

Annex IV: Summary of Regional Approaches

8. **The OPCS stocktaking and work in other parts of the WBG confirm that citizen engagement (CE) mechanisms are being used by teams in all regions.**

A. Africa

9. **The Africa region (AFR) adheres to the new corporate mandate to incorporate beneficiary feedback mechanisms.** The region has measured this experience by developing *Listening to Citizens: Learning from Projects in Africa*—a robust knowledge base on the modalities, enabling conditions, challenges, and outcomes of scaling up engagement with communities and beneficiaries. With the information from this assessment, project teams in the region will better understand the mechanisms of CE. This section provides a brief overview of the assessment.

1. Experience and Lessons Learned

10. ***Listening to Citizens: Learning from Projects in Africa* focuses on the use, effectiveness, and outcomes of CE mechanisms used during project implementation.** It consists of a four-tiered study: (a) a review of 250 Project Appraisal Documents (PADs) in 10 relevant sectors; (b) a survey sent to task team leaders (TTLs) for 205 projects with CE components; (c) semi-structured interviews with 21 of these TTLs; and (d) in-depth case studies for six projects. The in-depth case studies involved follow-up interviews with TTLs and interviews with other project team members, project implementation units (PIUs), other members of government, relevant civil society organizations (CSOs), members of the country management unit (CMU), and a sample of beneficiaries.

11. **The review reveals that the prevalence of CE activities varied according to the nature/type of projects across the project portfolio.** CE was more prevalent in country-driven development (CDD) projects and projects involving government service delivery, resource management, or promotion of economic activity, and less prevalent in energy and water, trade, and transport projects.

12. **The issue of funding has also played a significant role in the implementation of CE activities in the region.** Approximately 27 percent of survey respondents stated that the most significant barrier to executing CE tools was inadequate funding. Funding for CE is most available when it is built into the project components; the next most available funding is other Bank Budget that has not been earmarked for the CE mechanism at the design stage. In many cases, projects used multiple sources of funding.

13. **The trends demonstrate that parallel funding—whether through counterparts, trust funds, or other external sources—tends to supplement shortfalls in project-based financing for CE tools.** The successful implementation of CE mechanisms in projects with dedicated funds also signals the importance of government buy-in, which is a requirement when financing is allocated for CE at the design phase as part of the Bank Budget or is integrated into project components.

a. CE results and outcomes

14. **Given the small sample of projects and the many factors that contribute to the success of CE and project results, an evaluation is somewhat speculative;** randomized controlled trials or, at minimum, detailed survey work at the beginning and end of a project intervention would be required to draw rigorous conclusions.

15. **For the 15 projects that were not selected for case studies, the supervision documents did not provide the evidence necessary to discern causality between CE applications and project results.** However, the Kenya Health Services Support Project and the Ethiopia Productive Safety Nets Project, for example, offer some insights on linkages between CE and project results. Assessing the impact of CE on outcomes is complex: in the Kenya Health Services Support Project, for instance, although utilization rates of health services at public facilities increased from 24 million to 38 million a year over the project period, attribution to CE was not possible (although the TTL confirmed that it played an important role). Therefore, it is likely that CE did have some impact on improved client/service provider relations. Finally, individual visits to public health care facilities doubled from 1.7 (2004) to 3.7 (2013) per year; confidence in health facilities likely influenced the behavior change.

16. **Beyond anecdotal testaments, the assessment rarely revealed concrete evidence of CE measures leading to “course corrections” or other changes in project implementation.** Only five of the TTLs interviewed were able to name a specific change in project implementation that could be attributed to CE. However, this does not mean that CE did not make a difference.

17. **Most TTLs interviewed perceived that overall, CE has contributed positively to project implementation and outcomes.** In some cases, such as CDD projects in which contact between citizens and implementing agencies is frequent, “feedback loops”—that is sharing of information, preferences, and responses by both—were continuous, as, presumably, was corrective action. In these circumstances, the “course” was being guided by CE interventions throughout implementation rather than in midstream. Even when exchange between citizens and service providers was less frequent, it is likely that CE was one input among others—financial, technical, and organizational—that combined to induce shifts in implementation practice and behaviors. The challenge once again is attribution—discerning what role CE played in informing these practices.

b. Factors affecting the performance of CE mechanisms

18. **This section reviews conditions or factors that promote or discourage the use of CE interventions in relation to country context, as well as project-level and Bank-level factors.**

(i) Country context

19. **In the sample of 21 countries, country context appears to have played a significant role in willingness to include CE mechanisms in projects.** Among countries that have adopted vigorous decentralization legislation fairly recently, Benin, Ethiopia, Ghana, Kenya, and Uganda have all registered significant use of CE instruments. However, decentralization has resulted in unevenness in embracing CE among local jurisdictions. Progressive local leaders found these approaches to be useful in demonstrating their commitment to citizens, while more traditional

local authorities (Benin, Ghana) or lower-level ministry staff (Nigeria) saw them as a threat to their authority (or rent-seeking opportunities) or simply as petty nuisances.

20. The following elements of country context are particularly important for the success and sustainability of CE mechanisms:

- *Strengthening government capacity to engage.* As good governance has been increasingly demanded in recent years, it is possible that governments have felt vulnerable or at least unable to understand the purpose and content of CE instruments.
- *Use of CSOs/NGOs in implementation.* CSOs can be useful intermediaries between citizens and governments and could build communities' capacity to engage with government.
- *Attention to vulnerable groups.* CDD projects or general community consultation that addressed the local population at large sometimes initially overlooked vulnerable groups, including the extremely poor, women, and children.

(ii) Project-level factors

21. **Project type.** Not surprisingly, CDD projects generally had the most “evolved” instruments in terms of community involvement in decision-making. In addition, projects in sectors whose primary purpose is delivery of services at the “retail” level (e.g., providing direct services or stipends to individuals, such as local government, health and social protection) all incorporated instruments for consultation, feedback, and some forms of monitoring. Projects in irrigation and natural resource management (including promotion of income generation, as in Uganda Sustainable Management of Mineral Resources) also included some of the same approaches. The energy projects in the sample, all of which entailed large lump-sum investments, either did not use CE instruments (Mali Energy Support Project), dropped them almost entirely during implementation (Burundi Multisectoral Water and Electricity Infrastructure Project), or provided no indication of acting on them in their Implementation Status and Results reports (Regional Power). CE mechanisms in transport projects focused almost exclusively on Project Affected Persons.

22. **Project design.** The assessment shed light on aspects of project design that encouraged or discouraged the effective use of CE approaches.

- *Pre-appraisal analysis.* Analysis before launching a project has proved to be valuable to ensure that the project design is responsive to the local context and the preferences of beneficiaries.
- *Flexibility.* The Kenya experience is informative. While each of the nine demographically diverse pilot sites was allowed to experiment with a flexible approach in using CE instruments, it appears that no systematic analysis was undertaken to determine what worked well, where, and why. Such an analysis could have provided guidance on which practices it would be more prudent to adopt in different localities.
- *Clear definition of CE instruments and associated indicators.* In many cases, good preparation work permitted greater specificity of the CE mechanisms and also led to incorporating monitorable basic or intermediate indicators in the results frameworks of the PADs. TTLs emphasized that establishing indicators was very important to focus attention and resources on CE during implementation. It also helped to improve accountability, since CE issues were being tracked and reported on.

- *Absence of instrumentality.* Many projects did not articulate the objectives of CE instruments or did not specify an explicit relationship between project development indicators and CE objectives or components.
- *Use of surveys.* Some projects use built-in baseline and end-project surveys. However, even with surveys, it is difficult to discern the role of CE in attaining the project development objectives, particularly in the absence of an underlying hypothesis or theory of change.

23. ***Budget for implementation.*** Some TTLs mentioned that implementation budgets were constrained, and they therefore prioritized the actions required to monitor and take corrective action related to the project indicators. Unless indicators related to CE are established at the outset, CE activities could be more easily overlooked during implementation: TTLs may perceive that there is not much to monitor or report.

(iii) Bank-level factors

24. **In overall responses to the assessment, there appeared to be a genuine commitment to expanding CE practices,** subject to adaptation to the sector at hand as well as to the creation of a supporting environment within the Bank for doing so.

25. ***Skills of the project team.*** Project team skills may be a project-level issue, but they ultimately reflect Bank-level incentives and prioritization. In addition to a committed TTL, most successful CE interventions can benefit from expertise by a social development or governance specialist with CE credentials or a sector specialist with strong experience and allotted time to work on CE issues.

26. ***Leadership/management support.*** TTL responses varied as to whether support by sector or country management was a more critical factor; some indicated the importance of commitment by both.

27. ***Funding.*** CE initiatives require funding, including additional time, at both preparation and implementation stages. Adding mandates without supplementary funding is self-defeating, as it results in cookie-cutter approaches and shortcuts that could jeopardize the legitimacy of CE efforts.

2. Going Forward

28. **To systematically mainstream CE into relevant projects, it is necessary to have a coherent, overarching strategy that helps to create the right incentives, including earmarked funding to engage with citizen beneficiaries.** Staff training to build awareness of CE and its importance to projects, written guidance, and training (e.g., self-paced online modules and workshops) are all important aspects of this approach.

29. **It would be useful to link AFR's efforts to mainstream CE at the project level with ongoing support to strengthen country systems to ensure that the capacity and performance of country systems to engage with citizens is factored in during the design of Bank-supported operations.** It is also advisable to clearly distinguish the Bank's role from the

government's in strengthening CE. The notion of mainstreaming this agenda has to consider the enormous variations in country context, capacity, and political will in the countries of the region.

30. **A pragmatic, gradual, context-specific approach to selecting appropriate entry points for CE would facilitate the process of mainstreaming.** Therefore, it would be useful to develop guidance that spells out what types of CE can be of benefit, and when and where.

31. **Developing a results framework or chain is important to specify what the CE objective is, what CE instruments will be used, how this will help achieve overall project results, and which indicators will be used to monitor implementation and results.** At the design stage, CE should be based on addressing the problem at hand and its value-added to achieving the project's objectives.

32. **Where the country context is constraining, the region also needs to pay attention to identifying entry points for building an effective enabling environment in the country.** This means coordinating with governance specialists working on broader country environment issues to both understand the challenges of the country context and assess how project processes could create externalities for the country environment.

33. **Indicators to measure the impact of CE mechanisms need to be built into projects.** Adequate incentives could ensure that there is regular reporting on the effectiveness and impact of CE mechanisms.

34. **Coordination with other regions to facilitate cross-regional learning would be useful for sharing relevant approaches, experiences, and recommendations.** In the immediate term, launching a few pilots will assess how these shared insights can usefully contribute in the context of projects. In addition, the Global Practices could be an important platform to facilitate this Bankwide initiative.

B. East Asia and Pacific

There is a long history of CE in Bank operations in East Asia and Pacific (EAP). The regional context offers experience in countries with different levels of receptivity to CE in decision-making and voicing of concerns.

1. Experience and Lessons Learned

The experience in EAP countries varies broadly. In some, CE is highly developed and processes are refined as governments strive for openness and accountability; in others, the CE processes are nascent, emerging in closed states with weaker governance; and in post-conflict settings, CE processes are fundamental for peace and stability. The CE agenda draws on experience in three areas: (a) community-driven development (CDD); (b) social accountability activities in such sectors as health, education, agriculture, justice, and security; and (c) beneficiary and citizen consultation and feedback for all people affected by a project as well as for environmental and social safeguards.

a. Community-driven development

35. **In CDD operations, CE is the primary driving force of the activities and outcomes.** There is a range of such operations: (a) national flagship programs with engagement, as in Indonesia (1998-2017), the Philippines (2002-2020), and Cambodia (2003-2012); (b) operations that are limited in scope but that have the potential (if not the stated objective) for national scale-up, as in China, Myanmar, the Solomon Islands, and Papua New Guinea; and (c) operations that are targeted to specific regions or vulnerable groups, as in Vietnam, Thailand, Lao, or the Mindanao Region in the Philippines. The commonality here is the importance of continually refining the integrated CE approach for empowerment and instrumental ends. Robust evaluations have demonstrated the poverty impact of these programs and their contributions to the World Bank's twin goals.

36. **The region's long history with this type of support means that the CDD projects of Indonesia and the Philippines can share a vast range of lessons on community participation.** In over a decade of experience both PNPM (Indonesia) and KALAHI (Philippines) have gained understanding of how communities become (and stay) engaged. This takes the agenda further from the basics of CE to specific ingredients: what works, when, and why. Project analyses and lessons have been shared among EAP countries and elsewhere on facilitation as the cornerstone of effective CE, the importance of establishing a code of ethics, information and transparency strategies for more empowered beneficiaries, localizing financial controls to empower communities to oversee budgets and expenditures, strategies to enhance the quality of women's participation, and grievance-handling mechanisms that actively involve villagers in the resolution of problems and disputes (see Box A4.1).

37. **Many EAP operations have progressed beyond broad-based community empowerment and local investments to tackle critical areas of inclusion.** The CDD portfolio also constitutes a platform for engagement on aspects of governance, front-line service delivery, inclusion, livelihoods, legal empowerment, violence, and fragility. In particular, work on inclusion includes operations in Vietnam, the Philippines, and Lao that have developed strategies to engage ethnic minorities and indigenous people. The Philippines' outreach to marginalized groups and Indonesia's PNPM Peduli program have adopted an innovative approach to social inclusion by supporting a range of specialized CSOs to strengthen and scale up their work with groups living at the margins of society (street children, indigenous forest peoples, victims of political violence, sex workers, etc.).

38. **EAP operations have also incorporated CE approaches in conflict and post-conflict settings to improve project outcomes, and promote peace and stability.** Through CDD operations in conflict-affected areas of the Philippines, southern Thailand, Indonesia, and the Solomon Islands, CE is particularly concerned with strengthening trust between citizens and the state. Task teams' experiences underscore the importance of information sharing, dialogue, and citizen empowerment. In Indonesia, the Bank has acquired a wealth of experience in using CDD platforms to deliver assistance to conflict-affected communities. Experience in post-conflict Aceh included supporting civil society engagement in development planning, management of public funds, and legal empowerment. The Bank also supports the development of a publicly accessible violence dataset to help strengthen understanding and cooperation between government and civil society, and thereby make more progress toward mitigating the adverse effects of rapid economic, social, and political changes. In Myanmar, the Bank has contributed to

the peace process by undertaking related analytical work and developing violence monitoring systems.

Box A4.1. Shifting Gears: Bringing Accountability into CE

Cambodia. Bank support for CE was primarily established through the nationwide Rural Investment and Local Governance Project, in which 1,800 communes conducted annual participatory planning and operated a grievance redress system. A post-project review and political economy analysis in 2011 noted that CE in the planning process was often tokenistic, and that the grievance redress mechanism (GRM) had little traction and credibility. A window of opportunity to enhance the consequence of CE in local-level development arose when the national committee responsible for local governance and local development harmonized and aligned donor projects. This created an impetus for an integrated platform/framework that would empower and engage citizens in key development processes that affect them, and linked well with the downward accountability vision of decentralization reformers.

The landmark agreement between civil society and government on a Social Accountability Framework came about through an incremental, step-by-step approach. It builds on the results and lessons of three years of piloting through the Demand for Good Governance project, which helped clarify the space for social accountability in Cambodia and the areas where civil society and government could engage for development impact. The final version of the framework (which is now government policy) includes three substantive strategies: (a) improved local information and transparency, (b) open budgets, and (c) citizen monitoring of local administrations and basic services. In addition to prioritizing community facilitation, the framework defines complementary roles for both government (elected officials and service providers) and local civil society to meet objectives. The action needed by government, as well as by civil society, is presented in concrete terms, and the framework sets out dual, joint actions: government will generate data, and civil society will disseminate them; government will produce the budgets, and civil society actors will conduct budget literacy work; NGOs will conduct citizen monitoring (scorecard processes), and commune councils will see that action plans are agreed and carried out. The focus of the social accountability framework is multisectoral (it starts with local governments, health centers, and schools) in a rollout intended to reach 70 percent of rural districts in three to four years.

Myanmar. A key aspect of the National Community Driven Development Project (NCDDP) is the development of a comprehensive accountability framework to ensure that communities are identifying local interventions and funds are spent as intended. The project envisages a set of built-in checks and balances. The project accountability mechanisms and instruments, which are managed and carried out by staff, include (a) transparency and access to information, including the production and disclosure of project information and reporting; (b) a code of conduct for all project staff, including sanctions for noncompliance; (c) project monitoring and reporting, including project process oversight by township offices; and (d) procurement and financial management reviews and audits. These mechanisms are both ongoing and periodic. Under the umbrella of participatory beneficiary monitoring and oversight, the project also includes social accountability mechanisms and instruments: (a) transparency and access to information, including the village-level public display of all processes, decisions, budgets, and payments; (b) monitoring of project implementation by community subcommittees; (c) a GRM that allows the provision of feedback on noncompliance or complaints on any aspect of project decision-making or implementation; and (d) a “social audit” meeting that encourages the sharing of all project information and provides the opportunity for questions from community members. Given that all local stakeholders are new to these approaches in a new type of CDD project, the project design also envisages establishing a third-party monitoring process to check on project and social accountability mechanisms, and to provide an independent review/snapshot of project processes and outcomes.

b. Social accountability activities

39. **EAP has worked to enhance the quality of CE and the social accountability process.** There is increasing evidence of improved impacts when civil society efforts to bring about accountability are linked to formal systems, and when government and civil society act together. A key dimension in the approach to CE is fostering coalitions for change. Different actors bring different dimensions and skills (citizens, NGOs, the press, watchdogs, and donors), and this critical mass makes a whole that is greater than the sum of the parts. The analytical findings on voice and CE in Cambodia have now been operationalized through a social accountability framework that involves state and non-state actors in coordinated activities aimed at enhancing the quality and scope of CE in local service delivery and governance. Moving forward from discrete participatory planning and grievance redress mechanisms (GRMs) in CDD operations, the framework includes a sequenced and blended set of mechanisms that includes open budgets, access to (actionable) performance information, and citizen/beneficiary monitoring in local governments, schools, and health centers (see Box A4.1). The EAP experience highlights the importance of linking CE and social accountability with country systems to inform and empower citizens to better engage in annual planning and budgeting processes, and to establish access and working relationships with higher levels of government.

40. **This social accountability work has been increasingly embedded in the sectors.** Cross-sectoral collaboration has helped to enhance CE. For instance, Indonesia's PNPM Generasi Program highlights citizens' involvement in planning, implementation, and oversight of health, nutrition, and education services; and performance-based block grants encourage citizens, service providers, and local governments to work together to address bottlenecks in local service delivery. In Lao, China, Cambodia, and Myanmar, there are CE and social accountability initiatives in operations in such sectors as health, education, urban (floating village management), environmental protection, social protection, rural development, and agriculture. In Timor Leste, the Bank's Justice for the Poor Program has supported efforts to introduce social audit/monitoring functions in the wake of decentralization efforts, to strengthen relationships at the central level and local level (village). Linking grassroots efforts to the sector agenda is a challenge in some countries.

c. Consulting with citizens and beneficiaries and collecting their feedback

41. **Finally, the EAP region has drawn on the environmental and social safeguards components of its operations to engage in consultations with, and solicit feedback from, beneficiaries and broader citizen groups that may be affected in any way.** New efforts in Vietnam and Lao aim to move beyond compliance to support the development and implementation of domestic safeguards frameworks and strengthen national systems to manage safeguards. In conjunction with a risk-profiling exercise, the EAP team is also working to build country-specific capacity for effective CE. For example, in Vietnam and the Philippines, the Bank is contributing to Centers of Learning that will host multidonor training programs to build country capacity to manage social safeguards. In China, social reviews and safeguards are supporting efforts to improve consultations and the participatory design of projects, and enhancing complaints-handling mechanisms. In Myanmar, where in-depth knowledge on social issues such as (legacy) land issues and ethnic minorities is still emerging, the CDD operation has

incorporated consultations with beneficiaries, grievance redress approaches, and mechanisms for oversight and accountability (social audits, community scorecards, and third-party monitoring) to strengthen the positive impact of community investments (see Box 4.1).

2. Going Forward

42. **The EAP strategy for scaling up CE will be to expand and replicate efforts toward systemic reform in client countries.** The client engagement platform is already well developed and will build on existing efforts. While this may mean fewer and smaller engagements, EAP is now well positioned to move strategically to scale up CE. In Indonesia, the Law on Villages ratified by Parliament in December 2013 incorporates key client engagement principles such as participatory planning, community assemblies, social accountability, and community block-grants. On the basis of this national law, citizens and communities can explore avenues to actively participate in national development. Moreover, the institutionalization of PNPM gives new impetus to the need to empower communities to access and use national accountability systems, including legal and quasi-legal institutions such as courts, ombudsman, and public information commissions, to channel and address grievances.

43. **EAP will continue strengthening CE through CDD operations.** CDD projects are transitioning from pilots to programs, or from programs to institutionalized country policy (Indonesia). In this process, CE is not central just to Bank-financed operations, but also to the community and local development efforts of governments in the region. Moreover, CDD projects provide the primary platform for learning how to engage with citizens. Priority projects moving forward are:

- Indonesia: PNPM (2014-2017)
- Philippines: KALAHI –CIDSS (2002-2014) and NCDDP (2014-2020)
- Myanmar NCDDP (2013-2019)
- Lao PRF (2011-2016).

44. **The EAP region intends to implement a CE strategy, with mechanisms that are not tokenistic but are rooted in an understanding of context, and are more focused on inclusion of women and vulnerable groups.** To strengthen the links between CE initiatives and government accountability structures to lend impetus to reform processes, task teams' efforts will be geared toward integrating demand- and supply-side activities through national programs and work with multisector platforms. A central dimension of the facilitation/interface process is the strengthening of civil society, including CSOs and NGOs. The quality of this engagement will be informed by better understanding and use of vehicles for engagement, blended and sequenced to suit the specific sector. As appropriate, ICT-based mechanisms will be used to collect information and enhance opportunities for feedback from citizens.

45. **Work to enhance the quality of CE will not only occur in EAP's CDD programs but will focus on multiple sectors.** The social accountability work in EAP is a critical piece of the innovations in CE. Cross-sectoral collaboration, particularly with regard to front-line service delivery, will be a priority. It will involve efforts to (a) improve services for all by ensuring that they are responsive to local needs; (b) make the services/infrastructure more inclusive of women and vulnerable groups; and (c) empower citizens and communities so that they become more informed users/beneficiaries, more able to voice their needs and concerns, individually and collectively. In this regard, based on the experience of PNPM Generasi and global efforts to

improve local-level service delivery, Bank operations in Indonesia are increasingly geared toward supporting the Government in improving services delivered on the front lines (i.e., by the teachers and health workers who interact directly with rural community members in community clinics, schools, and other local facilities). Recognizing that the myriad causes of basic service delivery failures are not confined to a single sector or agency, Bank operations will focus on the front-line facility, the set of priority services that this facility is expected to deliver, and the people the facility is expected to serve. Therefore, priority projects will include the following:

- Cambodia: Social Accountability Framework, programmatic nationwide subnational rollout, multisector (health, education, local government);
- Indonesia: PNPM Generasi, programmatic nationwide rollout, multisector;
- China: social risk management in investment programs; farmers' cooperatives;
- Solomon Islands: community governance, grievance management, justice work;
- Vanuatu: natural resource governance, Fair Land Dealings Project.

46. **To support this multisectoral approach, the EAP team intends to complete the sector analysis of its project portfolio to profile and plan the design and implementation of CE.** A review of 50 projects in three countries has enabled the team to document how various CE mechanisms have been used (i.e., whether they have been designed, implemented, tracked, or budgeted). The remainder of this dataset will be completed in collaboration with country teams.

47. **Moving forward, the EAP team will strengthen country systems for safeguards--which implicitly includes beneficiary monitoring.** The shift from compliance checks to built-in/integrated thinking about "safeguard" issues is central to Bank business, a core that needs to be strengthened. The region has positive experience in Vietnam and Lao on capacity building and mainstreaming and plans to develop its strategy around the lessons learned. To this end, it will support specialized centers in Indonesia and the Pacific and will formulate a framework agreement with donors to support EAP governments' efforts to strengthen national systems for safeguards. In China, the Bank team has provided training for country consultants and project implementation units as well as local government staff engaged in safeguards. The team will also build on current efforts to build multi-stakeholder platforms that create coalitions of change.

C. Europe and Central Asia

48. **CE is not a new approach for Europe and Central Asia (ECA).** Many countries in ECA recognize the need to strengthen beneficiary feedback, not only to improve government effectiveness but also to support inclusive growth and stability. ECA has a strong potential to improve CE across its portfolio. The percentage of projects reporting on beneficiary feedback has increased 14 points from FY13 (29 percent) to FY14 (43 percent). Today 88 percent of projects refer to beneficiary feedback in the PAD.

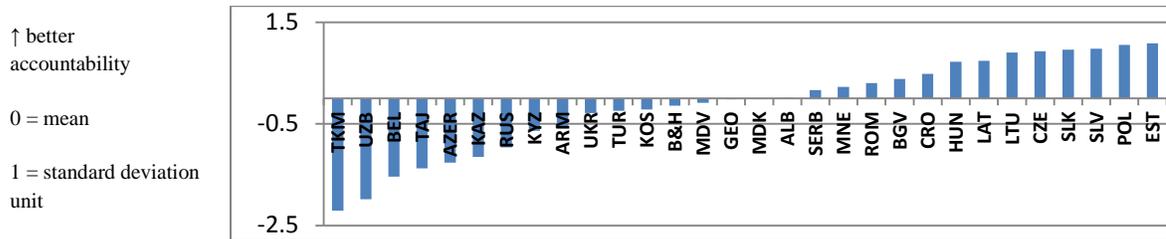
49. **ECA has taken a gradual and targeted approach to fostering CE in its portfolio.** To understand the nature and scope of CE in ECA, it is important to acknowledge the heterogeneity of the region, the legacy of the past, and the nature of the contract between citizens and the state.

1. Common Legacy, Great Heterogeneity

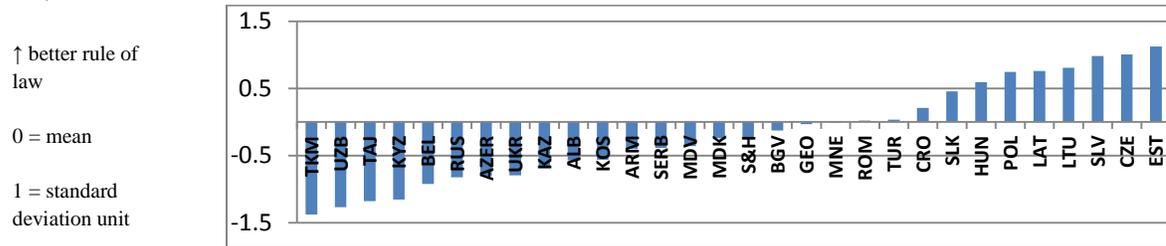
50. **Despite a common legacy, there is a great variation in the nature and level of voice and accountability in ECA.** Social services and infrastructure were well developed under the communist regimes that many ECA countries experienced, and citizens expect functioning services. However, decades of centralized decision-making, feedback-deficient environments, and marginally responsive governance can result in a “low expectations” culture, characterized by a citizenry less likely to complain (World Bank, 2014a). The service delivery entry point is often considered a more legitimate, less politicized, and less threatening domain of citizen-government interaction. However, there is great diversity among countries regarding CE (see Figure A4.1).

Figure A4.1. Voice and Accountability, Rule of Law, and Political Stability in ECA Countries

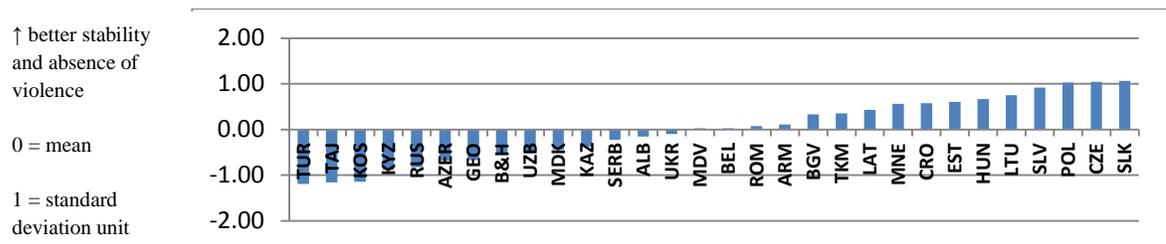
Voice and accountability



Rule of law



Political stability and absence of violence



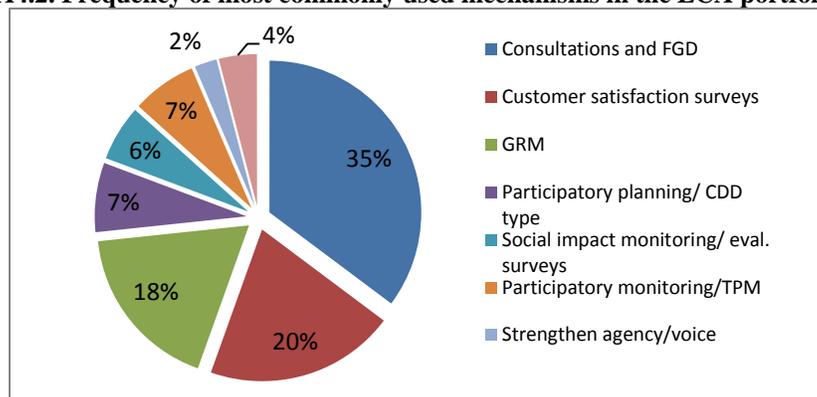
Source: WGI 2012.

2. ECA Portfolio Review on CE

51. **In FY14 ECA undertook a portfolio assessment of CE practices** to establish a baseline for achieving beneficiary feedback in 100 percent of projects by FY18, and to compile useful lessons for the future. The stocktaking used quantitative and qualitative approaches to document the extent and range of CE approaches in the ECA investment lending portfolio. The review of 212 active projects in the portfolio revealed that for 84 percent of projects, beneficiary feedback activities are described in the PADs or Project Operation Manuals. However, only 38 percent of the projects have beneficiary feedback indicators in their results frameworks.

52. **The CE tools used in ECA are very specific.** Focus group discussions, customer satisfaction surveys, and GRMs represent about 73 percent of the tools deployed, while CDD approaches and participatory monitoring represent only 14 percent (see Figure A4.2).

Figure A4.2. Frequency of most commonly used mechanisms in the ECA portfolio (% of total tools)



53. **Beneficiary feedback and CE levels differ significantly among the CMUs and the Global Practices (GPs)** (see Figures A4.3 and A4.4). The prevalence of beneficiary feedback activities in the portfolio is relatively even across CMUs, except in the Turkey country program. The distribution of beneficiary feedback and CE mechanisms varies among GPs. The practices with the highest prevalence of CE activities in the portfolio are those that have more immediate beneficiaries: Agriculture, Education, Health, Social Protection and Labor, Governance, Water, and the Social, Urban, Rural and Resilience Global Practices. Portfolios that typically intervene at the national, regulatory, and/or infrastructure levels—such as those of the Finance and Markets, Poverty, Macroeconomics and Fiscal, and Energy Global Practices—score significantly lower on beneficiary feedback (BF) and CE activities or the corresponding indicators in the results framework.

Figure A4.3 Projects with BF indicator and CE mechanisms (%), by CMU

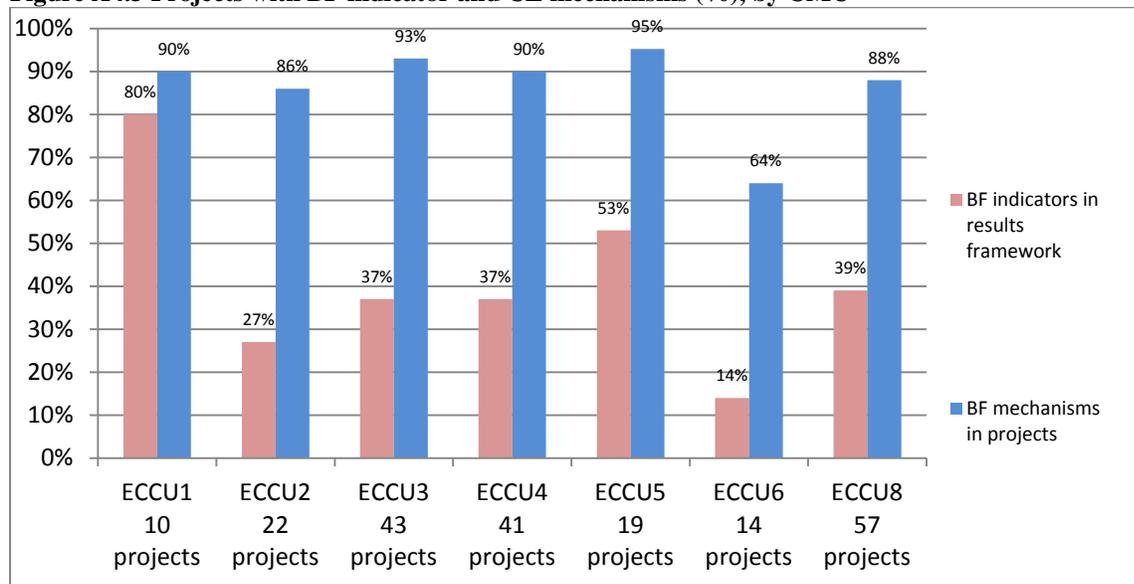
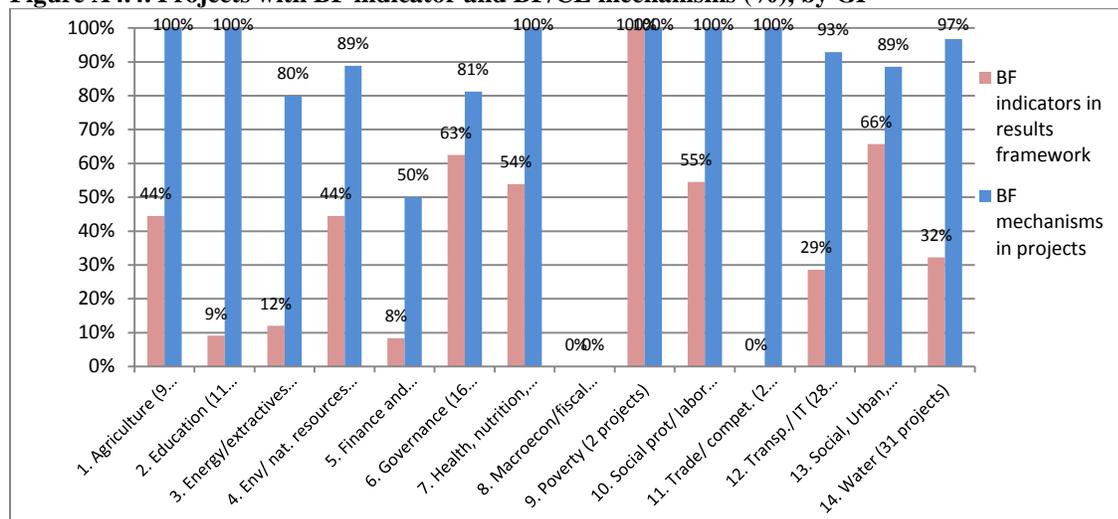


Figure A4.4. Projects with BF indicator and BF/CE mechanisms (%), by GP



54. **The structure of the ECA portfolio (large infrastructure and service delivery projects and few CDD projects) favors beneficiary feedback over CE.** Mechanisms that potentially give beneficiaries and citizens a greater stake in decision-making are much less frequent (2-7 percent of all mechanisms) than mechanisms seeking beneficiary feedback through consultations, customer satisfaction surveys, and GRMs (respectively, 35 percent, 20 percent, and 18 percent of the total number of mechanisms employed). However, in some instances, CE is deemed useful to establish trust beyond the scope of the project. A small portfolio of CDD projects (Kyrgyz Republic, Azerbaijan) has demonstrated the value of community involvement as a platform for engagement on aspects of governance, front-line service delivery, inclusion, and livelihoods.

55. **The review revealed the relevance of social safeguards as an entry point for CE activities.** Of the projects in the active ECA portfolio, 35 percent triggered OP 4.12, *Involuntary Resettlement*, and all of these projects have beneficiary feedback mechanisms, particularly

GRMs. However, those GRMs rarely apply to the project as a whole and usually remain restricted to resettlement. Effective GRMs can help both mitigate risk and manage expectations around projects, but they can also greatly help advance project implementation. For instance, the Odra River Basin Flood Protection project in Poland involved the resettlement of 161 families. A GRM was designed to be managed at ministry level. Following strong opposition to relocation from local communities, the GRM was assigned to the local mayor, who enjoys the trust of the community. Complaints are now dealt with in a more timely, flexible, and transparent manner. The improved GRM has supported the lengthy and complex consultation and negotiation process that has culminated in communities finally agreeing to the resettlement.

3. Pilot Approaches

56. Over the last decade, pilots on governance and CSO engagement have taken place in ECA. Since 2007, under the Governance Partnership Facility (GPF), studies and activities related to governance and accountability in public finances, health, education, legal rights and closing the feedback loop through an ombudsman, service delivery, and infrastructure have been supported in Albania, Armenia, Croatia, Kazakhstan, Kyrgyz Republic, Russia, Tajikistan, Ukraine, and Uzbekistan (see Box A4.2). In Tajikistan, activities focused on supporting greater CE in the budget process, and on improving the capacity of the Parliament, media, and citizens to access and analyze budget information. In Turkey, the GPF grant component provided an assessment of the Parliament's oversight role in the budget cycle. The grant also enabled examination of a gap analysis in relation to public finance reform.

Box A4.2. GPF Example: Expanding Space for Local Accountability in Perm Krai

In 2010-2012, a GPF-supported project was implemented in cooperation with the Ombudsman of Perm Krai by the Nicolaas Witsen Foundation (the Netherlands), with GRANY and other local NGOs, in four municipalities of Perm Krai: Okhansk, Suksun, Kizel, and Kosa. The project became a milestone on the path towards e-development of local accountability and facilitating citizens' access to better public services. The key result of the project is the transformation of a number of district libraries into unique communication platforms: meeting points and information and advice centers for the local community, NGOs, and municipal staff. The project tested new technologies for citizen outreach and public participation in local governance (such as public hearings, citizen surveys, and "upgrading" sites of local administrations), as well as mediation for resolving local conflicts. In addition, the project helped to create a unique troubleshooting technology that allows interaction between citizens of Perm Krai and relevant authorities on the information and communication platform "Street Journal." Another important result of the project is "We act together," – a web-based interactive platform for citizens, NGOs, and officials.

57. **Of the 39 countries that to date have opted into the Global Partnership for Social Accountability (GPSA) initiative, five are in ECA** (Belarus, Georgia, Kyrgyz Republic, Moldova, and Tajikistan). In Moldova and Tajikistan CSOs have been awarded grants through the first two calls for proposals. In Moldova, the GPSA is supporting monitoring of the performance of hospital and health care centers through beneficiary feedback mechanisms to ensure that the planned health reforms and performance-based financing will become more transparent and patient-centered. In Tajikistan, the GPSA is supporting Oxfam Tajikistan to strengthen the capacity of water associations to monitor the quality of water and sanitation.

4. Targeted Technical Assistance to Support CE

58. **Over the past five years, ECA has developed a series of targeted technical assistance projects (TAs) to support CE in projects.** For instance, in Belarus and Georgia, TAs have identified CE mechanisms that can improve the efficiency of municipal services. In Moldova and Armenia, TAs have examined options to mainstream CE in rural services and the forestry sectors. In Russia, the World Bank implemented TAs and a RAS to support the demand side of open data and open government initiatives. In southeast Europe, municipal social accountability audits were conducted in five cities in Albania, Bosnia and Herzegovina, Kosovo, and Macedonia to encourage better access to municipal services through innovative citizen feedback mechanisms (hotlines, crowd-sourcing, citizen charters, etc.). These TAs were all closely coordinated with World Bank-supported operations to provide relevant operational recommendations to scale up CE activities in projects.

5. CE in Country Dialogue: the Central Asia CE Strategy

59. **In Central Asia, where CE has been integrated to the level of the Country Partnership Framework (CPF), a systematic screening of the portfolio was conducted in FY14.** At the same time, the dialogue was reinforced internally (between GPs) and externally with some governments and civil society on CE. For instance, in Tajikistan, the dialogue was built on an earlier GPF initiative to engage with government counterparts and CSOs on governance recommendations for the new CPF (FY15-18). Similarly, CE and governance have emerged as central issues in the Kyrgyz Republic's Country Partnership Strategy, and several Bank-supported projects include community-driven approaches and governance dimensions. World Bank teams working on governance, social accountability, and CE coordinated the launch of a knowledge platform and established external partnerships with key CSOs. A joint work program was developed in FY14 with two regional CSO umbrella organizations—ARGO and Social and Ecological Fund—and a series of trainings and knowledge-sharing events on CE has been organized for Bank staff and clients and stakeholders (including state officials and non-state actors).

Box A4.3. Electricity Supply Reliability and Accountability Project

The Electricity Supply Accountability and Reliability Improvement Project (FY15 pipeline) aims to improve the reliability of electricity supply in three target areas and strengthen the governance of the electricity company's (Severelektro) operations. The project supports the strengthening of consumer feedback and the company's GRM through the installation of a Management Information System (MIS). The MIS will help the company gather accurate information about electricity use and inform customers about electricity outages through accessible channels. The MIS will also document and track the complaints received about the service and response times, and will help strengthen the customer hotline functions of the utility's service centers. A customer satisfaction survey—to be conducted before project effectiveness, six months after the incorporation of the MIS, and at project closure—will measure the evolution of customers' perception of the service. One of the core indicators of the project results framework measures progress toward improving customer satisfaction in the project area through targeted surveys (i.e., percentage improvements compared to the baseline).

6. Key Bottlenecks to Effectiveness

60. **Despite this considerable progress, ECA still faces several challenges:**

- Many country contexts are not conducive to fostering beneficiary feedback and CE because of (i) the closed nature of the polities, and (ii) citizens' limited trust in their ability to affect change.
- Counterpart agencies, project implementation units, and Bank staff have limited capacity to design and implement beneficiary feedback and CE mechanisms.
- Lack of resources and time: (i) many clients do not want to finance CE initiatives from loans and prefer to use grant funding (except for less ambitious mechanisms, such as customer satisfaction surveys); (ii) the pressure to deliver projects in very short timeframes leads to poor ownership and poor-quality CE activities.
- Not all planned project or monitoring activities are fully carried out. Discrepancies were noted between beneficiary feedback and CE mechanisms at the design and implementation stages. For instance, a GRM may be created but not used in practice.

7. Going Forward

61. **ECA's strategy for scaling up CE will be to systematically support beneficiary feedback mechanisms in the pipeline portfolio while promoting more comprehensive approaches in select client countries.**

a. Beneficiary feedback

62. **Beneficiary feedback mechanisms will be systematically mainstreamed in the pipeline portfolio by ensuring that CE is considered during social assessments and project preparation and monitored during implementation.** This will entail integrating CE mechanisms into the design and results frameworks of Bank projects; prioritizing compliance with applicable safeguards requirements for grievance redress; and piloting beneficiary feedback mechanisms for priority projects, particularly for large service delivery projects in key sectors. Cross-GP collaboration will be a priority to ensure that the CE strategy's scope and mechanisms are better understood and more systematically used to improve project implementation, service delivery efficiency, and citizen feedback.

63. **Learning lessons from the most frequently used CE tools.** ECA will assess current customer satisfaction surveys and GRMs to evaluate their quality and identify best practices. In collaboration with the CE community of practice, an operational toolkit will be prepared to help task teams implement these tools more effectively. Specific attention will be given to the ECA context (middle-income countries, closed polities, legacy from the past). Findings and lessons learned will be disseminated across GPs and CMUs.

64. **Reinforcing the safeguards beneficiary feedback loops and country systems.** The safeguard reform provides an opportunity to shift from compliance checks to more integrated beneficiary feedback systems. There is a need for systematic relationship-building to ensure that clients not only comply with requirements, but also understand the value of those requirements with respect to meeting objectives. Special attention will be given to ensuring that minor

complaints are addressed in a timely manner before they escalate, and to providing support to agencies regarding beneficiary feedback mechanisms and reporting.

65. **Support ECA staff’s awareness of and capacity in CE.** FY15 and FY16 will be critical to develop the awareness and capacity of staff across the new GPs and CMUs on CE mechanisms. As part of these efforts, systematic knowledge-sharing events, guidance notes on CE strategy and tools, and careful monitoring of progress by CMUs and GPs will be essential. ECA is involved in the CE community of practice and will support the creation of a knowledge platform involving units working on CE, as well as external stakeholders, to share best practices on CE. Those efforts will be carried out jointly with the other regions to ensure cross-regional learning.

b. A more comprehensive approach on CE in selected countries

66. **Lessons learned from the Central Asia CE strategy provide useful insights on how to better integrate CE in dialogues and programs with clients.** CMUs will provide knowledge exchange events to inform Bank staff and clients about the CE strategy and tools and to address country-specific context and programs. Upcoming Systematic Country Diagnostics (SCDs) should include a diagnosis of citizens’ agency and voice and their ability to influence social, economic, and political domains. CPFs can also provide opportunities to identify specific programs for citizen feedback. Finally, efforts will be made to engage civil society, including CSOs and local institutions, to reinforce the interface processes. The use of ICT will also be considered and used where appropriate to create new opportunities for transparency and beneficiary feedback.

67. **The CE strategy and mechanisms adopted should be rooted in a solid context analysis and should give systematic attention to the inclusion of vulnerable groups (women, ethnic minorities, youth, etc.).** For this purpose, more efforts will be needed to link CE strategies with government accountability structures and to lodge the in reform processes, as well as to systematically incorporate CE into projects and engage with beneficiaries during project design and implementation.

D. Latin America and the Caribbean

68. **Compared with other regions, Latin America and the Caribbean (LCR) has an environment that is generally conducive to civic engagement.** Its population is both highly urbanized and highly connected: 98 percent of Latin Americans receive mobile phone signals. LCR is one of the fastest-growing social media markets—in 2012 it had 168 million Facebook users out of a population of roughly 581 million, 47 percent more than in 2011. On the whole, in the past 20 years the region has enjoyed substantial improvements in civil liberties and freedom of association, including the treatment of nongovernmental organizations (NGOs). But since 2007, there has been some erosion in freedom of association, and in some countries citizens who speak out risk retribution. At the same time, the region hosts a significant indigenous and Afro-descendent population that is more likely to be marginalized and to live in remote rural areas. Finally, in spite of significant gains in poverty reduction and a 50 percent growth in the middle class between 2003 and 2009, trust in government at both the national and municipal levels is stagnating or declining; this situation may stem from the initially high expectations following the

emergence of more robust democratic regimes in the 1990s, and it may also be due to the availability of alternative sources of data (via social media) outside of government. Thus there is scope for increasing direct feedback from citizens, rather than the parallel conversations that can occur with growing social media.¹

1. Experience and Lessons Learned

69. **In recent years, the World Bank’s involvement in CE in LCR has focused on project-level consultations or participatory mechanisms** (Boxes A4.4 and A4.5) and, in some countries (Dominican Republic, Honduras, Colombia, Bolivia), more intensified approaches to engaging citizens and civil society in social audit and third-party monitoring across a number of operations in the portfolio. Some countries’ systems and legal frameworks already involve CE (e.g., participatory budgeting at the municipal level in Brazil, which has been linked to more pro-poor spending patterns). In other countries, legal frameworks exist but have not been fully implemented to lead to inclusive engagement (for example, the participatory budgeting law in the Dominican Republic). At the same time, a recent review of the use of grievance redress in Bank operations involving social safeguards found that almost three-quarters of a sample of projects triggering OP 4.10, *Indigenous People*, had either a brief or no mention of a grievance redress mechanism in project documents, suggesting that the GRM was not being actively used as a management tool.² Only about 44 percent of a sample of projects triggering OP 4.12, *Involuntary Resettlement*, could show evidence of a well-functioning GRM.

70. **The three most common types of CE innovations used by Bank-supported operations in LCR are** (a) ICT-enabled geo-referenced citizen feedback platforms, which are increasingly of interest to clients, to leverage more traditional and at times cumbersome forms of paper-based feedback; (b) creation of national-level observatories and participatory policy reform processes; and (c) discrete social audit by CSOs.

To date, the approach to scaling up CE in LCR has focused on identifying areas where there are (a) positive impacts on development outcomes, and (b) possibilities to benefit from economies of scale/replicability. With the establishment of the GPs, it is possible that economies of scale will be manifested across regional boundaries, as well. Thus, for example, in terms of sector-focused models (versus policies), Bank-supported operations have continued to develop ICT-enabled platforms for the road transport sector (the largest share of the LCR portfolio) in Uruguay, the urban transportation sector in Quito (including feedback on safeguards-related issues in addition to service delivery issues), a CDD-type rural development operation in Bolivia, and the energy sector in the Dominican Republic. Early lessons are already being shared with similar operations across countries (e.g., replication of the energy platform in Jamaica and in the water sector in Honduras, and sharing models for transport from Uruguay with Argentina), and are informing work in other regions, such as ECA. At the policy level, the Dominican Republic has emerged as one of the more active countries in this area, supporting a participatory anticorruption coalition and a Caribbean Growth Forum, and pursuing open and ICT-enabled procurement.

¹ LAPOP data analysis 2004, 2008, 2012.

² This may stem in part from the focus on many other safeguards-related issues at project design, and in the over-triggering of OP 4.10. The higher percentage for OP 4.12 is still far from ideal.

2. Going Forward

71. **In FY14, LCR initiated the development of a regional CE action plan for FY14–FY16, staff and client training on both ICT-enabled and more traditional CE techniques, and preparation of the building blocks for more widespread use of CE techniques.** The final form and targets in the strategy will depend on the resources available and on consultations with the newly formed GPs. The draft strategy focuses on the following areas:

- (a) ***Support to mainstreaming CE in projects*** with clearly identified beneficiaries, for which integration of feedback is likely to be critical to program/project results and which offer economies of scale based on their prevalence and size in the Bank portfolio. For example, urban water, energy, and municipal services often depend on consumers for cost recovery, maintenance of community infrastructure, and conservation; thus water and energy utilities that are equipped with tools to systematically integrate and respond to consumer feedback—or that have a culture of service to citizens—are more likely to be able to meet these goals. Along similar lines, large-scale urban transport operations depend on cost recovery and also involve significant construction in high-density areas; thus they require systems to quickly identify and address citizen grievances and also to ensure a client-oriented service once under operation. For decentralized rural CDD programs, the burden of supervision and risk of elite capture is minimized when end-beneficiaries are empowered to provide independent feedback. For conditional cash transfer programs, end-user feedback provides valuable insights into program effectiveness.

An integral part of this process will be to help clients more clearly define and publish standards of service delivery. By end-FY15, the objective will be to have at least one scalable CE model for energy, water, transport, urban, and social protection (assuming funding is available). Funding considerations for FY15 and FY16 will also determine support from the virtual CE team to proposals from among a list of priority projects identified during earlier regional consultations.

- (b) ***Compliance with consultations and grievance redress systems associated with World Bank social safeguards.*** Three actions can address this deficit: (i) developing an app that can be offered to clients to get feedback from affected peoples under OP 4.12; (ii) experimenting with CE mechanisms targeting indigenous communities that have specific needs; and (iii) reinforcing staff capacity and time to ensure that such mechanisms are operational. Each year, about 30 projects trigger OP 4.10 and about 25 trigger OP 4.12. The priority will be to reach functional grievance redress and feedback systems (including more comprehensive institutional descriptions) for a majority of new operations triggering OP 4.12 by FY16. Where possible, it would be useful to integrate these grievance redress and feedback systems into platforms that solicit feedback on the services being provided.
- (c) ***SCD/CAS/CPS.*** Teams will collaborate with the Southern Cone, Andean, and other CMUs to identify upstream entry points where CE is likely to be central to program results through diagnostics carried out as part of the CPS/CAS/SCDs in FY15. The region will also focus on further developing the methodology for analyzing CE in the SCD for Costa Rica.

- (d) ***Taking stock to understand the baseline on CE in LCR.*** A more formalized survey will be used to establish a more systematic, LCR-specific baseline on CE.
- (e) ***Capacity building.*** One of the greatest challenges will be how to quickly make information on CE activities accessible, comprehensive, and user-friendly by using both more traditional, low-tech mechanisms (e.g., community scorecards) and higher-tech, ICT-enabled tools. During FY15 LCR is planning to set up a Spark page, establish building blocks (e.g., terms of reference) for the design of effective CE activities, and provide training sessions for staff on ICT-enabled CE and the use of community scorecards. With the creation of the GP structure, this regional Spark Page is being consolidated into a Bank-wide Spark page.

Box A4.4. The Use of Citizen Engagement to Shift Incentives in Energy

With high levels of clientelism in bill payment combined with years of consumers making illegal connections, the Dominican Republic’s electric utility was not receiving adequate payments and therefore did not consider itself accountable to provide a quality service. Consumers did not feel obliged to pay, given the abysmal service levels; as soon as networks were rehabilitated, they had little incentive to refrain from vandalizing new meters. An effort was needed to find a model that could reverse this downward spiral.

Accordingly, with the Energy Sector Rehabilitation Project, the World Bank supported the country in creating incentives both for consumers to pay, and for the utility to begin to focus on citizens as clients. Community monitoring committees comprising diverse members from both major political parties and consumers were offered 24-hour service if they could help to increase payment levels and reduce vandalism in their geographic circuits. Since the results framework for this project included an indicator on consumer satisfaction, surveys to gauge levels of satisfaction with the service were carried out before, during, and after rehabilitation. In addition, because surveys showed that community committees could reach only limited numbers of households, an ICT-enabled citizen feedback pilot, *VozElectrica*, was piloted that allows neighbors to observe and comment on feedback/complaints from their localities, which are continuously accessible to all. For the first circuits whose rehabilitation was completed, cost recovery increased and citizen satisfaction with the hours of service increased from 8 percent to 95 percent.

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

Box A4.5. Using Citizen Engagement to Promote More Participatory Policy Formulation

Under a multisectoral SWAp operation in the Brazilian state of Rio Grande do Sul, the team used a program called “The Government Asks” to crowd-source citizen feedback on policy solutions via web, mobile phones, Facebook, vans equipped with Internet access, and face-to-face meetings to elaborate policy proposals. Most recently, citizens were invited to co-design solutions to address health challenges; over 1,300 citizen proposals were generated, and more than 120,000 votes were cast on their prioritization. This contributed to an increase in the allocation for primary health care.

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

E. Middle East and North Africa

71. **Through the mass protests that swept several countries in the Middle East and North Africa (MNA), citizens united across ideological, demographic, religious, and ethnic lines to demand greater voice and participation and an end to elite capture and political and economic marginalization.** The Arab Spring has provided an opportunity for structural change in this regard and has positioned citizen participation in policy-making processes at the center of the regional agenda. Even in transition countries, space has been created for bringing citizens into the policy dialogue. This has fundamentally changed the nature of the opportunities for CE in MNA and the way the World Bank engages with its clients.

1. Experience and Lessons Learned

72. **In the midst of the post-Arab Spring transitions, MNA countries are trying to respond to citizens' demand for greater voice and participation in policy reforms, service delivery, and development programs.** In this respect, the World Bank MNA region has adopted CE as a new development approach in priority operations, seeking to incorporate citizen feedback and input in policy reform programs and public service provision.

73. **The MNA initiative, “Mainstreaming Citizen Engagement in MENA” is one of the World Bank’s flagship initiatives in this regard.** The main objective of this initiative is to identify CE entry points for MNA priority operations and adopt CE mechanisms that are tailored to the country context and to the sector-specific issue(s) being addressed by the operation. In close collaboration with all MNA CMUs, sector managers, and TTLs, MNA has identified 42 priority operations for FY14 and FY15 in which CE mechanisms are being integrated or strengthened.

74. The priority operations for this initiative were selected on the basis of (a) potential to integrate and scale up citizen feedback mechanisms into country systems for more sustainability, and (b) direct impact on citizens and the ability for a critical mass of beneficiaries to provide feedback throughout project implementation. These priority operations have been endorsed by the country directors. The pilot for the initiative is implemented through an inclusive process across sectors and CMUs in MNA and in coordination with different units Bankwide. A CE team for MNA, comprising representatives from these units, has established a roster of engagement leaders, met jointly with task teams, and nominated an engagement leader for each priority operation to support TTLs in identifying CE entry points and designing tailored CE mechanisms in the project. Engagement leaders and task teams interact regularly to share updates and experiences, discuss bottlenecks, and address challenges collaboratively.

75. **The MNA Citizen Engagement Briefing Note and Guidance Note for Mainstreaming Citizen Engagement have been useful to provide technical support to task teams across sectors.** The MNA internal Engagement Web-portal is also updated regularly to raise awareness on CE activities in the region and provide resources produced by teams across sectors and departments Bankwide. Additionally, to raise awareness of the MNA region’s efforts to integrate CE in priority operations and solicit feedback, the MNA CE Team participated in various Bank events, including the 2013 Civil Society Forum’s session on “Engaging with Citizens for Greater Development Impact” and the 2014 Social Development Forum and Citizen Engagement Workshop at the Spring Meetings.

76. **MNA teams working with counterparts have defined several entry points and designed mechanisms for “listening” to citizens’ voices and incorporating their feedback into policy reform programs and service delivery projects.** These mechanisms include consultations, third-party monitoring, participatory decision-making, and GRMs. Examples of projects from the MNA region’s portfolio that have incorporated such mechanisms follow:

- ***The Yemen CSO support project*** integrates a system of user feedback and information collection based on a network of help-desks to track and monitor transparency and ease of use of the online and offline CSO registration process to be introduced under the project.
- ***The municipal solid waste sector development policy loan in Morocco*** includes a two-pronged consultation process, a communication strategy, and the introduction of Citizen Report Cards. The consultation process was highly effective and resulted in incorporating several specific actions into the policy matrix, including adoption of the Citizens Report Card pilot by the client which will be implemented in four municipalities.
- ***The Yemen Social Fund for Development*** took a proactive approach in consulting with local populations to design projects to ensure that the needs of the poor and marginalized are accounted for. It actively solicited citizen participation during project preparation, reviving traditional forms of community-level decision-making in issuing municipal-level grants. The Yemen Social Fund for Development IV is integrating various CE tools in two or three urban areas to conduct participatory planning.
- ***The Djibouti Second Urban Poverty Reduction project*** integrated CE mechanisms in the project design to foster community voice and ownership through geo-referenced citizen reports on infrastructure, neighborhood committee reports on community activities funded by the project, and an effective GRM. These CE mechanisms aim to improve responsiveness to residents’ needs for improved access to urban services.
- ***Tunisia Urban Development and Local Governance project*** To strengthen governance through participation, transparency and accountability, a national web portal will be established to serve as a transparency platform, providing real-time information about financial transfers from central government to local governments (past, approved and planned). In parallel, the project will support the creation of venues for citizen participation at the local level. Municipalities will implement a participatory planning process, in which citizens will be consulted regarding the overall budget allocation at local level. They will also launch a participatory budgeting process that will allow citizens to decide on the allocation of a portion of the investment budget of the local government.
- Through the ***Morocco Youth Entrepreneurship Training Project***, an e-platform was developed allowing for better monitoring of training and coaching activities across a large number of training facilities operated by different implementing partners across the country. The monitoring platform will be complemented by a SMS tool that will allow collection of beneficiary satisfaction data with regard to training activities as well as performance data on the micro-enterprises led by youth entrepreneurs.

- ***Egypt Labor-Intensive Public Works Additional Financing*** seeks to enhance the GRM at the village level and standardize the methods to collect citizen feedback on infrastructure service provision, operations and maintenance, and infrastructure usage to assess citizen satisfaction. A formal complaints mechanism will be established to benchmark and monitor bottlenecks at the local level.
- ***West Bank and Gaza Municipal Development Project II*** provides for integrating CE mechanisms to strengthen the implementation/functioning of citizen service centers and one-stop shops to enhance citizen satisfaction. It also introduces an e-governance initiative to improve the responsiveness and quality of public services for a larger number of citizens. The initiative will support four pilot municipalities, using an Internet-based system for delivering services and information to citizens. It will promote knowledge sharing; enhance awareness of and accountability in service delivery (specifically e-licensing, e-participation, and e-payment); and increase revenue generation for different public agencies.

2. Going Forward

77. **The MNA team will continue to integrate CE mechanisms in project design to enhance citizen feedback throughout project preparation and implementation**, with the goal of impacting country systems when the country and sector context allows it. MNA's efforts in this regard will continue across sectors during FY15, with the aim of incrementally integrating CE in all its operations by 2018.

78. **Technical support to task teams will also continue through a series of clinics and capacity-building sessions.** During FY15 the team intends to focus specifically on fragile and conflict-affected situations. Institution-building in transition contexts, and service delivery, are important areas where the integration of CE mechanisms contributes to reducing social tensions and to building public institutions' legitimacy. Transition country contexts also provide a window of opportunity to impact country systems.

F. South Asia

79. **The South Asia region (SAR) has a wealth of experiences with CE**, many linked to decentralization processes, access to information laws, management of public resources, and service delivery at the local level. Bangladesh, India, Nepal, and Pakistan have mandated decentralization by law and have used social accountability mechanisms to improve local governance. Most countries have adopted right-to-information laws, and civic groups and governments have increasingly come to realize the value of timely and relevant information for policy processes and outcomes. Laws such as India's recently ratified Service Delivery Act focus on the establishment of Citizen Charters, which inform the citizens about their rights, and local governments and their municipal corporations have also adopted citizens' charters. However, the transition to decentralization or devolution is fraught with difficulty. Governments are constrained by bureaucratic procedures, political interference, limited authority, lack of

accountability of service providers, and insufficient financial resources, while civil society grapples with inadequate capacity to engage with citizens.

1. Experience and Lessons Learned

In recent years, SAR has provided significant support to strengthen local governance and empower communities to promote accountable service delivery and demand better governance. Project Governance and Accountability Action Plans (GAAP) have strengthened accountability mechanisms and promoted greater transparency and stronger grievance redress, and helped increase awareness of people’s rights to know and seek information and make government institutions accountable. Initiatives to strengthen CE include support for right to information, use of social accountability tools and beneficiary involvement in projects, use of grievance redress mechanisms, empowerment of communities, and participation in public financial management.

80. **In Afghanistan, the World Bank is scaling up the integration of CE across its portfolio.** Since Afghanistan has been in conflict for over 30 years, the CE agenda has been driven in many ways by the level of fragility and the weakness of state structures, both of which have necessitated closer engagement of citizens and communities. These factors also determine how the Bank engages with citizens in rural and urban areas, given the different tribes, gender aspects, traditional structures, elite/power influence and displacement issues. Use of community monitoring and third party supervisory agents has been important to facilitate this engagement.

The large-scale use of third-party supervisory agents across five national programs that use ICT tools has been complemented by local monitoring in several projects to ensure immediate reporting during the construction phase. First piloted for the Irrigation Rehabilitation Development Project, local monitoring enabled the assessment of some 13 irrigation canal construction projects, affecting about 20 communities in 9 provinces. Furthermore, local monitoring has helped to ensure better social inclusion. Other projects including the National Solidarity Program (NSP) have introduced voluntary community monitoring of its sub-projects through citizen/community involvement during project planning, implementation and monitoring. These projects have also succeeded in increasing women’s participation by making incremental policy changes such as setting targets for women’s representation in community development councils, school management committees etc., and the number of female office bearers in community councils. The Bank has also supported the Ministry of Mines and Petroleum to pilot a small social accountability project in the Aynak copper mine to foster trust between the ministry, mining company and affected communities. There is an ongoing policy dialogue regarding Community Development Agreements in the extractive industries, which has also contributed to the recently amended Minerals Law.

81. **In Bangladesh, the current Country Assistance Strategy mainstreams attention to good governance and citizen participation.** For example, at the program level, the World Bank initiated third-party monitoring by Bangladeshi CSOs to assess progress against CAS results targets. This was the first time that the World Bank had opened its CAS to public scrutiny, with the official endorsement of the Government of Bangladesh. This approach was intensified in 2012 through implementation of the Triple “S” Strategy, which aims to strengthen fiduciary

safeguards, build country systems for good governance, and let the sunshine in, through increased transparency and use of domestic accountability mechanisms.

At the project level, Governance and Accountability Action Plans are customized to sector/project circumstances, with the composition of “safeguards”, “systems” and “sunshine” tailored to specific needs. A wide range of mechanisms to elicit citizen feedback are now incorporated in project design, including community scorecards, social audits, focus groups, and third party monitoring, among other social accountability tools. In a number of projects, technology and social media are also being used to facilitate citizen engagement. Within government, support is provided to implementing agencies to help them to comply with the national Right to Information Act and proactively share information with beneficiaries.

The Bank is also working directly with Bangladeshi CSOs to promote civic engagement. For example, the Citizen Action for Results, Transparency and Accountability (CARTA) project applies social accountability tools in the context of third-party monitoring in five ongoing Bank-supported projects in Bangladesh. This citizen-monitoring intervention is meant to improve the quality of service delivery, support local CSOs in promoting citizen capacity to respond to emerging issues, access information, identify vulnerabilities to corruption, and identify unintended consequences, by tapping into the knowledge of local communities. Additionally, Bangladesh was one of the first countries to opt into the World Bank’s Global Partnership for Social Accountability (GPSA). The GPSA engagement in Bangladesh is focused on strengthening citizen engagement in the open budgeting process at the lowest level of local government and monitoring how participatory budgeting is operating in practice. Two NGOs, CARE and the Manusher Jonno Foundation (MJF), received grants in the past year and work began in 2014.

82. In India, the Bank has supported, via a range of different sectors, activities focused on citizen engagement with a strong emphasis on furthering inclusion and building on the pioneering Right to Information movement. The Government of India has promoted several landmark legislations that promote greater citizen engagement through the Right to Information Act, Right to Employment (Mahatma Gandhi National Rural Employment Guarantee Act), Right to Education, Right to Food Security Act. The Right to Public Service Act has been enacted at the national level as well as in several states. Enactment of the Right to Information Act has encouraged several million requests for information disclosure from citizens, employees, users and civil society each year, and is proving to be an effective instrument in the hands of the citizens. Earlier, the constitutional amendments to local self-governance in Panchayati raj institutions and urban local bodies established a strong institutional foundation for citizens’ participation in governance, planning and budgeting and service delivery. More recently, many state governments have stipulated 50 percent representation of women in local governments. This has resulted in more than a million women’s representatives being elected in villages, districts, cities and states.

At the policy and program level, CSOs have been engaged in finalizing the Country Partnership Strategy, updating Bank’s operational policies on Indigenous Peoples (Scheduled Tribes), and Land Acquisition and other studies. The India Program has focused largely on enhancing the voice of local beneficiary communities, service user groups and citizens in Bank-supported projects. Project teams have worked to strengthen the demand side of governance through the use of toolkits and state laws and mechanisms such as the Right to Information Act, citizen's

charters, and grievance redress mechanisms. The RWSS project in Uttarakhand has helped with the processing of RTI applications. The World Bank financed [Affiliated Networks for Social Accountability \(ANSA\)](#) supported two communities of practice in India on RTI and Accountability Tools, leading to 12 pilots on strengthening social accountability, third party monitoring, and NGO capacity building.

81. There is a growing critical mass of operations linking CE, local governance/decentralization and pro-poor service delivery in Assam, Bihar, Karnataka, Madhya Pradesh and Mizoram for instance. Participatory Identification of the Poor has been a core approach adopted by the rural livelihood projects, in which rural communities have collectively appraised the wealth and well-being of households to identify the poorest beneficiaries and prioritize their inclusion in project processes and benefits. This approach has worked particularly well in Tamil Nadu, Orissa, and Andhra Pradesh.

82. Strong beneficiary feedback and stakeholder engagement has been an integral part of the social assessments carried out for rural roads, water and sanitation, livelihood, nutrition and all other projects. During project preparation, all social assessments rely heavily on the feedback and perspectives of project beneficiaries and primary stakeholders, which are then integrated into the project's gender and social inclusion strategy. The Rural Livelihood Portfolio used community-based institutional platforms of poor women not only to access credit, plan and implement livelihood interventions, but also to leverage their collective bargaining capacity to access entitlements and services through panchayats. This approach has worked particularly well in Tamil Nadu, Orissa, and Andhra Pradesh.

83. In addition, a strong body of analytical work has been collected by the Bank on the role and impact of the range of CE efforts, including the RTI and social audits, confirming India's continued role as source of immense innovation in the CE field.

84. Going forward, capacity building has been identified as a key element in strengthening citizen participation and social accountability in India. The Bank is designing a series of public service delivery projects that linking CE, local governance/decentralization and pro-poor service delivery, for instance in Assam, Bihar, Karnataka, Madhya Pradesh and Mizoram. The Governance and Social GPs would collaborate to use CE and SA approaches to improve gender, equity and social inclusion outcomes for citizens. Efforts to enhance social accountability, citizen engagement and demand for good governance will be implemented through investment projects as well as AAA initiatives.

85. **In Nepal, the Bank has supported efforts to bolster social accountability activities in public financial management, municipal governance, and public service delivery.** Over the past decade, the Government of Nepal has passed and promulgated a series of new acts, policies and guidelines related to improving local governance and promoting citizen engagement. These include: the Local Self Governance Act (1999), the Decentralization Implementation Plan (2002), the Right to Information Act (2007), the Good Governance Act (2008), Good Governance Action Plan (2012), Local Bodies Resource Mobilization and Management Guidelines (2012) and the Social Mobilization Guidelines (2014). Although these documents provide the critical institutional basis for strengthening transparency, accountability and inclusion of local governance processes, many challenges continue to persist, especially at the

district and village levels, with vulnerable groups continuing to contend with limited representation in decision making bodies, poor access to services and few opportunities to voice their concerns.

86. Recognizing the need to build civil society's capacity to strengthen accountability measures to improve governance in Nepal, the World Bank launched the Program for Accountability in Nepal (PRAN) with support from the State- and Peace-building Fund. Since 2009, PRAN has been developing the capacity of civil society and government actors through practical training, action learning, and networking. In addition, the multi-donor trust fund has been supporting independent budget analysis by CSOs, think tanks and research institutes through PRAN.

87. PRAN's recent work has led to increased citizen awareness about the local planning and budgeting process in 80 VDCs, closer examination of the distribution of Social Security Expenditures, greater participation by women and marginalized groups in local governance structures, improved community management of government schools and even the refunding of misused or misallocated funds back to the VDC and ward budgets. At the national level, PRAN supported the Office of Auditor General in Nepal by fostering support for collaboration of the Office of the Auditor-General with CSOs and media. The intervention has led to the establishment of a widely respected and on-going OAG-CSO collaborative process that has supported dissemination and follow-up of the OAG annual audit report, implementation of performance audits with community participation at the local level, and an innovative regional learning exchange process (led by the OAG in Nepal) among the senior staff of Supreme Audit Institutions in South Asia with the support the "Advancing Public Participation in the Budget and Audit Process" program.

88. **Throughout the Nepal portfolio**, grievance redress is an integral part of not only infrastructure projects but also human development and social protection projects. Recently, an ICT based grievance redress mechanism was rolled out in one of the road projects. Through the Citizen Action for Results, Transparency and Accountability (CARTA) program, social accountability tools in the context of third-party monitoring were introduced in 6 projects.

89. **To operationalize the GAC II strategy, Pakistan undertook the following:** (a) a mapping of social accountability interventions in Bank projects and identification of two or three pipeline projects to be supported with the design of CE components for demonstration effects in sectors (infrastructure-related) and areas (KP, FATA or Balochistan); (b) an assessment of external social accountability programs and mapping of CSOs at the province and district levels using GIS to understand the enabling environment for social accountability work in Pakistan, and to provide project teams with context-based information and potential for replication in Bank-funded operations; and (c) an assessment of youth in rural Pakistan on their role in their communities and their use of technology. The results and lessons learned were disseminated in TTL clinics on social accountability approaches and through the donor roundtable on social accountability, and were used in projects as part of Pakistan's GAC strategy.

90. **The South Asia region has been using ICT tools to collect citizen feedback and geocode project locations.** In Pakistan, Punjab uses SMS and robocalls on public service satisfaction, providing feedback in a structured manner to decision makers. The Punjab Model represents a novel application to deterring corruption by collecting data on "bribe-taking" by

bureaucrats who administer basic services (e.g., property registration, the licensing of drivers, providing glucose drips). In India, the SLB Connect, a service-level benchmarking initiative, aims to strengthen CE in selected urban areas for provision of water and sanitation services and thereby help improve service outcomes. In addition to tracking service outcomes for specific projects and programs, SLB Connect allows for analysis by area, including the city's poorest neighborhoods. Following the success of a recent pilot initiative, plans are under way to expand the effort to other cities. In Nepal, WBI has piloted the Poverty Alleviation Fund Project's OnTrack initiative, an ICT-enabled mechanism that allows citizens and civil society to directly provide feedback to government implementing agencies and public service providers of Bank-financed programs. OnTrack uses a multi-mode approach to collecting citizen feedback by using innovations in technology (i.e., interactive mapping, SMS, mobile, and Web applications) embedded in a broader process of civic engagement and participatory monitoring of development outcomes. In India, IT-based governance schemes were embedded in about one-third of WB projects. The National e-Governance Program improved service delivery across its 27 mission mode projects, focusing on LISs. Efforts have also begun in some projects to leverage the UID e-identity scheme to promote better access for the poor to services and reduce financial leakages.

2. Going Forward

CE, if it is done well, has great potential in SAR, but since this region is complex and diverse, approaches need to be tailored to the context, and government buy-in needs to be secured. CE is not a new agenda in the region, and many activities already include it. To support overall mainstreaming of CE, project teams will need to understand contextual constraints and opportunities, and require technical assistance with incorporating CE in project design and implementation. Scaling up beneficiary feedback requires consistent support from all parties and better tracking. Advancing the CE agenda requires committed funding in projects and incorporation into design at an early stage, so that it is developed with the other elements of the project.