

ENGAGING WITH CITIZENS FOR IMPROVED DEVELOPMENT RESULTS
STRATEGIC FRAMEWORK FOR MAINSTREAMING CITIZEN ENGAGEMENT IN WBG
OPERATIONS
CONCEPT NOTE

I. CONTEXT AND MOTIVATION

1. Citizen engagement is gaining momentum among development practitioners. The growing focus on engaging citizens in development is motivated by several external trends.
2. **A renewed focus on development effectiveness and results.** The acceleration of international efforts to achieve the Millennium Development Goals by 2015, an environment of declining ODA and the increasing reliance on the private sector for development finance, have intensified the focus on development effectiveness. Governments and shareholders emphasize a value-for-money approach and scrutinize outcomes and impacts of development interventions more closely than in the past. Development institutions are responding with a renewed focus on managing for results at corporate levels and at the level of programs, projects, and investments. Private companies are increasingly focusing on creating shared value by developing profitable business strategies that deliver tangible social benefit, including measurement approaches that link social and business results.¹ The ability of the private sector to contribute to the delivery of development goals² is also affected by the extent to which it can exert voice and participation in government decisions affecting the business environment.
3. Emerging evidence shows that citizen engagement, including beneficiary feedback, can lead to improved development results under the right conditions through better targeting of development interventions and improved monitoring of the performance of governments and service providers both from the public and the private sector perspective. Existing impact analyses and cases studies have found positive impact of citizen engagement on development outcomes in the area of service delivery; public financial management such as greater fiscal transparency, improved tax collection, and inclusion of citizen preferences in municipal, sectorial and national budgets; as well as social inclusion and, in some cases, on the reduction of extreme poverty.³ In addition, under the right conditions, citizen-participation processes can lead to better policy decisions and less costly and more sustainable policy implementation.⁴ In this regard, information constraints can distort incentives to provide social services to poor people.⁵ The proliferation of new information and communication technologies (ICT) can facilitate the interaction between citizens, service providers and governments. At the same time, not every citizen engagement process leads to positive results. Outcomes of citizen engagement are context-specific and depend on factors such as a country's political economy and governance

¹ Porter et al. (2011).

² The private sector can contribute to delivering development goals through the conventional way of creating jobs and delivering goods and services as well as through the creation of shared value.

³ Gaventa and Barrett (2010), World Bank (2013) and Wong (2012).

⁴ Irvin and Stansbury (2004) and Rocha, Menocal and Sharma (2008).

⁵ Keefer and Khemani (2005) and Reinikka and Svensson (2005).

environment; government, private sector and citizen capacity to engage and respond to feedback; cultural factors; citizens' trust in their governments etc.⁶

4. **The imperative of inclusion and growing demand for civic participation in development.** Recent economic literature confirms that economic growth alone does not lead to a reduction of poverty and inequality, leading to a renewed focus on inclusion and shared prosperity. The Fourth High Level Forum for Aid Effectiveness in Busan (2011) recognized that poverty and inequality remain the central challenge and called for new forms of development cooperation between states, development providers, civil society and the private sector. The emerging thinking on the post-2015 development framework is built on the principle of "leaving no one behind".⁷ Citizen engagement by the public and the private sector across all spectrums of society, including but not limited to CSOs, women, informal youth, vulnerable and marginalized groups, can help improve the design, targeting and implementation of development interventions to meet the needs of society's poorest and most marginalized. In addition, a satisfied and engaged citizenry can help prevent conflict and facilitate political stability, important pre-conditions for growth and poverty reduction. Furthermore, Civil Society Organizations (CSOs) are increasingly demanding to be consulted and engaged in designing and monitoring development interventions.

II. WORLD BANK GROUP (WBG) APPROACH TO CITIZEN ENGAGEMENT

5. The new World Bank Group Strategy, endorsed by the Governors at the 2013 Annual Meetings, sets a framework to align all WBG public and private sector interventions to the two goals of ending extreme poverty and promoting shared prosperity in a sustainable and inclusive manner. Inclusion entails empowering citizens to participate in the development process. Supporting country progress toward the two goals requires a new form of engagement by the WBG, moving from a mindset of the World Bank's public sector projects and IFC's private sector projects to a culture of integrated development solutions at the country level. The change process supporting the implementation of the WBG strategy aims to strengthen the focus on results, facilitate internal and external knowledge flows, seek transformational engagements (building on World Bank, IFC and MIGA synergies), and move to a culture of informed risk-taking.

6. **Engaging with citizens is not a new area for the WBG.** The World Bank's approach towards engaging with citizens has evolved over the past decade.

- The 2004 World Development Report for the first time emphasized the importance of empowering people to engage in policy making and monitor service providers. The 2007 Governance and Anticorruption (GAC) Strategy called for an increased integration of transparency, accountability and participation measures in World Bank projects and emphasized the importance of building the capacity of non-state actors such as CSOs, parliaments and the media.

⁶ O' Meally (2013).

⁷ United Nations (2013).

- The 2009 Guidance Note on World Bank Multi-Stakeholder Engagement notes that the World Bank’s work with CSOs has often been a source of innovative solutions to country needs and development challenges.
- In 2012, the update to the GAC strategy highlighted the importance of inclusive and open governance. Additionally, the Global Partnership for Social Accountability (GPSA) was launched to provide grant support to strengthen CSO capacity for social accountability initiatives such as third party monitoring.
- The World Bank is a champion of a number of open data and open government initiatives, leveraging the expanding use of information and communications technologies (ICTs), in line with growing recognition and evidence that access to information is a necessary but not sufficient condition for improved citizen participation in development interventions. Further work is required to strengthen demand side capacity, so that citizens can use open data and participate in open government initiatives to contribute to improved development results.
- In addition, consulting with citizens and project-affected people has been part of the World Bank’s policies for environmental and social impact management as well as the preparation of country assistance strategies and budget support operations.
- IFC has traditionally consulted communities and indigenous populations potentially affected by its investment and advisory services through mechanisms clearly defined in its Performance Standards. Additionally, IFC supports companies, communities, governments and CSOs to manage consultation mechanisms and build their capacity to use the resources coming from oil, gas, and mining operations. IFC has also been piloting two additional dimensions of citizen engagement: (i) suppliers / consumers feedback to individual businesses, which is the subject of the IFC work with client companies using consumer satisfaction and other innovative rapid assessment approaches and results measurement techniques; and (ii) on issues that extend into competitiveness, innovation, and sustainability, IFC is now extending public-private dialogue platforms to include citizens/communities through representative participation and voice in either bilateral conversations with businesses or trilateral dialogues that include governments, business and citizens.⁸

7. **Engaging with citizens is at the center of the WBG strengthened focus on results of its interventions.** It entails looking beyond the WBG’s direct clients as the government or the private sector to including citizens for the public sector and consumers / suppliers for the private sector. As part of this new approach, President Kim at the 2013 Annual Meetings committed to increase beneficiary feedback to 100 percent of projects with clearly identified beneficiaries. Citizen engagement, including beneficiary feedback, can support the WBG’s approach to development solutions in those WBG engagements where it can have the greatest impact, as well as by incorporating feedback that enables learning from implementation and mid-course correction.

⁸ IFC (2007).

III. OBJECTIVES, DEFINITIONS AND APPROACH TO MAINSTREAMING CITIZEN ENGAGEMENT IN WBG OPERATIONS

8. **Strategic Framework objectives.** The objective of the strategic framework is to mainstream citizen engagement in WBG supported policies, programs, projects and knowledge work to improve their development results and, within the scope of these operations, contribute to building sustainable national systems for citizen engagement with governments and the private sector. Progress towards this objective will be assessed using proposed indicators for their inclusion in program and project results frameworks. One targeted intermediate outcome of the strategic framework is to achieve 100 percent beneficiary feedback in World Bank projects with clearly identified (direct) beneficiaries.

9. **Definitions.** The strategic framework will use the following proposed definitions of citizens and beneficiaries, and will further evaluate their feasibility as it unfolds:

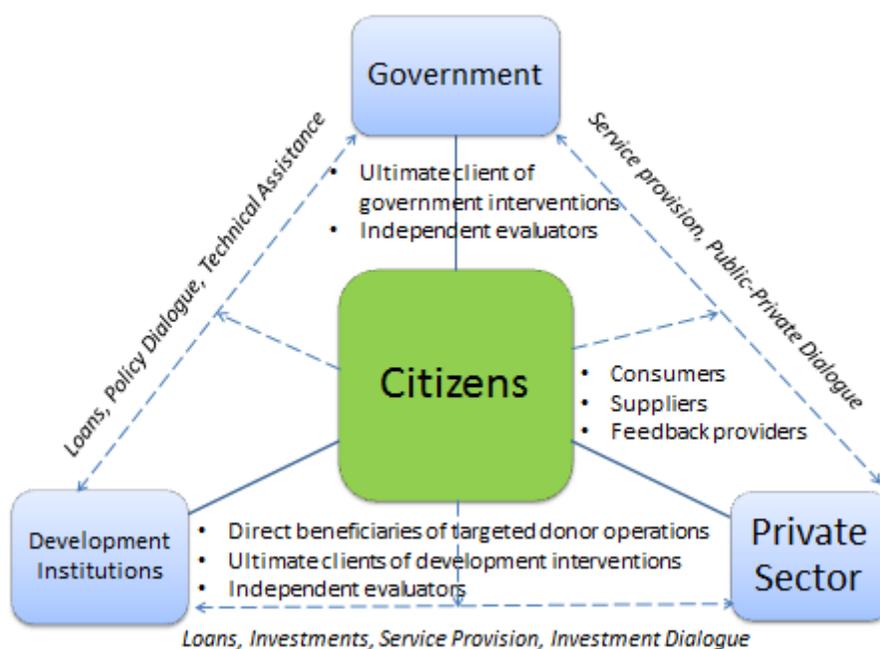
10. Citizens are understood as the ultimate client of government and/or development institutions' and private sector interventions in a country. Citizens can act as individuals or organize themselves in associations and groups, such as community-based groups, women's groups, indigenous peoples' groups etc. Civil Society Organizations (CSOs) can represent citizens and include organizations outside the public or for-profit sector, such as non-governmental organizations (NGOs), charitable organizations, faith-based organizations, foundations, academia, associations, and policy development and research institutes.

11. Beneficiaries are defined as a subset of citizens which are directly targeted by and expected to benefit from a development project. In the context of World Bank-financed operations, clearly identified project beneficiaries are understood to be citizens who directly benefit from a World Bank program or project (i.e., children who benefit from an immunization program; households that have a new piped water connection). As the large majority of such projects are provided through investment program financing (IPF), the target announced by the World Bank President of achieving 100 percent beneficiary feedback in World Bank projects with real beneficiaries will be tracked based on the use of beneficiary feedback mechanisms in IPF loans.⁹

12. The scope of the strategic framework for mainstreaming citizen engagement in WBG operations will include all types of interactions between citizens on the one side and governments, development institutions, and the private sector on the other side (as illustrated in Figure 1) as relevant in specific WBG-supported policy dialogues, programs, projects and knowledge work.

⁹ Financial Intermediary Loans (FILs) are not included as the Bank cannot identify the final beneficiary.

Figure 1. The different roles of citizens vis-à-vis the government, development institutions and the private sector in development interventions



Source: OPCS.

13. In relation to their governments and development institutions, citizens are the recipient of government services and direct or indirect beneficiaries of development institution interventions. In addition, citizens can act as independent, third-party evaluators of government and development institutions' services, investments and policies. Interactions with citizens can help improve targeting of development interventions, citizen satisfaction, the quality and reliability of goods and services provided, the effectiveness of grievance redress mechanisms, efficiency and transparency of procurement or budget allocation.

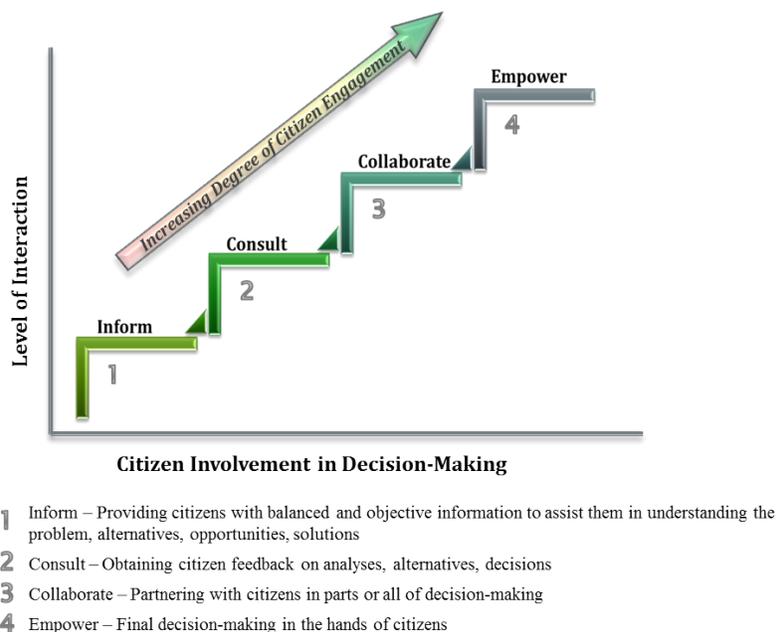
14. The private sector increasingly provides goods and services to citizens (e.g., access to markets, water, and sanitation) and exploits natural resources; therefore, it needs to answer to citizens regarding the overall quality of their offering of goods, services, and jobs, as well as for the care of the environment. Citizens, as consumers or suppliers, can provide useful information to businesses that may inform business decisions and impact profitability. Citizens can also provide feedback on government policies that shape the business environment, job creation and investments. Lastly, they can act as independent evaluators of private sector services which can improve the quality of goods and services delivered by businesses.

15. In the context of the strategic framework, *citizen engagement* is defined as the two-way interaction between citizens and governments or the private sector within the scope of WBG interventions (policy dialogue, programs, projects, knowledge work) which give citizens a stake in decision-making with the objective to improve intermediate and final development outcomes

of the intervention. The spectrum of citizen engagement includes consultation; collaboration/participation; and empowerment (see Figure 2). Access to information is a necessary enabling condition; it is not a substitute for successful citizen engagement in WBG development interventions, as it typically implies a one-way interaction. Information and awareness raising activities therefore do not meet the definition of citizen engagement. Closing the feedback loop, i.e., a two-way interaction providing a tangible response to citizen feedback is required to meet citizens' expectations for change created by their engagement, use their input to facilitate improved development outcomes and justify the cost of citizen engagement.

16. As a sub-set of citizen engagement, *beneficiary feedback* refers to consultation of and collaboration with clearly identifiable (direct) project beneficiaries during project preparation, implementation and evaluation. Feedback from consultations (e.g., through focus groups, surveys etc.) and collaboration (e.g., through social audits, citizens' juries, participatory budgeting etc.) needs to be recorded, responded to and integrated into project design and implementation where it can improve project outcomes. The implementation of beneficiary feedback processes can be tracked through the use of intermediate outcome indicators and the expected results through the use of project outcome indicators where applicable.

Figure 2. Dimensions of citizen engagement



Source: World Bank.

17. **Instruments.** A number of mechanisms exist for engaging with citizens. They include traditional consultation and feedback mechanisms, such as focus groups and satisfaction surveys; participatory mechanisms, such as community scorecards, participatory planning and budgeting; citizen-led mechanisms, such as community management or user management committees. In addition, third-party monitoring mechanisms include social audits, citizen report cards or public expenditure tracking surveys. Annex 2 provides an overview of the most common citizen engagement mechanisms. The strategic framework will be accompanied by guidance to staff

regarding how to select the appropriate mechanisms for engaging with citizens in a context-specific manner.

18. Innovations in information and communication technology (ICT) provide additional opportunities for engaging with citizens, including opportunities to increase outreach and reduce the cost of engagement. The strategic framework will analyze what role ICT-based mechanisms can play in citizen engagement, which pre-conditions are required (such as mobile phone coverage, internet connectivity and computer literacy) and under which circumstances their use is recommended.

19. **Approach to mainstreaming citizen engagement in WBG operations.** The strategic framework will propose a context-specific, results-focused, gradual and partnership approach to mainstreaming citizen engagement in WBG operations.

- a. **Context-specific.** Emerging evidence¹⁰ shows that in order to succeed, citizen engagement requires a context-specific approach as well as adequate capacity of all relevant stakeholders (citizens, governments, donors, private sector) to engage. In addition, citizen engagement is not without cost. It requires the allocation of resources, time and efforts to design and implement appropriate engagement mechanisms. Governments need to make relevant information available to citizens in accessible and understandable formats and build the capacity and systems to provide adequate responses to citizen feedback. Citizens need to acquire minimum skills to be able to engage. They also need to invest the time to participate in engagement processes which takes them away from other productive tasks. For all of these reasons, the strategic framework will adopt a context-specific approach to citizen engagement in WBG operations. It will recommend to mainstream citizen engagement in WBG operations where it has the potential to improve development outcomes. In addition, the strategic framework will build on entry points for citizen engagement from existing WBG policies (such as CAS/CPF and safeguard consultations, grievance redress mechanisms, IFC performance standards).
- b. **Results-focused.** The strategic framework understands citizen engagement in WBG operations as a means to contribute to their improved development outcomes and will, therefore, develop a results-focused approach. This results-focused approach will entail understanding the results chains for citizen engagement across various outcome areas, such as service delivery, public financial management, natural resources management, social inclusion, governance. For each of these results chains, the strategic framework and staff guidance will develop intermediate outcome and outcome indicators that can be used in results frameworks (e.g., in CPFs and PADs) as well as for reporting on progress in implementing citizen engagement in ISRs and ICRs.
- c. **Gradual and scalable.** The strategic framework will propose a gradual approach to mainstreaming citizen engagement in WBG operations, due to its complex nature and the time required to build adequate capacity for engagement. The strategic

¹⁰ Fox (2007), Joshi (2013) and O’Meally (2013)

framework will build on the consolidated evidence and lessons learned from existing internal and external impact studies as well as an ongoing stock-take, Social Development flagship study and the Africa Region’s impact analysis. In addition, the strategic framework will be elaborated in parallel to and in close collaboration with the roll-out of pilots in mainstreaming citizen engagement in WBG operations, allowing for real-time learning from pilot operations.

- d. **Partnerships.** The strategic framework will take a partnership approach towards designing, implementing and financing citizen engagement in WBG operations. The strategic framework will draw on the expertise from external stakeholders, including CSOs, academia, governments and the private sector in its elaboration. In addition, the strategic framework will analyze potential financing sources for mainstreaming citizen engagement in WBG operations, including WBG budgets, foundations and the private sector. During implementation, the strategic framework will encourage collaboration with a broad range of development stakeholders, including governments, development partners, CSOs and the private sector in WBG operations.

IV. EXISTING AND FUTURE ENTRY POINTS FOR CITIZEN ENGAGEMENT (CE) IN WBG OPERATIONS

20. The Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations will outline mandatory (based on existing policies) and voluntary, context-specific entry points for citizen engagement across the WBG engagement spectrum including strategies, operational programs, projects, knowledge and advisory services and throughout the engagement/project cycle (preparation, implementation, evaluation). An overview of these entry points is presented in Table 1 below.

Table 1. Overview of mandatory and additional potential context-specific entry points for citizen engagement (CE) in WBG operations

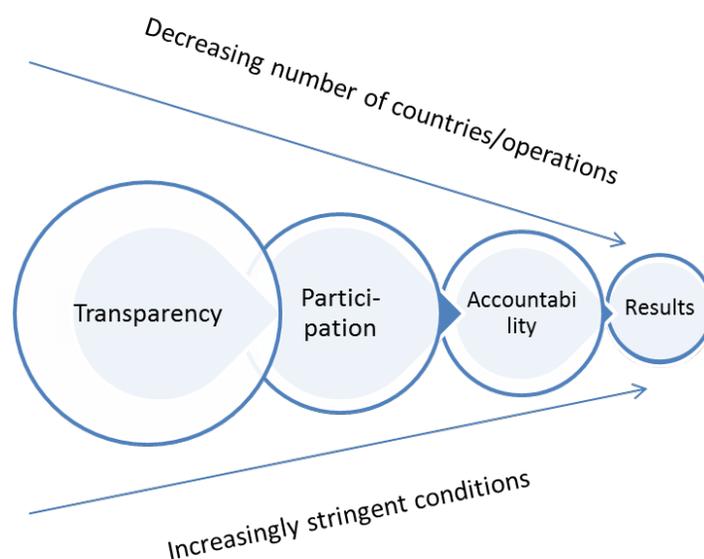
Instrument	Mandatory entry points for CE	Additional, potential entry points for CE
World Bank		
Systematic Country Diagnostic (SCD)	Not applicable	<ul style="list-style-type: none"> • Analysis of national systems for CE • Identify areas where CE can have strongest development impact • Collaboration with local CSOs, academia, think tanks to develop SCD • Consultations with citizens during/after elaboration of SCD
Country Partnership /Assistance Strategy (CAS) (until June 30, 2014) / Country Partnership Framework (CPF) (from July 1, 2014)	<ul style="list-style-type: none"> • Stakeholder consultations (BP 2.11 – being updated) 	<ul style="list-style-type: none"> • CE (e.g., surveys) prior to CPF elaboration to understand citizen demand for WBG interventions • Inclusion of CE in operations where it improves impact • Use of CE results indicators in CPF results framework • CE in performance and learning review (PLR)

		<ul style="list-style-type: none"> • CE in completion and learning review (CLR)
Policy/Reform Dialogue	Not applicable	<ul style="list-style-type: none"> • CE during preparation, implementation and evaluation
Knowledge Products	Not applicable	<ul style="list-style-type: none"> • Client surveys can include CE • CE in preparation, implementation and evaluation
Policy-based operations	<ul style="list-style-type: none"> • DPLs (OP 8.60): Description of country arrangements for consultations and participation for the operation and outcomes 	<ul style="list-style-type: none"> • DPLs: Prior actions/triggers related to CE • CE in evaluation
Programs	<ul style="list-style-type: none"> • PforR (OP/BP 9.00): Bank-led stakeholder consultations on environmental and social systems assessment; consultations of indigenous peoples (if affected) 	<ul style="list-style-type: none"> • PforR: CE in preparation, implementation and evaluation
Projects	<ul style="list-style-type: none"> • EIA/ESMP consultations (OP4.01) • Involuntary resettlement: consultations and grievance redress mechanisms (OP4.12) • Indigenous people: consultations (OP4.10) and grievance redress mechanisms where applicable 	<ul style="list-style-type: none"> • Community-driven development projects • Third-party monitoring • Technical assistance to CE • Beneficiary feedback in preparation, implementation and evaluation of projects
Grants	Not applicable	<ul style="list-style-type: none"> • Global Partnership for Social Accountability (GPSA) • State- and Peace-Building Fund (SPF) • Institutional Development Fund (IDF) • Development Grant Facility (DGF)
IFC		
IFC strategies and operations	<ul style="list-style-type: none"> • Consultations of affected communities (PS5) • Consultations of indigenous populations (PS7) 	<ul style="list-style-type: none"> • CE in sector and regional strategies and operations • CE in Public-Private Dialogue • CE in shared-value results systems

V. EMERGING DIRECTIONS AND ISSUES TO ADDRESS

21. Recent research shows that transparency does not automatically lead to improved participation, and participation does not automatically lead to improved accountability and results. Moving from one end to the other in this ‘funnel’ requires increasingly stringent conditions. It is therefore important to understand the conditions under which citizen engagement can facilitate development impact which are typically context-specific. As part of the strategic framework, a stock-take is being undertaken with the aim of extracting lessons from existing WBG operations on which types of citizen engagement have worked where and why and to inform the strategic framework on how a results-focused approach to citizen engagement can successfully be implemented. For this purpose, a review of existing impact analysis of citizen engagement is also being undertaken.

Figure 3. The transparency, participation, accountability and results funnel



Based on Khagram, de Renzio and Fung (2013)

22. Consultations with all WBG departments working on citizen engagement activities¹¹, early indications from the ongoing stock-take and emerging evidence have led to the identification of several issues which the strategic framework will seek to address:

Table 2. Emerging issues and how the strategic framework will address them

Emerging Issue	How the Strategic Framework will address this issue
The absence of an institutional definition of citizen engagement across the WBG could create an undue focus on transparency and information activities instead of two-way citizen engagement (consultation, collaboration, and empowerment) for improved development results (cf. Figure 3).	This concept note proposes a corporate definition for citizen engagement based the level of interaction with citizens and their involvement in decision-making. The strategic framework will finalize the definition based on the outcome of the ongoing stock-take and further consultations.
Opportunities for citizen engagement are highly context specific (cf. Figure 3). An overly standardized and tool-driven approach to mainstreaming citizen engagement across the WBG needs to be avoided.	The strategic framework will offer a menu of options to mainstream citizen engagement across WBG products at the various stages of the engagement/project cycle. This will be based on consolidated lessons learned to date from existing impact analyses and a stock-take on citizen engagement in WBG operations to date. These options will then need to be adapted to the respective country and operational context.
Assessing the impact of citizen engagement on development impact is difficult.	The strategic framework will analyze the results chains of the various forms of citizen engagement across WBG

¹¹ SDV, TWICT, WBI/CKL, ECRGE, OPCS, PRMPR, AFR, EAP, LAC, MNA, SAR, and IFC-CIC/CDI.

	operational products and in the prevalent outcomes areas and identify results indicators for intermediate outcomes and final outcomes related to citizen engagement.
Citizen engagement approaches tend to prevail during the preparation stage of the WBG project cycle.	The strategic framework will focus on measures to mainstream citizen engagement during implementation and evaluation, and highlight additional opportunities for citizen engagement during the preparation of country partnership frameworks, programs, projects and knowledge work.
The WBG does not have a coherent institutional approach to tracking WBG citizen engagement and beneficiary feedback.	The strategic framework will propose standardized indicators for citizen engagement and beneficiary feedback to be used in results frameworks and to be tracked in ISRs, ICRs etc. The strategic framework will also propose indicators for tracking progress on beneficiary feedback at the corporate level (corporate scorecard).
While ICT-based mechanisms can support and provide options for citizen engagement, they require minimum enabling conditions which may not apply to all countries and projects.	The strategic framework will examine under which circumstances ICT-enabled solutions can facilitate citizen engagement for improved development outcomes and when more traditional forms of engagement are more appropriate.
Mainstreaming citizen engagement in WBG operations requires adequate funding.	The strategic framework will develop a financing approach for mainstreaming citizen engagement in WBG operations using all available financing sources bank budget, project funds, grants, shared financing).

VI. PREPARATION AND IMPLEMENTATION ARRANGEMENTS FOR THE STRATEGIC FRAMEWORK TO MAINSTREAM CITIZEN ENGAGEMENT IN WBG OPERATIONS

23. The strategic framework will be prepared as a collaborative effort including all WBG teams working on citizen engagement.¹² Feedback and input from initial consultations with these units have been included in this concept note. CE working group be created which will include one representative from each of the units mentioned above and which will be co-chaired by OPCS and IFC. The working group will provide inputs and will review drafts of the strategic framework. OPCS will lead the overall development of the strategic framework, and different units are expected to provide inputs to selected chapters as agreed at the concept review. A draft outline of the Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations is included in Annex 1.

24. To inform the strategic framework, a stock take of experience and lessons learned from citizen engagement in WBG operations is underway, led by OPCS in collaboration with SDV, WBI and regional colleagues. In addition, standardized CE results indicators for use in results frameworks and ISR reporting are being developed. In addition, the strategic framework will draw on a review of existing internal and external impact analyses. The strategic framework is planned to be presented to an OVP review and technical briefing to the board in Q3 of FY14.

¹² Including OPCS, SDV, TWICT, WBI/CKL, ECRGE, PRMPR, AFR, EAP, LAC, MNA, SAR, IFC-CIC/CDI

25. Given the importance and interest of CE to external stakeholders, the strategic framework will be developed in interaction with all relevant stakeholders, including civil society organizations, governments, the private sector, leading academics in the field and other development partners. For this purpose the WBG is forming an advisory council including representatives of the above-mentioned stakeholder groups to accompany the development and implementation of the strategic framework.

VII. TIMETABLE

Milestones	Proposed Dates
CE concept note review	December 4, 2013
Engagement with external stakeholders	January – April 2014
CE working group meeting	February 2014
Advisory council meeting	March 2014
Technical brief to the board of the strategic framework	March 28, 2014
Delivery of strategic framework	May 2014
Roll-out strategic framework	FY15

VIII. TEAM

26. The core team includes Astrid Manroth (OPSRE, TTL), Zenaida Hernandez, Harika Masud and Jad Zakhour (OPSRE), Saki Kumagai (SDV), Vinay Bhargava (consultant), and Miguel A. Rebolledo Dellepiane, Akthar Mahmood, and Sumit Manchanda (IFC).

27. Representatives for the CE working group from OPCS, SDV, TWICT, WBI/CKL, ECRGE, PRMPR, AFR, EAP, LAC, MNA, SAR, IFC have been agreed at the concept review meeting.

28. Proposed World Bank peer reviewers are Franck Bousquet (Sector Manager, MNSSD), Robert Hunja (Manager, WBIOG) and Helene Grandvoinet (Lead Social Development Specialist, SDV). Proposed IFC peer reviewers are James Emery (Head, CMGSF), William Haworth (Chief Strategy Officer, CSGSF) and Omar Chaudry (Principal Economist, CNGSF).

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Annex 1. World Bank Group Strategic Framework for Mainstreaming Citizen Engagement in WBG Operations

– Draft Outline

1. Context and Motivation
 - a. External factors
 - b. Change process and WBG strategic framework focus on client engagement and results
 - c. Summary of emerging evidence
2. Objectives of the strategic framework
 - a. Definitions of beneficiary feedback (BF) and citizen engagement (CE)
 - b. Objectives of the strategic framework
3. Stock-take of WBG citizen engagement initiatives to date and lessons learnt
 - a. Overview of citizen engagement mechanisms
 - b. Overview of citizen engagement in existing WBG projects
 - c. Emerging findings from WBG case studies and stock-takes
 - d. Lessons learned from existing impact analyses
 - e. Consolidation of lessons learned to date
4. The role of technology
 - a. How, where and under which conditions ICT can help
 - b. Useful approaches to scaling up the use of technology in citizen engagement
5. Entry points for mainstreaming citizen engagement into WBG operations
 - a. Systematic Country Diagnostic and Country Partnership Frameworks
 - i. Existing policies and their application
 - ii. Opportunities to scale up
 - b. Policy dialogue
 - c. DPLs
 - i. Existing policies and their application
 - ii. Opportunities to scale up
 - d. IPF
 - i. Existing policies (including safeguards) and their application
 - ii. Opportunities to scale up
 - e. PforR
 - i. Existing policies and their application
 - ii. Opportunities to scale up
 - f. Knowledge products
 - g. Advisory services
6. Regional citizen engagement initiatives, pilots and plans to scale up
 - a. AFR
 - b. LAC

- c. MNA
 - d. SAR
 - e. EAP
7. Capacity building
- a. For citizens/CSOs
 - b. For governments (closing the feedback loop/response capacity)
 - c. For staff (including incentives)
8. Funding
- a. Seed funding in FY14
 - b. Sustainable funding for CE in WBG operations and at country level (BB, operations, trust funds/grants including GPSA, shared financing)
9. Monitoring and evaluation
- a. Results chains for CE outcome areas
 - b. Standardized citizen engagement results indicators for use in operations
 - c. Internal reporting
 - d. Monitoring framework for implementation of strategic framework
10. Conclusions

ANNEX 2. OVERVIEW OF CE MECHANISMS

Tool	Definition / Uses
Budget Literacy Campaign	Budget Literacy Campaigns are efforts—usually by civil society, academics, or research institutes—to build citizen and civil society capacity to understand budgets in order to hold government accountable for budget commitments and to influence budget priorities.
Citizen Charter	Citizen Charter is a document that informs citizens about the service entitlements they have as users of a public service, the standards they can expect for a service (timeframe and quality), remedies available for nonadherence to standards, and the procedures, costs and charges of a service. The charters entitle users to an explanation (and in some cases compensation) if the standards are not met.
Citizen Report Card	Citizen Report Card is an assessment of public services by the users (citizens) through client feedback surveys. It goes beyond data collection to being an instrument for exacting public accountability through extensive media coverage and civil society advocacy that accompanies the process.
Citizen Satisfaction Surveys	Citizen satisfaction surveys provide a quantitative assessment of government performance and service delivery based on citizens' experience. Depending on the objective, the surveys can collect data on a variety of topics ranging from perceptions of performance of service delivery and elected officials to desires for new capital projects and services
Citizen/ User Membership	Citizen/User Membership in decision-making bodies is a way to ensure accountability by allowing people who can reflect users' interests to sit on committees that make decisions about project activities under implementation (project-level arrangement) or utility boards (sector-level arrangement).
Citizen's Juries	Citizens' Juries are a group of selected members of a community that make recommendations or action participatory instrument to supplement conventional democratic processes.
Community Contracting	Community Contracting is when community groups are contracted for the provision of services, or when community groups contract service providers or the construction of infrastructure.
Community Management	Community Management is when services are fully managed or owned by service users or communities. Consumers own the service directly (each customer owns a share) when they form cooperatives.
Community Monitoring	Community Monitoring is a system of measuring, recording, collecting and analyzing information, and communicating and acting on that information to improve performance. It holds government institutions accountable, provides ongoing feedback, shares control over M&E, engages in identifying and/or taking corrective actions, and seeks to facilitate dialogue between citizens and project authorities.

Community Oversight	Community Oversight is the monitoring of publicly-funded construction projects by citizens, community based and/or civil society organizations participating directly or indirectly in exacting accountability. It applies across all stages of the project cycle, although the focus is on the construction phase.
Community Scorecard	Community Scorecard is a community-based monitoring tool that assesses services, projects, and government performance by analyzing qualitative data obtained through focus group discussions with the community. It usually includes interface meetings between service providers and users to formulate an action plan to address any identified problems and shortcomings.
Consultations	Consultation, as distinct from dialogue, is a more structured exchange in which the convener commits to "active listening" and to carefully consider the comments, ideas, and recommendations received. Best practice consultations provide feedback on what was heard, what was or was not incorporated, and why, to ensure that consultations contribute to improved policies and programs.
Focus Group Discussions	Focus group discussions are usually organized with specific goals, structures, time frames, and procedures. Focus groups are composed of a small number of stakeholders to discuss project impacts and concerns and consult in an informal setting. They are designed to gauge the response to the project's proposed actions and to gain a detailed understanding of stakeholders' perspectives, values, and concerns
Grievance Redress Mechanism	Grievance Redress Mechanism (or complaints-handling mechanism) is a system by which queries or clarifications about the project are responded to, problems with implementation are resolved, and complaints and grievances are addressed efficiently and effectively.
Independent Budget Analysis	Independent Budget Analysis is a process where civil society stakeholders research, explain, monitor and disseminate information about public expenditures and investments to influence the allocation of public funds through the budget.
Input Tracking	Input Tracking refers to monitoring the flow of physical assets and service inputs from central to local levels. It is also called input monitoring.
Integrity Pacts	Integrity Pacts are a transparency tool that allows participants and public officials to agree on rules to be applied to a specific procurement. It includes an "honesty pledge" by which involved parties promise not to offer or demand bribes. Bidders agree not to collude in order to obtain the contract; and if they do obtain the contract, they must avoid abusive practices while executing it.
Participatory Budgeting	Participatory Budgeting is a process through which citizens participate directly in budget formulation, decision-making, and monitoring of budget execution. It creates a channel for citizens to give voice to their budget priorities.
Participatory Physical Audit	Participatory Physical Audit refers to community members taking part in the physical inspection of project sites, especially when there are not enough professional auditors to inspect all facilities. Citizens measure the quantity and quality of construction materials, infrastructure and facilities.

Participatory Planning	Participatory Planning convenes a broad base of key stakeholders, on an iterative basis, in order to generate a diagnosis of the existing situation and develop appropriate strategies to solve jointly identified problems. Project components, objectives, and strategies are designed in collaboration with stakeholders.
Procurement Monitoring	Procurement Monitoring refers to independent, third-party monitoring of procurement activities by citizens, communities, or civil society organizations to ensure there are no leakages or violation of procurement rules.
Public Displays of Information	Public Displays of Information refers to the posting of government information, usually about projects or services, in public areas, such as on billboards or in government offices, schools, health centers, community centers, project sites, and other places where communities receive services or discuss government affairs.
Public Expenditure Tracking Surveys	Public Expenditure Tracking Surveys involves citizen groups tracing the flow of public resources for the provision of public goods or services from origin to destination. It can help to detect bottlenecks, inefficiencies, or corruption.
Public Hearings	Public Hearings are formal community-level meetings where local officials and citizens have the opportunity to exchange information and opinions on community affairs. Public hearings are often one element in a social audit initiative.
Public Reporting of Expenditures	Public Reporting of Expenditures refers to the public disclosure and dissemination of information about government expenditures to enable citizens to hold government accountable for their expenditures.
Social Audit	Social Audit (also called Social Accounting) is a monitoring process through which organizational or project information is collected, analyzed and shared publicly in a participatory fashion. Community members conduct investigative work at the end of which findings are shared and discussed publicly.
User Management Committees	User Management Committees refer to consumer groups taking on long-term management roles to initiate, implement, operate, and maintain services. User management committees are for increasing participation as much as they are for accountability and financial controls.

Source: DFGG