessary equipment, materials, and establishment of citizen engagement mechanisms.
- Valorization of beneficiaries and actors involved in the process.
- Participatory approach throughout the process.
- Accountability of stakeholders in development actions.
- Populations freely choose their priority development needs.
- Beneficiaries and civil society are involved in implementation and monitoring.
- Beneficiaries and other actors participate in the quality of work and interventions through the complaints management mechanism.
- Requirement/recommendation for the development of a Project Monitoring and Public Participation (PMPP)/Project Environmental and Social Plan (PEPP) associated with project implementation.
- Consideration of aspirations and needs of stakeholders in development projects.
- Safeguard specialists present in Country Project Units (UCPs).

### *Development agency respondents:*

- Implementation of new safeguard instruments like the Stakeholder Engagement Plan (SEP) and Labor Management Plan (LMP).
- Recognition of stakeholder engagement as a key factor for project success.
- Emphasis on citizen engagement through instruments like the Stakeholder Engagement Plan, Labor Mobilization Plan, and Environmental and Social Engagement Plan.

## **Key weaknesses and challenges**

### *Civil society respondents:*

- Low level of citizen involvement in projects necessitates exploring strategies to enhance participation at all implementation stages.
- Technical language and complex terms in information provision hinder understanding, simplifying language can improve accessibility and promote broader citizen engagement.
- Limited engagement of CSOs at subnational levels requires strengthening their involvement through support and resources.
- Absence of a unified action plan for CSOs undertaking sensitization, monitoring, and reporting activities hampers their effectiveness, establishing a plan would streamline engagement and strengthen social accountability measures.
- Funding challenges restrict active participation of subnational civil society organizations, exploring innovative financing mechanisms can promote transparency and accountability.

*PIU/government respondents:*

- Insufficient resources to support citizen engagement focal points.
- Low level of training for local actors.
- Limited involvement of social services in engagement mechanisms.
- Sustainability of established mechanisms.
- Insufficiency or absence of necessary technical and technological requirements.
- Service providers as limiting factors.
- Ensuring beneficiary engagement and ownership of project achievements.
- Limited involvement of the population in Bank activities.
- Complaints from communities affected by projects about lack of consultation and involvement.
- Lack of consideration for socio-cultural factors in beneficiary countries.
- Limited active participation without financial incentives.

*Development agency respondents:*

- Lack of full acceptance of new instruments by the population due to unpaid work requirements.
- Overlooking the aspect of unpaid work in project implementation.
- Dissatisfaction among beneficiaries of youth inclusion projects due to limited funding.
- Incentives needed for individuals engaged in stakeholder activities.
- Difficulty in the adoption of instruments by implementing agencies and stakeholders, hindering implementation.

## **Recommendations**

*Civil society respondents:*

- Involve civil society organizations and citizen representatives in development projects.
- Improve citizen engagement by sensitizing them about the nature, purpose, and impact of Bank-funded projects.
- Create participatory citizen programs in collaboration with government officials.
- Support advocacy and sensitization projects to highlight the Bank's intervention projects.
- Support civil society organizations in accessing and utilizing data available on World Bank platforms.
- Provide long-term financial support to civil society organizations.
- Strengthen the capacity of communities through civil society organizations.
- Initiate support programs for junior actors in civil society organizations.
- Enhance monitoring and support to civil society organizations.

*Government/PIU respondents:*

- Strengthen the capacities of committee members through training and provision of necessary equipment.
- Capitalize on project experiences in engagement and utilize these experiences for the benefit of new projects.
- Facilitate exchanges of experiences between projects on citizen engagement-related issues.
- Provide capacity building for the Project Implementation Unit (PIU) and other stakeholders.
- Propose a methodology to support the functioning of citizen engagement committees.
- Include a component in projects that supports the well-being and income of people affected by the project.
- Recruit specialists responsible for stakeholder mobilization and citizen engagement.
- Expand stakeholder consultations beyond the project coverage area.
- Develop plans and strategies for stakeholder mobilization that incorporate socio-historical and cultural approaches.
- Conduct studies to assess the level of citizen engagement and social responsibility in project implementation.
- Intensify training for UCPS on stakeholder mobilization tools and enhance communication with stakeholders.
- Improve project preparation and implementation processes.
- Consider developing a single Complaints Management Mechanism (CMM) per country.

*Development agency respondents:*

- Include a budget line for gender promotion in the design of projects and programs.
- Consider providing incentives for individuals engaged in stakeholder activities.
- Review funding policies for youth inclusion projects.
- Address the challenge of adoption by implementing agencies and stakeholders through awareness campaigns, capacity building, and targeted support.

### 3. Other consultations

The research team also benefitted from feedback and inputs received via the following group consultations (which involved a total of approximately 60 Bank staff and 100 non-Bank representatives):

- Meeting with World Bank CE Focal Points (25 attendees) - November 2022
- Meeting with AFD Citizen Engagement Team (5 attendees) - December 2022
- World Bank Expert Advisory Group Meetings (15 attendees)- January, March and May 2023
- LabStorm (24 attendees) - February 2023
- Group consultation with Burundi PIU representatives (18 attendees) - February 2023
- Meeting of MDB Working Group (15 attendees) - March 2023
- PTF Webinar on IDA20 and CSO Involvement (30 attendees)- March 2023
- Meeting with Selected Members of the WB CSO Working Group (8 attendees) - March 2023
- World Bank CESA Community of Practice Meeting (60 attendees) - March 23

In September and October 2023, a wide range of participants from interviews, FGDs and group consultations (both within and outside the Bank) were invited to review and comment on draft findings. Efforts were made to incorporate their reflections and inputs in the final Review.



## Annex 5 - Proposed Composite CESA Monitoring Indicator

The proposed composite CESA monitoring indicator is based on eight quality and results-oriented CESA criteria - four at the country/systems level (Part A) and four at the project/portfolio level (Part B). Each criterion is scored individually from 0 to 3, based on the descriptive guideposts. Scores are subsequently aggregated, with equal weight given to each criterion, resulting in an aggregate country-level CESA score of 0 to 3.

### Part A - Quality of CESA at the Country/Systems Level

	<b>Criteria A.1: CESA commitments in CPF</b>	<b>Criteria A.2: Institutionalized country-level CESA mechanisms</b>	<b>Criteria A.3: Support for CESA enabling conditions and capacity development</b>	<b>Criteria A.4: Country-level results</b>
<i>Proposed data source:</i>	<i>Review of the current CPF or PLR</i>	<i>Survey question completed annually by a designated CMU representative</i>	<i>Survey question completed annually by a designated CMU representative</i>	<i>Annual WBG Country Opinion Survey (COS)<sup>2</sup></i>
	<b>Ideally, the CPF/PLR includes clear CESA commitments and results indicators.</b>	<b>Ideally, the Bank convenes or supports institutionalized sectoral or country-level CESA mechanisms.</b>	<b>Ideally, the Bank supports enabling conditions and/or capacity development for CESA at the country-level.</b>	<b>Ideally, in-country stakeholders feel that the Bank effectively supports constructive engagement with citizens and CSOs in processes of development dialogue, decision-making, implementation, and oversight.</b>
<b>0</b>	No mention of CESA in the CPF.	No sectoral or country-level CESA mechanisms.	No support for CESA enabling conditions and capacity development.	Less than 35% of COS respondents agree (or strongly agree) with the above statement.
<b>1</b>	CESA is mentioned in a generic way in the CPF, but there is no clear commitment or action.	Last FY, the CMU convened or supported one or more one-off CESA initiative at sectoral or country level.	Last FY, the CMU engaged in dialogue with government around enabling conditions/capacity development for CESA.	35 to 60% of COS respondents agree (or strongly agree) with the above statement.
<b>2</b>	CESA features in the title or description of the CPF's pillar/ focus area, cross-cutting theme, objective or results framework.	Last FY, the CMU convened or supported one or more mechanism for sustained/institutionalized citizen/CSO consultation.	Last FY, the CMU provided one-off support for CESA enabling conditions and/or capacity development.	61 to 85% of COS respondents agree (or strongly agree) with the above statement.

<sup>2</sup> It's proposed to base this criterion on a new COS question: *To what extent do you agree with the following statement? "The WBG effectively supports constructive engagement with citizens and CSOs in processes of development dialogue, decision-making, implementation and oversight"*. Possible responses: (i) Strongly agree (ii) Agree (iii) Disagree (iv) Strongly disagree.

3	The CPF includes a CESA indicator in its Results Framework and a CESA strategy, roadmap or action plan.	Last FY, the CMU convened or supported one or more mechanism for sustained/institutionalized citizen/CSO engagement in decision-making and/or oversight.	Last FY, the CMU supported one or more sustained or systems-level initiative aimed at promoting enabling conditions and/or capacity development for CESA.	More than 85% of COS respondents agree (or strongly agree) with the above statement.
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### Part B - Quality of CESA at the Project/Portfolio Level

	<b>Criteria B.1: Mainstreamed consultation (across the portfolio)</b>	<b>Criteria B.2: High quality, systems-level CESA (for operations in priority sectors)</b>	<b>Criteria B.3: Inclusive CESA (across the portfolio)</b>	<b>Criteria B.4: Achievement of results (across the portfolio)</b>
<i>Proposed data source:</i>	<i>Review of SEPs (or PADs) for projects (for all projects with identifiable beneficiaries)</i>	<i>Review of SEPs (or PADs) (for flagged projects in priority sectors)</i>	<i>Review of SEPs (or PADs) (for all projects with identifiable beneficiaries)</i>	<i>Review of ICRs (for all projects with identifiable beneficiaries)</i>
	<b>Ideally, all projects with identifiable beneficiaries (including DPF and P4R) make provisions to consult with citizens and close the feedback loop.</b>	<b>Ideally, projects in priority sectors adopt systems-level CESA mechanisms that give citizens a meaningful say in decision-making and oversight.</b>	<b>Ideally, project supported CESA mechanisms include specific provisions to ensure and monitor social inclusion.</b>	<b>Ideally, projects are successful in achieving the CESA targets set out in their results framework.</b>
<b>0</b>	No reporting on CESA indicators.	CESA mechanism to collect citizen feedback.	No specific provisions to promote socially inclusive CESA.	No reporting on CESA indicators at project completion.
<b>1</b>	The project reports on CESA indicators only after 4+ years of implementation.	CESA mechanism to engage citizens in decision-making or oversight at the community/local level.	Specific provisions to promote CESA practices that are gender equitable.	At completion, the project reports no progress or very little progress in achieving CESA targets and explains why.
<b>2</b>	The project reports on CESA indicators by Year 3.	CESA mechanism to engage citizens/CSOs in decision-making or oversight at the overall project level and/or higher systems-level.	Specific provisions to promote socially inclusive CESA practices that consider factors beyond gender.	At completion, CESA targets have been partially achieved.
<b>3</b>	The project reports on CESA indicators by Year 3 in a way that can be expected to contribute to improved project outcomes.	Institutionalized "vertically integrated" CESA mechanism that strengthens country systems and makes local to national linkages	Socially inclusive CESA practices that consider factors beyond gender and are monitored through the use of disaggregated indicators.	At project completion, CESA targets have been fully achieved or surpassed.

