Strengthening Inclusive Ownership Through Capacity Development

Operational Lessons from Case Studies

Tommaso Balbo Di Vinadio, Priyanka Sinha, and Paramjit Sachdeva

World Bank Institute Capacity Development and Results
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## Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acronyms</td>
<td>7</td>
</tr>
<tr>
<td>Summary</td>
<td>9</td>
</tr>
<tr>
<td>Introduction and Concepts</td>
<td>13</td>
</tr>
<tr>
<td>Study Approach</td>
<td>17</td>
</tr>
<tr>
<td>Case Study Findings</td>
<td>19</td>
</tr>
<tr>
<td>Operational Lessons</td>
<td>29</td>
</tr>
<tr>
<td>Conclusion</td>
<td>37</td>
</tr>
<tr>
<td>References</td>
<td>39</td>
</tr>
<tr>
<td>Annex: Change Process Diagrams for Case Studies</td>
<td>42</td>
</tr>
</tbody>
</table>
## Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBO</td>
<td>Community Based Organization</td>
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<tr>
<td>CDD</td>
<td>Community Driven Development</td>
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<td>CDRF</td>
<td>Capacity Development and Results Framework</td>
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<tr>
<td>CEDAW</td>
<td>Convention on the Elimination of All Forms of Discrimination Against Women</td>
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<tr>
<td>CSO</td>
<td>Civil Society Organization</td>
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<tr>
<td>CUTS</td>
<td>Consumer Unity and Trust Society</td>
</tr>
<tr>
<td>CVA</td>
<td>Citizens Visible Audits</td>
</tr>
<tr>
<td>ICO</td>
<td>Intermediate Capacity Outcome</td>
</tr>
<tr>
<td>ICT4GOV</td>
<td>Information Communication Technology for Governance</td>
</tr>
<tr>
<td>KDP</td>
<td>Kecamatan Development Program, Indonesia</td>
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<tr>
<td>KPEP</td>
<td>Kosovo Private Enterprise Program</td>
</tr>
<tr>
<td>LGA</td>
<td>Local Government Act</td>
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<tr>
<td>MDG</td>
<td>Millennium Development Goal</td>
</tr>
<tr>
<td>PBS</td>
<td>Protection of Basic Services</td>
</tr>
<tr>
<td>RIAL</td>
<td>Rapid Innovation Action Learning</td>
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<td>WBI</td>
<td>World Bank Institute</td>
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</table>
Ownership of development goals and priorities by local stakeholders is widely viewed as a critical factor impacting development effectiveness and achievement of the Millennium Development Goals (MDGs). The 2008 Accra Agenda for Action identifies the concept as one of inclusive ownership, involving parliaments, local authorities and civil society organizations (CSOs), as well as governments. The importance and challenges of building such broad-based ownership across society were a key discussion topic at the Fourth High Level Forum on Aid Effectiveness in November 2011 at Busan. This study aims to generate deeper operational knowledge on what can be done to foster inclusive ownership; its initial findings were presented at Busan.

Approach

The study sought to understand how capacity development initiatives contribute to strengthening inclusive ownership, which involved a literature review and desk study of nine selected cases where that impact could be seen. The study team selected the nine cases based on high levels of inclusive ownership achieved by stakeholders, to deconstruct the change process in each case and identify factors that contributed to the change.

The study drew on the World Bank Institute’s (WBI) Capacity Development and Results Framework (CDRF) to identify five operational dimensions that could contribute to inclusive ownership and serve as the basis for examining ownership in each case. The dimensions are: (1) commitment of social and political leaders to advancing the development process; (2) compatibility of social norms and values; (3) stakeholder participation in setting priorities; (4) stakeholder demand for accountability; and (5) transparency of information provided to stakeholders.

For each case, the study examined how the improvement in one or more of the dimensions of inclusive ownership was achieved, using the CDRF as the analytic lens to assess the results chain and change process, specifically:

- How the capacity development initiative had developed the capacity of the change agents
- Intermediate results (referred to as intermediate capacity outcomes or ICOs) achieved that reflect gains in the capacities of change agents
- The change process undertaken by the change agents to strengthen the inclusive ownership dimension(s).

Findings and Lessons

By deconstructing the process of change, the case studies show different combinations of capacity development activities and ICOs in each case and how they empowered the change agents to strengthen inclusive ownership dimensions. Table 1 summarizes the cases, which are fully described in a supplementary booklet.

The case studies identify several factors important to the process of change that together suggest operational lessons:

Collaborative Capacity for Change

- Strengthening cross-stakeholder engagement. An important part of the change process in all of the cases was the development of collaborative capacity between different stakeholder groups to enable them to work together. This development involved strengthening
the motivation and arrangements for engagement and coordination, and it included groups such as local government, CSOs, central government, parliamentarians and media. The improvement in collaborative capacity among different actors was required in addition to increasing the capacities of specific groups in terms of awareness, knowledge, skills and internal interaction.

Investing in Planning

- *Diagnosis, constraints and opportunities.* Careful assessment of the institutional environment and consideration of contextual conditions, and opportunities offered by existing capacities, contributed to identifying capacity development targets and entry points for interventions.

- *Results chain and change strategy.* When a clear results chain and change strategy had laid out the logic of the program at the outset, this supported planning of initiatives and targeting of strategic objectives, as well as the subsequent monitoring of results during implementation.

Managing the Process

- *Local leadership with supporting role for external partners.* A number of cases highlight how leadership by local stakeholders of the capacity development process promoted success, while external organizations served a support function as facilitators, conveners, or knowledge connectors. External organizations proved to be helpful when they facilitated the process without taking the lead or potentially disrupting an ongoing local process.

- *Adaptive implementation and tracking intermediate outcomes.* Several cases demonstrate how adaptive implementation of a combination of complementary and mutually reinforcing ICOs support the dynamic and iterative change process. Further, in a few cases, careful tracking of the achievement of ICOs helped change agents to modify the program in a timely way. However, measuring and recording intermediate outcomes from capacity development remains uncommon and challenging, suggesting that increased attention to tracking these outcomes would contribute to effective change management, while generating data to support more systematic and rigorous learning.

Conclusion

This study involves a retrospective review of a small sample of cases. From these cases it is possible to demonstrate that inclusive ownership, when considered in terms of the operational dimensions examined in the study, can improve as a result of strategic capacity development efforts. It also shows how using an analytic lens such as the CDRF, in particular for the assessment of intermediate results of capacity development, helps to deconstruct the change process in a given case and suggest some operational lessons.

Further learning is warranted on how inclusive ownership can be fostered through the design and delivery of capacity development initiatives. Collaboration among and across global communities concerned with ownership and capacity development would enable this work to draw on wider development experiences and generate deeper knowledge on how capacity development can support transformative change.

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1 WBI coordinated the study in collaboration with multiple partners under the umbrella of Cluster A “Ownership and Accountability” of the OECD-DAC Working Party on Aid Effectiveness.
<table>
<thead>
<tr>
<th>Case study</th>
<th>Change process and intermediate capacity outcomes</th>
<th>Dimensions of inclusive ownership strengthened</th>
<th>Selected success factors</th>
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</thead>
</table>
| (1) Burkina Faso: Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) Shadow Report Program | - Increased knowledge and skills of women and strengthened CSO coalition led to the production of the “shadow report” that helped shape government strategy on CEDAW.  
- Increased awareness by government of the importance of CEDAW, and strengthened CSO coalition led to the commitment of government to produce reports every four years on CEDAW compliance. | - Participation in setting priorities  
- Commitment and responsiveness of political leaders | - Building on existing capacities and opportunities  
- Leadership by women CSOs, with facilitatory external support. |
| (2) Colombia: Citizens Visible Audits (CVAs) Program | - Increased community awareness of royalty resources motivated and increased confidence to monitor public investments, thereby increasing transparency and demand for accountability. This was complemented by new know-how in community monitoring.  
- Increased consensus and coordination between community and local authorities led to increased commitment of leaders in expanding CVA program. | - Demand for accountability  
- Transparency  
- Commitment of local leaders | - Strong diagnosis and conducive environment  
- Local leadership at multiple levels  
- Strengthening dialogue between community and local authorities |
| (3) Democratic Republic of Congo: Information and Communication Technology for Governance (ICT4Gov) Program | - Increased awareness of benefits contributed to local government adopting the practice of participatory budgeting.  
- Increased skills and implementation know-how in use of ICT, and collaboration among actors facilitated transparency of information and involvement of citizens in participatory budgeting. | - Commitment of leaders  
- Participation in setting budget priorities  
- Transparency | - Extensive diagnosis, identified opportunities in South Kivu province  
- Local leadership strengthened through the process, with external partner as knowledge connector  
- Complementary and reinforcing ICOs |
| (4) Ethiopia: Protection of Basic Services (PBS) Program | - Raised awareness of rights and responsibilities, increased confidence and improved dialogue with service providers empowered citizens to change perceptions and demand accountability.  
- An enhanced network of CSOs supported the awareness raising of citizens. | - Compatibility of social norms  
- Demand for accountability | - Identifying the change strategy and results chain  
- Tracking intermediate results and adaptive management  
- Strengthening mechanisms for dialogue |
| (5) India: Consumer Unity and Trust Society (CUTS) Rajasthan Health Reform Program | - Raised awareness and enhanced skills of how to use community-monitoring tools empowered community members to monitor service providers and demand better accountability.  
- Improved communication and cooperation between community, service providers and the local government contributed to commitment and responsiveness of leaders. | - Demand for accountability  
- Commitment of leaders | - Building a platform for collaboration  
- Diagnosing and tackling initial constraints |
<table>
<thead>
<tr>
<th>Case study</th>
<th>Change process and intermediate capacity outcomes</th>
<th>Dimensions of inclusive ownership strengthened</th>
<th>Selected success factors</th>
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<tr>
<td>(6) Indonesia: Kecamatan Development Program (KDP)</td>
<td>• Increased understanding of community members about the KDP project process and local governance, increased facilitation skills of KDP change agents, and proposal preparation skills of community members, together with improved collaboration and coordination across community members, facilitated participation in selecting, implementing, and monitoring development priorities, and greater transparency in project management. &lt;br&gt;• Participation was broad-based and inclusive of marginal groups, such as women.</td>
<td>• Participation in setting priorities &lt;br&gt;• Transparency</td>
<td>• Diagnosing and tackling initial constraints &lt;br&gt;• Tracking intermediate results supported adaptive implementation</td>
</tr>
<tr>
<td>(7) Jordan: Rapid Innovation Action Learning (RIAL) Program</td>
<td>• Raised awareness of potential benefits contributed to the government commitment to developing and adopting a new national innovation strategy. &lt;br&gt;• Strengthened coalitions and networking led to non-state actors participating in innovation policy.</td>
<td>• Commitment of political leaders &lt;br&gt;• Participation in policy setting</td>
<td>• Creating opportunities for dialogue &lt;br&gt;• Diagnosis of binding constraints</td>
</tr>
<tr>
<td>(8) Kosovo: Private Enterprise Program (KPEP)</td>
<td>• A sense of shared purpose was achieved with a diverse set of stakeholders by investing in communication and trust building, contributing to a change in norms and agreement on sustainable use of forests. &lt;br&gt;• Strengthened coalitions led to increased commitment from the state to adopt a practice of forestry certification training. &lt;br&gt;• Raised awareness contributed to participation of forest stakeholders in setting priorities.</td>
<td>• Participation in setting priorities &lt;br&gt;• Commitment of leaders &lt;br&gt;• Compatibility of social norms</td>
<td>• Creating the national consultative forum &lt;br&gt;• Facilitatory role of external partners</td>
</tr>
<tr>
<td>(9) Sierra Leone: Decentralization Program</td>
<td>• Raised understanding of roles in local governance, and effective engagement mechanisms supported an increase in transparency in use of public resources and enabled citizens to demand accountability, transparency and accountability of local councils. &lt;br&gt;• Increased skills and know-how enabled communities to participate in managing and monitoring investment projects.</td>
<td>• Transparency &lt;br&gt;• Demand for accountability &lt;br&gt;• Participation in setting priorities</td>
<td>• Effective engagement mechanisms &lt;br&gt;• Mutually reinforcing initiatives and ICOs &lt;br&gt;• Tracking ICOs</td>
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Introduction and Concepts

Background
Ownership of development goals and priorities by local stakeholders is widely viewed as a critical factor impacting achievement of the Millennium Development Goals and other development outcomes. It is a core principle of development effectiveness, as reflected in the 2005 Paris Declaration on Aid Effectiveness. The 2008 Accra Agenda for Action goes further to identify the principle as being concerned with inclusive ownership, involving parliaments, local authorities and CSOs as well as governments. The importance and challenges of building such broad-based ownership across society were a key discussion topic at the Fourth High Level Forum on Aid Effectiveness in November 2011 at Busan. This study was undertaken to contribute to that discussion by generating deeper operational knowledge on what can be done to foster inclusive ownership in practice. The initial findings were presented at Busan.

The study is a collaborative effort of multiple partners under the umbrella of Cluster A “Ownership and Accountability” of the OECD-DAC Working Party on Aid Effectiveness. WBI undertook the study in 2011-2012, with guidance from the Operational Policy and Country Services, Sustainable Development Network, and Poverty Reduction and Economic Management Network within the World Bank; and in collaboration with the African Capacity Building Foundation, CD Alliance, LenCD (Learning Network on Capacity Development), United Nations Development Program, OECD DCD, Rwanda Public Sector Capacity Building Secretariat, AusAid, European Commission, UK Department for International Development, Netherlands SNV, and other organizations that together can be termed “the CD network.”

Objective
The study aimed to generate insight and learning on how capacity development initiatives can contribute to strengthening inclusive ownership for a development process.

The study was not designed to establish causality among various factors. Rather, it examined a small number of cases where inclusive ownership had been strengthened, and in each sought to understand the change process, how capacity development empowered stakeholders and the factors that influenced the process. From these cases, it sought to identify operational lessons for the design and delivery of capacity development programs for strengthening inclusive ownership.

Key Concepts

Inclusive Ownership
Country ownership has become a widely held principle of development assistance in recent years. Strengthening country ownership is central to the 2005 Paris Declaration on Aid Effectiveness, and to the World Bank’s approach to development engagement. The emphasis on inclusive ownership focuses attention on the need for engaging with actors across society, not just government representatives and agencies. Relevant stakeholders include a variety of non-state actors seeking to participate in shaping and benefiting from a development goal or agenda at the national or local level.

The importance of inclusive ownership is now well recognized in the literature...
to ensure that development programs fit the country circumstances and generate the engagement and support needed to sustain program activities after external assistance has ended.

However, even though inclusive ownership has become a basic requirement of effective development assistance, it has often meant different things to different people. “We are now in a phase of talking about ownership, even if understanding varies widely on the meaning of this word” (Lopez and Theisohn 2003, p. 2).

In some documents examined during the literature review, the concepts of commitment of government, country leadership and ownership are used interchangeably. Furthermore, the concept of ownership has evolved over time. Several major cross-country studies provide evidence supporting the development community’s consensus that such ownership is critical to the success of development programs. These studies include the World Bank’s Independent Evaluation Group evaluation of Public Sector Reform (World Bank 2008), the multi-country study, Capacity, Change and Performance (Baser and Morgan 2008) and the Asian Development Bank’s 2007 Annual Evaluation Review.

Since deviation from the status quo inevitably involves losers as well as winners, efforts to achieve inclusive ownership helps overcome resistance to change and aligns interests in support of the development program. Inclusive ownership is more likely to ensure that development programs fit the country circumstances and generate the engagement and support needed to sustain program activities after external assistance has ended.

However, even though inclusive ownership has become a basic requirement of effective development assistance, it has often meant different things to different people. “We are now in a phase of talking about ownership, even if understanding varies widely on the meaning of this word” (Lopez and Theisohn 2003, p. 2).
evolved over time and is defined differently depending on the emphasis given to different aspects (Box 1).

The literature review shows the desirability of defining ownership as inclusive of actors across society and not referring only to government commitment. This broader conceptualization and understanding of ownership informs the study. WBI’s Capacity Development and Results Framework (CDRF)\(^3\) defines inclusive ownership as: “[It] comprises formal and informal political, economic and social forces that determine the priority that government, civil society and the private sector give to a development goal” (WBI 2010, p. 2).

Inclusive ownership is therefore concerned with the demand side of development, involving the priority and support a society (including government leaders, public officials, legislators, civil society actors, private sector, service users and providers, academia and citizens) gives to a development goal as a consequence of various forces. The political, economic and social forces are mediated through formal and informal institutions, often referred to as the “rules of the game” that shape incentives for society’s actors.

The CDRF identifies five operational dimensions, reflecting institutions that contribute to inclusive ownership:

1. **Commitment of social and political leaders**
   Social and political leaders consistently and regularly support the development goal through public statements, decisions, votes, and other actions demonstrating their commitment and accountability for achievement of the goal. Leaders demonstrate sound ethics and integrity related to the goal, faithfully honoring their pledges of support and not engaging in activities or missions that would undermine progress toward the goal.

2. **Compatibility of social norms and values**
   The extent to which the development goal is supported or undermined by the prevailing social norms, values and beliefs, and related informal institutions such as family, kinship and traditional authorities.

3. **Stakeholder participation in setting priorities**
   Priority-setting processes related to the development goal include opportunities for all stakeholders to express opinions freely and without fear of repression, and these opportunities are communicated with adequate time for stakeholder engagement and response. Stakeholders participate through these established mechanisms, and government and other public service entities are responsive to the expressed views of civil society and other relevant parties.

4. **Stakeholder demand for accountability**
   Stakeholders know their rights related to the development goal, claim those rights, and communicate their grievances and proposals for change to the government and legislature. If public officials and other public service providers fail to meet expectations about the achievement of the goal or are using allocated resources for unintended purposes, stakeholders freely hold them accountable for their conduct and performance. Stakeholders organize and collectively appeal unfavorable decisions concerning the goal. Stakeholders demand and use instruments of accountability that are available to the public, such as government scorecard information.

5. **Transparency of information to stakeholders**
   Government and other public service entities provide accurate, relevant, verifiable and timely information about the development goal to all stakeholders. They also explain actions concerning the goal in terms that stakeholders can understand, and evaluating actions of public officials responsible for the goal. Any information influencing decisions related to the goal is fully disclosed to stakeholders.

**Capacity Development**
The literature review also shows how the development community’s understanding of capacity development has evolved over time, in line with donors’ thinking about
development. In the past, capacity development was understood as what outsiders could do to build the capacity of others, such as training or technical assistance. Today, however, capacity development is understood to be an endogenous and long-term process for which in-country partners are responsible (International Dialogue on Peacebuilding and Statebuilding 2011), and concerned with impacting achievement of development outcomes through strengthening capacity of institutions, organizations and people.

Although different approaches to capacity development exist, there is broad agreement on the principles to be applied, reflected in the March 2011 Cairo Consensus on Capacity Development. The consensus emphasizes the importance of capacity development being country-led, results-focused and central to the development process. Furthermore, it cannot be imported and must take into account the local context.

The study adopts this view of capacity development, focusing on how the dimensions of inclusive ownership were strengthened in the nine case studies. It uses the CDRF as the analytic lens to examine how the self-empowerment of societal actors through learning, knowledge, information, innovation and collaboration supported a process of change that contributed to increased inclusive ownership for a development goal.

The CDRF identifies ICOs as direct results from capacity development activities. ICOs reflect increased capacities of change agents—in terms of their abilities, disposition and behaviors—that empower them to advance a process of change. Box 2 summarizes the definitions and attributes of the ICOs examined in the case studies.

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**Box 2. Six Intermediate Capacity Outcomes**

**Raised awareness:** Increased disposition to act, through, for example, improved understanding, attitude, confidence, or motivation.

**Enhanced knowledge or skills:** Increased ability to act, through acquisition of new knowledge or skills, or application of new knowledge or skills.

**Strengthened coalitions:** Strengthened disposition or ability to act through collaboration between individuals or groups with diverse objectives to advance a common agenda. This may involve, for example, stronger agreement on a common agenda for action, increased commitment to act, improved trust among members, or improved ability of the coalition members to leverage their diverse strengths.

**Improved consensus and teamwork:** Strengthened disposition or ability to act through improved collaboration within a group of people tied by a common task. This may involve, for example, a stronger agreement or improved communication, coordination, cohesion, or contributions by the team members to the common task.

**Enhanced networks:** Strengthened disposition or ability to act through improved collaboration between individuals or groups with a common interest but not a formal common agenda for action. This may involve, for example, improved processes for collaboration, stronger incentives for participation in the network, or increased traffic or communication among network members.

**New implementation know-how:** Strengthened disposition or ability to act, arising from formulation or implementation of policies, strategies, or plans. This may involve, for example, discovery and innovation associated with learning by doing.

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2 It was also not designed to delve deeply into the different ownership dimensions, or any particular type of intervention, or to examine such important issues as the possible sustainability of development results after project closeout.

3 For details of the CDRF and discussion of stakeholder ownership, see Otoo, Agapitova and Behrens (2009); as well as Smithers (May 2011), and di Vinadio (draft literature review, November 2011, mimeo).

4 For instance, Walters (2007) argues that official agencies (UNDP 2006, DAC 2006), academic writers (Morgan 2006, Fowler 2006) and international NGOs and local practitioners (James and Wrigley 2006) all agree on certain aspects of capacity building, such as the latter being an endogenous process.
The study consists of two stages:

1. A literature review of the importance and implications of inclusive ownership and of capacity development.

2. A review of nine case studies in which inclusive ownership was enhanced through capacity development in different contexts.

The methodology used a combination of open discovery and selection of examples of enhancement of inclusive ownership through capacity development. The literature review aimed to explore the current literature on ownership and capacity development, as well as to identify examples of fostering inclusive ownership through capacity development. The literature review also facilitated conceptualization of the study, as outlined in the previous section. It helped to define inclusive ownership and capacity development more clearly and gain a better understanding of the change processes involved in strengthening ownership and measuring their ICOs.

In July 2011, the study team issued a call for case stories to identify cases with evidence that capacity development initiatives have contributed to strengthening inclusive stakeholder ownership in a development process. Of the 27 responses received from partners and World Bank staff, nine cases offered enough research- or evaluation-based information to shed light on the inquiry and were selected for preparation of case studies by case contributors and the study team.

The case studies examined how knowledge, information, learning and coalition building, etc., can advance a change strategy that enhances one or more dimensions of inclusive ownership. For instance:

- How increased skills of local councilors in budget oversight empowered them to demand accountability in programs aimed at reducing rural poverty.
- How providing information to parents on the educational outcomes of their children motivated them to put pressure on service providers for better quality in education.
- How improved community skills to monitor local-level service providers enhanced transparency, accountability and delivery of health services in remote areas.
- How strengthened coalitions contributed to effective participatory budgeting.

The study used the five operational dimensions that contribute to inclusive ownership identified in the CDRF as the basis for examining ownership in each case. Using the CDRF as the analytic lens, the case studies examined how capacity development activities (leading to, for example, behavioral changes, strengthened coalitions or experiential learning) empowered agents of change (both state and non-state actors) to strengthen the dimensions of inclusive ownership. Particular attention was given to the complex change processes that had led to strengthening inclusive ownership and to intermediate outcomes from capacity development initiatives that enabled the change process.

Drawing on the secondary data available, each case study sought to document what was done, why, how, by whom, and with what effect, by examining, to the extent possible, the following:

- Socio-political context and the ownership constraints addressed
The study’s innovation is the identification of ICOs as a way of looking into the “missing middle” between activities and outputs on one hand and higher-level outcomes on the other, and gaining insight into how the change occurred.

- Activities planned and undertaken
- Intermediate results obtained, that is, the empowerment of agents of change that resulted from implementation of capacity development activities
- Change process, that is, how empowered change agents brought about the improvement in inclusive ownership
- Enhancement of inclusive ownership achieved
- Monitoring and assessment process used, that is, how progress and intermediate results were tracked
- Development results achieved

To link these elements and examine the change process in the case studies, the study sought to establish the results chain in each case (Figure 1). The results chain identifies milestones in the change process that help to illuminate that process. The

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**Figure 1. CDRF Results Chain Related to Inclusive Ownership**

<table>
<thead>
<tr>
<th>Contribution to Development Results</th>
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<tr>
<td>Overall results and impact to which the capacity development process contributed (such as improved service delivery)</td>
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<tr>
<th>Strengthened Inclusive Ownership</th>
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<tr>
<td>One or more dimensions of inclusive ownership strengthened (such as increased participation of citizens in setting budget priorities)</td>
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<tr>
<th>Change Process</th>
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<tr>
<td>Actions taken by empowered change agents (such as CSOs’ work with local authorities to create participatory budgeting mechanism)</td>
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<tr>
<th>Intermediate Capacity Outcomes</th>
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<tbody>
<tr>
<td>Increased capacities of change agents in terms of ability or disposition that empower them to take action (such as enhanced skills of citizens and CSOs to engage on budget process)</td>
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<table>
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<tr>
<th>Activities</th>
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<tr>
<td>Deliberate actions to facilitate the process of capacity development (such as awareness raising campaigns, training, learning by doing)</td>
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Case Study Findings

Inclusive ownership was strengthened in the nine cases examined for this study. Unbundling ownership into the five dimensions discussed in Chapter 1 enabled ownership to be examined in practical terms. The case studies show that inclusive ownership dimensions were targeted for change through deliberate capacity development activities.

Each case was assessed in terms of the inclusive ownership dimensions strengthened, ICOs that empowered the process of change and activities undertaken to achieve the ICOs (Figure 2). The results achieved and change process in the cases generally took place within the context of a broader program or project.

By deconstructing the process of change in this way, the case studies show the different combinations of capacity development activities and ICOs that empowered the change agents to take action to improve one or more dimensions of inclusive ownership in each case. In most of the cases, the results chain connecting activities to intermediate outcomes and improvements in ownership dimensions appear reasonably strong.

Nine Case Studies

The results chain and change process for each case are assessed and summarized in diagrams in Annex 1. The cases are fully described in the supplementary booklet to this report.


The National Democratic Institute’s (NDI) Burkina Faso Shadow Report initiative aims to support a coalition of Burkina CSOs to write and submit a Shadow Report on the government’s implementation of CEDAW.

Ownership dimensions strengthened:
Stakeholder participation in setting priorities; Commitment and responsiveness of political leaders
ICOs achieved: Enhanced knowledge and skills of women; Raised awareness about CEDAW and compliance; Strengthened coalition of CSOs

In the case of the Burkina Faso Shadow Report program, activities supported by...
NDI increased the knowledge and skills of women and empowered a coalition of CSOs to develop a shadow report detailing discrimination against women and the government’s compliance of the international CEDAW. The shadow report and outreach by coalition members raised the awareness of members of Parliament and government, including staff of the Ministry of the Advancement of Women, regarding the importance of CEDAW and compliance with its obligations as a signatory to the UN Convention, contributing to increased political commitment. Thus, the coalition helped shape national strategy on CEDAW. The commitment by MPs was evident in their extending an invitation to the CSOs to attend the regional African Inter-Parliamentary Union meeting to discuss legislative action concerning violence against women, and in the government’s commitment to submit national reports every four years on its CEDAW compliance (Pompi 2011).

(2) Colombia: Citizens Visible Audits (CVA) Program

The Colombian Anticorruption Presidential Commission launched CVAs to promote transparency of royalty funds and citizen participation in the management of public investments.

Dimension strengthened:
Citizen demand for accountability;
Transparency on public projects; Commitment of local leaders

ICOs achieved:
Raised awareness and understanding of citizens regarding royalty resources;
New implementation know-how and confidence in community monitoring to hold government accountable;
Improved collaboration and communication between community and local authorities

The CVA program in Colombia illustrates empowered communities and strengthened demand for accountability regarding the use of royalties managed by sub-national governments. CVAs have raised awareness among the population about the possibility of getting involved in the monitoring of public resources and improving their quality of life. As a result of presentations and discussions carried out in public hearings, citizens have a better understanding of royalty resources and their role in holding their government accountable for use of public funds. The adoption by the community of a methodology for monitoring investment works generated confidence and implementation know-how to engage in the process.

Furthermore, the program has also opened a space for strengthening collaboration within the community and improving communication between members of the community and local authorities, increasing commitment to the program. Community members and local authorities reach agreements on the implementation of projects and follow up through progress reports, thereby creating improved transparency, demand for accountability by citizens and commitment of local governments for improved use of royalty funds.

The CVA program was expanded to 158 CVAs in 29 communities in 2008-09, with public works funded by approximately US$348 million of royalty funds monitored by communities. As a result of the initiative, communities have started asking for greater public accountability, for example by showing their concern for the way royalties’ resources are allocated, and insisting that these funds are invested in priority areas. (Felcman and Mosqueira 2011).

(3) Democratic Republic of Congo: Information and Communication Technology for Governance (ICT4Gov) Program

The government launched ICT4Gov in 2009 in South Kivu province to facilitate decentralization by empowering stakeholders to participate in participatory budgeting through the use of ICT.

Ownership dimensions strengthened:
Commitment of government leaders to participatory budgeting; Citizen
participation in setting budget priorities; Transparency in budgeting

ICOs achieved:
Raised awareness of the benefits of participatory budgeting; Increased knowledge and skills of CSOs, communities and local governments; Enhanced coordination and collaboration among actors

In the ICT4Gov case, agents of change in communities, CSOs and local governments in the province of South Kivu were empowered to bring about participatory budget decision-making and to increase transparency regarding use of resources. A series of activities included multi-stakeholder dialogues, awareness-raising workshops, training and adoption of ICT mobile phone technologies. These led to increased ability of CSOs to train and mobilize citizens, strengthened the ability and motivation of citizens and local governments to engage in participatory budgeting and to use ICT to do so, and strengthened dialogue and coordination between local governments and citizens. For example, local governments strengthened their capacity to use ICT as a mechanism for making information easily accessible by citizens, and empowering them to get their messages across.

Mobile phones facilitated the process of participatory budgeting. They mobilized citizens to engage in such budgeting and reduced the transaction costs associated with their participation. Text messages invited, mobilized and sensitized the population to participatory budgeting. Moreover, text messaging simplified the voting process, since each district voted for its own priorities (previously listed during district-level meetings) and informed the public of the final decision.

Through participatory budgeting, citizens in the Congo for the first time knew about their city budget and money allocations. They decide where the public money should go and what to do with it, and their decision is final. In this way, they now “own” the process of defining their priorities. A citizen of Bagira, South Kivu said: “What I like the most about participatory budgeting is the participation … and the transparency. Before, I did not know how much money our city made. Now I know how much we have collected in tax, how much we have spent. And we have a say in how this money is spent” (Weber 2011).

Interim results show that budgets are more closely aligned with resources mobilized (rather than “wishful thinking” budgets), and, for the first time, local governments have started reserving parts of their budgets for investment spending prioritized by citizens, rather than allocating funds exclusively to salaries and equipment. Development results achieved include the repair of 54 classrooms and repair of a bridge and a road in Luhindja. Participatory budgeting has also increased trust among actors, causing provincial government to transfer funds to local governments, and citizens to increase taxes paid to local governments. (Weber 2011; Balbo di Vinadio 2011).

(4) Ethiopia: Protection of Basic Services (PBS) Program

Ethiopia introduced PBS in 2006 to help ensure poor peoples’ continued access to basic services and to sustain the momentum toward meeting the country’s immense MDG challenges. One component of PBS is a series of social accountability interventions to make basic service delivery more effective, efficient, responsive and accountable.

Ownership dimensions strengthened:
Changes in social norms regarding the accountability relationship between service providers and citizens; Citizen demand for accountability regarding services and responsiveness of service providers.

ICOs achieved:
Raised awareness regarding social accountability; Enhanced knowledge and skills of citizens and service providers; Improved dialogue and collaboration between citizens and service providers; Enhanced networking among CSOs
The PBS program in Ethiopia illustrates how women were empowered to influence existing social norms that in turn enhanced their demand for accountability. At program start-up, constraints that hindered the women’s participation in demanding better services included the local culture and social traditions. For instance, women were shy and afraid to participate in meetings when sitting with men. Hence the program’s change process relied on activities to build the confidence and knowledge of women. Subsequent program evaluations of PBS showed that the confidence of women and their participation in the activities noticeably increased in the pilot projects.

For example, a woman in Haramaya who had participated in the program said she is no longer afraid of the government when it comes to defending her rights to be treated equally and when she requests better services. She says she no longer sees public servants as masters, and citizens as servants, and because of her ability to speak out, she and her friends say they are now receiving better services (Tadesse et al, 2010).

In addition, the program supported regional networking among CSOs through organization of meetings and workshops in the regions. It also increased the knowledge and skills of CSOs to work on the projects’ web portal and discussion forum by exchanging experiences on challenges and lessons learned. For instance, a three-day induction workshop on the principles and benefits of social accountability in Ethiopia led to networking among stakeholders of various social accountability initiatives. This was essential for strengthening the capacity of local CSOs to implement the social accountability initiative and train citizens to demand more accountability (Balbo di Vinadio, 2011).

Box 3 details the PBS process of change.

(5) India: CUTS (Consumer Unity and Trust Society) Rajasthan Health Reform Program

The National Rural Health Mission aims to provide health services to the poorest households in the remotest regions in India. To ensure community monitoring of services, the mission included civic engagement in the implementation process. However, absenteeism of health workers was becoming more problematic as was weak ownership between community members, service providers and local leaders.

**Ownership dimensions strengthened:**
- Stakeholder demand for accountability;
- Commitment and responsiveness of leaders

**ICOs achieved:**
- Raised awareness of citizens and local leaders;
- Enhanced monitoring skills of citizens and CBOs;
- Improved communication and cooperation between communities and local governments

The case study of the CUTS Rajasthan Health Reform program illustrates how capacity development strengthened demand for accountability and responsiveness of government leaders. The program built the capacity of citizens to monitor the performance of health service providers in the state of Rajasthan. Several community-based organizations (CBOs) were trained in community monitoring tools and Citizen Report Cards to address problems at primary health care centers. According to the project team, the capacity development effort for the communities and CBOs to use these tools was an empowering phenomenon.

In addition, community meetings and interface meetings were held with representatives of Panchayati Raj institutions (local government bodies). Both the community and service providers were brought to a common platform, where empowered and informed community members sought accountability through raising questions about poor service delivery. Increased responsiveness was demonstrated through service providers providing explanations.
Box 3. Process of Change for the Ethiopia PBS Program

Ethiopia implemented the capacity development component of PBS as a social accountability initiative in several villages (woredas) in Ethiopia. The project aimed of to improve service delivery at the local level by strengthening the accountability relationship between service providers and citizens through capacity development. Evaluation documents show that the comprehensive package of activities aimed at enhancing skills, raising awareness, changing attitudes and building consensus was highly effective at strengthening demand for accountability in the pilot projects (Balbo di Vinadio 2011).

PBS activities for strengthening inclusive ownership and building capacity had a strong impact on key stakeholders by bringing about a change in the ability and motivation of citizens to hold service providers accountable, and by improving the ability and motivation of service providers to respond to citizens’ demands. Specifically:

- CSOs gave information to citizens on budget and service delivery, and they understood how to use this information. Citizens were also better informed about their rights and responsibilities. They were therefore better motivated and able to act to hold service providers accountable. As a result, citizen mobilization and engagement increased.

- Service providers were better informed of the accountability relationship with citizens. The initiative also enhanced their ability to respond to citizens’ demand and meet regularly with them. Service providers were more able and willing to critically review and meet with citizens and agree with them on reform agendas and action plans to improve service delivery.

More broadly, capacity development activities enhanced citizens’ voice on public service delivery. Citizens were provided with information on budget processes and on tools they could use to hold service providers accountable; and they enhanced their ability to assess the state of public service delivery in their respective localities and provide feedback to service providers. Service providers, on the other hand, were capacitated to assess their own services using indicators developed by users. Many of them, for instance, committed to revisiting their planning practices to ensure timely participation of communities during need identification, prioritization and program implementation.

Various evaluations of PBS noted the most striking achievement of the capacity development activities was the increased understanding of the concept and purpose of social accountability that had occurred in the pilot woredas among government officials, communities and the CSOs. This does not only mean that citizens and other stakeholders understood what kind of social accountability tools were at their disposal and how to use them, but above all that they increased their awareness of their own rights and responsibilities. If at the beginning of the initiative citizens hesitated to criticize poor service delivery, the deep-rooted “community mindset” of what one external partner referred to as “too much respect” for public service providers was eventually overcome.

For achieving this outcome, concerted efforts toward awareness creation, sensitization and capacity development were essential to bring about attitudinal change, which was essential for stakeholders to initiate actions. The citizens interviewed in one evaluation exercise said that they had learned a lot about social accountability. Furthermore, over 84 percent of survey respondents in pilot areas indicated that they had been oriented to and made aware of their rights, responsibilities and entitlements to basic services (Taddesse et al 2010, p. 3). The team that conducted the independent evaluation of the social accountability projects in 2011 met many users who stated that “the delivery as well as the improvement of basic public services is not the sole responsibility of the government but is a shared responsibility of citizens and the state” (Taddesse et al 2010, p. 33).

In a local context where trust did not seem to exist between citizens and service providers, open and constructive dialogue was essential for facilitating attitudinal change. Interface meetings served as breakthrough platforms that for the first time provided a forum for constructive dialogue between citizens and service providers. An independent evaluation conducted in 2011 found 98 percent of female and 95 percent of male respondents indicated enough openness amongst the service providers in all four sectors on citizens’ suggestions, feedback and planning inputs (Taddesse et al 2010, p. 35). In Shinelle (Somali district) the health post staff said: “For the first time we learned about the needs, priorities and preferences of citizens and what we have been doing wrong. All along we had assumed we were doing our jobs and providing good service with the resources given to us” (Taddesse et al 2010, p. 35).

The project also had a strong impact on service providers’ understanding of social accountability. For instance, officials in Dire Dawa city administration and Kombolcha woreda of Oromiya district said: “Earlier we thought we were just accountable to our supervisors. As a result of the ESAP initiatives and the GOE reform packages layered on each other, now we know accountability is a two-way street, between service providers and users, i.e., officials and citizens, and also between us and our subordinates within the system” (Taddesse et al 2010, p. 35).
and reporting progress, and state government taking action to tackle absenteeism and increase transparency of pharmaceutical distribution. These interface meetings resulted in the community and representatives of local government coming forward to jointly solve various problems related to health services (Cheriyan 2011).

(6) Indonesia: Kecamatan Development Program (KDP)

KDP provides block grants to kecamatan (sub-districts) depending on population size. Villagers engage in a participatory planning and decision-making process to fund and manage their development needs and priorities.

Ownership dimensions strengthened:
- Stakeholder participation in setting priorities; Transparency in management of projects

ICOs achieved:
- Raised awareness of women of KDP; Enhanced skills of community members in KDP process; Improved coordination and collaboration among community members and local government

The case study of KDP illustrates how capacity development enabled stakeholder participation in setting priorities and transparency in management of projects. KDP devolves power to communities by placing funds and the overall management of KDP projects into the hands of villagers. To ensure participation is broad-based and inclusive of marginalized groups, the participation of women in setting priorities was taken into account in the design of KDP’s activities. Special attention is paid to raising women’s awareness, training them in proposal writing, and encouraging them to attend village meetings, engage in open dialogue, and participate in teamwork. This led to greater understanding of community members about the KDP project process and local governance and increased facilitation skills of KDP change agents, and proposal preparation skills of community members.

The involvement of multiple actors in the preparation, selection and implementation of project proposals has contributed to improved communication, coordination and cohesion among community members and with government. Technical and social facilitators contributed to strengthening social capital, and enabled villagers to come together to identify priorities, problems and solutions, and to elaborate action plans. Qualitative assessments and survey feedback provide evidence of empowered community members’ increased participation in the planning, implementation and monitoring of development projects. Meetings are open and more participatory.

For instance, one female villager from Kota Baru shared: “I was happy about the way it was done. All the women were invited. Some women got up and spoke. It was quite a lively meeting.” (KDP Qualitative Impact Evaluation, World Bank 2007, p. 32). Increased participation of all citizens has led to improved village governance, better health care and education services, and enhanced quality and timeliness of KDP-funded infrastructure projects in Indonesia (Sinha 2011).

(7) Jordan: Rapid Innovation Action Learning (RIAL) Program

RIAL is a multi-staged, participatory, consensus-building process that facilitates dialogue among various stakeholders and helps encourage local stakeholders to design appropriate innovation policy solutions. The RIALs are designed as regional programs to foster cross-country collaboration, synergies and learning.

Dimension strengthened:
- Commitment of political leaders to innovation policy; Stakeholder participation in setting priorities for innovation policy

ICOs achieved:
- Raised awareness of policy makers and business community; Strengthened multi-stakeholder coalition; Improved cooperation and consensus on innovation policy
In the case of the RIAL in Jordan, members of the Jordanian government were aware of the need for a comprehensive innovation policy. The process of raising awareness, coalition building and networking enabled improved coordination, cooperation and participation from a variety of stakeholders. The development of a multi-stakeholder coalition between government, academia, business associations and CSOs, and raised awareness on the issues, were instrumental in motivating the national government to commit to the design and adoption of the National Science, Technology, and Innovation Strategy 2012-2016. The active participation of various stakeholders in setting meaningful priorities for a cross-cutting innovation policy was crucial for ensuring that the innovation policy was anchored in a broader reform agenda covering different sectors and areas (Agapitova, Larsen and White 2011).

(8) Kosovo: Private Enterprise Program (KPEP)

Recognizing the unsustainable use of forests in Kosovo and the varied interests in private and public players, KPEP worked to engage a variety of stakeholders and create meaningful participation and local consultation on forest management and standards.

Ownership dimensions strengthened:
Stakeholder participation in setting priorities; Commitment of government leaders; Changes in social norms for engagement

ICOs achieved:
Raised awareness of roles and responsibilities; Strengthened coalition of government, CSOs and industry

The case study of KPEP illustrates increased participation in priority setting, commitment of government leaders and changes to social norms of engagement. KPEP began by identifying and engaging all key stakeholders in the planning and priority setting process. These stakeholders included private forest owners, environmental groups, logging and wood-processing industry representatives, academics, hunting associations, as well as government agencies such as the Ministry of Agriculture, Forestry and Rural Development, the Ministry of Environment and Spatial Planning, and the Kosovo Forest Agency. KPEP then organized a series of discovery meetings with stakeholders and facilitated development of a National Consultative Forum.

The forum mobilized resources to inform communities of the importance of forestry certification and helped them overcome traditional political and cultural norms that discouraged individual citizens from shaping issues of local, national or international significance. All stakeholders learned about forest certification, including their individual roles in managing Kosovo’s forests. The group weighed individual interests against common interests, which fostered cohesiveness and a sense of both shared purpose and process ownership. Previously, Kosovo had no common platform or forum where stakeholders could share concerns and challenges related to forestry management, including timber harvesting.

The two-year capacity development process of coalition building led to diverse stakeholders increasing their awareness, trust for each other and participation in forestry management. These outcomes were recognizable in buy-in and support from government, civil society and industry in establishing the only recognized body within Kosovo to provide technical advice and training required for forest certification (Temirbulatova and Bridges2011).

(9) Sierra Leone: Decentralization Program

In March 2004, Sierra Leone’s government enacted the Local Government Act (LGA) to provide the legislative framework for political, fiscal, and administrative decentralization. The LGA ushered in 19 new local councils nationwide to coordinate the development of various localities.
Ownership dimensions strengthened: Transparency in use of local government resources; Demand for accountability by citizens; Participation of citizens in local decision-making

ICOs achieved:
Increased understanding of relative roles and responsibilities; Enhanced skills and know-how of multiple stakeholders; Enhanced networks among local councils

The Sierra Leone Decentralization Program is an example of increased transparency, participation and demand for accountability involving local councils and citizen ward committees. Activities under the program included awareness raising across stakeholder groups, knowledge sharing events and exchanges across local councils, adoption of participatory processes, skills development and adoption of the Rapid Results Approach to deliver quick results from local projects. As a consequence, there was increased understanding of relative roles and responsibilities among citizens, councilors and local government employees, and increased confidence in councilors; and higher citizen expectations regarding access, participation, transparency and accountability. In addition, the skills and know-how of multiple stakeholders increased to manage and monitor local investment projects, and of marginalized groups in the community (such as women) to engage in decision-making processes.

A key collaborative capacity developed was the engagement of citizen ward committees in participatory planning processes. Furthermore, networks were established among local councils, notably national associations of local councilors. These processes and intermediate outcomes were underpinned by assessment of the local councils against standards for local government planning, budgeting, financial management, reporting and participation (Zhou (ed) 2009).

These capacities empowered citizens to engage in decision-making processes and to demand accountability, while local governments enhanced transparency of information regarding use of resources. Elite capture and corruption at the local level still existed, but they were mitigated by transparent processes of funds transfer and project implementation. Liberal disclosure policies had enabled close monitoring by stakeholders. An example was an active NGO in Makeni, which blew the whistle on corrupt practice in the town council and forced the departure of the first mayor (Zhou, Y., 2009). Since 2004, as a result of pressure from the people, two mayors and a council chair had been forced out of office for alleged corruption and improper handling of public office. People who knew about specific council activities had a positive and improving view of their local government’s performance (Zhou (ed) 2009, and Sachdeva 2011).

Further Examples

In addition to the case studies, the literature review identified other cases where inclusive ownership was strengthened through capacity development efforts. For example, the Communication for Change (C-Change) program in Kenya, and Thailand’s 100% Condom Use program illustrate how capacity development was influenced by, and in turn affected, existing social norms and values, while in Uganda evaluations provide evidence of the impact of the Health Scorecards Program on demand for accountability.

Influencing Social Norms in Kenya and Thailand

The Communication for Change (C-Change) Program in Kenya

Funded by USAID, this case illustrates how specific activities were affected by and in turn influenced local social norms and values in a program aimed at control of malaria. The most challenging aspect of malaria control is promoting mosquito nets and other proven and effective prevention methods. Behavioral factors such as cultural practices often prevent individuals
and communities from adopting these methods promptly and appropriately. For example, many communities in Kenya do not consider sleeping under a treated net as “normal,” whether or not they own one. They continue to spend money on coils and sprays to prevent biting—again regardless of whether they own mosquito nets. The C-Change capacity development process focuses on raising awareness and knowledge of women, particularly pregnant women, through community mobilization and mass media. As a result, increased awareness and knowledge of basic facts—such as mosquitoes cause malaria, and prevention can be achieved through mosquito nets—changed behaviors, and improved the use of nets in Bunyala district. A November 2010 evaluation of C-Change programs in this district, which used baseline data from September 2009 for comparison, showed that use of insecticide-treated nets by pregnant women increased from 28 percent to 68 percent (USAID 2010).

**Thailand’s 100% Condom Use Program (CUP)**

This case illustrates how activities took into account existing social norms and values in controlling HIV/AIDS. What made CUP successful were the efforts made to change social norms and practices around condom use. Condom use was promoted throughout the country through mass media, peer education and outreach programs aimed at specific groups. Health workers held meetings with sex workers once a month. These meetings provided information on STIs, HIV/AIDS, and proper condom use, and clearly played a role in raising awareness and building demand for condom use. The results of CUP were stunning: new STIs among sex workers fell from 13 percent in Ratchaburi province to less than 1 percent two months after introducing the program. And within three years, condom use among sex workers increased from less than 25 percent to more than 90 percent, according to the Department of Disease Control. The program was so successful that similar campaigns were started in Cambodia, China, the Lao People’s Democratic Republic, Myanmar, the Philippines, and Vietnam (UNAIDS 2010).

**Uganda’s Health Scorecards Program**

The Uganda Health Scorecards Program is one of the few empirical evaluations of a community scorecard process that illustrates how specific activities can have an impact on health. Anecdotal and survey evidence had previously found that health services users in Uganda encountered a variety of constraints when visiting public health facilities, and perceived continued weaknesses in health care delivery at the primary level. The capacity development process focused on training communities to conduct citizen scorecards and using information from community scoring to enforce accountability and demand better services. The change process also included interface meetings, where community members discussed the high rates of absenteeism, long waiting times, weak attention on behalf of the health staff, and differential treatment. In these meetings, the health service providers’ information was contrasted with data based on the community’s perceptions. This information helped providers review and analyze their performance and compare it with other clinics in the district. At the interface meeting, community members also devised a strategy for improving health service provision.

The community scorecard project strengthened demand for accountability and had positive development results. In more than one third of the treatment localities, Health Unit Management Committees viewed as ineffective were dissolved (local bodies consisting of members from the facility and non-political representatives from the community), and new members were elected. CBOs also reported that community members monitored health facility staff during their visits to the dispensary. One year into the project, treatment facilities were significantly more likely to have suggestion boxes and numbered
waiting cards and had posted information on free services and patient rights. This in turn further increased community involvement in monitoring of health facilities. The community scorecard intervention has subsequently had a positive impact on all aspects of the health service delivery system in Uganda. The capacity development interventions have induced better community monitoring of health facilities, better health care provision at the facility level and increased use of facilities at the community level (Bjorkmann, in Rengold et al. 2011).
Operational Lessons

The case studies and literature review highlight important factors for strengthening inclusive ownership. The study does not suggest a blueprint; nor does it establish causality among various factors. Rather, the study suggests practices that may support strengthening inclusive ownership through results-focused approaches to capacity development in the following areas:

1. Collaborative capacity for change—strengthening cross-stakeholder engagement
2. Diagnosis, constraints and opportunities
3. Results chain and guiding theory of change
4. Local leadership with supporting role for external partners
5. Adaptive implementation and tracking intermediate outcomes

(1) Collaborative Capacity for Change—strengthening cross-stakeholder engagement

In all of the cases, strengthening the capacity of specific groups to take action was an important part of the change process, but was not sufficient. Collaborative capacity across different stakeholder groups—such as local governments, public service providers, communities, CSOs, central government, media, parliamentarians—to work together was also necessary. Collaborative capacity involves a wider range of stakeholders engaging in the development process and a greater ability to address development challenges by working together. The initiatives supported the development of collaborative capacity, strengthening the motivation and arrangements for engagement and coordination across different stakeholder groups. The improvement in collaborative capacity among different actors was required in addition to increasing the capacities of specific groups in terms of awareness, knowledge, skills and internal interaction. This capacity enabled greater demand for accountability and participation in decision-making by citizens and non-government stakeholders, improved transparency and responsiveness by the public sector and joint action across stakeholders.

In some cases, the engagement mainly occurred between local authorities and communities on use of public resources and services. For example, in the CUTS program in Rajasthan, meetings between communities and local government bodies created a common platform that enabled effective dialogue regarding the quality of health service delivery. This interaction empowered citizens to question service providers, while encouraging service providers to respond, and for joint action to solve problems (Cheriyan 2011).

In other cases, the engagement concerned multiple government and non-government actors coming together to shape and advance development policy or action. For example, the Kosovo Private Enterprise Program created a common platform for dialogue and stakeholder engagement where none had existed. The design of the National Consultative Forum brought a variety of stakeholders together (from government, forest owners, industry, CSOs, academia and other interest groups) to share concerns, interests and their individual practices while opening up the space for trust and agreement on a common agenda. This contributed to stakeholders participating in shaping forest management standards and committing to a certification program.
(2) Diagnosis, Constraints and Opportunities

In all of the case studies, understanding the context was essential for assessing the starting conditions for the initial design of the capacity development initiative. In particular, diagnosis of the institutional context enabled identifying constraints and opportunities to advancing development processes that served as targets for change and as entry points for the interventions, as well as for selecting appropriate tools and approaches that could facilitate the process of strengthening ownership and capacity in that local context.

In terms of the benefits of adequately addressing initial constraints, two examples are given. The CUTS program in Rajasthan aimed at improving health service delivery in the state. Some studies had pointed to absenteeism as being prevalent in health centers and schools in rural India, and had found that monitoring by higher authorities in remote areas was difficult and infrequent (Chaudhury, Hammer, Kremer, et al 2006). Hence, the capacity development initiative included a Participatory Absenteeism Tracking Process and community monitoring for developing a system of monitoring of public services among the community, and for gathering credible data on absenteeism of health service officials. Community monitoring was found to be effective in dealing with absenteeism (Cheriyan 2011).

In KDP in Indonesia, particular attention was given at the project design stage to empowering women through capacity development. Some assessments had found the constraints that hindered the participation of women in demanding better services included tradition and lack of proper skills for assessing services. A major challenge related to culture and tradition, since women were found to be shy and afraid to participate when sitting with men during meetings. Hence the change process involved capacity development activities that built the confidence and knowledge of women. Subsequent evaluations of KDP show that the confidence of the women increased as a result, and they participated more in setting priorities (Sinha 2011).

In terms of the benefits of taking advantage of existing or emerging opportunities for change, three case examples are provided. The ICT4GOV program in South Kivu represents a successful capacity development initiative where the government has implemented participatory budgeting for the first time in the country. Extensive diagnostics and stakeholder discussions indicated that participatory budgeting was likely to be a potentially successful initiative particularly in South Kivu, given the expressed interest of the marginalized communities to participate in such a process and the level of education in the province. Recent monitoring exercises indicate citizens are interested in the initiative and participating (Balbo di Vinadio 2011).

In Sierra Leone, the enactment of the Local Government Act in March 2004 ushered in 19 new local councils nationwide. The objective of decentralization was to bring the government closer to the people, thereby improving service delivery, increasing accountability of government agents and enhancing public voice in governance issues. Accordingly, the Sierra Leone Decentralization program sought to enhance citizens’ access to politicians, thereby increasing the former’s influence over decisions. It also sought to increase citizens’ access to information about the government, thereby enabling them to better assess and monitor government activities. Through this combination of voice and information, decentralization aimed to increase citizens’ ability to demand better services and hold their representatives accountable for public sector performance. In addition, field-based consultations highlighted the need for involving traditional chiefs in the ongoing decentralization reforms; hence the project included activities to further engage with the traditional chiefs and to encourage their collaboration with local councils (Zhou (ed) 2009; Sachdeva 2011).

The CVA program in Colombia aimed at promoting citizens’ participation in the
control of the use of royalties managed by sub-national governments. Colombia’s legal framework set the foundations for civil society’s participation. Law 80 of 1993 established that all contracts entered into by state agencies must be subject to surveillance and social control, and the national government and local authorities must establish mechanisms to ensure that those contracts were controlled and supervised by the community. Further, the 2007 National Development Plan (Law 1151) stated that the National Department of Planning would be in charge of implementing the mechanisms of CVAs for ensuring effective social control in the use of royalty funds. Based on its assessment during the project design stage, the project team took advantage of a conducive enabling environment that offered an opportunity to implement the change initiative (Felcman, Mosqueira 2011).

(3) Results Chain and Change Strategy

Several cases illustrate the benefits of planning and designing capacity development initiatives with particular attention to the results desired. It helps to have a clear change or results logic that articulates the change process and identifies indicators that could be used to track progress. A guiding theory of change can be useful for planning initiatives carefully and achieving results, in terms of strengthening inclusive ownership.

In the case of PBS in Ethiopia, the capacity development strategy was clearly articulated. The approach and activities took into account the goal of the intervention and the existing conditions and context of the country, and it also gave particular attention to results measurement along the results chain. During program implementation, M&E exercises measured progress against specific indicators. This enabled timely adjustments to be made as needed to achieve desired results in terms of strengthening ownership.

Figure 3 illustrates the results logic behind the intervention in PBS in Ethiopia. The theory of change that guided this program and the other eight cases prepared for this study are shown in Annex 1.

(4) Local Leadership with Support from External Partners

Several case studies highlight the importance of local stakeholders owning the process of capacity development, which led to results that benefited them. External organizations proved to be helpful when they facilitated the process without taking the lead (and potentially disrupting an ongoing local process). The appropriate role of external organizations was mainly as conveners or knowledge connectors.

In the case of Jordan prior to the RIAL program, the country’s innovation policy was already receiving increasing attention from the government, under the leadership of a member of the royal family. But it was somewhat uncoordinated because of lack of participation of key stakeholders, such as prominent members of the local business community and academia. Interviews conducted as part of the Innovation Policy Diagnostic showed that there was already a certain amount of ownership/commitment within the government: “Members of Jordanian government were well aware of the need for a comprehensive innovation policy. Further, there was acute awareness of the fact that innovation programs were often announced by various parties without the proper coordination even among concerned government institutions” (Agapitova., Larsen, and White 2011).

Once this was recognized and accepted, the government was able to shape the National Science, Technology and Innovation Strategy 2012-2016 with the active participation of academia, business leaders and CSOs. WBI acted mainly as a convener and helped the government undertake a facilitated dialogue among various stakeholders that was instrumental in shaping the national innovation strategy and facilitating increased buy-in from the
government as well (Agapitova, Larsen, and White 2011).

The ICT4GOV and RIAL cases illustrate the knowledge connector role that external partners can play. In the case of ICT4GOV, WBI has supported South-South knowledge exchange, through which Democratic Republic of Congo stakeholders learned from experiences of other countries with participatory processes. The program also supported knowledge exchange, innovation and sharing within the community. Furthermore, WBI is extracting, packaging and disseminating lessons to spread the South Kivu pilot experience to more countries and practitioners. In the case of RIAL, to facilitate the design of the innovation policy reforms, WBI supported a study tour to Korea organized by the Korea Development Institute. This enabled Jordanian innovation policymakers to become familiar with the Korean approach to mobilizing sustained political and social support for innovation policy reforms, and it helped them devise participation mechanisms for involving the private sector in innovation policy formulation.

In the Burkina Faso Shadow Report program a coalition of CSOs prepared and submitted a Shadow Report on the

### Figure 3. Results Chain and Change Logic of Ethiopia’s PBS Program

#### Strengthened Inclusive Ownership and Indicators

Citizens use information to demand better services; service providers are more responsive to citizens’ demands; citizens and service provider change their perception on social accountability (change in social norms).

**Indicators:** Level and quality of participation in the initiative; level and quality of interaction between citizens and with service providers.

#### Change Process and Indicators

Increased ability and motivation of citizens to hold service providers accountable; increased ability and motivation of service providers to respond to citizens’ demands.

**Indicators:** Level of understanding improved and awareness raised; access to information.

#### Capacity Development Strategy and Activities

50 CSOs piloted a series of projects in approximately 80 woredas (districts) by using several tools including: Right Based Approach, Community Score Card, Citizens Report Card, and Participatory Budgeting, as well as Focal Group and Interface Discussions and Participatory Planning and Monitoring.

**Activities included:** training and workshop on the principles and benefits of social accountability and on formulating action plans using participatory techniques in focus groups; sensitization program to citizens, service providers and local governments; training assistance and mentoring; networking and collaboration among CSOs; access to information.

#### Based on a Prior Analysis of Constraints and Opportunities

**CONSTRAINTS**

- Low access to information;
- Low level of understanding of budget;
- Low accountability relationship;
- Low voice of citizens and CSOs;
- Perception of citizen of their roles and responsibilities vis-à-vis civil servants

**OPPORTUNITIES**

- Existence of many local organizations such as faith-based, development-based and charity-based organizations
government’s implementation of CEDAW to the United Nations CEDAW Committee. The production of the Shadow Report, and the first roundtable between the CSOs and the government, were the result of strong leadership from women CSOs. The capacity development process was supported by the National Democratic Institute, which knowledge and skills development, facilitated collaboration, teamwork and coalition building among various stakeholders (Pompi 2011).

In the Kosovo KPEP program, external partners such as USAID and Booz Allen played a facilitator role in developing the Forest Stewardship Council standards for Kosovo. The country previously had no common platform or forum where stakeholders could share concerns and challenges related to forestry management, including timber harvesting. The external partners’ capacity development strategy involved engagement with local stakeholders, meaningful public participation and broad consultation. They began by identifying and engaging all key stakeholders—including private forest owners, environmental groups, logging and wood-processing industry representatives, academics and hunting associations, as well as several government ministries. They then organized a series of discovery meetings with stakeholders and facilitated development of a National Consultative Forum. The forum mobilized resources to inform communities of the importance of forestry certification, as well as its economic, social, environmental and other benefits. This enabled buy-in and support from government, civil society and industry, and it helped establish the only recognized body within Kosovo that provides the technical advice and training required for forest certification (Temirbulatova and Bridges 2011).

The study’s literature review identifies other examples in which local stakeholders took the lead in the capacity development process at the community level (Box 4).

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**Box 4. Community Driven Development Initiatives and Ownership**

Community Driven Development (CDD) projects constitute powerful examples of capacity development initiatives that empower stakeholders to bring about change.

In particular, these initiatives illustrate that local capacity exists, but needs empowerment to be harnessed. “Considerable institutional capacity already exists in communities and local governments. This capacity has been cloaked by a lack of local empowerment to use it. Any definition of capacity that focuses only on technical capacity will miss the huge potential that exists. Existing capacity is best defined as the ability to solve problems. People who have survived by trying to solve problems in difficult economic and political conditions have considerable capacity to put their experience and skills to work, once they are empowered” (World Bank, 2002).

In CDD projects communities, rather than being mere recipients of services and grants, take the lead in the development process by identifying their priorities and getting financed through matching grants. The participatory planning processes builds on existing social capital, but also seeks to strengthen it. With support of trained international and local facilitators, capacity development in CDD occurs at different levels as follows: diagnosis; identification of priorities; problem and solution analysis; elaboration of action plans; ensuring fuller participation of vulnerable groups; strengthening of community organizations; and strengthening of community-based accountability.

The participatory process gives communities the opportunity to analyze and discuss their local situation in a systematic fashion, identify community needs and implement action plans. In this way, communities can “own” the process of setting their local priorities.

For instance, an initiative implemented in Malawi used a community-driven development approach that targets poor and vulnerable groups and local governments. The project aimed to finance public works and improve existing facilities, provide funds to strengthen local authorities and enhance accountability and transparency in the use of project resources. Anecdotal evidence suggests that this project found that the voiceless and vulnerable have been empowered to identify their needs and implement and manage activities that increase their incomes through activities such as drug revolving funds (World Bank, 2003).
(5) Adaptive Implementation and Tracking Intermediate Outcomes

The case studies and literature review illustrate that capacity development activities do not progress in a straightforward or linear manner. Capacity development is inherently an interactive and mutually reinforcing process of learning by doing. This process cannot be designed in advance and implemented as if it were a blueprint that would not need to be modified during implementation. The focus on achieving intermediate results facilitates adaptive management during the change process.

Many of the case studies show that ICOs are complementary and mutually reinforcing, and the change in the ability or disposition of stakeholders to act was the result of a combination of several ICOs. For example, the cases provide examples of effective skill development for enhancing inclusive ownership, but there were instances too where simply enhancing skills was found to be insufficient. In these cases, skill development proved to be ineffective in the absence of prior or concurrent investments in raising awareness.

During implementation of the Ethiopia PBS program citizens understood the information available about service quality delivery, but they were not demanding better services because they felt they were not “allowed to” confront service providers. They started interacting with service providers and demanding accountability once they understood their entitlements following an additional package of capacity development activities implemented, such as awareness campaigns on citizens’ rights and responsibilities.

In the ICT4GOV case, citizens started getting involved in participatory budgeting because they could access information on budget procedures and began to understand how to use the information. In the state of Rajasthan in India, selected CBOs working in the vicinity of health centers were trained rigorously in using Citizen Report Cards to gather feedback from beneficiaries, and they also received training to raise awareness of their entitlements.

A complementary finding is important as well: the relationship between ICOs and the dimensions of stakeholder ownership is more nuanced than one might think. For instance, the literature review refers to the case of Porto Alegre in Brazil, where through participation in the capacity development process, citizens became empowered and learned how the budget works (Alsop et al., 2006). “If it is true that a greater sense of awareness of rights is a pre-requisite for deepening action and participation, it is also true that citizens raise their awareness through the very process of participating in collective action efforts that they are engaged in” (Gaventa 2010).

Figure 4 illustrates two points: (1) deliberate activities (such as training and workshops) can have an impact on the process of empowering stakeholders; and (2) the change process that empowers stakeholders involves interaction between ICOs and the ownership dimensions.

Several of the case studies show the importance of deliberately tracking ICOs and ownership dimensions during the change process to support adaptive management.

The example of adaptive management in Ethiopia’s PBS illustrates how the addition of capacity development activities that led to raised awareness arose from close monitoring of the change process and the intermediate results achieved. This suggests that ICOs are legitimate to measure, as they capture intermediate but important milestones in the change process.

The Sierra Leone Decentralization program adopted a comprehensive approach to M&E, capturing improvements in awareness and skills, collaboration and engagement, local government planning and financial management practices, transparency and participation achieved and impact on service delivery. This significantly contributed to the adaptive management of the change processes, learning what works and where challenges remain, transparency and access to
information by citizens, and maintenance of the commitment to the reform process.

Another example of how ICOs and inclusive ownership were measured is the KDP program in Indonesia. This program has devoted a lot of resources to M&E during the course of its implementation, investing in monitoring, impact evaluation, and research. In particular, a 2007 World Bank qualitative impact evaluation has sought to determine whether KDP and its capacity development efforts had an impact on community empowerment and participation.

This evaluation examined whether KDP was able to change government practices, and whether it increased villager capacity to more adequately identify and solve community development needs, or generally assert themselves in economic, political and social decisions that affect their lives. Qualitative research was conducted in 36 villages spread across 12 kabupaten (districts) in four provinces: South Sumatra, Central Java, South Kalimantan and North Sulawesi. The study collected data through in-depth, semi-structured interviews and focus group discussions at the village, kecamatan and kabupaten levels. Field data collection techniques also included informal interviews, participant observation, direct observation (such as ongoing KDP or village meetings, information boards), and review of project documentation such as village social maps and wealth ranking documents, project proposals and financial records.

Behavioral change was measured through a combination of quantitative data generated by observation or recall, and by quantification of qualitative changes using perception scores. Perception indicators were used to ask respondents to score the quality of a given type of behavior or relationship on a four-point scale: (1) very satisfied, (2) satisfied, (3) unsatisfied, and (4) very unsatisfied. In addition, recall indicators were used to recount the frequency of particular types of behavior or count the number of villagers participating in a public meeting.

Such an impact evaluation approach can provide meaningful data and conclusions. In general, though, measuring the change process and how people change behavior remains a challenging task. The study shows that only in a few cases were ICOs recorded and measured. This finding
is consistent with the conclusion of the literature review that there is a knowledge gap with regard to the measurement of the change process in development projects (Box 5).

Some promising approaches are being tried, however. Box 6 highlights innovative approaches for measuring the change process that development practitioners are increasingly using.

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Box 5. Knowledge Gap in Measuring the Change Process

The literature review reveals that several recent studies have underlined the knowledge gap in terms of measuring the process of change and ICOs. The explanations below also provide insights into why it is important to measure the change process.

In its work on participation, Gaventa mentions an evaluation of over 90 donor programmes conducted by Rocha Menocal and Sharma that concludes that “all country case studies have been unable to establish a direct causal link between citizen voice and accountability interventions and broader development outcomes. In general, there needs to be more effort to establish a middle ground of identifying attitude and behavior indicators which are a direct outcome of citizen voice and accountability activities” (Gaventa 2008, p. 34).

A recent DFID paper on voice and accountability interventions focuses in particular on identifying V&A (Sweden) indicators at the output level of behavioral change. According to the paper, many V&A projects seem to involve a leap of faith that assumes that by building awareness of rights among rights holders, or by strengthening the capacity for responsiveness amongst duty-bearers, there will be an automatic change of behavior and power relations that will lead the project seamlessly into an improved set of outcomes. However, experience suggests that this assumption about behavioral change is problematic at best. By increasing the visibility of behavioral change indicators at the output level in the log-frames, it becomes possible to interrogate this ‘leap of faith’. This can be done by measuring and testing assumptions about the effect of project inputs, such as capacity building, and the subsequent impact of changed behavior on project outcomes (Holland and Thirkell with Trepanier and Earle 2009).

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Box 6. Innovative Approaches for Measuring Behavioral Change

There is currently much debate on how to measure behavioral change in development projects. While there is an increased interest in impact evaluations and randomized controlled trials, some practitioners argue that experimental and quasi-experimental methods are not the only ones that are “rigorous”. For measuring behavioral change and capacity development, some practitioners argue that alternative methodologies, including outcome mapping, utilization-focused evaluation, recording the ‘most significant change’, and ‘realistic’ evaluation might be more appropriate (Harry Jones, ODI, 2009). These approaches could be used for monitoring or evaluating interventions, and their findings could potentially contribute to empowering beneficiaries.

In the case of the Burkina Faso Shadow Report program the “most significant change” technique was used for collecting the data to evaluate the impact of the initiative. Two changes were identified as most significant: Increased understanding of the CEDAW by civil society, and more political sensitivity by parliamentarians to the obligations of the government of Burkina Faso (Pompi, 2011.).

The most significant change technique is a form of participatory tracking of progress. It is participatory because many project stakeholders are involved, both in deciding the sorts of change to be recorded and in analyzing the data. It is a form of tracking or monitoring because it occurs throughout the program cycle and provides information to help people manage the program. The process involves the collection of significant change stories from the field level, and the systematic selection of the most important of these by panels of designated stakeholders or staff. The designated staff and stakeholders are initially involved by ‘searching’ for project impact. Once changes have been captured, various people sit down together, read the stories aloud, and have regular and often in-depth discussions about the value of the reported changes. When the technique is successfully implemented, whole teams of people begin to focus their attention on programme impact.
This study has contributed insights and learning on fostering inclusive ownership through capacity development initiatives.

First, the study showed the results chain and change process in each of the nine cases that had led to improvement in inclusive ownership.

Second, from the study of the selected cases it has been possible to demonstrate that inclusive ownership can be susceptible to improvement as a result of strategic capacity development efforts, when considered in practical terms of the operational dimensions examined in this study. The unbundling of inclusive ownership into these dimensions helps to make it observable and an operational target for change.

Third, the study identified operational lessons from the cases that could inform the design and delivery of programs that seek to strengthen inclusive ownership through capacity development.

In addition, the study showed how that use of an analytic lens such as the CDRF, in particular assessment of intermediate results of capacity development, helped to deconstruct the change process that has taken place in a given case.

The case studies and literature review illustrate the importance of building collaborative capacity across stakeholder groups, ensuring a continuing fit with the local context, leadership by local stakeholders, facilitation by external partners, and guidance by a carefully articulated change approach. By periodically assessing the change process as it evolves, and by making the modifications needed in response to changing constraints and opportunities, the likelihood of achieving the desired ownership and related goals may be improved.

However, given the small sample size and limited scope and resources of the study, its findings and their operational implications only identify general patterns and possibilities. They are not intended to be definitive, or to serve as a standard prescription for all efforts seeking to strengthen inclusive ownership through capacity development. Nevertheless, the operational implications of the nine case studies seem promising, and could be further developed through in-depth investigation.

For this, systematic approaches to strengthening inclusive ownership—such as the CDRF that provided the analytic lens for this study—would need to be deepened, perhaps through an action-learning approach that could further test and refine the operational findings identified.

Three areas that could be examined further are:

- **The five dimensions of inclusive ownership**, in terms of their relevance in given contexts, and how they can be achieved. For example, are the five dimensions of ownership used in this study always necessary? Can ownership be effective—in the sense of helping achieve objectives—if any of the dimensions are missing? Which dimensions are the most important? Is the compatibility of social norms and values a necessary contextual requirement for changes to be made in other ownership dimensions (participation, accountability, transparency)? And, can social norms be changed over time as a result of changes in other ownership dimensions?
- **The “missing middle,”** that is, the change process, and better ways of effecting and assessing changes in ICOs.
For example, how can the change process be tracked in different contexts? What are the appropriate indicators for behavioral change, and how should data be collected?

- **The context and capacity development**, that is, under what circumstances and how do particular capacity development efforts strengthen ownership and produce the desired development results. For example, what are the contextual and other requirements of effective teamwork, local leadership, participation, networks, and coalitions? How should they be designed and implemented for them to be effective? In what contexts does an increase in transparency through capacity development prompt greater participation or accountability?

Follow-up of the study could include research that incorporates mixed-method approaches of monitoring and evaluation with a particular attention to qualitative assessments, in order to better understand the change process and the context surrounding capacity development.

To undertake this follow-up work, continued collaboration is needed among a broad range of development partners interested in promoting inclusive ownership. This collaboration would strengthen ongoing efforts to develop and enhance the knowledge base and global network on capacity development and inclusive ownership.
References

2011. Cairo Consensus on Capacity Development: Call to Action.


Annex: Change Process Diagrams for Case Studies
(1) Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) Shadow Report Program in Burkina Faso

Constraints

Main implementers: NDI
Trainings, workshops, outreach and consultations

CD Activities

Government commitment and responsiveness regarding CEDAW increased

Agents of Change

Government
 Raised awareness of government on importance of CEDAW compliance

Citizens
 Enhanced knowledge and skills on how to conduct a shadow report; strengthened coalitions of women CSOs

ICOs and Change Process

Change in disposition and the ability to interact with women CSOs and be more responsive

Greater participation and voice of women CSOs in decisionmaking and monitoring of CEDAW

Strengthened Inclusive Ownership

Government commitment and responsiveness regarding CEDAW increased

Change in the disposition and ability to work together, and monitor CEDAW implementation through shadow reports

Enhanced knowledge and skills in conducting a shadow report; low awareness of the importance of CEDAW; weak coalitions

Weak knowledge and skills in conducting a shadow report; low awareness of the importance of CEDAW; weak coalitions

Raised awareness of government on importance of CEDAW compliance
(2) Citizens Visible Audits (CVA) Program in Columbia

### Constraints
Irregular use of funds and even corruption practices in public works financed with royalties

### CD Activities
Public hearings at launch, implementation and completion of public projects

### Agents of Change
Local councils → Beneficiaries committees → Communities

### ICOs and Change Process
Raised awareness regarding use of royalty funds and community's role; increased know-how in monitoring public projects; improved collaboration between communities and local authorities

### Strengthened Inclusive Ownership
- **Change in disposition and ability to interact with citizens and be more responsive**
- Increased transparency of information on public projects
- Greater commitment to transparency, collaboration and accountability in use of public funds

- **Change in the ability to monitor investment works**
- Participation in public hearings increased

- **Change in motivation and ability to control the use of royalties**
- Community's demand for accountability on the use of royalties and the quality of public expenditure is increased
(3) Information and Communication Technology for Governance (ICT4GOV) Program in Democratic Republic of Congo

Constraints

Low access to information, low level of understanding of budget and limited engagement of citizens

Main implementers: local stakeholders and WBI

CD Activities

Trainings, awareness campaigns and knowledge exchange on participatory budget and ICT; networking; citizen engagement; coaching; coalition building

Agents of Change

Provincial governments

Local governments

CSOs

Citizens

Raised awareness; enhanced understanding of how to participate (through ICT) or mobilize others to participate; strengthened multi-stakeholder coalitions and engagement

ICOs and Change Process

Change in the motivation to do participatory budgeting; change in the ability to interact with citizens

Change in the ability and motivation to engage with citizens

Change in the ability to mobilize citizens

Change in the ability to do participatory budget using ICT

Strengthened Inclusive Ownership

• Government commitment to participatory budget supports transfer of money to local governments

• Increased commitment to participatory budgeting

• Citizens’ participation in setting priorities is increased

Contribution to Development Results

Increased funding of investment projects to support basic services; increased payment of taxes by citizens

Trainings, awareness campaigns and knowledge exchange on participatory budget and ICT; networking; citizen engagement; coaching; coalition building
(4) Protection of Basic Services (PBS) Program in Ethiopia

**Constraints**

Low access to information; low level of understanding of budget; low accountability relationship; low voice of citizens and CSOs; perception of citizen of their roles and responsibilities vis-à-vis civil servants

**Main implementers:** management agency and CSOs

**CD Activities**

- Trainings and workshop on social accountability and on formulating action plan using participatory techniques in focus groups; sensitization program to citizens, service providers and local governments; technical assistance and mentoring; networking among CSOs; access to information; social accountability tools

**Agents of Change**

- CSOs
- Citizens
- Service providers

**ICOs and Change Process**

- Change in the ability of CSOs to train stakeholders and mobilize citizens
- Change in the ability and motivation of citizens to hold service providers accountable
- Change in the ability and motivation of service providers to respond to citizens’ demands

- Change in social norms (citizens’ perceptions)
- Citizens use information to demand better services
- Change in social norms (service providers’ perceptions)
- Service providers more responsive to citizen needs

**Strengthened Inclusive Ownership**

- Raised awareness of social accountability; enhanced skills; improved dialogue and collaboration between citizens and service providers; enhanced CSO network

**Contribution to Development Results**

Instances of improvement in service delivery (such as less absenteeism of health officers and teachers)
CUTS (Consumer Unity and Trust Society) Rajasthan Health Reform Program in India

Constraints
- High absenteeism in state health care centers; low participation of citizens in quality of services; poor ownership between service providers, community, and local government

CD Activities
- Service providers, community based organizations (CBOs), local government
  - Awareness and training of CBOs in citizen scorecards; awareness of local leaders of their important role in NRHM and community monitoring, interface meetings with service providers, community and local government representatives

Agents of Change
- Service providers
- CBOs
- Local government
  - Enhanced awareness and skills of CBOs regarding community monitoring; improved communication and cooperation among service providers, community, and local government

ICOs and Change Process
- Change in the ability of service providers to be more accountable
- Change in the ability of CBOs to monitor the performance of service providers
- Change in the ability of local government to play a key role in quality of services

Strengthened Inclusive Ownership
- Responsiveness toward citizens is increased
- Demand for accountability from citizens and CBOs is increased
- Responsiveness toward citizens is increased
### 6) Kecamatan Development Program (KDP) in Indonesia

**Constraints**
- Top-down approach and planning; abuse of office; lack of voice of citizens; poor participation

**KDP Activities**
- KDP change agents, local leaders, and citizens

**Agents of Change**
- Local leaders
- Citizens

**ICOs and Change Process**
- Raised awareness and enhanced skills of citizens regarding project management; improved coordination and collaboration between communities and local leaders

**Strengthened Inclusive Ownership**
- Change in the ability of local leaders to organize and mobilize citizens
- Change in the ability of citizens to plan, implement, and monitor development projects
- Increased transparency in management of projects
- Participation in project decisionmaking at community level is increased
- Women’s participation is enhanced

**CD Activities**
- “Open” village meetings; information dissemination at village meetings; awareness and skills meetings with women community members; trainings on proposal writing and project management
(7) Rapid Innovation Action Learning (RIAL) Program in Jordan

**Constraints**
Lack of awareness of non-state actors of how innovation policy could benefit their community; lack of participation of non-state actors in setting priorities; inability to exploit synergies between the various national stakeholders and the private sector

**CD Activities**
WBI as facilitator and connector
Coalition-building consultations and events; raising awareness events

**Agents of Change**

- Government/political leaders
- Business community and non-governmental actors

**ICOs and Change Process**
Raised awareness of the importance of innovation policy; multi-stakeholder coalition formed; improved collaboration and consensus among government, business community and other stakeholders

- Change in the ability and motivation to invest in innovation policy and ability to engage with stakeholders
- Change in the motivation and ability to participate in the process

**Strengthened Inclusive Ownership**

- Government buy-in
- Increased participation in setting priorities
(8) Private Enterprise Program (KPEP) in Kosovo

**Constraints**

Unsustainable use of forests; no common platform for open dialogue on forest management; lack of forest management standards, certification, and trainings

**CD Activities**

Awareness of stakeholders on the importance of forest management; National Consultative Forum involving government, industry, private owners, and community; sensitization and awareness on best practices

**Agents of Change**

Government, industry, private owners, and community

**ICOs and Change Process**

Change in motivation of government to commit to certification training program

Change in ability of non-state actors to participate in shaping forest management standards and commit to forest certification program

**Strengthened Inclusive Ownership**

Government commitment to establish forest certification

Changes in social norms for engagement

Participation in shaping forest certification program increased
(9) Capacity Building for Decentralization Program in Sierra Leone

Constraints
Low level of capacity of local councils; low level of engagement between citizens and local councils; low level of awareness of decentralization process among citizens

Main implementers: Sierra Leone government

CD Activities
Awareness campaign; citizen engagement through ward committees; training on project management and monitoring; network building among local councils; building transparency mechanisms; incentivize local council performance

Agents of Change
Local governments (and service providers) ➔ Citizens

ICOs and Change Process
Raised awareness and understanding of role of local councils and engagement of citizens; increased skills to manage and monitor projects; mechanisms for citizen engagement; networks of local councils

Strengthened Inclusive Ownership
Change in the ability to identify and sustainably address development challenges

Ward committees

Increased participation in local decisionmaking and demand for accountability

Contribution to Development Results
Improvements in service delivery (that is, steady improvement in the quality of clinics, availability of drugs, and numbers of staff)
What can be done to foster more inclusive ownership, a critical factor in strengthening development effectiveness? This study report demonstrates how capacity development efforts, when strategic and collaborative, can contribute to strengthening inclusive ownership dimensions.

The study involved a literature review and an analysis of nine selected case studies using WBI’s results framework to assess each change process. By deconstructing the cases in this manner, the report showed how different combinations of capacity development activities and intermediate results empowered agents of change to strengthen inclusive ownership.

The report’s findings provide several operational lessons for development practitioners to consider, in the areas of strengthening multi-stakeholder collaboration, investing in assessment and planning, emphasizing local leadership and tracking outcomes for effective change management.