ENGAGING WITH CITIZENS FOR IMPROVED DEVELOPMENT RESULTS

Towards a Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations

April, 2014

Motivation

External Factors

- Renewed focus on *effectiveness and results* in an environment of limited ODA

- Increasing focus on *the ultimate beneficiary* of development interventions

- Emerging evidence that *citizen engagement can improve results* under the right conditions

Internal Factors

- *Two goals*: Ending extreme poverty and boosting shared prosperity in an inclusive and sustainable way

- *WBG strategy* commitment to 'become a better listener'

- *President's announcement* to achieve beneficiary feedback in 100% of projects with clearly identifiable beneficiaries

EVOLUTION OF THE CONCEPT: OPENNESS — PARTICIPATION — ACCOUNTABILITY - RESULTS

2013: *President's Commitment to achieve* 100% beneficiary feedback In projects with clear beneficiaries

1982: *Bank's Indigenous People's Policy* is the first amongst multi-laterals and requires free, prior, and informed **consultation** as part of design of projects affecting indigenous peoples. Start of **global dialogue with CSOs** (to today)

2000: *WDR on Attacking Poverty* highlights **empowerment** alongside opportunity and security as the three elements of a comprehensive approach to directly address the needs of poor people

2004: *WDR on Making Services Work for the Poor* highlights the role of '**client power**' and '**voice**' in influencing the accountability relationships that make service delivery pro-poor

2007: The *Bank's first Governance and Anti-Corruption (GAC) Strategy* introduced **multi-stakeholder engagement** with demand side actors as one of its core principles

2011: *Zoellick's "A New Social Contract for Development" speech* brings citizen participation and social accountability at the center of the Bank's role in general and in the Middle East in particular. GAC Phase-2 puts **demand for good governance** as one of its core themes

2013: *The Change Management Team and the Implementation Leadership Team approves* the proposal "**Engaging with Citizens** in the Context of Country Program to Enhance Impact"

1996-99: *Wolfensohn's "cancer of corruption speech"* and launch of the **Participation** *Sourcebook* create the institutional mandate to work directly on governance and participation issues; Participatory process at core of **designing PRSPs**; role of civil society specified for monitoring and implementation

2002: The *Empowerment Sourcebook* identifies four key elements to empowerment – **access to information, participation, accountability**, and organizational capacity

2005: *Bank's first Social Development Strategy* identifies '**social accountability**', alongside inclusion and cohesion as one of the three pillars of socially sustainable development

2008: The *first GAC Benchmarking* exercise explicitly tracks '**transparency, accountability, and participation (TAP)**' efforts in the Bank

2012: The *World Bank's Updated GAC Strategy and Implementation Plan* places '**transparency and openness**' at its center and focuses on closer interaction between citizens and the state based on '**transparency, accountability, and participation**'

Source: SDV

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THE FRAMEWORK PROVIDES CONSISTENT DEFINITIONS

Citizen engagement

- *Two-way interaction* (between citizens and governments or the private sector) that involve in the process of decision-making *to improve development outcomes* of WBG operations

- *Information/communication* activities are necessary pre-conditions for citizen engagement but not sufficient, as they do not close the feedback loop

Beneficiary feedback

- *Consultation* and *collaboration* with *clearly identified (direct) project beneficiaries* during WBG project preparation, implementation and evaluation

- The WBG President's target of achieving *beneficiary feedback in 100% of projects with clearly identified (direct) beneficiaries* is proposed to be tracked based on results reporting on beneficiary feedback in investment loans

AN EVIDENCE BASED APPROACH: MAIN FINDINGS OF IMPACT ANALYSIS

Analysis of recent literature reveals:

- Mixed evidence of **impact** of citizen engagement **on high level development goals** such as poverty reduction

- Evidence that **citizen engagement can improve outcomes** in areas such as:

  ➢ Improved service delivery

  ➢ Better public financial management

  ➢ Ensuring good governance and anti-corruption

  ➢ Social inclusion of marginalized and vulnerable groups

  ➢ Environmental protection and natural resource management

- **Understanding context factors** is critical to designing citizen engagement for improved results

- **Ongoing need to strengthen the evidence base** in areas such as impact evaluations based on explicit results chains; context factors and sector-specific characteristics

IMPACT OF CITIZEN ENGAGEMENT ON KEY DEVELOPMENT OUTCOME AREAS

Examples		
Area	**Examples of Positive Impact**	**Examples of Caveats**
Service Delivery	A field and laboratory experiment of community-monitoring interventions in schools in Uganda found that it had a substantial positive impact on pupil test scores as well as the absenteeism rates of both teachers and pupils (Barr et al., 2012).	In Benin, Keefer and Khemani (2012) describe how households exposed to radio programming on the benefits of using bed nets to avoid malaria ended up paying for them, rather than using this information to hold local governments accountable for the free distribution of these bed nets.
Natural Resource Management	Mainhardt-Gibbs (2010) found that in a civil society organization survey, the Extractive Industry Transparency Initiative (EITI) process was felt to have resulted in enhanced CSO engagement in the extractives industries sector. This especially relates to increased availability of information and government recognition of civil society as part of the policy-making process.	Songorwa (1999) describes the ineffectual efforts of the Selous Conservation Program in Tanzania that attempted to recruit communities to conserve wildlife on their lands. Since community interest in this program depended on expectations of socioeconomic benefits, it waned quickly when such benefits did not materialize.

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RESULTS
RISKS
REFORMS

PROGRAM EXAMPLE:
FISCAL AND INSTITUTIONAL DEVELOPMENT POLICY LOAN SERIES FOR GUATEMALA

Objectives:

- Improving governance and transparency of public financial management and expenditures
- Strengthening the effectiveness of the *Mi Familia Progresa* Conditional Cash Transfer Program

CE mechanisms include consultations between Congress, the Executive and civil society.

Results:

- **The adoption of the Access to Public Information Law** led to the creation of specialized public information offices in 85 percent of central government agencies.
- **The creation of the Vice- Ministry of Fiscal Transparency and Evaluation** within the Ministry of Finance opened avenues for improved accountability, public participation and social auditing, and fighting corruption.
- **Targeting and transparency of the *Mi Familia Progresa* program** improved greatly. The program was extended into more than 270 municipalities to reach over 900,000 families. Improved execution of the program resulted in 100 percent of beneficiaries sending their children to school and attending required health check-ups.

Operational Lessons learned To Date

- Context analysis is key to inform country strategies and projects to tailor the design of sustainable CE interventions in WBG operations

- Building support for citizen engagement requires time and effort to mobilize multiple stakeholders (depending on context)

- Early results of citizen engagement help build buy-in during implementation

- Need to close the feedback loop more consistently

- ICT-enabled solutions can be a game changer but are not a panacea; examine potential to scale up the use of ICT-enabled solutions

- Monitoring, including the use of results indicators, has been inconsistent and clear guidance would be useful

- A systematic effort is required to increase and manage knowledge from multiple sources

- Technical support, skill building and staff guidance are necessary

PROJECT EXAMPLE:
INDONESIA'S NATIONAL PROGRAM FOR COMMUNITY EMPOWERMENT - PNPM MANDIRI

Objectives:

- **Have the communities design and approve their development agenda**. Communities are able to propose activities based on what they most need, and tailored to their context.

CE mechanisms include villages assemblies for communities to prepare and prioritize projects, and community participatory monitoring and the use complaints handling and grievance redress mechanisms.

Results: impact evaluation shows the programs enabled members of the community to eat better, to attend school for longer, to find jobs and set up businesses, to receive health care, and to participate in community and local political forums. For instance:

- **Household expenditures among the poor increased** by an average of 11 percent as a result of project investments, benefitting approximately 45 million poor people.

- **Infrastructure built by rural communities is 30-50 percent cheaper** than building it through normal government systems, with 85 percent of it found to be in good to very good condition five years after completion.

- **Child malnutrition has been reduced** 10 percent from the control level due to more frequent weight checks for young children and community participation to receive targeted maternal, neonatal and child health services.

- **Education indicators have also seen some improvement**, notably in a 0.8 percent rise in school participation rate among the primary school-age group.

Suggested Approach Moving Forward

- A more **consistent approach** to mainstream citizen engagement in WBG-supported operations

- Engage with citizens where it has the potential to **improve the results** of the WBG-supported operation

- Build on **existing entry points** in our policies, while not creating new policies

- Gradually fulfill the WBG President's commitment to **100% beneficiary feedback** in projects with clearly identified beneficiaries

- Help teams identify additional **context-specific opportunities** to engage with citizens for improved results

- Broaden focus from preparation to **implementation and evaluation**

- Improve **monitoring and reporting**

- Fine-tune the approach based on **continuous learning**, including from pilot efforts

Example: Third party monitoring of the World Bank's Country Assistance Strategy for Bangladesh (2011-2014)

Objectives: Third party monitoring of CAS implementation by foundations, CSOs and independent experts to:

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

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

Results: Preliminary findings of a third party monitoring report indicate that World Bank funds have been utilized effectively for:

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

The report also identifies additional opportunities for active beneficiary involvement and rigorous internal supervision of the implementation of public projects and programs.

Private Sector / IFC engagement with Citizens

- IFC's Sustainability Framework is a fundamental piece, and an integral part of IFC's risk management approach.
  - IFC E&S Policy and Performance Standards
  - Independent Recourse Mechanism
  - Strategic Community Investments
  - Commodity Roundtables
- IFC is adding entry points:
  - Country Level Programs with the Bank to establish a more evidence-based engagement model
  - Test with interested clients tools and methodologies with potential to support supplier / consumer feedback

Example: A One-Stop Shop for Local Communities, and Skills Development for Mining Suppliers

- *Skills Development for Mining Suppliers: In South Africa, IFC worked with a mining client to engage with local communities on skills development for local suppliers and contracting of local businesses as suppliers to the IFC client. Contracts were awarded to SMEs, these SME contracts have created direct and indirect jobs.*

IFC Advisory Project Example: Bangladesh Partnership for Cleaner Textile (PaCT)

> ➤ IFC is piloting advisory work to integrate citizen voice in public-private dialogue platforms

EXAMPLE: Transforming Bangladesh's textile sector

- The industry is an important driver of the national economy, but is an inefficient consumer of water, and a major polluter of water bodies.
- Consequence: <u>falling water levels and agricultural productivity, adverse health impact on citizens</u>
- Ambitious project targets:
  - help 200 factories introduce clean production practices
  - lay the ground for replication by others
  - <u>catalyze joint action by factories, communities and local governments towards "clean clusters".</u>

Transforming a sector requires multi-stakeholder, including citizen, engagement

- Link buyers, factories, financial institutions, sector associations, and local communities and government for coordinated action on water sustainability.
  - Global apparel buyers to develop and apply harmonized procurement guidelines
  - Leading industry association partnering to establish a Textile Technology Business Center
  - Textile Sustainability Platform being formed for multi-stakeholder dialogues
  - <u>In partnership with leading factories, PaCT will work with business, government, and communities in selected textile manufacturing clusters to develop and put in practice a vision for Clean Clusters.</u>

Through this process, three relationships will be transformed

- Between government and business, between businesses themselves, and <u>between businesses and citizens</u>

External Outreach

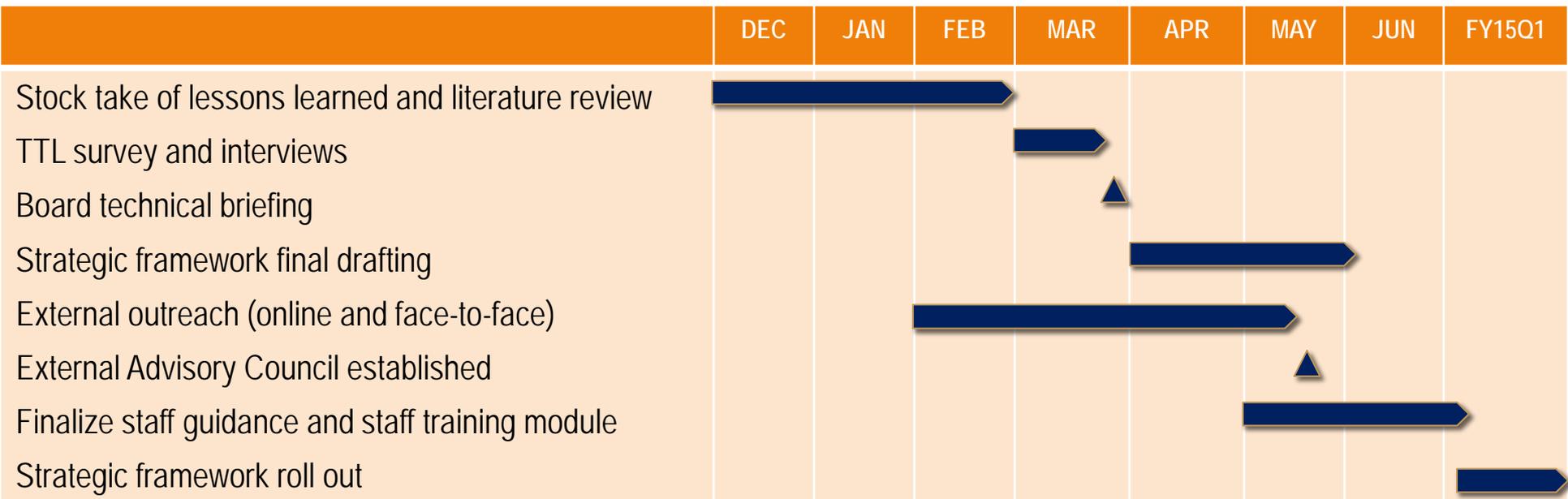| CE Advisory Council	• Diverse in membership and geographic coverage bringing a comprehensive range of perspectives and specialized expertise • Members to include CSO representatives (2), academics (2), private sector (2), government officials (2), foundations (2) and development partners (2) • Council will meet regularly to provide guidance on the CE Strategy development and implementation
Meetings	• Society for International Development (DC) – February 11, 2014 • Europe-based CSOs (London) – February 17, 2014 • DC-based CSOs – March 27, 2014 • Dialogue with Parliamentarians (PNOWB) at Spring Meetings – April 9, 2014 • Dialogue with CSOs at the Spring Meetings (Civil Society Forum) – April 10, 2014 • Dialogues in country offices (upcoming)
Web-based consultation	• Online consultation site to seek input to learn what works, when, why and how to build citizen engagement activities that contribute towards better results • Timeframe: February 19 – April 30, 2014

The Strategic Framework will be Rolled out in FY15

	DEC	JAN	FEB	MAR	APR	MAY	JUN	FY15Q1
Stock take of lessons learned and literature review	████	████	████					
TTL survey and interviews				███				
Board technical briefing				▲				
Strategic framework final drafting					████	████		
External outreach (online and face-to-face)			████	████	████			
External Advisory Council established						▲		
Finalize staff guidance and staff training module						████	████	
Strategic framework roll out								████

ANNEX

Examples of Citizen Engagement Mechanisms

	Preparation	Implementation	Evaluation
EMPOWER (Sustainable citizen engagement mechanisms through national systems)	• User/management committees	• Community Management • Procurement monitoring	• Independent budget evaluation
COLLABORATE (Citizens participation in all/part of decisions)	• Participatory Planning/Budgeting	• Community Contracting • Citizen/user 'management boards' • Input tracking	• Community monitoring • Citizen report card
CONSULT (Citizen feedback on analyses, alternatives, solutions)	• Focus groups • Citizen satisfaction Surveys • Design of Grievance Redress Mechanisms	• Community scorecard/oversight • Grievance Redress Mechanisms	• Citizen satisfaction surveys
INFORM (Information/ data on issues, alternatives, solutions)	• Publication of PCN • Website • Information campaigns • Citizen charters	• Publication of ISR • Budget literacy Campaign • Public reporting	• Publication of ICR • Publication of audits

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