

**GLOBAL PARTNERSHIP
FOR SOCIAL ACCOUNTABILITY**

OPERATIONS MANUAL

JANUARY 29TH, 2013

Abbreviations and Acronyms

AFR	Africa Region
BETF	Bank-executed trust fund
CAS	Country Assistance Strategy or Country Partnership Strategy
CD	World Bank Country Director
CMU	Country Management Unit
CSO	Civil society organization
EAP	East Asia Region
GAC	World Bank's Governance and anticorruption Strategy
GPSA	Global Partnership for Social Accountability
ICT	Information and communications technologies
KP	GPSA Knowledge Platform for Social Accountability
K&L	Knowledge and Learning
M&E	Monitoring and evaluation
MDTF	Multi-donor trust fund
MNA	Middle East and North Africa Region
RETF	Recipient-executed trust fund
RF	GPSA Results Framework
RoE	Roster of Experts
SAcc	Social Accountability
SAR	South Asia Region
SC	Steering Committee
SMU	Sector Management Unit
TFU	Trust Fund Proposal
TTL	Task Team Leader
WBI	World Bank Institute

Table of Contents

Introduction

1. GPSA Description	5
1.1 Rationale and Objectives.....	5
1.2 GPSA Components.....	7
1.2.1 Component 1: Programmatic support to CSOs for social accountability.....	9
1.2.2 Component 2: Support for Knowledge Activities	11
2. General Features of GPSA Grants.....	12
2.1 Eligibility Criteria.....	14
2.1.1 Eligibility Criteria for CSOs.....	14
2.2 Application and Selection Process.....	15
3. Governance and Institutional Arrangements.....	19
3.1 Overview of GPSA Structure.....	19
3.2 Roles and Responsibilities of GPSA Stakeholders.....	19
3.3 Disclosure Requirements and Access to Information Policy.....	23
4. Results Framework, Monitoring and Evaluation	24
4.1 Overview of the GPSA Results Framework.....	24
4.2 GPSA Monitoring and Evaluation System.....	25
4.2.1 Monitoring and Reporting Mechanisms.....	26
5. Financial Management Arrangements	27
5.1 Overview of the Trust Fund Structure.....	27
5.2 Preparation and Approval of the Annual Budget.....	28
5.3 Financial Management and Trust Fund Requirements for Recipient-Executed and Bank-Executed Grants.....	28
6. Annexes	32
Annex 1: Sample “Opt-In” Letter of Consent from Government.....	32
Annex 2: GPSA Grant Application and Selection Process.....	33
Annex 3: GPSA Grant Application Form.....	36
Annex 4: Terms of Reference for the GPSA Steering Committee.....	41
Annex 5: Selection Criteria for the SC Civil Society Representatives.....	46
Annex 6: GPSA Results Framework.....	48
Annex 7: Financial Management Arrangements.....	60
Annex 8: Selected ACN Package Documents’ Templates.....	65

List of Tables

Table 1: GPSA: Support Areas by Components.....8

Table 2: GPSA: Pillars of Governance and Grants’ Expected Results.....9

Table 3: The GPSA Knowledge Platform for Social Accountability.....12

Table 4: Implementation Schedule of First Global Call for Proposals.....14

Table 5: GPSA Grants’ Technical Review by Core Areas and Criteria.....16

Table 6: GPSA Grant Application and Selection Process.....18

Introduction

1. The purpose of this Operational Manual is to provide technical guidance to operational teams within the World Bank and to external partners on the implementation of the Global Partnership for Social Accountability (GPSA). This manual will be revisited in light of the lessons learned derived from the Program's first year of implementation.¹
2. On June 12, 2012 the World Bank's Board of Directors approved the GPSA². The Partnership is designed to contribute to country-level governance reforms and development results by supporting civil society organizations' (CSOs)³ capacity-building, and knowledge generation efforts to engage in evidence-based social accountability.
3. The Manual includes five sections and is organized as follows: Section 1 provides a detailed description of the GPSA's objectives, components, and scope of activities under each component; Section 2 presents the general features of GPSA grants, spells out CSOs' eligibility criteria and provides an overview of the grant application process; Section 3 outlines the Program's governance structure and implementation arrangements; Section 4 lays out the GPSA's Results Framework, along with monitoring and reporting requirements, at the Program and Grant Projects' levels; Section 5 describes financial management arrangements for both the Multi-Donor Trust Fund (MDTF) and for grants' financial and disbursement arrangements; and Section 6 includes various Annexes with supporting documents.

1. GPSA Description

1.1 Rationale and Objectives

4. The creation of the GPSA Program builds on several factors and events that have taken place both within and outside the World Bank:
 - Recent decades have seen growing civil society engagement in monitoring government performance and accountability as well as in providing feedback for improving governance and development reforms. This kind of engagement—also referred to as *social accountability* (or SAcc)—enables CSOs to engage with policymakers and service providers to bring about greater accountability for and responsiveness to citizens' needs.
 - Global research has shown that, under the right conditions, effective feedback mechanisms can help close the loop of information around service provision, which in turn can help make adjustments to public interventions in real time.
 - New information and communication technologies (ICTs) are also changing the ways in which citizens engage with governments and are showing a great potential for closing the feedback loop.
 - The recent launch of the multilateral Open Government Partnership, in which 51 countries have committed to the principles of transparency and openness, is further evidence of many countries' willingness to bring greater transparency and accountability into their governing process.

¹ This version (January 29th, 2013) incorporates the comments provided by different teams within the Bank and by other GPSA partners, as well as the suggestions made by the GPSA Steering Committee at the meeting held on December 17th, 2012, during which the current document was approved.

² See *Global Partnership for Social Accountability and Establishment of a Multi-Donor Trust Fund*, Board Paper, World Bank, June 13, 2012

³ For purposes of the GPSA, CSOs include legal entities that fall outside the public or for-profit sector, such as NGOs, not-for-profit media organizations, charitable organizations, faith-based organizations, professional organizations, labor unions, associations of elected local representative, foundations, and policy development and research institutes.

5. Bank support to CSOs has increased steadily throughout the years, becoming a part of its policies and operational procedures.⁴ In recent years, the Bank has scaled up its efforts to understand the political economy of governance reforms that lead to better development effectiveness:

- The 2007 *Governance and Anticorruption (GAC) Strategy* called for an increased integration of transparency, accountability and participation measures in Bank Projects; GAC's second implementation phase emphasized the importance of building the capacity of non-state actors, such as CSOs, parliaments and the media, to engage productively with the state.⁵
- The 2009 *Guidance Note on Bank Multi-Stakeholder Engagement*⁶ notes that the Bank's work with CSOs has often been a source of innovative solutions to country needs and development challenges.

6. Other development actors' role in supporting SAcc, including multilateral and bilateral organizations, private foundations and corporations, has been instrumental in contributing to build CSOs' capacities for social accountability.⁷ Moreover, consultations held with over 1,300 stakeholders in preparation for the GPSA proposal, which included CSOs, governments and donors emphasized the need to structure the Program as a legitimate partnership across the spectrum of actors involved in advancing social accountability.⁸

7. Feedback from these multi-stakeholder consultations, as well as from research on the impact and effectiveness of social accountability, coincides on the need for more enhanced and fine-tuned support to fill critical knowledge gaps. There are large knowledge and evidence gaps on what works and why, under what conditions SAcc initiatives are effective, whether successful tools and approaches can be replicated, and how successful SAcc projects can be sustained. Furthermore, knowledge is also limited about innovative ways of incorporating learning into practice and on how to demonstrate and document results. This situation explains the increasing demand from practitioners and stakeholders to create innovative mechanisms for generating and managing knowledge on the how to of SAcc, advancing peer learning and exchanges, and strengthening CSOs networks.⁹

8. In this context, the GPSA's creation comes to complement ongoing work to increase the effectiveness and impact of country-led governance and development reforms, supported by a wide range of actors. As pointed out in the GPSA's Board Paper, its creation "is expected to improve harmonization of support for social accountability as other development partners and civil society groups contribute to GPSA goals. The GPSA would seek to build on these efforts and avoid replacing or duplicating what others, both within and outside the Bank, are already doing."¹⁰

⁴ GPSA Board Paper, op. cit, p. 14-15

⁵ See "*Strengthening Governance, Tackling Corruption: The World Bank's Updated Strategy and Implementation Plan*", available at www.worldbank.org; see also www.worldbank.org/DFGG (demand for good governance)

⁶ World Bank (2009), "*Guidance Note on Bank Multi-Stakeholder Engagement*."

⁷ GPSA Board Paper, para. 11-12, p. 4

⁸ Between January 1, 2012 and March 15, 2012 over 1,300 stakeholders from all parts of the world provided input on the World Bank's proposal for the Global Partnership for Social Accountability (GPSA). Stakeholders consulted comprised a broad range of actors involved in social accountability work, including civil society organizations and foundations, government officers, development agencies, academia, and think tanks. They provided their feedback during face-to-face discussions, in audio and video conferences, through e-mail, and by filling out the online survey. Feedback summaries and further information about the first phase of consultations can be accessed at www.worldbank.org/GlobalPartnershipforSocialAccountability

⁹ See GPSA, Concept Note, Component 2. Knowledge for Social Accountability, November 20, 2012, available at www.worldbank.org/gpsa

¹⁰ Board Paper, op.cit, para. 23, p. 10

9. The GPSA’s key objective is thus “to provide more strategic and sustained support to CSOs’ efforts to reflect the voice of beneficiaries, promote greater transparency and accountability, and achieve stronger development results.”¹¹ The GPSA will provide support in two core areas:

(1) **Programmatic financial support** for initiatives to improve the overall “ecosystem,” or enabling environment, for social accountability, including specific SAcc programs and initiatives, for the institutional development of CSOs working on social accountability, and for knowledge generation and dissemination activities. Such support focuses on initiatives at the country level led by individual CSOs and multi-stakeholder coalitions as well as selective initiatives at the regional and global levels.

(2) **A global platform for knowledge exchange** and dissemination, that will put the best knowledge on social accountability tools, practices, and results in the hands of practitioners and policy-makers in order to enhance the effectiveness of SAcc. This area will include developing and nurturing practitioner networks, especially those aimed at supporting South-South collaboration.

1.2 GPSA Components

10. Following from the above mentioned general support areas, the GPSA is organized around two main components (described in detail in sub-sections 1.2.1 and 1.2.2) further below:

- **Component 1: Programmatic support to CSOs for social accountability.** This component awards grants to CSOs and networks of CSOs working in countries that have opted-in to GPSA. Three types of support are covered under this component: (1) SAcc initiatives undertaken by CSOs for strengthening transparency and accountability; (2) Core funding to support institutional development of CSOs working on SAcc; and (3) Recipient-executed grants for mentoring nascent CSOs working on SAcc, and Bank-executed grants for technical assistance and capacity-building on SAcc. In addition, the GPSA may provide strategic off-cycle capacity building and knowledge grants to national and international CSOs with the objective of helping build the capacity of grant recipients for the effective implementation of the proposed activities and learn from experience.
- **Component 2: Knowledge Activities.** This component encompasses two areas: (1) Supporting knowledge and learning (K&L) activities carried out under Component 1 grants; and (2) A Knowledge Platform for Social Accountability (KP) developed and managed by the GPSA, which will include targeted support for knowledge-generation and exchange activities, and strengthening of practitioners’ networks and communities of practice at the regional and global levels.

11. Table 1 below summarizes the GPSA’s support areas organized around the above mentioned components:

¹¹ Ibid, Executive Summary, para. 2

Table 1: GPSA’s Support Areas by Components

Components	Objective	Scope of Support	Execution Type (CSO-Recipient or Bank)
1. Programmatic support to CSOs for Social Accountability	Support CSOs’ SAcc initiatives	SAcc initiatives and programs targeting critical governance and development reforms	Recipient -Executed
	Enhance core funding for CSOs’ institutional strengthening	Institutional development: strategic planning, financial management & fundraising, organizational systems, etc.	Recipient-Executed
	Provide mentoring and thematic capacity-building to CSOs	Mentoring and capacity-building on SAcc	Recipient -Executed
	Knowledge and capacity-building grants	Capacity-building on SAcc	Recipient-Executed by national and international CSOs & Bank-Executed
2. Support for Knowledge Activities	Build a Social Accountability Knowledge Platform for knowledge-generation, learning and exchange	Supporting K&L activities from Component 1 grants	Bank Executed
		Sharing of practitioners’ knowledge and practices, including knowledge and practices generated from GPSA-supported grants	
		Strengthening CSOs’ networks and communities of practice, particularly by connecting GPSA grantees with relevant networks and CoPs	
		Closing research gaps through strategically selected evaluations on the impact and effectiveness of SAcc initiatives, in partnership with other donors and leading research institutions.	
		Supporting governments in the design and implementation of social accountability-related policies and programs in close coordination with country units	

12. Disbursements will be linked to the achievement of milestones agreed as part of the results framework developed for each grant, and adapted to reflect performance and lessons learned. Each grant under the GPSA would be expected to yield specific, measurable, achievable, realistic, and time-bound (SMART) results in one or more of the following ‘pillars of governance’: (i) transparency, (ii) voice and representation, (iii) accountability, and (iv) learning for improved results. Table 2 illustrates the meaning of these pillars in terms of expected outcomes. Further details about the results framework, monitoring and evaluation are provided in Section 4.

Table 2: GPSA - Pillars of Governance and Grants' Expected Results

Pillars of Governance	Expected Results
Transparency	➤ Beneficiaries are able to get more information about government activities and are able to use this information effectively
Representation and voice	➤ Beneficiaries have a mechanism and/or policies through which they can voice their concerns to the government and influence policy
Accountability	➤ Governments are more accountable to beneficiaries in delivery of services and in management and use of public resources
Learning for improved results	➤ Beneficiaries have greater knowledge and practice of social accountability, and civil society has greater capacity to implement social accountability initiatives

Source: GPSA Board Paper

1.2.1 Component 1: Programmatic support to CSOs for social accountability.

13. Component 1 will provide support to CSOs for (1) social accountability initiatives and programs, (2) institutional strengthening, and (3) mentoring and capacity-building of less-experienced CSOs working on SAcc. Grant applications may cover activities in one or more of these areas. All grant proposals, however, must include:

- A knowledge and learning component, following the guidelines specified in Sub-section 2.2.2 Component 2: Knowledge Activities, and
- Funding earmarked to design and implement monitoring activities, which will be specified in a Results Framework (see Section 4).

14. In response to the need for more predictable funding that can sustain CSOs' efforts over longer periods of time grants under this component may be proposed for periods between 3-5 years. Indicatively, grant amounts will range from US\$500,000 to US\$1,000,000. The GPSA Secretariat will provide specific funding ranges before each Call for Proposals. As further described under Sub-section 2.3 (Grants' Features and CSOs Eligibility):

- Eligible CSOs must be based and operate in countries that have "opted-in" to GPSA
- CSOs must comply with eligibility requirements as set out in the GPSA Board Paper, in accordance with the Bank's *Guidelines for Multi-Stakeholder Engagement* (outlined in Sub-section 2.3)

15. In addition, the GPSA may provide strategic off-cycle capacity building and knowledge grants to national and international CSOs with the objective of helping build the capacity of grant recipients for the effective implementation of the proposed activities and learn from experience.

16. **Social Accountability Initiatives or Programs led by CSOs or networks of CSOs.** Grants under this area *provide programmatic support to social accountability initiatives or programs aimed at increasing transparency and access to public information, strengthening citizens' voice and representation and improving accountability.* Projects must also include a knowledge and learning component spelling out how the proposed social accountability initiative or program will be used for learning and building capacities on social accountability, and for knowledge-generation and exchange.

17. Proposed interventions must spell out a clear strategy to generate changes and deliver tangible results. Under this area, technical assessment of proposals will be guided by the following criteria¹²:

- **Focus and relevance:** extent to which the proposed intervention targets critical governance reforms, including strengthening country systems and improving governance at the sector level; relevance of the proposed intervention to governance and development reforms featured in the national policy agenda.
- **Comprehensiveness:** proposed intervention is approached as multi-dimensional, whereby proposed social accountability tools and mechanisms are embedded within (i) an underlying overarching purpose or theory of change; (ii) a strategic plan spelling out how the use of the chosen social accountability tool will be combined with a broader set of strategies, including, but not limited to:
 - Constituency-building
 - Multi-stakeholder engagement
 - Arenas of constructive engagement with the state; formal and informal channels
 - Identification of multiple entry points to engage with the state and with other actors working towards similar and/or complementary objectives

18. **Enhance core funding for CSOs' institutional strengthening.** Core funding will be available to CSOs that meet eligibility requirements (as outlined in paragraph 14) and make a case for priority institutional strengthening that will result in a stronger institutional capacity to implement social accountability activities. Eligible activities include support for organizational development activities in areas such as: corporate governance and leadership succession, management and organizational design, financial management and training on resource mobilization, strategic planning, monitoring and evaluation activities, and operating costs, among others.

19. **Mentoring and Capacity-Building Grants.** Funding under this area will be allocated in two ways:

- (i) Recipient-executed Mentoring Grants will target the needs of nascent, start-up CSOs, by working through CSOs that are legal entities in one of the opted-in countries to on-grant and mentor the former through clear agreements that spell out the contributions and roles of both partners. In these cases, applicants may request funding for the areas covered under this Component and will have to link institutional strengthening to implementation of social accountability activities (thus allowing for hands-on learning and providing CSOs with some means to implement right away). This type of "learning-by-doing approach" will be supported in all call for proposals for country-based and CSO networks. Countries may choose to tailor their call for proposals solely to providing support through grants for mentoring smaller CSOs. Eligible CSOs will be well-established organizations –capable of fulfilling fiduciary requirements-, with demonstrable experience on SAcc, as well as with

¹² See Section 2.2, List of areas considered by the technical review for all grant proposals

the capacity to provide technical assistance on institutional development to mentored organizations.¹³

- (ii) *Bank-executed Grants for Capacity Building* will be managed by the GPSA Secretariat in close partnership with Bank teams. The purpose of this type of grants will be to strengthen the capacities of GPSA grantees for the implementation of social accountability activities.

20. In addition, **the GPSA may provide strategic off-cycle capacity building and knowledge grants** to national and international CSOs with the objective of helping build the capacity of grant recipients for the effective implementation of the proposed activities and learn from experience.

1.2.2 Component 2: Support for Knowledge Activities

21. Component 2 will provide support for knowledge-generation, learning and exchange activities with a twofold purpose: first, ensuring that interventions supported through Component 1 are backed up by appropriate knowledge and learning mechanisms; and, second, offering a platform for knowledge and learning exchange, driven by stakeholders' needs, that can leverage learning and networking within and across countries, regions and globally.

22. **Knowledge Platform for Social Accountability.** The GPSA will develop a global knowledge platform (GPSA KP or KP) with the objectives of (1) promoting knowledge exchange and research on cutting-edge issues related to social accountability, and (2) offering a space to strategically connect a diverse range of development actors seeking increased collaboration, including for sharing practices and learning uptake, for strengthening existing networks, and for supporting emerging networks.

23. Development of the platform will be driven by the knowledge and learning needs as expressed by GPSA grant recipients, and by other stakeholders at the country, regional and global levels. The KP will help CSOs from countries that have opted into the GPSA to access and leverage existing global, regional and country knowledge, including knowledge from applied research and analysis; and continuously learn from what works and does not work in practice in various country contexts. In addition, the knowledge platform will link networks and partnerships of GPSA grant recipients to promote collaborative learning and sharing of knowledge from funded activities and other sources. A particular focus will be encouraging South-South exchanges and peer-learning. The platform will also be available for a wider range of practitioners and researchers working in the social accountability field.

24. Funding will be available to support targeted activities aligned with the Knowledge Platform's objectives, including:

- a. Facilitating multi-stakeholder dialogue and fostering collaboration, particularly by linking CSOs with governments, academics, and practitioners
- b. Facilitating peer learning and knowledge exchange, especially South-South learning
- c. Providing support to GPSA grantees in documenting, disseminating and exchanging knowledge generated through grant activities
- d. Commissioning strategic and selective research, including in collaboration with GPSA's partners, to fill research gaps in areas fundamental to the advancement of the social accountability field.
- e. Supporting governments in the design and implementation of social accountability-related policies and programs

¹³ See Section 2 for a full description of CSOs' Eligibility Criteria

25. A Concept Note (included in Annex 9) spelling out the design and implementation of this Component has been prepared by the GPSA. Initial key activities for rolling out the KP will encompass, among others:¹⁴

- A Mapping Exercise (ME) that will assess a set of selected learning and knowledge portals or websites and initiatives on civic engagement and social accountability
- Identifying knowledge and learning needs of GPSA grantees
- KP conceptual and methodological development, including taxonomy for knowledge products, learning tools, as well as tools and methodologies for measuring Impact and Results
- Commissioning the development of a pilot web-based platform

26. Appropriate indicators for monitoring and evaluating GPSA’s Knowledge Component will be identified. These indicators will enable to assess the quality and impact of the Platform and knowledge activities undertaken in support of GPSA Grants. The evaluation of the Knowledge Platform and other knowledge and learning activities are aligned with the GPSA Results Framework.¹⁵

27. Table 3 summarizes the main objectives and scope of Component 2:

Table 3: The GPSA Knowledge Platform for Social Accountability

KNOWLEDGE PLATFORM FOR SACC	<i>Knowledge-sharing</i>	<ul style="list-style-type: none"> • Access to & sharing of practitioner knowledge and practices • Dissemination of results and lessons learned • Dissemination of evidence base & research
	<i>Networking / Connecting</i>	<ul style="list-style-type: none"> • Strengthening CSOs networks • Linking CSOs, practitioners, governments, academia, think-tanks, etc. into CoPs • Leveraging global lessons on SAcc
	<i>Learning</i>	<ul style="list-style-type: none"> • Peer learning on the how to of SAcc • Results & impact of SAcc • Leveraging action-oriented learning

Source: GPSA, Concept Note, Component 2. Knowledge for Social Accountability

2. General Features of GPSA Grants

28. **Purpose of Grants.** The GPSA, through a Multi-Donor Trust Fund (MDTF), will make available grants to CSOs for programmatic activities related to social accountability, including activities supporting the enabling environment for social accountability and efforts to improve development effectiveness through social accountability approaches, and for CSOs’ institutional development. Grants will also be available for mentoring, knowledge and capacity building activities.

29. **Countries of Operation.** The GPSA will fund operations in countries whose governments have “opted in” to the Program. All activities supported by the GPSA and funded by the MDTF will be

¹⁴ See GPSA, Concept Note, Component 2, op. cit.

¹⁵ Ibid, paragraph 46

consistent with the *Guidance Note on Bank Multi-Stakeholder Engagement* (see sub-section 2.3 Eligibility further below).

30. **Countries' "Opt-in" Process.** Governments will submit an "opt-in" letter to the Bank indicating their willingness to be included in the Program (see sample attached in Annex 1).

31. **Scope of Grants.** In order to ensure an effective alignment with national development strategies and local contexts, the call for proposals (CfP) at the country level will be based on demands identified by the Bank country teams in consultation with donors, government, CSOs and private sector stakeholders. Grants at the regional/global levels will primarily focus on knowledge-exchange, networking and learning support activities.

32. **Relationship with Country Programs.** Within the framework of a participating country's development strategy, the GPSA will support social accountability initiatives by civil society that may complement country-led governance reforms or may engage with policymakers and service providers to enhance development effectiveness and service delivery. A particular focus will be to seek synergies and help integrate in-country supply-side governance reforms with the GPSA's support for demand-side interventions. To the extent possible, and to encourage harmonization and enhance impact, the GPSA will also seek country-level collaboration with other donors, government officials, and stakeholders supporting broad governance reforms and social accountability programs.

33. **Funding amounts, Co-financing and Duration of Grants.** Under Component 1, grants' indicative amounts will range from US\$500,000-US\$1,000,000 – which will be specified before each Call for Proposals- to be disbursed over a 3-5 year time period. GPSA financing should not exceed 50% of grantee's total organizational budget; but it may cover 100% of proposed interventions. In order to ensure a reasonable distribution of GPSA funding across countries, total funding per country per year will be determined by the following formula:

$$\text{Total funding per Country} = \left(\frac{\text{Available funding per Call}}{\text{No. Participating Countries per Call}} \right) \times 2.5$$

Special efforts will be made to fund activities in all participating countries based on the quality of grant proposals.

Funding for knowledge-generation, exchange and research activities will be determined by the GPSA Secretariat on the basis of the Knowledge Platform work plan. Capacity building grants will have different indicative amounts, tailored to the nature and scope of the proposals.

34. **Disbursements.** Disbursements will be linked to the achievement of milestones agreed to as part of the results framework developed for each grant, and adapted to reflect performance and lessons learned. Milestones may be defined as activities/outputs or outcomes/results (see Section 4 on Results Framework).

35. **Calls for Proposals.** In its first year of operation, the GPSA will issue one global call for proposals targeting CSOs and networks of CSOs from countries that have opted-into the partnership. The CfP will be tailored to specific country needs identified from consultations with local stakeholders. The GPSA Secretariat will provide support to CMUs for offering guidance to CSOs on the GPSA application process. Country CfPs will indicate the dates for delivering GPSA orientation sessions to CSOs. In addition, the Secretariat will set up a Help Desk to answer inquiries about the application process. All comments and responses received will be made available online through the GPSA's website. The following table includes the estimated schedule for rolling out the first GPSA CfPs:

Table 4: Implementation Schedule of First Global Call for Proposals

Dates	Activities
Dec 15 th - Jan 14 th	CMUs carry out country multi-stakeholder consultations, including donors, for identifying country priorities
Jan 15 th - Feb. 1 st	CMUs -supported by Secretariat- elaborate tailored call for proposals, including dates for orientation sessions
Feb 4 th – Feb 8 th	CMUs deliver orientation sessions –with support from the Secretariat.
Feb 11 th – March 14 th	Secretariat issues first Global CFP simultaneously with opted-in countries CfPs – 4-week grant e-application submission period
March 15 th – May 31 st	Grants’ Review Process - CMUs to put "place holder" in WPA for supervision
June 3 rd	Announcement of GPSA grant awards winners Inclusion of GPSA activities in work program agreements (WPAs)

2.1 Eligibility Criteria

36. The GPSA will allocate grants on a competitive basis to eligible CSOs for programmatic, institutional strengthening and mentoring activities related to social accountability. Each grant will include a sub-component to capture and foster knowledge management, learning and networking. All grant applications must meet the following general eligibility criteria:

- Be aligned with the country-tailored call for proposals
- Present a logical implementation strategy, including a sound budget
- Reflect GPSA principles of constructive engagement (see also paragraph 40)
- Demonstrate a close correlation between the proposed activities and the improvement of the governance framework at the country level (see also paragraph 17).

In addition, the GPSA may provide strategic off-cycle capacity building and knowledge grants to national and international CSOs with the objective of helping build the capacity of grant recipients for the effective implementation of the proposed activities and learn from experience.

2.1.1 Eligibility criteria for CSOs

37. The GPSA will support CSOs based and operating in countries that have “opted-in” to the Program. Regional CSOs/networks are eligible for GPSA funding provided that they are legal entities in one of the opted-in countries.

38. For the purposes of the GPSA, CSOs include legal entities that fall outside the public or for profit sector, such as non-government organizations, not-for-profit media organizations, charitable organizations, faith-based organizations, professional organizations, labor unions, workers’ organizations, associations of elected local representatives, foundations and policy development and research institutes.

39. As explained further in Sub-section 2.2 below, CSOs whose proposals result pre-selected will undergo a full due diligence assessment – in line with the Bank’s *Guidance Note on Multi-Stakeholder Engagement*- for compliance with a set of categories, namely: (1) Legal status; (2) Representation; (3)

Governance; (4) Transparency; (5) Fiduciary capacity; (6) Institutional capacity; (7) Competence; and (8) Proven track record.

40. All grantees must agree to GPSA principles of constructive engagement, including: using policy analysis methods that maximize objectivity, seeking opportunities to discuss policy recommendations with relevant officials, and proposing viable solutions to problems that may be identified.

41. In accordance with the *Guidance Note on Multi-stakeholder Engagement*¹⁶, the GPSA will not support:

- Entities or groups with partisan associations; and
- Grant applications which include “activities which, because of the high inherent risk of political interference, are likely to raise Articles issues. These activities include political governance, for instance, support of efforts to help organize political parties, or to the organization, running and monitoring of elections.”¹⁷

42. Activities ineligible for GPSA funding:

- Scholarships and fellowships
- Infrastructure projects, such as water or sewage systems
- Construction or rehabilitation of facilities, such as roads or sanitation facilities
- Direct service delivery
- Meeting basic needs, such as provision of water, heat, or meals
- Medical equipment
- Political activities, such as political financing or election monitoring
- Activities including proselytism
- Activities related to neighborhood security patrol and/or arming local communities
- Purchase of land, involuntary resettlement of people, or activities that negatively affect physical cultural resources, including those important to local communities
- Activities adversely affecting Indigenous Peoples, or where these communities have not provided their broad support to the project.

2.2 Grant Application and Selection Process

43. Following the definition of GPSA’s strategic direction by the Steering Committee and responding to country-tailored calls for proposals, individual CSOs that are based in opted-in countries will have the chance to submit funding proposals. These proposals will be uploaded in an internet-based competition platform managed by the Secretariat (See Annex 3: Grant Application Form).

44. Grant applications will undergo a two-stage review process (see Annex 2 for a full description of the application and selection process, including roles and responsibilities of GPSA, Bank staff and applicant CSOs):

(1) First Stage (Identification/Concept Review). During this stage, grant applications will undergo a two-tranche review (for a general list of steps involved in this review stage refer to Table 6, paragraph 45):

- a. CMUs will carry out a preliminary review of proposals’ eligibility -through a standardized template provided by the GPSA Secretariat-, which will consist of checking if proposals (i) are aligned with the country-tailored call for proposals; and

¹⁶ Op. Cit.

¹⁷ Ibid., paragraph 16.B, p. 9

- (ii) have been submitted by an eligible organization (in accordance with pre-defined criteria to be used later on for pre-selected proposals during the full due diligence assessment, see this paragraph, Second Stage further below). CMUs will send eligible proposals to the GPSA Secretariat, including comments.
- b. The Secretariat will organize a technical review of proposals with a roster of experts. Individual reviewers will use an evaluation matrix, including a standardized point scale, which will assist the Secretariat in ranking the proposals and to inform the final selection of proposals to be recommended before the SC (on the RoE, see Section 3 Governance, paragraphs 64-66). Table 5 below summarizes the areas and criteria that will be considered in assessing the grant proposals' technical quality:

Table 5: GPSA Grants' Technical Review by Core Areas and Criteria

Areas	Criteria
Concept	<p>Proposed interventions must spell out a clear strategy to generate changes and deliver tangible results. Priority criteria:</p> <p><u>Focus and relevance</u>: extent to which the proposed intervention targets critical governance reforms, including strengthening country systems and improving governance at the sector level; relevance of the proposed intervention to governance and development reforms featured in the national policy agenda.</p> <p><u>Comprehensiveness</u>: proposed intervention is approached as multi-dimensional, whereby proposed social accountability tools and mechanisms are embedded within (i) an underlying overarching purpose or theory of change; (ii) a strategic plan spelling out how the use of the chosen social accountability tool will be coupled with a broader set of strategies, including, but not limited to:</p> <ul style="list-style-type: none"> ➤ Constituency-building ➤ Multi-stakeholder engagement ➤ Arenas of constructive engagement with the state; formal and informal channels ➤ Identification of multiple entry points to engage with the state and with other actors working towards similar and/or complementary objectives
Results framework	<p>Proposed intervention is consistent with GPSA's Results Framework; it is based on a realistic action plan clearly spelling out the relationship between assumptions, objectives, activities/outputs and expected outcomes, including measurable milestones and results that will have a direct impact on the intended beneficiaries.</p>
Cost-effectiveness	<p>The estimated costs should be appropriate, with a reasonable balance between overheads and the funding of specific activities.</p>
Risks and mitigation	<p>The proposal adequately identifies any potential risks connected to its activities, and outlines mitigation measures to address those risks.</p>
Sustainability	<p>Proposal addresses the intervention's sustainability potential including: (i) Ownership/beneficiary involvement; (ii) Share of budget derived from the GPSA; (iii) Capacity to sustain work beyond the specific grant (through own resources or external resource mobilization); (iv) Growth and scalability potential</p>

- (2) **Second Stage (Appraisal/Negotiation Review):** pre-selected proposals will be subject to a full due diligence assessment¹⁸, consisting of an organizational review of the following categories:
1. **Legal status:** the recipient needs to be a legal entity and provide proof of such legal status;
 2. **Representation:** key criteria are community ties, accountability to members or beneficiaries, diversity and gender sensitivity;
 3. **Governance:** sound internal management policies and practices, comprising organizational dimensions, such as clear management roles and responsibilities, clear methods of planning and organizing activities, human capital, financial and technical resources, and partnerships;
 4. **Transparency:** including disclosure of sources of funding, financial accountability and governance transparency;
 5. **Fiduciary capacity:** ability to meet applicable World Bank policies for grants;
 6. **Institutional capacity:** appropriate scale of operations, facilities, and equipment;
 7. **Competence:** proposed executing team possesses relevant skills and experience across all areas for which activities have been proposed;
 8. **Proven track record:** organization can provide evidence of its experience (at least 3-5 years) in the area of the call for proposals, and a vision matching the goals of the GPSA.

In addition, during this stage, proposals will be made available for a 10-day government comments period and a 5-day public comments period.

45. Table 6 below summarizes the key phases of the GPSA Grant Application and Selection Process (see Annex 2 for a full description of each phase and steps):

¹⁸ As enumerated in the GPSA Board Paper, Annex C. Eligibility Criteria, B. Due Diligence Review, paragraph 3, p. 39, which is based on criteria spelled out in the *Guidance Note on Bank's Multi-Stakeholder Engagement* (paragraph 27)

Phase	Stages	Description	Main actors involved
I Formulation and Call for Proposals	Country multi-stakeholder consultations	CMU consults broad range of stakeholders, including donors, to identify country governance priorities that should be emphasized in the CfP	GPSA Secretariat CMU
	Global CfP tailored to country priorities	CMU and GPSA Secretariat work together to tailor CfP to country priorities	
	Global CfP issued and publicized	GPSA Secretariat issues global CfP; CfP is widely advertised through various means: newspapers and electronic media, CMU’s targeted outreach activities, GPSA website, etc	
II Selection of Proposals	Submission of Proposals	Potential grantees submit applications electronically to GPSA Secretariat	Applicant CSOs GPSA Secretariat
	1st Stage Review: Identification/ Concept	Secretariat shares proposals received with CMU/Informs CMU that supervision norm of 20k/year must be allocated. CMU carries out preliminary review of applications in accordance with <i>Guidance Note on Multi-Stakeholder Engagement</i> and alignment with country priorities; sends pre-screened applications to Secretariat with comments	CMU
		Secretariat distributes pre-screened proposals to Roster of Experts – RoE carry out technical review.	GPSA Secretariat RoE
		Secretariat receives technical reviews – Follows-up with potential grantees to incorporate comments	Secretariat Applicant CSOs
		Secretariat recommends list of proposals for approval to SC – SC concurs with pre-selected proposals based on overall GPSA strategy – List of pre-selected proposals disclosed online	Secretariat SC
		ND issues Decision Note with “Rejected” and “Conditionally approved” proposals along with need/no need for ISDS (integrated safeguards datasheet)	WBI Network Dir.
		Secretariat sends list of “rejected” and “conditionally approved” proposals to CMU -CMU suggested to identify Sector and TTL	Secretariat
		2nd Stage Review: Appraisal/ Negotiation	CMU sends list of proposals to government: 10-day vetting period. Followed by 5-day public disclosure period.
	In parallel, Secretariat requests full due diligence assessment based on <i>Guidance Note on Multi-Stakeholder Engagement</i>		Secretariat/ Fiduciary specialists
	CMU submits all comments received to GPSA Secretariat. Fiduciary specialists submit results of full due diligence assessments to Secretariat. Secretariat addresses comments received with grantees.		Secretariat Selected grantees
	FM, Procurement, Legal, Safeguards provide clearance		FM, PR, Legal, Safeguards
	Secretariat prepares Projects’ Packages (Appraisal Completion Note Package –GPSA TTL processes AISs – Country Directors approve AISs (see Annex 2 for more details)	GPSA Manager & TTL Country Directors WBI Network Dir.	
III Awarding of Proposals	Signing of Grant Agreement	Country Directors and Grantees sign legal Grant Agreements	Grants’ winners Country Directors
	Announcement of award winners	Secretariat posts list of grants’ winners and approved proposals in GPSA website	Secretariat

Phase	Stages	Description	Main actors involved
IV Implementation	Funds' disbursement	CMU includes activities in Work Program Agreement (WPAs) – TTLs selected Secretariat transfers AISs and GFRs to SMU Implementing Units	Secretariat Grantees TTLs SMUs Fiduciary Specialists
	Initiation of Projects' activities	Grantees execute projects' activities/ Submit bi-annual financial and narrative progress reports	
	Monitoring and reporting	Bank Projects' supervisors (Task Team Leaders) report on projects' progress through ISRs (Implementation Status Reports)	

3. Governance and Institutional Arrangements

3.1 Overview of GPSA Structure

46. The GPSA governance structure has been envisaged as a collaborative platform based on a few key objectives consistent with the goals of the GPSA itself:¹⁹

- Involvement of a broad range of stakeholders, including governments, donors and CSOs
- Harmonized funding through a common vehicle
- Programmatic coordination across multiple funding sources
- Efficient operation, building on the Bank's experience as Trustee and Secretariat

47. To achieve these objectives, the proposed governance structure seeks to be simple, divide roles and responsibilities based on comparative advantages, balance inclusion and efficiency, and build in flexibility for incremental growth and adjustment over time.²⁰

48. The Partnership's structure is comprised of the following stakeholders:

- A. Participating countries
- B. Steering Committee
- C. Secretariat
- D. Global partners

3.2 Roles and Responsibilities of GPSA Stakeholders

49. The next sub-sections describe these stakeholders' roles and responsibilities.

A. Participating countries

50. The GPSA will operate in countries whose governments have "opted-in" to the program. Governments will submit a letter of consent to the Bank. (See Annex 1).

¹⁹ Board Paper, p. 16, para. 41

²⁰ Ibid, para. 41

51. Following the approval of individual grants by the Steering Committee, Country Directors will make selected proposals available to governments for a 10-day vetting period. As described further in the selection process, governments will not have direct approval authority over individual grants.

B. Steering Committee

52. The GPSA Steering Committee (SC) will initially have 10 members. It will combine representatives from three key constituencies – government, civil society, donor agencies – whose expertise, experience, interests and reach can contribute to the goals of the GPSA (See Annex 4, Terms of Reference of the SC). The initial composition will be the following:

- Three donor agencies (two government bilateral agencies and one private foundation/donor);
- Three CSOs (one from a “part-I” country and two from “part-II” countries). In order to broaden regional representation, two alternates (one for part-I and one for part-II) will be selected; and
- Three representatives from developing country governments

53. The SC will be chaired by a Bank Vice President, who will support all members of the SC in enabling their participation and facilitate balanced discussions. For the initial period of the GPSA the Vice-President of WBI will serve as the SC chair and the Director for Collaborative Governance Department will serve as his alternate. In addition, the Program Manager of the Secretariat will join the SC in an observer capacity to serve as a resource person and to facilitate timely implementation and follow-up of SC decisions. The donor agency and government members will participate in an institutional capacity. The civil society members of the SC will participate in their individual capacity. To balance continuity with rotated membership, participation in the SC will be on the basis of fixed three-year terms, which will be staggered after the first three-year period.

54. The process of selection of SC members for each constituency is as follows:

- **Donors:** government bilateral agencies and foundations that make a minimum threshold contribution will have a seat on the SC.²¹ If three donor agencies have not made contributions by the launch of the GPSA, three donors will be invited to serve as members on an interim basis.
- **CSOs:** For the composition of the first SC, CSO members will be nominated through regional CSO networks identified by the Regional Vice-Presidents of Africa, MNA and EAP for part II countries and by the Bank’s Office of External Relations (EXT) for part I countries. For the renewal of the SC, other regions will be able to nominate CSO candidates. In order to broaden regional representation one alternate CSO representative from part-I countries and one alternate from a part-II country will also be nominated. CSOs with which individual members of the SC are affiliated will not be able to receive funding from the GPSA while these individuals serve in the SC. A CSO-donor-Bank selection committee will review nominations and make final decisions (See Annex 5, Selection Criteria of GPSA SC Civil Society Representatives).
- **Governments:** three government representatives from developing countries that have opted-in to GPSA will be chosen by the Bank’s Board of Executive Directors. For this, participating countries will be invited to present their nominations to serve in the GPSA SC.

²¹ Board Paper, p. v, para. 8: “Donor members would need to make a minimum threshold contribution to the MDTF to be eligible for a seat on the SC.”

55. The SC will seek to broaden its representation provided it maintains a numerical balance of members from all three groups. If more than three donors contribute above the minimum threshold, they will sit in the SC on a rotating basis.

56. The SC will have the following roles and responsibilities:

- Provide strategic guidance over the design and implementation of GPSA, to be reflected in the annual call for proposals
- Review and approve the GPSA Operational Manual
- Provide guidance on the definition of key functions and products including the GPSA Results Framework, the GPSA Knowledge Platform, and the specific details for the annual call for proposals.
- Approve the set of grants presented by the Secretariat on a no-objection basis
- Help identify qualified individuals to integrate the Global Roster of Experts (RoE)
- Contribute to the development and implementation of a GPSA resource mobilization strategy

57. Decisions by the SC will be made by consensus. In this context, consensus will mean a procedure for adopting a decision when no four members block the proposed decision. It need not reflect unanimity in that dissenting members that do not wish to block a decision may state an objection to be recorded in the meeting minutes but nonetheless allow the decision to go forward. The Chair articulates the consensus view. Country representatives may participate in the discussions involving grant proposals from their countries, but may not block the resulting decision. SC formal (face-to-face) sessions require a quorum of at least six people. Decisions may be made through electronic means between face-to-face meetings on a no-objection basis.

58. The SC will meet in person twice a year, once to set strategic directions and monitor progress made by the GPSA based on the Results Framework, and once for the approval of grants. The Secretariat may convene extraordinary meetings of the SC on an exceptional basis, as needed. SC meeting locations and dates will be proposed by the Secretariat and agreed by the SC.

C. GPSA Secretariat

59. A small Secretariat will be established at the World Bank with the objectives of managing the funding, networking, communications, reporting and administrative tasks of the GPSA. By acting as the Secretariat while also serving as Trustee, the Bank will ensure close coordination between MDTF activities and all other partnership aspects, in part by using the same staff to provide operational links between upstream (MDTF donor contributions, SC decision-making) and downstream (grant activities, reporting, results) functions.

60. The GPSA Secretariat will be comprised of World Bank staff, including the Program Manager. A combination of Network and Regional staff will, as appropriate, provide the needed focus on global and regional/country levels, respectively. Interested CSOs will be invited to provide seconded staff to serve on a rotating basis on the Secretariat in order to ensure closer Bank – CSO coordination. Funding for the Secretariat will be provided through the MDTF as agreed in the Administration Agreements with donors.

61. The Secretariat will be responsible for the overall management of the GPSA, including coordination, administration and grant-making functions:

a. Coordination and administration functions

- Coordinate with the World Bank in its function as Trustee and support the Trustee in its relations with MDTF donors
- Support the Chair of the SC by organizing SC meetings
- Provide administrative support for any no-objection decisions by the SC
- Prepare all business documents related to the GPSA
- Develop a Communications Plan for the GPSA and managing its implementation, with support from the SC
- Reach out to and coordinate the formation of the GPSA's global partners' group
- Liaise with other parts of the World Bank Group and other relevant organizations
- Manage the GPSA's knowledge component (Knowledge Platform, Bank-executed grants, and other knowledge-related activities)
- Ensure the implementation of an M&E system based on the Results Framework adopted for the GPSA
- Prepare the GPSA's Annual Report and any other reports requested by the SC and by MDTF donors
- Maintain the GPSA's records

b. Grant-making functions²²

- Manage the overall grant application and selection process, and coordinate the supervision of grant projects with the Bank's Country Management Units and with task team leaders (TTLs) appointed as project supervisors
- Prepare global Call for Proposals and work with country offices to tailor CfPs to each country's priorities
- Prepare ToRs and select the Roster of Experts (see paragraph 64 further below) and coordinate the grants' overall review process
- Recommend proposals after their review by the Roster of Experts and submit them to the SC for approval on a non-objection basis
- Set up and manage a GPSA Help Desk for grantees
- Work with potential grantees on the introduction of changes to their proposals, based on the feedback provided by experts, government officials, the public and the findings of the Bank fiduciary assessment of each individual proposal.

62. The Secretariat will coordinate countries' grant-making and grant supervision processes closely with Country Management Units (CMUs)²³. Specifically, CMUs will be responsible for:

- Securing opt-in consent letter from government of participating country
- Publicizing country call for proposals in official and local languages, using various dissemination means, including special GPSA overview sessions for potential applicant CSOs
- Carrying out the preliminary assessment of grant proposals received by the Secretariat, through a rapid review of CSOs' eligibility in accordance with the Bank's Guidance Note on Multi-Stakeholder Engagement (see paragraph 44)²⁴, as well as a full due diligence assessment of selected proposals
- Ensuring that selected grant proposals are aligned with the country-tailored call for proposals
- Sending any requests for information or grievances received by the Country Office during the course of grants' implementation to the GPSA Secretariat

²² See Annex 2, Grant Application and Selection Process for a detailed description of the Secretariat's grant-making functions

²³ For a complete description of CMUs' roles and responsibilities, see Annex 2

²⁴ As explained in paragraph 44, the preliminary review is based on a set of criteria enumerated in the GPSA Board Paper, which follows criteria spelled out in the *Guidance Note on Bank Multi-Stakeholder Engagement (op.cit.)*

63. Supervision of the selected proposals will be carried out by Bank sector staff. This supervision will be included in the WPA (Work Program Agreement) with a suggested norm of \$20K per year to be allocated by the CMU.

64. **Roster of Experts.** The Secretariat will establish a global Roster of Experts (RoE) in order to bring expert advice into the selection of proposals. As described in the Grants' Selection Process (see Sub-section 2.2 and Annex 2), the role of the RoE is to provide advice on the technical quality and soundness of proposals; for this, individual reviewers will use an evaluation matrix, including a standardized point scale, which will assist the Secretariat in ranking the proposals and to inform the final selection of proposals to be recommended before the SC.

65. The RoE will consist of a list of individuals with strong knowledge of social accountability approaches and a sound understanding of the realities of the participating countries. RoE participants are expected to be recognized technical experts in their fields with the ability to provide objective, informed, and insightful advice. The Secretariat will prepare terms of reference for the RoE.

66. The full list of individuals selected to be part of the RoE, along with their qualifications and areas of expertise will be published by the Secretariat in the GPSA website.

D. Global Partners

67. With the objective of broadening support for GPSA in various areas and of strengthening a global community of practice, CSOs and donors, from both the South and the North will be able to join the GPSA in the capacity of "Global Partners". This will aid in expanding the Partnership's global, regional and country scope, and encouraging increased cooperation across stakeholders interested in advancing social accountability, in terms of networking and knowledge-exchange opportunities.

68. Different types of organizations, such as international non-governmental organizations (INGOs), foundations, regional networks of CSOs, and country CSOs will be able to join the GPSA as global partners. Partners will provide the GPSA with their open endorsement through a written letter, and will be expected to contribute in terms of networking, knowledge and other activities. Participation as Global Partners will not require organizations to contribute financially to the GPSA's MDTF nor mean that they or their members or associates will be privileged to receive grant funding from the GPSA. Nonetheless, CSOs that are global partners and eligible to apply for GPSA funding may do so, unless one of their individual members is serving in the SC, at the time of grant proposals' submission and approval.

3.3 Disclosure Requirements and Access to Information Policy

69. Disclosure requirements will comply with the World Bank's Access to Information Policy thereby ensuring transparency. The status of individual proposals – from submission to implementation – will be made public in the GPSA website.

70. The GPSA Secretariat will make readily available all relevant information for public disclosure. The GPSA Secretariat and the Country Offices will post GPSA guidelines, procedures, budgets, and other key information on their respective websites. The Secretariat will also proactively disclose information received from GPSA grant recipients such as - project proposals, budgets, audited financial statements, implementation reports, etc. - in accordance with the World Bank's Access to Information Policy.

71. **Information Requests and Grievance Redress Mechanism.** The GPSA Secretariat will manage an open, active, two-way communication channel with the Program's stakeholders by:

- Setting up a feedback gathering mechanism to receive, sort, and act upon feedback, including grievances. The mechanism will include a way of monitoring how suggestions and grievances are being handled and resolved.
- Publishing and widely disseminating the various channels for receiving feedback

72. Information requests and grievances related to any aspect of GPSA operations will be submitted to the GPSA Secretariat, which will redirect them accordingly.

73. Grant recipients will also be subject to the World Bank's Access to Information Policy. Their specific obligations under this policy will be specified as part of Grant Agreements.

4. Results Framework, Monitoring and Evaluation

4.1 Overview of the GPSA Results Framework

74. GPSA's Results Framework (RF) is a tool that will be used to monitor and manage progress and report on delivery. It sets out the outcomes GPSA is seeking to contribute to, the results it plans to deliver, and the metrics to be used. By collecting data and measuring results it is possible to know what is working and what is not, adapting and developing an approach over time to become more effective. Furthermore, the results framework also facilitates evaluations at different stages of implementation.

75. The GPSA Secretariat, supported by the SC, has undertaken a consultation process to develop and propose a Results Framework, as well as a monitoring and evaluation system for the Program. This process included the preparation of a Concept Note, and the organization of several face-to-face and virtual exchanges to receive feedback and refine the overall RF and M&E. Both Bank staff and external stakeholders, including donors, practitioners and evaluation specialists were convened for this process.

76. This section consolidates the results of this process and presents the GPSA Results Framework, along with the mechanisms that will be used for M&E.

77. As presented in Section 1, the GPSA supports activities undertaken under one or more of the following "pillars of governance": (1) transparency and access to information; (2) voice and representation; (3) accountability; and (4) learning for improved results. These results areas are presented in GPSA's "theory of change" as (intermediate) outcomes (See Annex 6)

78. A set of indicators corresponding to the different levels of the "results chain" (except the higher level corresponding to development results²⁵) have been developed in order to operationalize the results framework. Indicators were built making use as much as possible of existing indicators and available data sources, and taking into consideration the types of indicators that may be constructed using data that will be generated by GPSA's operations. Given that the GPSA will operate at the global, country and project level, indicators were elaborated for the three levels. Annex 6 presents the overall RF, along with such indicators, and data sources.

²⁵ This higher level corresponds to the World Bank Scorecard Tier I indicators, which show the long-term development outcomes that countries are achieving and cannot be attributed directly to the Bank, because countries and their development partners all contribute to these achievements over the long term through a combination of multi-sector interventions, actions, and policy decisions. These indicators are also affected by external factors such as global crises (as pointed out in the WB Scorecard 2012).

4.2 GPSA Monitoring and Evaluation System

79. Evaluations and reviews of global partnership programs have identified the lack of a monitoring and evaluation system (M&E)²⁶ as a recurrent problem. Without M&E neither learning nor accountability can be adequately conducted, thus jeopardizing the quality and value of this type of programs.

80. GPSA's M&E builds on its Results Framework, encompassing selective impact evaluations & systematic reviews or meta-studies as well as real-time M&E, collecting feedback from governments and grantees to facilitate learning and adaptation.

81. The three levels mentioned in the previous section will be considered. Starting from the project/grant (micro) level, i.e., activities funded by GPSA, periodic results-oriented reports (RORs) will be presented by the implementing entities (CSOs), showing the extent to which their projects are contributing to enhanced transparency, participation, and/or accountability. The project reports should include evidence and stories of success and failure, indicating the way in which learning is taking place, and how government responds to the interventions. To the extent that the reporting format used at this level complies with the specifications provided in Annex 6, the consolidation by GPSA of individual reports will be possible and aggregation will become feasible. The information at this micro-level can be used to track goals, highlighting achievements and problems, operating as a real-time monitoring and self-evaluation system, using a participatory process to collect feedback from government and grantees, and generating information which can be used to allow for timely corrective actions.²⁷

82. Complementing this monitoring and evaluation system, the GPSA Secretariat, in consultation with the SC, and in coordination with the activities undertaken under Component 2, may commission the following evaluation products:

- A set of impact evaluations geared to knowledge-generation of different interventions in various contexts. These evaluations could be contracted out, promoting the use of rigorous methods such as randomized control trials whenever possible (the implementation strategy of some grants can make RCTs feasible and ethically acceptable, allowing for the identification of comparison groups), with explicit counterfactuals, and also other methods, combining qualitative and quantitative approaches. Adequate consideration should be given to the context and the processes followed, in order to allow judgments concerning their generalizability and a deeper understanding of the causes leading to results, both positive and negative, so as to facilitate learning from success and from failure.
- For the country (meso) level activities and the global (macro) level, case studies may be carried out after the third year of operations, using and reviewing GPSA's "theory of change".
- Furthermore, given GPSA's rationale in terms of knowledge generation, it is important to carry out systematic reviews of evidence or meta-studies, which could be done using the approach (and eventually human and financial resources) of the 3iE initiative.²⁸

²⁶ See IEG (2011) *An Independent Assessment The World Bank's Involvement in Global and Regional Partnership Programs* Washington DC www.globalevaluations.org and Bezanson, Keith A. & Paul Isenman (2012) *Governance of New Global Partnerships: Challenges, Weaknesses and Lessons* Washington DC: Center for Global Development

²⁷ For self-evaluation by CSOs the empowerment evaluation approach could be suitable. See Fetterman, D.M. & Wandersman, A. (2005) *Empowerment Evaluation Principles in Practice* New York: Guilford Press whereas "developmental evaluation" is an approach that could be used to support the process of developing appropriate SA practices in different contexts. See Patton, Michael (2010) *Developmental Evaluation* New York: Guilford Press

²⁸ <http://www.3ieimpact.org/en/funding/>. As pointed out in a recent article, there is a need to conduct studies on different types of participatory governance institutions from a broad range of countries and regions, including meta-analysis of case studies and

83. The preceding types of evaluations will be key inputs for an independent evaluation to take place at the end of the Program's second year of operation (see paragraph 86), allowing for learning and accountability as GPSA evolves.²⁹

4.2.1 Monitoring and Reporting Mechanisms

A. Grant-level Monitoring and Reporting

84. The following mechanisms will be put in place to ensure the collection of appropriate and sufficient data and feedback to fulfill GPSA's monitoring and evaluation responsibilities:

(i) Component 1: Grants' Monitoring and Reporting:

- **TTL Reporting.** Grants' Task Team Leaders (TTLs) will complete Implementation Status Reports (ISRs) on a bi-annual basis and Implementation Completion Reports (ICRs)
- **Bi-Annual Reports.** Grantees will furnish bi-annual financial and activity progress reports (Results-oriented Reports) to the TTL and to the GPSA Secretariat. These reports are prepared and submitted electronically, and contain standardized information across all grants, in order to facilitate the collection of data that will be used for analysis and evaluation purposes. Moreover, RORs build on the Results Framework, M&E spelled out by grantees in their Grant Proposals, also consistent with the GPSA's overall RF. Specific requirements on financial progress and completion reports are provided in Section 5.
- **Field Visit Reports.** As part of grants' ongoing supervision, TTLs may conduct field visits to closely monitor grants' implementation and provide technical assistance to grantees.

(ii) Component 2: Knowledge Activities' Monitoring and Reporting. As established in the TF Handbook, for Bank-Executed Knowledge activities, reporting will be carried out through the Grant Reporting and Monitoring (GRM) module, which includes progress and completion reports. In addition, Bank-Executed Knowledge products will be disseminated through the GPSA's Knowledge Platform.

B. Program-level Monitoring and Reporting

85. **Management Reporting by GPSA Secretariat.** The GPSA Secretariat will submit Annual Progress Reports to the Steering Committee, which will include reporting on progress achieved on the GPSA Results Framework's indicators.

comparative analysis. See Speer, J. (December 2012) "Participatory Governance Reform: A Good Strategy for Increasing Government Responsiveness and Improving Public Services", *World Development*, Vol.40/12

²⁹ Appendix G of IEG (2011) *An Independent Assessment The World Bank's Involvement in Global and Regional Partnership Programs* Washington DC provides a list of major evaluation criteria and suggested evaluation questions for global and regional partnership programs evaluations

86. **Program-level Evaluations.** *Independent evaluation* is a governance responsibility. As recommended by IEG’s assessment of global partnership programs (see above footnote 28) it is important that the Partnership’s governing body (Steering Committee) takes ownership of independent evaluation. The first independent external evaluation will be carried out at the end of the Program’s second year of implementation³⁰, with periodic follow-ups.

87. **Record-Keeping.** GPSA records management will follow the WB Record Keeping Policy. Specific requirements for grants will be specified in the Grant Agreements.

5. Financial Management Arrangements

5.1 Overview of Trust Fund Structure

88. The GPSA has a Trustee-level Multi-Donor Trust Fund (MDTF) into which all Contributions flow—the Bank’s annual contributions as approved by the Board, and contributions from partners/donors—. Under the MDTF, there are two Window Trust Funds, one for BETFs (Bank-Executed Trust Funds) and one for RETFs (Recipient-Executed Trust Funds), under which the appropriate Grant Trust Funds will be opened. The GPSA mechanism may also encompass such arrangements as bilateral programs that follow funding criteria harmonized with those of the GPSA, or grants processed by the GPSA but disbursed bilaterally.

89. The GPSA Secretariat’s costs are subject to the Administrative Manual, which applies to the Bank’s own administrative expenses.

90. **Policy Framework for Grant-making.** Funds from the MDTF that flow directly to recipients as grants are governed by OP 14.40/BP 14.40³¹, Trust Funds. Grants’ applicable procedures are outlined in the *Procedures for Small Recipient-Executed Trust Fund Grants: Guidance to Staff*³², which sets out streamlined project processing procedures applicable to small (below \$5 million) and micro (below \$500,000) recipient-executed grants.³³

³⁰ Consistent with GPSA Board Paper, paragraph 64, p. 24-25

³¹ Policies governing the management of trust funds are articulated in Operational Policy/Bank Procedures 14.40. These operational policy statements (OP 14.40 & BP 14.40, July 1, 2008) replaced the statements dated February 1997, and the Operational Memorandum: Use of Tied Trust Funds and Contacts with Trust Fund Donors, dated June 16, 1998. They apply to all Trust Fund Proposals (TFPs) that are submitted to Concessional Finance and Global Partnerships (CFP) on or after July 1, 2008.

³² *Procedures for Small Recipient-Executed Trust Fund Grants: Guidance to Staff*, March 30, 2012, World Bank.

³³ As explained under footnote 1, p. 1, of the *Procedures for Small Recipient-Executed Trust Fund Grants*, “OP 14.40, Trust Funds, provides that while activities financed from RETFs are to be administered under the operational policies and procedures that apply to IBRD/IDA financing, smaller-size grants may be subject to simplified procedures. These procedures are a streamlined version of the Track 1 processing used for lower-risk investment operations (see Annex 1). In addition to the simplified project processing steps outlined here, simplified financial management (FM) assessments are applicable to RETFs less than (or equal to) US\$5 million equivalent, according to FM Guidelines for Small Grants (OPCS, July 2009); a standardized disbursement letter is available for grants below \$5million, along with minimum values of applications for reimbursements and direct payments, and maximum ceilings for advances, with additional specifications for micro grants (see detail in Annex 3); and simplified procurement capacity assessments are available for low-risk grants below \$5 million (\$2 million otherwise). A Standardized grant agreement template is available for grants below \$5 million.”

5.2 Preparation and Approval of Annual Budget

91. The Secretariat will prepare an annual financial report on the MDTF, to include the Uncommitted Trust Fund Balance, Contributions to be paid in during the FY, and Contributions Receivable (not to be paid in during the FY), plus amounts to be disbursed.

5.3 Financial management and Trust Fund requirements applicable to RETFs and BETFs

92. The next sub-sections describe the specific financial management requirements applicable to RETFs and BETFs:³⁴

- A. Retroactive Financing for Grants under RETFs
- B. Eligible Expenditures
- C. Disbursements
- D. Monitoring of TF Disbursements
- E. Amending Grant Agreements
- F. Audit of RETFs
- G. Fraud and Corruption; Sanctions

A. Retroactive Financing for Grants under RETFs

93. Retroactive Financing for Grants under RETFs will follow the procedures as outlined in the TF Handbook.³⁵

B. Eligible Expenditures

94. Eligible Expense categories under GPSA RETFs are:
- Consulting services – individuals and firms
 - Training
 - Goods
 - Operating Costs
 - Others

“Training”-related expenses may require both the purchase of goods and contracting of consultant services (individual or firms)³⁶. They are distinguished as a separate expense category for the purpose of providing clarity about the use of funds by grantees, especially since RETFs under GPSA are expected to encompass training and capacity-building activities. This category is also included as a standard category in the Simplified Procurement Plan applicable to small RETFs.

“Goods” includes tangible products that fall under a variety of commodity headings, including but not limited to stationery supplies, office equipment, computer hardware and software, audio visual

³⁴ Please refer to Annex 7 for further details about FM requirements applicable to RETFs and BETFs

³⁵ See <http://www.cfpto.org/TFHandbook/index.htm>

³⁶ Following the guidance provided in the “*Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers*” (January 2011), p. 8, para. 1.21, when training or transfer of knowledge for which the hiring of consultant services are required, “(...) the TOR shall indicate the objectives, nature, scope, and goals of the training program, including details on trainers and trainees, skills to be transferred, time frame, and monitoring and evaluation arrangements. The cost for the training program shall be included in the consultant’s contract and in the budget for the assignment.”

equipment, photocopiers and printed materials. Art, furniture, carpet, vehicles and generators are excluded as eligible goods, as are any other goods indicated as ineligible under paragraph 40, Activities ineligible for GPSA funding.

“Operating Costs” cover overhead and staff costs (including staff salaries); office rental, secretarial service, transportation, basic utilities (electricity, water), and communications expenses (telephone, internet access, among others).

Grantees will be required to provide a justification of the use of funds for goods and operating costs when submitting their grant budget proposal.

As explained in the *Procedures for Small Recipient-Executed Trust Fund Grants*, “Box 2. Procurement and Consultant Methods”, the Bank’s Procurement and Consultant Guidelines apply, which include a menu of different selection and procurement methods.³⁷

95. Eligible Expense categories under GPSA BETFs are:
- Staff costs with indirects
 - Associated overheads
 - Consultant fees – individuals and firms
 - Contractual services
 - Extended term consultants
 - Media, workshop, conference and meeting
 - Temporary Support staff costs
 - Travel Expenses
 - Equipment Costs Lease

C. Disbursements

96. Disbursements under RETFs are made in accordance with OP12.00 Disbursement Payments made out of a Trust Fund Account or IDA Account. Grant Funding Requests (GFRs) will include a disbursement schedule, agreed with the grantee, with funding tranches and milestones/outputs. Each tranche will be disbursed against agreed milestones and outputs reflected in progress reports (financial and narrative), as indicated under Paragraph 84 (i) Grants’ Monitoring and Reporting: Bi-Annual Reports.³⁸

97. Maximum ceilings for advances into Designated Accounts follow those specified in Annex 3: Disbursement, of the *Procedures for Small Recipient-Executed Trust Fund Grants*.³⁹

98. Disbursements under BETFs must be consistent with the guidelines in the TF Handbook.

D. Monitoring of TF Disbursements

99. Monitoring of TF Disbursements must be consistent with the guidelines in the TF Handbook.

³⁷ Op. Cit., p. 11

³⁸ Furthermore, as explained in Paragraph 26, p. 14, of the *Procedures for Small Recipient-Executed Trust Fund Grants*, “Once a grant TF number is generated, the TTL, in consultation with CTRLD staff, and if needed the assigned FM and PR specialists, completes the Disbursement Letter using the standardized template for small grants. The complete disbursement letter template is sent to the Recipient together with the grant agreement in a single package. Note that the Disbursement Letter can be amended during the implementation of the project by the CTRLD FO based on the Task Team’s request without requiring a legal amendment to the grant agreement.”

³⁹ See Annex 3: Disbursement, paragraphs 2-3, *ibid*.

100. As part of their supervision, TTLs monitor progress in all substantive/technical aspects of grants against the targets, development objectives and performance monitoring indicators set out in the Grant Agreement, consulting as necessary with LOA disbursement officers.

E. Amending Grant Agreements

101. Activities/expenditures which are not included in the Grant Agreement cannot be funded without amending the Grant Agreement. The TTL will discuss with the GPSA Secretariat any required changes to the original scope of work, implementation arrangements or other terms of the grant warranting revisions. If the Secretariat agrees that an amendment is justified, procedures as outlined in the TF Handbook should be followed. This procedure applies to both RETFs and BETFs under the GPSA.

F. Audits of RETFs

102. For grants under RETFs, TTLs are responsible for ensuring that all funds disbursed are audited by qualified auditors acceptable to the Bank in consultation with the Financial Management Manager, in a timely manner. Unless otherwise specified:

- (i) the recipient provides interim unaudited financial reports in form and substance satisfactory to the Bank covering such periods as are specified in the agreement; and
- (ii) the recipient arranges an external audit of its administration of trust fund resources channeled to it by the Bank by independent auditors and in accordance with auditing standards both acceptable to the Bank, covering such periods as are specified in the agreement. Details on audit requirements are contained in the Financial Management Manual for World Bank-Financed Investment Operations (March 2010)⁴⁰.

103. These arrangements apply to all grants under RETFs. To accommodate smaller grants, including those from RETFs, an exemption from the annual audit requirement can be obtained (while retaining the Bank's right to request an audit) where alternative mechanisms which provide equivalent assurance on the use of funds exist; and the possibility of a single audit to be conducted at project completion if implementation is not expected to exceed 24 months. TTLs consult with the FMS on the appropriate approach.⁴¹

G. Fraud and Corruption; Sanctions

104. RETFs are subject to the same policies and procedures as IBRD and IDA financing, and therefore sanctions' reform apply to all GPSA TF grants. All such grants incorporate, and are subject to, the Bank's Anti-Corruption Guidelines⁴², the Procurement and Consultant Guidelines, as revised in January 2011 as well as the revised Standard Conditions for TF Grants dated as of February 15, 2012.⁴³ The revised Standard Conditions provide for suspension and/or cancellation of disbursements, as well as the refund of

⁴⁰ <http://siteresources.worldbank.org/EXTFINANCIALMGMT/Resources/FM-AnnualReportFY09-May4-2010.pdf>

⁴¹ See also paragraph 32, Auditing Arrangements, p. 15, *Procedures for Small Recipient-Executed Trust Fund Grants*

⁴² <http://siteresources.worldbank.org/INTLEGSTAFONLY/Resources/AnticorruptionGuidelinesOct2006RevisedJan2011.pdf> or available at www.worldbank.org

⁴³ <http://siteresources.worldbank.org/INTLAWJUSTICE/Resources/STDGC-English-12.pdf>

disbursed grant proceeds, in the event of fraud and corruption in connection with the use of grant proceeds. The Anti-Corruption Guidelines provide for certain actions to be taken by grant recipients to prevent and combat fraud and corruption in connection with the use of grant proceeds.

105. In addition, the Anti-Corruption, Procurement and Consultant Guidelines provide that the Bank may sanction firms and individuals found to have engaged in corrupt, fraudulent, coercive, collusive or obstructive practices in connection with the use of TF grant proceeds, including (but not limited to) in the course of procurement or the selection of consultants, or in the execution of contracts financed by the TF grant. Sanctions include indefinite or temporary debarment, debarment with conditional release, conditional non-debarment, restitution and reprimand. Accused parties are afforded due process before sanctions are imposed. For details see the Sanctions Management intranet site.

6. ANNEXES

Annex 1: Sample Letter from Government: Consent to “Opt-In” to GPSA

From: [Authorized Borrower’s Representative]

To: [Name], World Bank Country Director

[Date]

Dear Sir/Madam:

The letter confirms the Government of [Name of Country]’s decision to opt into the Global Partnership for Social Accountability (“GPSA”), as approved by the World Bank Executive Directors on June 12, 2012. I also confirm that civil society organizations in [Name of Country] are eligible to receive support from the GPSA consistent with the GPSA Board Report No. 67581 rev. dated June 13, 2012.

The Government hereby designates [title of position] in the [Name of Institution – Ministry or Agency] as the contact for the World Bank on implementation matters related to the GPSA, including providing any Government feedback on proposals provisionally selected for funding within the ten day review period.

Sincerely,

[Signature]

Name of Borrower’s Representative

Cc:

Sanjay Pradhan, Vice President, World Bank Institute

Rachel Kyte, Vice President, Sustainable Development Network

[Name], Regional Vice President

Roby Senderowitsch, Program Manager, Global Partnership for Social Accountability

Annex 2: GPSA Grant Application and Selection Process

The grant-making process will comprise of the following phases as shown in the GPSA table below.

GPSA Grant-Making and Implementation Process

Phase	Stage	Description	Actors involved – Roles and Responsibilities
I Formulation and Call for Proposals for Opted-In Countries	Country multi-stakeholder consultations	CMU leads country multi-stakeholder consultations with a broad range of stakeholders, including donors, to identify country governance priorities that should be emphasized in the CfP.	GPSA Secretariat CMU
	Global CfP tailored to country priorities	CMU and GPSA Secretariat work together to tailor CfP to country priorities and CASs.	
	Global CfP issued and publicized	GPSA Secretariat issues global CfP (specifying opted-in countries’ agreed priorities) through GPSA’s website and Country Offices’ websites; CfPs are widely advertised through various means: newspapers and electronic media, CMUs’ orientation sessions and other targeted outreach activities.	
II Selection of Proposals through 2- stage Review	Submission of Proposals	Potential grantees submit e-applications to GPSA Secretariat.	Applicant CSOs GPSA Secretariat
	Stage 1 Review: Identification/Concept Review	Secretariat shares proposals received with CMU and informs CMUs that supervision norm of 20k/year must be allocated. CMU carries out preliminary review of applications based on <i>Guidance Note on Multi-Stakeholder Engagement</i> , and alignment with country priorities; sends pre-screened applications to Secretariat with comments.	CMU
		Secretariat distributes pre-screened proposals to Roster of Experts – RoE carry out technical review using evaluation matrix with standardized point scale to advise GPSA Secretariat’s ranking of proposals.	GPSA Secretariat RoE (may include Bank Sector Specialists)
		Secretariat receives technical reviews and follows-up with potential grantees to incorporate comments.	Secretariat Applicant CSOs
		Secretariat recommends list of proposals for approval to SC. SC concurs with pre-selected proposals based on overall GPSA strategy – Secretariat publishes list of pre-selected proposals online.	Secretariat SC
		ND issues Decision Note with “Rejected” and “Conditionally approved” proposals along with need/no need for ISDS (integrated safeguards datasheet).	WBI Network Director
		Secretariat sends list of “Rejected” and “Conditionally approved” proposals to CMU. CMU suggested Sector and TTL are identified.	Secretariat CMU
		Stage 2 Review: Appraisal/Negotiation	CMU sends list of proposals to government: 10-day vetting period. Followed by 5-day public disclosure period.
	In parallel, Secretariat requests full due diligence assessment in line with <i>Guidance Note on Multi-Stakeholder Engagement</i> .		CMU/Fiduciary specialists
	CMU submits all comments received to Secretariat; fiduciary specialists submit results of full due diligence assessment to Secretariat. Secretariat addresses comments received with grantees.		CMU/Fiduciary specialists


GPSA Grant-Making and Implementation Process

Phase	Stage	Description	Actors involved – Roles and Responsibilities
		FM, Procurement, Legal and Safeguards provide clearances	FM, PR, Legal, Safeguards
		Secretariat prepares Projects’ Packages (Appraisal Completion Note Package) which include: <ol style="list-style-type: none"> 1. Project Paper, 2. Results Framework and M&E, 3. Appraisal Summary Note 4. Opt-in letter from Government, 5. Full IAF (Integrated Assessment Framework), 6. Draft Legal Agreement and Disbursement Letter, 7. Simplified Procurement Plan, 8. Simplified ORAF (risk assessment), and 9. Template of Progress Report 	Secretariat CMUs Selected grantees
		<ol style="list-style-type: none"> a. GPSA TTL centrally processes AISs and informs CMUs that supervision norm of 20k/year must be allocated. b. GPSA Manager clears AISs c. CD approves AISs d. GPSA TTL creates GFRs e. GPSA Manager approves GFRs 	GPSA Manager & TTL Country Directors WBI Network Dir.
III Awarding of Proposals	Signing of Grant Agreement	Country Directors and Grantees sign legal Grant Agreement Loan Dept. issues final Disbursement Letter	Grants’ winners Country Directors LOA
	Announcement of award winners	Secretariat posts list of grants’ winners along with approved proposals in GPSA website	Secretariat
IV Implementation	Preparation of grants’ disbursement process/ Appointment of grants’ supervision team	CMUs include Grants in WPAs Sector selects TTL including fiduciary specialists Secretariat transfers AISs and GFRs to TTLs of SMU implementing Unit. [Requesting cost center: CMU / Responsible cost center: SMU]	Secretariat CMUs SMs/TTLs Fiduciary Specialists
	Implementation of Grants’ activities	Grantees execute projects’ activities/ Submit bi-annual financial and narrative progress reports	Grantees
	Monitoring and reporting	Bank Projects’ supervisors (Task Team Leaders) report on projects’ progress through ISRs (Implementation Status Reports) and field visits – Secretariat monitors grants’ implementation progress	TTLs Secretariat

Annex 3: Grantee Application Form

This form provides a Word version of the application for GPSA grant funding, which has been developed in electronic format and is hosted under the World Bank's competition platform. GPSA requires that all interested applicants submit their proposals using the e-application.

Welcome to the GPSA Grant Application!

	<p style="text-align: center;">SECOND CALL FOR PROPOSALS NOVEMBER 18TH, 2013 – JANUARY 6TH, 2014</p>
<p>Instructions</p> <ul style="list-style-type: none"> ➤ GPSA requires that all grant applications be submitted using this online electronic platform. ➤ Please make sure you have read the GPSA Application Guidelines BEFORE completing the application forms provided below. You can find the GPSA Application Guidelines in the electronic platform's welcome page or at the GPSA Website: www.gpsa/worldbank.org ➤ The section below consists of <u>Part 1: Proposal Basic Information</u>. You can download a copy of Part 1 (Word version) here if you prefer to prepare it offline and then copy and paste the answers into this platform. Please note: you MUST fill out this Part in the platform and click on the "Save as Draft" button at the bottom of this page. ➤ <u>Part 2: Main Application Form</u> and <u>Part 3: Proposal Budget</u> must be completed using Word and Excel templates that you can download here. You must attach these forms by clicking on the "Attach files" button at the bottom of this page. ➤ Once you have completed Part 1 of the Application and attached the final versions of Part 2 and Part 3 along with other mandatory and optional attachments (see a list of these attachments 	

further below under “Attach Files”), you may click on the “**SUBMIT APPLICATION**” button.

PLEASE NOTE: you will not be able to modify your application once it has been submitted.

- After submitting your application, you will receive an email confirming that the GPSA Secretariat has received your application.
- All GPSA applications go through a rigorous and impartial technical review process. The Proposal must provide clear and concise answers that explicitly address the questions being asked. Please refer to the Application Guidelines for guidance on the grants’ selection criteria.
- You may contact the GPSA Helpdesk at gpsa@worldbank.org for questions about the grant application process.

Part 1 of GPSA Application: Proposal Basic Information

1.1 Proposal title:	
1.2 Recipient organization name. Enter the name of the organization that will be responsible for signature of grant agreement if selected:	
1.3 Country(ies) where the Proposal would be implemented. Select one or more as applicable:	
1.4 Country(ies) where the recipient/executing organization has legal status. Applicant must have legal status in one or more of GPSA’s eligible (“opted-in”) countries.	
1.5 Proposal Funding and Duration:	
	Requested GPSA funding in US\$ dollars. Please refer to the Proposal Budget template for guidance about

GPSA grant funding.
US\$
Proposal implementation period and total number of months. Start date should be anytime after June 2014 – End date should be between 3 to 5 years after start date. <i>E.g.: June 2014 – June 2017 / 36 months</i>
<p>Other funding sources. Both proposals that are part of ongoing projects/programs <u>AND</u> new proposals MUST provide complete and accurate information about additional funding sources. <u>Please indicate:</u></p> <ul style="list-style-type: none"> (a) Name(s) of additional funding source(s) (b) Funding amount (c) If funding is already secured OR planned (d) Proposal portion supported by additional funding source(s), e.g. training on social accountability, design of communications plan, local level interventions in XXX municipalities, XX staff, etc, etc. <p>If more than one additional funding source, please use a numbered list and include the proposal’s total additional funding in US\$ AT THE END OF THE LIST.</p> <p>If no additional funding, you must indicate “N/A”.</p>
<p>1.6 ONGOING/NEW Project. <u>Please specify:</u></p> <ul style="list-style-type: none"> ➤ If the Proposal is part of, a continuation and/or a scaling-up of an ongoing project. If so, (a) indicate name of existing project, and (b) provide a short summary of the existing project and its achievements this far. Include website link if available. ➤ If new, indicate “This is a new project”.
[MAX. 80 WORDS]
<p>1.7 PARTNERSHIPS. GPSA encourages applicants to work in partnership with other CSOs, including partners at the country, regional and global levels (see also Application Guidelines, and guidance included in Parts 2 and 3 of Application) <u>Please indicate:</u></p> <ul style="list-style-type: none"> (a) Name of Partner[s] (<i>explain type of CSO, e.g. national-level CSO, affiliate of INGO, CSO from XX country, regional-level CSO or CSO network, university/research institute, etc.</i>), AND (b) What portion of the requested GPSA funding, if any, is planned to be transferred to your partners through an on-granting scheme (see Proposal Budget guidance).

[MAX. 80 WORDS]	
1.8 Brief organizational information:	
Name of project manager. Project manager must be an existing CSO staff and may not be a vacant position.	
Phone of project manager. Include country area code.	
Email of project manager.	
Name of organization contact person (during application process) and position (If different from Project Manager).	
Phone of contact person. Include country area code.	
Email of contact person.	
Address of recipient organization. Please make sure address includes the country.	
Organization website (if available).	
Legal status. Indicate what type of civil society organization is the recipient organization (refer to Application Guidelines)	
Year of establishment as a legal entity.	
Track record on Social Accountability. Please specify: (a) When did your organization started working on social accountability, and (b) At least 1-2 projects or programs on social accountability implemented in the past 3-5 years. Provide the projects' names, objectives and name(s) of funding source(s). Include website link(s) if available.	
Management autonomy. Please review and confirm that your organization complies with the following requirements. Use drop-down menu to indicate YES/NO.	
(i) We confirm that the Proposal Budget has been prepared on the basis of our organization's local	

<p>budget only.</p> <p>(ii) We confirm that our organization manages its budget with autonomy (financial autonomy). We understand that the use of GPSA funds is restricted to the activities included in the proposal budget, should the proposal be selected.</p> <p>(iii) We confirm that the organization has a local bank account in the GPSA “opted-in” country in which our organization has legal status, and is authorized to receive grant funding directly from the World Bank, should the proposal be selected.</p> <p>(iv) The main applicant has a representative that is authorized to sign a grant agreement on its behalf with the World Bank, should the proposal be selected.</p>
<p>1.9 REFERENCES. Provide at least 3 references that can attest to your organization’s past experience and implementation capacity, including about the ongoing project related to your proposal, if applicable. References may include people from government, CSOs and donor organizations. <u>Please include:</u></p> <p>(a) Names of person</p> <p>(b) Position</p> <p>(c) Name of Organization</p> <p>(d) Contact information (telephone and e-mail)</p>

1.10 PROPOSAL SUMMARY. Provide a brief, compelling summary of the proposal. Use the following guiding questions to prepare this summary (refer also to the selection criteria in the Application Guidelines):

- ✓ What is the problem your proposal intends to address?
- ✓ What is/are your proposed solution(s)?
- ✓ Which public sector institutions will used the information generated by the proposal and why should they do so?
- ✓ How, in brief, will it be implemented?
- ✓ Why do you believe your approach will be more effective than previous/other existing attempts to address this issue?

Bear in mind that you must justify the relevance of a Social Accountability approach to address the issue(s) you target, specify the types of changes (in policy, programs, institutions, services etc.) you wish to achieve, and describe how citizens and government will benefit from the outcomes of your initiative.

[MAX. 250 WORDS]
<p>GPSA Access to Information and Open Data Policy.</p> <p>Disclosure and Access to Information Requirements The GPSA is committed to the principles of access to information and open data. Consistent with the GPSA’s Operational Manual (Section 3.3, para. 69-73), GPSA grant projects are subject to the World Bank’s Access to Information Policy. This relates to the information generated by these projects. All project-related information –including, but not limited to technical and financial reports, independent evaluations, and any other information and data must be proactively disclosed to the public by grant recipients.</p> <p>Open Data Policy The GPSA’s open data policy is complementary to its disclosure and access to information requirements and aims at maximizing the degree of access, use, and quality of published information generated by the Program and its grantees. Grant recipients must abide by this open data policy which is understood as:</p> <ol style="list-style-type: none"> 1) The proactive disclosure of information online and in open formats whereby information is put within the public’s reach and with no barriers for its reuse and consumption. 2) Grant recipients should employ open source solutions, including software, whenever possible to enable sharing and make the most out of these benefits. This includes the use of “open” formats that are published in a non-proprietary, searchable and platform-independent format. 3) Data refers broadly to information published in electronic formats. By this definition, data can include a variety of databases, analytics, documents and transcripts, audio and video recordings generated by GPSA-supported projects. <p>The GPSA Access to Information and Open Data Policy applies to all GPSA grants. By submitting this application you accept the GPSA Access to Information and Open Data Policy in the event that your proposal is selected for GPSA funding.</p>
<p>ATTACHED FILES. Please upload required files here. Please note that your application will NOT be considered without these documents:</p> <ol style="list-style-type: none"> 1) Part 2 Main Application Form (Word) 2) Part 3 Proposal Budget (Excel) 3) Copy of proof of Applicant CSO’s legal status 4) Resumes (max. 1 page each) of Project Manager and up to 3 core Project Team staff (E.g.: Social accountability coordinator/specialists/trainers, M&E specialist, Communications specialist, etc.)

Optional attachments:

You may attach up to a maximum of 2 additional files that are relevant to the Proposal and that provide evidence of your organization's social accountability track record.

SAVE AS DRAFT

SUBMIT. PLEASE MAKE SURE YOU HAVE ATTACHED THE REQUIRED FILES FOR YOUR APPLICATION TO BE CONSIDERED COMPLETE. NOTE THAT YOU CANNOT MODIFY YOUR APPLICATION ONCE YOU HAVE CLICKED ON THE SUBMIT BUTTON.

Part 2: Main Application Form

Instructions

- GPSA requires that all grant applications be submitted using an online electronic platform. Part 1: Proposal Basic Information must be filled out in the online platform. Part 2: Main Application must be completed using this form, and uploaded in the "Attach Files" section of the platform. Part 3: Proposal Budget must be completed using the Excel template, also available at the online platform (www.gpsa/worldbank.org).
 - Please make sure you read the guidance included in the endnotes section, which will help you in answering the questions. Refer also to the GPSA Application Guidelines before completing your application.
 - The Proposal must provide clear and concise answers that directly address the application's questions. Use the "word count" to comply with the word limit set for each question. Do not change the formatting of this application form.
 - You may contact the GPSA Helpdesk at gpsa@worldbank.org for questions about the grant application process.
-

1. Define the overall objective(s) of the proposal.ⁱ State clearly:

- (a) What are the governance and development challenges the proposal will contribute to solving? Specify the public policy problem or issue being targeted, including available data evidencing the problem.
- (b) What is/are your proposed solution(s)? What type of changes (in public policies and processes, programs, service delivery, institutions, skills and behaviors) you intend to achieve in the proposal's timeframe?
- (c) Who are the sectors of the population that would benefit from these changes and in which ways (e.g. observable benefits in the form of infrastructure, service delivery, etc.)? Are poor/extreme poor and vulnerable groups (e.g. women, children, persons with HIV, etc.) included amongst those sectors?
- (d) What is the proposal's geographic scope? Provide information that may help us understand the proportion of the targeted population and administrative/political organization (e.g. # municipalities, # districts, # provinces, etc) in relation to the country's total population and overall administrative/political organization.

Please apply SMART (Specific, Measurable, Attainable, Realistic, Time bound) criteria when defining the objectives. Make sure to answer all the above sub-questions.

[MAX. 600 WORDS]

2. Which public sector institution(s) and agency(ies) [e.g. Sector Ministry, National Program, Local Governments, Parliamentary Office/Committees, Supreme Audit Institution, Regulatory Agency, Ombudsman, etc.] will use the project's feedback to solve the identified problem?ⁱⁱ Explain clearly:

- (a) If you have already engaged with these actors to find out what kind of information and citizen feedback is needed and how it would be used to implement changes that would help to solve the problem.
- (b) What are the incentives these actors have to do something with such information? Why should they use the information produced by the project and what concrete benefits would derive from using it?
- (c) How do you propose to work with these institutions/agencies?

[MAX. 500 WORDS]

3. What is the social accountability approachⁱⁱⁱ that will be used to generate the feedback needed to solve the identified problem? Explain clearly:

- (a) The proposed social accountability process, including formal and informal mechanisms for gathering citizen's feedback, and other complementary strategies, such as communications and media work, research and data analysis, negotiation and consensus-building, among others. Specify, if applicable, if you're planning to use any ICTs (information and communication technologies) for gathering or organizing citizens' feedback to complement the latter. Please note that the use of ICTs is not a requirement.
- (b) Why would the proposed approach work, and how is it different or better from previous or existing attempts at solving the problem by engaging citizens? How would it complement and/or add value to existing initiatives implemented by other stakeholders (including the government, CSOs and other donor-supported projects)?
- (c) If this approach can work to help solve the problem, how would it become sustainable beyond the project's duration?
- (d) If you're proposing to work in a subset of geographic areas, how would this approach be replicated at a larger scale?

[MAX. 500 WORDS]

4. Partnerships.^{iv} Describe the nature and purpose of the proposed partnering arrangements, including what each partner will do and how the partnership will be governed. Be as specific as possible in clarifying the lines of responsibilities and accountability within the project.

[MAX. 300 WORDS]

5. If your proposal is part of an ongoing project in your organization explain how GPSA’s support would add value to it: what are the specific activities that would be funded by GPSA and how are these different from what you’re already doing? **If your proposal is a new project for your organization:** how does it relate to what you’ve been doing until now?^v

[MAX. 300 WORDS]

6. Institutional strengthening.^{vi} Does the proposal include activities for strengthening your organization’s internal management and planning capacities (e.g.: fundraising, strategic planning, financial management, Board strengthening, human resources training, etc.)? If not, indicate “No”.

[MAX. 300 WORDS]

7. Project areas/components: how do you propose to organize your project?^{vii}

Area/Component 1	[Insert title or definition of Project area]
Activities	List the Component’s main activities. <u>Number the activities.</u>
Outputs ^{viii}	List the main outputs that will be delivered as a result of the activities described above. Outputs may include milestones (see definition of milestones in the proposal’s Action Plan, question 8 further below) to be realized within the Project’s timeframe. <u>Number the outputs.</u>
(Intermediate) Outcomes ^{ix}	Define the main Area/Component-level outcomes that are expected to be achieved as a result of the outputs described above. <u>Number the list of outcomes.</u>
Area/Component 2	[Insert title or definition of Project area]

Activities	List the Component’s main activities
Outputs	List the main outputs that will be delivered as a result of the activities described above. Outputs may include milestones to be realized within the Project’s timeframe.
(Intermediate) Outcomes	Define the main Component-level outcomes that are expected to be achieved as a result of the outputs described above.
Area/Component 3 Knowledge and Learning (K&L)^x	[Please note: Component 3 consists of the Project’s K&L Plan and is MANDATORY for all applications. Refer to the guidance for preparing the K&L Component at the end of this form.]
Activities	List the Component’s main activities
Outputs	List the main outputs that will be delivered as a result of the activities described above. Outputs may include milestones to be realized within the Project’s timeframe.
(Intermediate) Outcomes	Define the main Component-level outcomes that are expected to be achieved as a result of the outputs described above.
<u>Add additional areas/components (max. 2)</u>	
<p>8. Action Plan.^{xi} Use the Gantt chart below to present your proposal’s Action Plan. Please refer to the examples provided in the endnotes.</p>	

Key Activities ^{xii}	Main Outputs/Deliverables ^{xiii}	Estimated Schedule <i>(use years applicable to proposal's duration)</i>									
		Year 1		Year 2		Year 3		Year 4		Year 5	
		Sem. 1	Sem. 2	Sem. 1	Sem. 2	Sem. 1	Sem. 2	Sem. 1	Sem. 2	Sem. 1	Sem. 2
Component 1:											
1.	1.	E.g. ^{xiv}									
2.	2.										
3.	3.										
4.	4.										
5.	5.										
Milestones^{xv} <i>[List milestones in this column. Add rows as needed] Shade cells to indicate milestone achievement estimated timeframe.</i>											
➤			E.g.								
➤				E.g.							
➤											
➤											
Component 2:											
Milestones											
Component 3:											
Milestones											

Key Activities ^{xii}	Main Outputs/Deliverables ^{xiii}	Estimated Schedule <i>(use years applicable to proposal's duration)</i>									
		Year 1		Year 2		Year 3		Year 4		Year 5	
		Sem. 1	Sem. 2	Sem. 1	Sem. 2	Sem. 1	Sem. 2	Sem. 1	Sem. 2	Sem. 1	Sem. 2

9. Monitoring and evaluation:

- (a) How do you define the proposal's success indicators? Identify the most critical ones and link them to the outputs and outcomes presented in questions 1 and 3.
- (b) How will you monitor the proposal's progress? Describe the methods and tools that will be used.
- (c) What will you evaluate and what type of evaluation(s) will be used? Specify if you plan to carry out an independent evaluation.

[MAX. 500 WORDS]

10. Project Team. Explain clearly:

- (a) Describe how you will assemble the Project Team. Indicate if the Team members are part of your current staff, and explain which new positions, if any, will need to be hired. Include any relevant positions that will be hired as consultant positions as well. Refer to the Proposal Budget for guidance.
- (b) If the Proposal includes a Partnership and/or Mentee CSOs, explain what positions and roles they will perform as part of your Project team.

[MAX. 500 WORDS]

10.1 Please fill out the table below:

Team member name*1	Position	Time devoted to Project*2	Project Components	Project Main Responsibilities
EXAMPLE <i>[delete for filling-out]</i>	Project Manager	Full-time Personnel Full project duration	Component 1	<ul style="list-style-type: none"> ▪ Overall Project coordination ▪ Main Project contact with state and non-state actors ▪ Supervise Project team’s performance ▪ Lead periodic strategic planning team meetings and approve adjustments to Project’s flow ▪ Etc
			Component 2	
			Component 3	
<i>[Add rows as needed]</i>				

***1 |** You must list all the Project Team, including existing staff, staff to be hired, and individual consultants. If you’re proposing to hire consulting firms to deliver specific tasks that are critical to the project (e.g. Project evaluation, ICT products/services, etc.) you **MUST** also include them in the table.

***2 |** Indicate (a) if full or part-time, (b) if CSO personnel or consultant, and (c) if team member will be employed for the full duration of the Project or for specific periods or tasks.

Guidance for Answering Part 2: Main Application Questions

¹ **Question 1: Proposal’s overall objectives.** The proposal’s theme must be aligned with one or more of the priority areas identified in the country call for proposals. Within the chosen theme or sector, the specific issue(s) or problem(s) that will be addressed through social accountability must be clearly spelled out. For example:

- If the proposal focuses on monitoring health service delivery, identify the specific services or issues that will be monitored, such as service inputs (e.g. availability of vaccines for children 0-5 years old, of micro-nutrients for pregnant women, antiretroviral treatments for HIV patients, etc.), or service access (e.g. hours of operation at local health clinics, availability of doctors and nurses, infrastructure conditions, etc.)

- If the monitoring process encompasses budget monitoring, the precise issues to be covered must also be indicated: following the latter example, the social accountability approach may include gathering information about sector transfers to health clinics, procurement of inputs and contract supervision, among others.
- For budget monitoring as a more general theme, the specific issues to be monitored must also be spelled out: for instance, enforcement of budget accountability laws and regulations at the sub-national level, citizen participation mechanisms for agreeing on local spending priorities, budget allocations for public investments in critical basic infrastructure, procurement and contract monitoring, etc.

In this question, the reference to the proposed solution(s) must briefly and concisely explain (a) *what social accountability approach will be used to* (b) *achieve what type of changes in the proposal's lifetime. Point (a) must clearly define the type of citizen feedback that will be generated to address the issue or problem.*

Citizen “feedback” is understood as the information provided by citizens and is based on their experiences in accessing or using a certain service or program delivered by the state or a third party contracted out by the state. Information about a public service or program is also generated indirectly by analyzing and systematizing information either from data that is proactively made available to the public, or from requests for access to such public information. Whether the feedback is produced directly or indirectly, it is intended to be used as a basis for the improvement of a specific public service or program.

The justification of the need for this feedback should be briefly mentioned here, and expanded on questions 2 and 3.

Suggested guidance for defining the proposal's strategic objectives: “The Super Duper Impact Planning Guide”, by Albert Van Zyl, International Budget Partnership, available at <http://internationalbudget.org/wp-content/uploads/Super-Duper-Impact-Planning-Guide.pdf>

¹ **Question 2: role of government and public sector institutions.** The answer must provide a justification for the proposed solution(s) put forth in question 1 by answering all the sub-questions. By reading the answer it should be clear (a) *who in the public sector (including institutions within and outside the Executive branch) is/are interested in obtaining the type of citizen feedback that would be generated by the project, (b) why do they need this information and in which ways will this information benefit their positions and interests in order to motivate or incite them to take action.*

¹ **Question 3: social accountability** is approached as a process encompassing (a) the use of a combined set of mechanisms and “tools”, including formal (i.e., mandated by laws and regulations) and informal (set up or organized by CSOs and citizen groups themselves), (b) whereby the choice of mechanisms and tools is grounded on several considerations, such as a cost-benefit analysis of alternatives, an analysis of the political-institutional context, an assessment of needs and problems regarding the service delivery chain or the management process, among others, as well as of “entry points” for introducing the process, and of existing capacities and incentives of the actors to be engaged, including service users, CSOs, service providers and public sector institutions.

The approach thus assumes that in order to be effective the social accountability process must engage citizens and public sector institutions, especially those with decision-making power to address the issues raised by citizens and CSOs. It is a double-way process, and as such, it cannot rely only on the assumption that the solution rests on building citizen capacities to generate feedback, or on the generation of such feedback by itself; these are necessary, albeit not sufficient conditions for generating the changes needed to improve or solve the issue. Therefore, the proposed process must be as explicit regarding the actions on the part of public sector institutions (and of other relevant stakeholders such as the private sector, the media, etc.) that will be required for it to be considered a plausible and realistic approach.

Suggested guidance for defining capacity-building activities: “The Capacity Development Results Framework. A strategic and results-oriented approach to learning for capacity development”, by Samuel Otoo, Natalia Agapitova and Jay Behrens, World Bank Institute, June 2009. Available at the GPSA website.

¹ **Question 4: Partnerships.** The GPSA encourages applicants to identify partners who may complement the applicant’s expertise, outreach capacity and influence in working towards achieving the proposed objectives. It is assumed that governance and development challenges call for multi-stakeholder coalitions, encompassing stakeholders from diverse sectors, to work together in order to solve them. Partnership arrangements may include “mentoring” schemes, whereby the main applicant CSO has identified one or more “mentee” CSO(s), that are usually nascent, or with less social accountability experience, and puts forth a capacity-building process that uses the proposed operational work as a means for the mentee(s) to “learn by doing”. Partnerships with other CSOs with specific, complementary expertise, outreach and influence may also be put forth. If partners will take on specific responsibilities within the proposal, that are directly related to its planned activities, outputs and outcomes, they must be included as part of the project team (see Question 10) and are expected to participate in a funds’ sharing scheme (see the Proposal Budget guidance).

¹ **Question 5: Ongoing/new project.** For ongoing projects, the answer should clearly explain the value added of GPSA support, and what would GPSA funding support within such project. A summary of the ongoing project achievements and challenges should also be included here, as well as a clear explanation of its sources of funding. For new projects, the answer should relate the proposal to the organization’s experience on social accountability and in related projects.

¹ **Question 6: Institutional strengthening.** GPSA support may include activities aimed at investing in the applicant CSO’s institutional capacities that will ensure the organizations’ sustainability of operations beyond the proposal’s duration. CSOs working on social accountability usually operate in contexts of limited resources and one of GPSA’s central objectives is to offer “strategic and sustained support” that may allow for mid to long-term strategic planning. The GPSA gives special consideration to the ability of the applicant CSO to relate the proposal to the organization’s current state of development, including efforts to invest in strengthening staff’s capacities on social accountability, but also other activities such as those mentioned in the question.

¹ **Question 7: Project areas/components.** The proposal should be structured around areas or components, which consist of sub-sections that are organized together because of their direct relation to one or more intermediate outcomes. A Project component must thus group those activities and outputs that can be directly linked to specific intermediate outcomes as defined in the proposal’s results framework. By reading the Project component one must be able to understand the linkages between the activities included therein, as well as the relationship between the expected outputs and outcomes. See footnotes 7 and 8 below.

¹ **Outputs** are the direct products of project activities and may include types, levels and targets of services to be delivered by the project. The key distinction between an output and an outcome is that an output typically is a change in the supply of services (E.g. # of CSOs trained on social accountability, # of meetings with government officials, website set up and running, etc.), while an outcome reflects changes derived from one or more of those outputs (E.g. CSOs apply the skills learnt by implementing a social accountability process, XX Government actor introduces X change/s in the delivery of X service, Supply of X service is increased by X%, Quality of X service is improved as measured by XX, etc.)

¹ **Outcomes** are the specific changes in project participants’ behavior, knowledge, skills, status and level of functioning; they should be defined in a SMART way: strategic, measurable, action-oriented, realistic, and timed. **Intermediate outcomes** are attributable to each component, and would contribute to the achievement of final outcomes at the Project level. An intermediate outcome specifies a result proximate to an intended final outcome, but likely more

measurable and achievable in the lifetime of a project to an intended final outcome. To ensure the accuracy of assigned intermediate outcomes, the consideration of each proposed outcome should include reviewing who is best situated to achieve the outcome (that is, is this within or outside the scope of this intervention?) and how the outcome might be effectively measured. Example: Teachers use the new teaching methods (intermediate outcome) to improve learning among students (final outcome).

1

Guidance for designing the Knowledge & Learning (K&L) Component

A key GPSA objective is to contribute to the generation and sharing of knowledge on social accountability (SAcc), as well as to facilitate knowledge exchange and learning uptake across CSOs, CSOs networks, governments and other stakeholders. GPSA aims to support its grantees with the best knowledge available on social accountability tools and practices, and also to develop and disseminate them widely among practitioners and policy-makers in order to enhance the effectiveness of SAcc interventions.

GPSA will promote K&L activities such as nurturing practitioner networks and peer learning, especially South-South exchanges through events, on-line resources, and technical assistance. An online Knowledge Platform will provide access to knowledge, support sharing of experiences, facilitate learning, and networking.

GPSA requires that grant proposals include a K&L Component, whereby applicants develop a plan in which the proposed interventions include opportunities for advancing knowledge about strategies and pathways for promoting transparency, accountability and civic engagement. Special emphasis should be made on learning mechanisms (internships, peer-to-peer reviews, Communities of Practice, etc.) focused on grant recipients and partner CSOs, as well as on key external audiences.

Some key questions to answer in designing the K&L Component are:

- ✓ What particular contribution to K&L on SAcc will our proposal make, such as developing tools, replicable models, impact indicators etc., which may have broader usage?
- ✓ What are our K&L needs and knowledge gaps? While proposals are being assessed on their strengths, the proponent's ability to recognize needs and weaknesses is an important aspect as well.
- ✓ What K&L resources do we have? Are they effective in achieving the objectives for which they were developed or do we need to improve them? Are we prepared to share these resources?
- ✓ Who are the specific audiences that we would like to engage in our K&L plan? What are their specific needs and what are the objectives we seek to accomplish in terms of K&L devised for them?
- ✓ How will we realistically develop and disseminate K&L derived from our project? How will we build sustained capacity with our project participants/beneficiaries and key audiences beyond, for example, one-time training or capacity building events?

¹ **Question 8: Proposal Action Plan.** The action plan should provide a clear summary of your proposal's operational roadmap. By reading it, it should be possible to understand (a) the activities and outputs that are considered critical for project implementation; (b) the sequencing logic devised (whereby a set of critical activities would lead to X outputs, that must be completed in order to proceed to deliver Y activities and outputs) which should be reflected in the planned calendar; and (c) the milestones that will flag the component's progress towards your expected outcomes. See endnote 14 below for examples.

¹ List only the key activities that best reflect the Component's successful implementation throughout the project's lifetime.

¹ List only the key outputs that best reflect the successful delivery of planned activities.

¹ Indicate planned timeframe by quarter for main activities by shading the cells.

¹ Milestones must be linked to the outputs and expected Component-level intermediate outcomes:

- ➔ They should summarize the Component's critical achievements by year geared to achieving key project-level outcomes by the end of the project.
- ➔ While a planned output will indicate the project's progress towards achieving a certain level of completion of an activity, for example, the target you have defined for training local CSOs and other stakeholders on the use of a social accountability tool or mechanism (E.g. 5 in Year 1, 10 in Year 2, and so on), a milestone would be achieved when these groups are able to actually use the tool or mechanism which would enable you to assess whether the participants have learned the skill and are able to implement it with increasing levels of independence, and whether these activities are leading up to certain outcomes that you expect to achieve incrementally throughout the project's lifetime.
- ➔ Similarly, you may need to define certain outputs for the process of engaging decision-makers, service providers and others power-holders; these outputs may range from sharing systematized data or information that you have produced independently (E.g. independent budget analyses) or that has been generated jointly by community stakeholders (users of a specific service) and service providers as a result of the implementation of a social accountability tool (E.g. Action Plans derived from community scorecards processes), to other type of outputs that are considered critical such as setting up a civil society-government (or multi-stakeholder) working group, or participating in X number of public hearings, among others.
- ➔ The milestones related to all these outputs, however, should help you identify the actions and events that would indicate that the project is progressing towards its expected outcomes. In relation to the examples provided, some questions that you may ask would be:
 - What do we expect will happen if we share independent budget analyses with XX decision-makers? What would progress mean to us? Could we use certain standards -for instance, we expect sector budget allocations or allocations to fund a specific service within a sector to change in any way- in order to define incremental measures or targets of progress?
 - How would we define progress as a result of the implementation of Action Plans agreed upon in the framework of a community scorecards process?
 - If a multi-stakeholder working group is set up, what are the measures of progress that would indicate that the working group is really functioning?
- ➔ There are also process-related milestones that may be critical for the project, such as, for instance, reaching an agreement with a certain government or public sector agency on the local-level service centers (E.g. schools, health centers, etc.) that will be targeted incrementally by the project; integrating the results of the project's end of Year 1 initial assessment (an output of the project's M&E system) into the project's operational plan, including by adjusting planned activities and outputs; etc. etc.

Annex 4: Terms of Reference of the GPSA Steering Committee

Global Partnership for Social Accountability Terms of Reference of the Steering Committee (SC)

I. Introduction

1. Social accountability has received increasing attention across the development community in recent years. This includes a growing emphasis on beneficiary engagement in monitoring and assessing government performance—particularly in providing feedback on, and voicing demand for, improved service delivery—and thus contributing to greater development effectiveness. This kind of engagement—also referred to as *social accountability*—enables beneficiaries and civil society groups to engage with policymakers and service providers to bring about greater accountability and responsiveness to beneficiary needs.
2. At the same time, many factors—especially the proliferation of new information and communications technologies—are changing how beneficiaries and civil society organizations (CSOs) engage with governments; and many governments are creating better enabling environments for voice, transparency, and accountability (e.g., adopting access-to-information laws, establishing independent accountability institutions, and joining the 51-country Open Government Partnership).
3. However, feedback from over 1,000 diverse stakeholders in all Regions indicates that there are large knowledge and evidence gaps, especially in terms of what works and why, under what conditions approaches can be scaled up, whether successful approaches can be replicated in different sociopolitical settings, and how to sustain successful approaches. Particular needs are practical “how-to” guides, greater South-South learning and exchanges, and more systematic support to civil society networks.
4. In this context, the World Bank together with other development partners have launched the Global Partnership for Social Accountability (GPSA), which is designed to provide strategic and sustained support to beneficiary groups and CSOs that are working with their governments to promote greater transparency and accountability, and achieve stronger development results. The GPSA includes a Multidonor Trust Fund (MDTF) to which partners can make financial contributions. After a one-year consultation process with civil society and other stakeholders on its design, the GPSA and MDTF were approved by the World Bank’s Board of Executive Directors on June 12, 2012.

II. GPSA Objectives

5. The objective of the GPSA is to improve development effectiveness by supporting capacity building for enhanced beneficiary feedback and citizen participation. The GPSA will contribute to country-level governance reforms and improved service delivery by:
 - a) generating knowledge, networking, and financing to build civil society’s capacity to engage in evidence-based social accountability;
 - b) supporting Bank teams and government counterparts in embedding social accountability more strategically in their programs; and

- c) drawing on the experience, knowledge, and resources of external partners to enable the Bank to scale up its engagement in this area.
6. The GPSA will start small, learn from experience, and expand on the basis of lessons learned and rigorous demonstration of positive impact.

III. GPSA Activities

7. Support provided by the GPSA will focus on two areas:
- a) **Programmatic financial support** for the institutional development of CSOs working on social accountability, and for efforts to improve the overall “ecosystem,” or enabling environment, for social accountability. Because there is a need for more predictable core funding that can sustain CSO capacity-building efforts over longer time periods, the GPSA will make larger individual grants disbursed over longer periods (e.g., 3-5 years). It will also develop options to meet the needs of smaller, start-up CSOs, which may not fully meet the eligibility criteria—for example, by working through global, regional, or country grantees to on-grant and administer smaller grants.
 - b) **A global platform for knowledge exchange and research** will
 - i) facilitate multi-stakeholder dialogue and peer learning at global and country levels;
 - ii) develop new tools and evidence-based approaches, and make them more broadly available to practitioners;
 - iii) undertake rigorous and in-depth research that could be disseminated as a public good;
 - iv) develop and nurture practitioner networks, especially those aimed at supporting South-South exchanges and
 - v) link CSOs with governments, academics, and practitioners, and help to leverage and scale up activities. To fill additional research gaps, the GPSA may commission global analysis in areas fundamental to the advancement of the social accountability field.

IV. GPSA Governance Structure

8. The GPSA partnership structure is based on the following objectives:
- Involvement of a broad range of stakeholders, including governments, CSOs, and other stakeholders for country activities;
 - Coordinated funding through a common vehicle;
 - Programmatic coordination across multiple funding sources;
 - Efficient operation, building on the Bank’s experience as Trustee and Secretariat;
9. The GPSA governance structure will consist of:
- ❖ Participating countries
 - ❖ A Steering Committee (SC) comprised of government representatives from countries that have “opted-in” to the Program, donors, and CSOs’ representatives
 - ❖ A Secretariat; and
 - ❖ Global Partners

A. GPSA Steering Committee

10. The Steering Committee is the GPSA’s decision-making body, and will provide for the membership and voice of key stakeholders (donors, CSOs, member countries). It will make decisions by consensus, taking

into account the views of experts familiar with the local context. The SC will function at the strategic level to provide the overarching input and legitimacy needed to shape and promote the activities of the GPSA. Broad GPSA principles and priorities for funding will be decided by the SC. The SC will combine representatives from all key constituencies whose expertise, experience, interests and reach can contribute to the goals of the GPSA.

11. The Vice-President of WBI will serve as the SC chair and the Director for Collaborative Governance Department will serve as alternate.
12. The SC will have balanced representation among donors, CSOs, and developing country governments. The initial number of SC members will be 10:
 - a) Three donor partners (two sovereign donors and one foundation representative);
 - b) Three CSOs (one from a “part-I” country and two from “part-II” countries). In order to broaden regional representation, two alternates (one for part-I and one for part-II) will be selected;
 - c) Three representatives from developing country governments; and
 - d) A World Bank representative (WBI Vice-President).
13. The Program Manager of the Secretariat will join the SC in an observer capacity, as a resource and for coordination purposes.
14. All member seats except the Bank’s will rotate after three years; the first rotations will be staggered between the third and fourth years to avoid a complete turnover of SC membership at the same time. The SC could increase the number of SC members from each group, provided it maintains a numerical balance of members from all three groups.
15. Decisions by the SC will be made by consensus. In this context, consensus will mean a procedure for adopting a decision when no four members block the proposed decision. It need not reflect unanimity in that dissenting members that do not wish to block a decision may state an objection to be recorded in the meeting minutes but nonetheless allow the decision to go forward. The Chair articulates the consensus view. Country representatives may participate in the discussions involving grant proposals from their countries, but may not block the resulting decision. SC formal (face-to-face) sessions require a quorum of at least six people. Decisions may be made through electronic means between face-to-face meetings on a no-objection basis.

The SC will meet in person twice a year, once to set strategic directions and monitor progress made by the GPSA based on the Results Framework, and once for the approval of grants. The Secretariat may convene extraordinary meetings of the SC on an exceptional basis, as needed. SC meeting locations and dates will be proposed by the Secretariat and agreed by the SC.

(i) Responsibilities of Steering Committee Members

16. Members of the first GPSA Steering Committee will be expected to assume the following responsibilities:
 - Provide strategic guidance over the design and implementation of GPSA, to be reflected in the annual call for proposals.
 - Review and approve the GPSA Operations Manual.
 - Provide guidance on the definition of key functions and products including the GPSA Results Framework, the GPSA Knowledge Platform, and the specific details for the annual call for proposals.
 - Consider and concur on a no-objection basis on GPSA grants to be awarded, as recommended by the Secretariat.

- Help identify qualified individuals to integrate the Global Roster of Experts (RoE).
- Contribute to the development and implementation of a GPSA resource mobilization strategy, including identifying new potential partners and donors and facilitating partnerships.
- Participate in face-to-face meetings at least twice a year, as well as in regular (frequency to be determined by the Steering Committee) meetings by video or teleconference or other appropriate means.

(ii) Criteria and Profile of Steering Committee members

17. Members of the Steering Committee will be selected as follows:

- a) **Donors:** Government bilateral agencies that make a minimum threshold contribution will have a seat on the SC.⁴⁴ If three donor agencies have not made contributions by the launch of the GPSA, three donors will be invited to serve as members on an interim basis.
- b) **CSOs:** For the composition of the first SC, CSO members will be nominated through regional CSO networks identified by the Regional Vice-Presidents of Africa, MNA and EAP for part II countries and by the Bank's Office of External Relations (EXT) for part I countries. For the renewal of the SC, other regions will be able to nominate CSO candidates. In order to broaden regional representation one alternate CSO representative from part-I countries and one alternate from a part-II country will also be nominated. CSOs with which individual members of the SC are affiliated will not be able to receive funding from the GPSA while these individuals serve in the SC. A CSO-donor-Bank selection committee will review nominations and make final decisions.
- c) **Governments:** three government representatives from developing countries that have opted-in to GPSA will be chosen by the Bank's Board of Executive Directors. For this, participating countries will be invited to present their nominations to serve in the GPSA SC.

18. The donor agency and government members will participate in an institutional capacity. The civil society members of the SC will participate in their individual capacity.

19. SC membership will be based on the following principles:

- a) Membership should reflect gender and geographic diversity.
- b) Members should be grounded in social accountability initiatives at global, regional or country levels, ideally with experience working in one or more developing countries.
- c) Members should demonstrate substantial depth of experience working in the social accountability sector in low- and middle-income countries and should hold senior positions in their respective organizations.
- d) Membership should reflect expertise in a broad range of thematic areas related to social accountability.
- e) To avoid conflicts of interest, CSOs with which individual members of the SC are affiliated will not be able to receive funding from the GPSA while these individuals serve in the SC.

B. The Secretariat

⁴⁴ Board Paper, p. v, para. 8: "Donor members would need to make a minimum threshold contribution to the MDTF to be eligible for a seat on the SC."

20. The Secretariat is administered by and within the World Bank, and the World Bank serves as Trustee of the GPSA MDTF and its financial resources. The GPSA Secretariat will be located in the World Bank Institute (WBI) for an incubation period.

21. Under the overall direction of the Program Manager, the Secretariat will have the following roles and responsibilities:

a. Coordination and administration functions

- Coordinate with the World Bank in its function as Trustee and support the Trustee in its relations with MDTF donors
- Support the Chair of the SC by organizing SC meetings
- Provide administrative support for any no-objection decisions by the SC
- Prepare all business documents related to the GPSA
- Develop a Communications Plan for the GPSA and managing its implementation, with support from the SC
- Reach out to and coordinate the formation of the GPSA's global partners' group
- Liaise with other parts of the World Bank Group and other relevant organizations
- Manage the GPSA's knowledge component (Knowledge Platform, Bank-executed grants, and other knowledge-related activities)
- Ensure the implementation of an M&E system based on the Results Framework adopted for the GPSA
- Prepare the GPSA's Annual Report and any other reports requested by the SC and by MDTF donors
- Maintain the GPSA's records

b. Grant-making functions

- Manage the overall grant application and selection process, and coordinate the supervision of grant projects with the Bank's Country Management Units and with task team leaders (TTLs) appointed as project supervisors
- Prepare global Call for Proposals and work with country offices to tailor CfPs to each country's priorities
- Prepare ToRs and select the Roster of Experts (see paragraph 65 further below) and coordinate the grants' overall review process
- Recommend proposals after their review by the Roster of Experts and submit them to the SC for approval on a non-objection basis
- Set up and manage a GPSA Help Desk for grantees
- Work with potential grantees on the introduction of changes to their proposals, based on the feedback provided by experts, government officials, the public and the findings of the Bank fiduciary assessment of each individual proposal.

C. Global Partners

22. With the objective of broadening support for GPSA in various areas and of strengthening a global community of practice, CSOs and donors, from both the South and the North will be able to join the GPSA in the capacity of "Global Partners". This will aid in expanding the Partnership's global, regional and country scope, and encouraging increased cooperation across stakeholders interested in advancing social accountability, in terms of networking and knowledge-exchange opportunities.

23. Different types of organizations, such as international non-governmental organizations (INGOs), foundations, regional networks of CSOs, and country CSOs will be able to join the GPSA as global partners. Partners will provide the GPSA with their open endorsement through a written letter, and will be expected to contribute in terms of networking, knowledge and other activities. Participation as Global Partners will not require organizations to contribute financially to the GPSA's MDTF nor mean that they

or their members or associates will be privileged to receive grant funding from the GPSA. Participation as global partners will not prevent eligible CSOs to present proposals to the GPSA, either.

Annex 5:

Global Partnership for Social Accountability

Selection Criteria for Steering Committee Civil Society Representatives

GPSA Steering Committee: Overview

- A. The proposed GPSA partnership structure is based on the following objectives:
 - Involvement of a broad range of stakeholders, including governments, CSOs, and other stakeholders for country activities;
 - Coordinated funding through a common vehicle;
 - Programmatic coordination across multiple funding sources;
 - Efficient operation, building on the Bank's experience as Trustee and Secretariat;
- B. The Steering Committee is the GPSA's decision-making body, and will provide for the membership and voice of key stakeholders (donors, CSOs, member countries). It will make decisions by consensus, taking into account the views of experts familiar with the local context. The SC will function at the strategic level to provide the overarching input and legitimacy needed to shape and promote the activities of the GPSA. Broad GPSA principles and priorities for funding will be decided by the SC. The SC will combine representatives from all key constituencies whose expertise, experience, interests and reach can contribute to the goals of the GPSA.
- C. To ensure transparency and legitimacy, the composition of the SC and the modalities for selecting members will be made publicly available.
- D. The SC will have balanced representation among donors, CSOs, and developing country governments. The initial number of SC members will be 10:
 - Three donor partners (two sovereign donors and one foundation representative);
 - Three CSOs (one from a "part-I" country and two from "part-II" countries). In order to broaden regional representation, two alternates (one for part-I and one for part-II) will be selected;
 - Three representatives from developing country governments; and
 - A World Bank representative (WBI Vice-President).

Selection Process of Steering Committee members

- E. Members of the Steering Committee will be selected as follows:
 - a) **Governments:** three government representatives from developing countries that have opted-in to GPSA will be chosen by the Bank's Board of Executive Directors. For this, participating countries will be invited to present their nominations to serve in the GPSA SC.
 - b) **Donors:** Government bilateral agencies and foundations that make a minimum threshold contribution will have a seat on the SC. If three donor agencies have not made contributions by the launch of the GPSA, three donors will be invited to serve as members on an interim basis.

- c) **CSOs:** For the composition of the first SC, CSO members will be nominated through regional CSO networks identified by the Regional Vice-Presidents of Africa, MNA and EAP for part II countries and by the Bank's Office of External Relations (EXT) for part I countries. For the renewal of the SC, other regions will be able to nominate CSO candidates. In order to broaden regional representation one alternate CSO representative from part-I countries and one alternate from a part-II country will also be nominated. CSOs with which individual members of the SC are affiliated will not be able to receive funding from the GPSA while these individuals serve in the SC. A CSO-donor-Bank selection committee will review nominations and make final decisions.
- F. The donor agency and government members will participate in an institutional capacity. The civil society members of the SC will participate in their individual capacity.
- G. SC membership will be based on the following principles:
- Membership should reflect gender and geographic diversity.
 - Members should be grounded in social accountability initiatives at global, regional or country levels, ideally with experience working in one or more developing countries.
 - Members should demonstrate substantial depth of experience working in the social accountability sector in low- and middle-income countries and should hold senior positions in their respective organizations.
 - Membership should reflect expertise in a broad range of thematic areas related to social accountability.
 - To avoid conflicts of interest, CSOs with which individual members of the SC are affiliated will not be able to receive funding from the GPSA while these individuals serve in the SC.

CSO Representatives – Selection Criteria

- H. To ensure voice is given to civil society on the GPSA's governance structure, the GPSA Steering Committee will include representatives from CSOs. The role of CSOs' representatives seating at the SC will be to offer an inclusive and effective civil society voice on the GPSA. The Northern and Southern civil society representatives will complement each other, and where possible, will seek inputs from networks of CSOs.
- I. The following rules aimed at preventing conflicts of interest, will apply to CSO representatives seating at the SC:
- a) SC civil society representatives will act in an individual capacity, rather than as representatives of their own organizations, networks or constituencies.
 - b) CSOs with which individual members of the SC are affiliated will not be able to receive funding from the GPSA while these individuals serve in the SC.
- J. In addition to the membership principles applicable to the SC as a whole and to civil society representatives, the following criteria will provide guidance in selecting SC civil society members:
- a) Have credibility and be respected members of the CSO community worldwide (or at least regionally for Part II CSOs), with the capacity to represent the voice of civil society and authority to consult with a broad range of civil society organizations working on social accountability.
 - b) Have a positive, proven track record of work in the social accountability field and be recognized as referents in the field.
 - c) Affiliated with a CSO that is considered non-partisan.

Annex 6: GPSA Results Framework⁴⁵

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

RESULTS FRAMEWORK

Draft ⁴⁶

December 3, 2012

⁴⁵ “*Global Partnership for Social Accountability: Results Framework*”, presented at the first meeting of the GPSA Steering Committee on December 17th, 2012

Abbreviations and Acronyms

CSO	Civil society organization
GAC	Governance and anticorruption
GPSA	Global Partnership for Social Accountability
IEG	Independent Evaluation Group
3iE	International Initiative for Impact Evaluation
KP	GPSA Knowledge Platform for Social Accountability
M&E	Monitoring and evaluation
NGO	Nongovernmental organization
RF	GPSA Results Framework
SA	Social Accountability
SC	Steering Committee
SIEF	Strategic Impact Evaluation Fund
TOC	Theory of Change
WBI	World Bank Institute

Contents

- A. Introduction
- B. Results Areas, Indicators and Sources of Information
- C. GPSA's M&E system
- D. Notes

A. Introduction

1. The Global Partnership for Social Accountability (GPSA) is a global multi-stakeholder coalition, a global partnership of donors and development actors that aims to increase levels of accountability at the country level. Its main objective is to improve development results by supporting capacity building for enhanced beneficiary feedback and participation. “*Social Accountability*” has been defined as “an approach towards building government’s responsiveness that relies on civic engagement whereby ordinary citizens and/or civil society organizations participate directly or indirectly in achieving accountability”⁴⁷

2. The GPSA is expected to contribute to country-level governance reforms and improved service delivery. To achieve this, the GPSA plans to provide strategic and sustained support to beneficiary groups and CSOs in developing countries that are working with their governments, to promote greater transparency and accountability. To do this GPSA would be operating on two fronts: funding and knowledge.

3. Grants will be available for *programmatic support to CSOs for social accountability* (grants to CSOs and networks of CSOs working in countries that have opted-in to GPSA for SA initiatives undertaken by CSOs to strengthen transparency and accountability; core funding to support institutional development of CSOs working on SA; and Recipient or Bank-executed grants for mentoring, technical assistance and capacity-building on SA) and for *support of knowledge activities* (including supporting knowledge and learning activities carried out under Component 1 grants; and a Knowledge Platform for Social Accountability developed and managed by the GPSA, which will include targeted support for knowledge-generation and exchange activities, and strengthening of practitioners’ networks and communities of practice at the regional and global levels). GPSA will make grants for periods of 3-5 years, with disbursement tranches linked to agreed project milestones. GPSA funding will be channeled through a Multi-donor Trust Fund to which the World Bank will contribute US\$ 5 million annually from FY13 through FY16, bringing the Bank’s total commitment to \$20 million. GPSA will also support a global platform for knowledge exchange that will include developing and nurturing practitioner networks, especially those aimed at supporting South-South exchanges.

4. Each activity funded by the GPSA is intended to yield measurable and realistic results in one or more of the following “pillars of governance”: transparency; representation and voice; accountability; and learning for improved results. Key social accountability activities or approaches that could be supported would include (but will not be limited to) budget literacy campaigns, citizen charters, citizen report cards, community contracting, community management and/or contracting, community oversight, community scorecards, grievance redress mechanisms, independent budget analysis, input or expenditure tracking, integrity pacts, participatory budgeting, participatory physical audits, procurement monitoring, public access to information legislation, social audits, and user management committees.

5. These different activities, corresponding to social accountability tools, are expected to be conducive to beneficiary engagement in monitoring and assessing government performance—particularly in providing feedback on, and voicing demand for, improved service delivery—and thus contributing to greater development effectiveness. This kind of engagement— *social accountability*—enables beneficiaries and civil society groups to engage with policymakers and service providers to bring about greater accountability and responsiveness to beneficiary needs. At the same time, many factors—especially the proliferation of new information and communications technologies—are changing how beneficiaries and civil society organizations (CSOs) engage with governments; and many governments are creating better enabling environments for voice, transparency, and accountability. However, feedback from over 1,000 stakeholders in all regions indicates that there are large knowledge and evidence gaps, especially in terms of “what works” and why, under what conditions approaches can be scaled up, and how to sustain successful approaches. Moreover, civil society groups often operate on short programmatic funding cycles, and they lack the sustained support to build technical and institutional capacity to engage with governments over the

⁴⁷ <http://wbi.worldbank.org/wbi/content/citizen-participation-through-social-accountability>

long term on selected themes. The Global Partnership for Social Accountability (GPSA) attempts to respond to these demands.

6. Thus, the GPSA is a new Partnership designed to provide strategic and sustained support to beneficiary groups and CSOs in developing countries that are working to promote greater transparency and accountability, and achieve stronger development results. GPSA is expected to contribute to country-level governance reforms and improved service delivery by (a) generating knowledge, networking and financing to build civil society’s capacity to engage in evidence-based social accountability; (b) supporting Bank teams and government counterparts in embedding social accountability more strategically in their programs; and (c) contributing to scaling up the Bank’s engagement in this area by drawing on the experience, knowledge and resources of external partners.

7. It is to be noted that there are several WB initiatives on themes closely related to social accountability, such as the World Bank Institute’s Capacity Development and Results Practice, as well as some that are under development, like the “Public Sector Performance At A Glance”. If in the design of the RF for GPSA, and during its implementation, these initiatives are not taken into account, there is a risk of overlapping or of inconsistencies. But, at the same time, they offer an opportunity for synergies, and a knowledge capital that GPSA can benefit from. Furthermore, there are also WB evaluations, particularly the assessment of “The World Bank’s Involvement in Global and Regional Partnership Programs” and “The World Bank’s Country-Level Engagement on Governance and Anticorruption”, which provide valuable insights for GPSA. Finally, the work of other development agencies on related issues, such as DFID, has also been considered. The results framework for GPSA attempts to take into account these important sources of lessons from experience.

B. Results Areas, Indicators and Sources of Information

8. Based on the description provided in the previous section, the GPSA Board paper, and other relevant experiences mentioned in the preceding pages, the results framework for GPSA is presented in this section.

9. GPSA’s Results Framework is a tool that will be used to monitor and manage progress and report on delivery. It sets out the outcomes GPSA is seeking to contribute to, the results it plans to deliver, and the metrics to be used. By collecting data and measuring results it is possible to know what is working and what is not, adapting and developing an approach over time to become more effective. Furthermore, the results framework also facilitates evaluations at different stages of implementation.

10. A key hypothesis is that the effectiveness of different SA mechanisms or interventions depend on the context (the “heterogeneity” hypothesis). GPSA should contribute to generate (and systematize) evidence on which SA mechanisms are more effective in which contexts. On this and related issues, see below (section D, note 5) the reference to Mansuri and Rao.

11. As the GAC Strategy Update will be tracking progress on several indicators that corresponds to the outcome/impact level, GPSA could mainly focus on the direct measurement of its outputs (for whose achievement it is accountable), which can contribute to country-level development results, complementing this measurement with the set of M&E activities indicated below (paras. 26-29), in order to link outputs with outcome and impact at the grant-level, and systematic reviews for the partnership as a whole. The SA knowledge and capacity building outputs supported by GPSA could contribute the higher-level indicators that GAC will be tracking, as shown in the following scheme:

GPSA inputs → GPSA outputs → GPSA outcomes → GPSA impacts	
[-----fully tracked by GPSA---]	[-----tracked by GAC-----]
complemented by GPSA’s M&E	

Results Areas

12. GPSA is structured in four “results areas”, which correspond to its “governance pillars”.

Transparency: people able to access and use information on government activities

Representation and voice: people have mechanisms and/or policies through which they can engage in government processes.

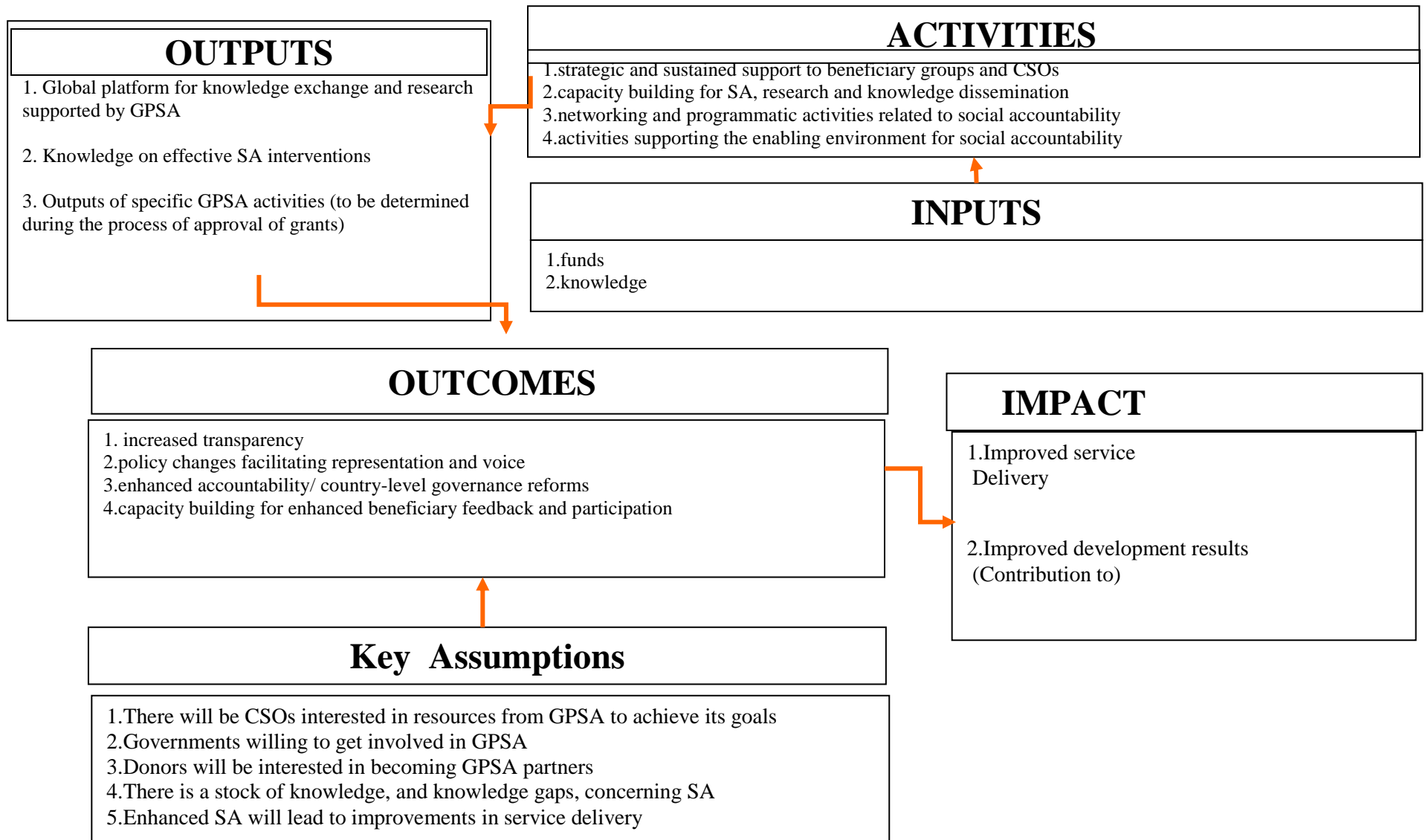
Accountability: governments are more accountable to beneficiaries in service delivery and in management of public resources.

Learning for Improved Results: improved knowledge and practice of social accountability.

13. The first three areas can be considered as a menu from which country teams might want to draw from, in consultation with Civil Society, without having to cover each area in every country. The specific results will need to be tailored to country context.

14. These results areas are presented in GPSA's "theory of change" as (intermediate) outcomes. The diagram also shows critical assumptions and the pathways from resources to impacts, including development results to which GPSA may contribute but that cannot be attributed only to it. The critical assumptions can also be used as a key input for risk management.

GPSA's THEORY OF CHANGE



15. In order to operationalize the results framework it is necessary to identify a set of indicators corresponding to the different levels of the “results chain” (except the higher level corresponding to development results) included in the “theory of change” (TOC). This is done below, making use as much as possible of existing indicators and available data sources, as well as those that can be constructed using data that will be generated by GPSA’s operations. It should be noted that whereas the indicated outputs are fully dependent on GPSA (and therefore GPSA is accountable for achieving them), the outcomes and impact depend crucially on the role of other interventions and exogenous factors. Furthermore, the links between outputs and outcomes, as well as between outcomes and impact, are covered by other WB initiatives (such as those under the GAC strategy), as well as by research projects.

16. Finally, complementing the general key assumptions included in the TOC diagram, the following are additional assumptions concerning what leads from one stage to another: i) *from activities to outputs*: the knowledge component activities (1-3) will help to establish a global platform for knowledge exchange and research (output 1), assuming that CSOs would be interested to participate in such a platform; knowledge on effective SA interventions for different contexts would result from the implementation of activities (1-3) assuming that a M&E system (along the lines described in the following section of this paper) is fully functional. ii) *from outputs to outcomes*: activities supporting the enabling environment for SA (4) combined with capacity building activities (2) and outputs (1), (2) and (3) would lead to outcomes (1-4) assuming that the knowledge generated and disseminated is relevant, that governments would be willing, or sufficiently pressured, to undertake governance reforms and to become more accountable; it is also assumed that SA capacity building activities will be effective. iii) *from outcomes to impact*: outcomes (1-4) would contribute to improved service delivery and development effectiveness assuming that demand pressure on government services resulting from the achievement of those outcome would lead to enhanced quality of government services and to greater development effectiveness. On this last set of links, there is evidence from research and ongoing work by (among others) the World Bank GAC strategy, as well as on the work leading to (and spawned by) the 2004 World Development Report (“Making Services Work for Poor People”). On ii), the evidence is thin (see endnote 5), and GPSA can and should contribute to it, as indicated below in paras. 30-32.

Indicators and sources of information

17. Given that GPSA will operate at the global, country and project level, the results framework includes indicators corresponding to these three levels. The indicators are focused on quantitative aspects, which would be complemented by the qualitative information to be provided by the activities indicated in the section on M&E.

Global level

18. This level is basically related to the fourth results area, i.e., “Learning for improved results”, which at the global level boils down to the generation of the global public good of knowledge on social accountability. Furthermore, aspects related to GPSA as a whole are also included in this level.

Country level

19. There is an abundance of data sources corresponding to different aspects of SA at the country level, such as Governance-at-a-Glance and Demand for Good Governance indicators (AGI Data Portal), WBI’s CDR, the Open Budget Index, Afrobarometer, Latinobarometro, for IDA countries the last of the CPIA criteria, i.e., “Transparency, Accountability, and Corruption in the Public Sector”, IEG GAC country data⁴⁸, World Bank indicators developed for GAC-II on government openness; CPARs, WBI Worldwide Governance Indicators and the Open Transparency Index.⁴⁹ Table 1, below, selects among these sources those that are more adequate given their periodicity and coverage. However, in specific country cases, some of the other sources mentioned above may also be suitable. Furthermore, there are countries where local sources of data on transparency are available. These sources can be tapped particularly in the elaboration of country or thematic case studies, as indicated in the section on M&E.

Social Accountability Index

20. As the GPSA matures, one may consider the design of a social accountability index. The first three areas of the indicators at the country level (transparency, participation and accountability) could be combined into an index of

⁴⁸ See Appendix A of IEG (2011) evaluation of the World Bank’s country-level engagement on governance and anti-corruption (GAC)

⁴⁹ The Civicus Civil Society Index is not included because it has been discontinued since 2006.

social accountability (ISA). This index could get countries to care more about social accountability and to identify trends. Eventually an ISA report could be prepared annually by a global NGO or CSO, with support from partners, at a later stage of GPSA’s implementation.

Project level

21. Each project/ grant funded by GPSA should indicate in their applications the result area(s) to which it expects to contribute, targets for its outputs specifying their timeframe, the set of activities in which they plan to use the resources provided by GPSA, the links between activities outputs and outcomes, the current levels of these variables (which will be the *baselines*) and their implementation strategy. GPSA could develop a web-based application that projects/grants could (and should) utilize for their own management and monitoring as well as to feed GPSA’s monitoring and reporting. This would be a sort of self-organizing system, minimizing the time needed from GPSA’s Secretariat.

22. An important source of information will be the records of activities supported by GPSA. Therefore, it is necessary to ensure that the designs of grants/activities to be funded by GPSA indicate clearly their output and outcome indicators before they are approved, as indicated in the preceding paragraph, and that they complete the collection of *baseline* data (complementing the data presented in the application form, if need be) during their first 6 months of operations. During the first three months of operations, formats for reporting results and data should be established, and to assure the quality of self-reported data the reports will be systematically reviewed by peer organizations and/or GPSA staff. It would be convenient to include in GPSA’s Operations Manual both the formats and the requested information mentioned in the preceding paragraph.

Table 1: Summary of Indicators, Sources of Information and Periodicity

INDICATORS	SOURCES OF INFORMATION	PERIODICITY
<i>Input indicators</i>		
1.Total funds disbursed by category of disbursement	GPSA records	Real-time
2. Disbursements by sources of funds		
2.1 WB resources		
2.2 Partners’ funds		
<i>Output indicators</i>		
1.global platform for knowledge exchange supported by GPSA	GPSA knowledge component	Annual
1.1 global platform for SA knowledge codification and exchange established and running	GPSA knowledge component	Annual
1.2 number of peer reviewed SA knowledge products	e-survey	Annual
1.3 number of users of SA knowledge products	Ad-hoc study	Annual
1.4 strengthened SA practitioner networks at global level	GPSA records	real-time
1.5 number of countries that opted-in	GPSA records	Annual
2. Knowledge on effective SA interventions		
2.1 number of thematic/synthesis	e-survey to CSOs	Biannual

<p>reviews</p> <p>2.2 number of CSO's aware of which SA interventions are effective in what contexts</p> <p>3. <i>CSOs SA Capacity Building</i></p> <p>3.1 Number of CSOs that participated in GPSA's capacity building activities</p> <p>3.2 Amount and number of mentoring grants</p> <p>4. Number of Bank teams and government counterparts supported in embedding social accountability more strategically in their programs/projects</p> <p>5. Outputs of specific GPSA activities (to be determined during the process of grants approval)</p>	<p>GPSA records</p> <p>GPSA records</p> <p>GPSA records</p> <p>Grants' records</p> <p>Grants' records</p>	<p>Annual</p> <p>Annual</p> <p>Annual</p> <p>Annual</p> <p>Annual</p>
<p><i>Outcome indicators</i></p> <p>1. <i>Increased transparency</i> public availability of key budget documents</p> <p>2. <i>Civil Society Participation</i></p> <p>3. <i>Voice and Accountability</i></p> <p>4. <i>capacity building for enhanced beneficiary feedback and participation</i></p> <p>4.1 number of CSOs capable of facilitating beneficiary participation and feedback on Service delivery</p> <p>4.2 number of CSOs that actually facilitated beneficiary participation and feedback on service delivery</p> <p>4.3 number of service providers whose service delivery was improved due to beneficiary feedback and participation</p> <p>4.4 number of CSOs whose prospects for sustainability were enhanced</p>	<p>Open Budget Index</p> <p>Governance-at-a-Glance and Demand for Good Governance indicators (AGI Data Portal- Governance Reports)</p> <p>ditto</p> <p>Country case studies</p>	<p>Same as that of the Open Budget Survey</p> <p>Annual</p>

4.5 number of CSOs that used knowledge outputs generated by GPSA		
--	--	--

Outcome indicators and case studies

23. As indicated in the preceding table, for some indicators the source of information will be case studies (country and thematic). These case studies could complement the information provided by indicators with an analysis and synthesis of a set of issues such as the following: the extent to which Civil Society (CS), government and other stakeholders have improved knowledge and capacity to harness social accountability for better development outcomes; the degree to which Citizens are engaged in monitoring of service delivery and public resource management; the extent to which Citizens’ priorities are reflected in policy and decision-making (looking at levels of engagement and where this has changed policy and practice), and the extent to which government authorities value the participation of citizens in achieving effective service delivery; participation of CS in public policy discussions; use by CS of grievances mechanisms and collective action behaviour induced by GPSA’s supported CSOs. and development by CSOs supported by GPSA of associations representing CS

Performance indicators

24. In addition to the indicators corresponding shown in the table, to assess the performance of GPSA the following indicators are proposed (to be reported on annual bases, using GPSA’s records):

1. Number of partners involved
2. Number and amount (disbursed) of grants
3. Number of mentoring grants
4. Number of countries that opted-in
5. Number of grant applications
6. Number of CSOs which GPSA supported

Dissemination Strategy and Knowledge Sharing to facilitate use and decision-making

25. The results framework can be used to communicate the progress and problems in achieving results. One way of presenting results is through a “dashboard,” highlighting the key high-level objectives and outcomes/outputs achieved, using the framework for planning and review meetings (with the current status of the indicators highlighted), and using the change in the indicators from baseline to highlight the results.

C. GPSA’s M&E system

26. Evaluations and reviews of global partnership programs have identified as a recurrent problem of these programs the lack of a monitoring and evaluation system (M&E)⁵⁰. Without M&E neither learning nor accountability can be adequately conducted, thus jeopardizing the quality and value of the programs.

27. An M&E for GPSA can be developed taking into account the Results Framework, including selective impact evaluations & systematic reviews or meta-studies as well as real-time M&E, collecting feedback from governments and grantees to facilitate learning and adaptation,

28. The three levels mentioned in the previous section should be considered as forming part of the M&E system. Starting from the project/grant (micro) level, i.e., activities funded by GPSA, periodic results oriented reports (RORs) should be presented by the implementing entities (mainly CSOs), showing the extent to which their

⁵⁰ See See IEG (2011) *An Independent Assessment The World Bank’s Involvement in Global and Regional Partnership Programs* Washington DC www.globalevaluations.org and Bezanson, Keith A. & Paul Isenman (2012) *Governance of New Global Partnerships: Challenges, Weaknesses and Lessons* Washington DC: Center for Global Development

projects are contributing to enhanced transparency, participation, and/or accountability. The project reports and/or notes should include evidence and stories of success and failure, indicating the way in which learning is taking place, and how government responds to the interventions. To the extent that the reporting format used at this level complies with the indications provided in the previous section, the consolidation by GPSA's Secretariat of individual reports will be possible and aggregation will become feasible, minimizing the burden on CSOs. The information at this micro-level can be used to track goals, highlighting achievements and problems, operating as a real-time monitoring and self-evaluation system, using a participatory process to collect feedback from government and grantees, and generating information which can be used to allow for timely corrective actions.

29. Complementing this self-monitoring and evaluation subsystem, there should be a set of impact evaluations geared to knowledge generation of different interventions in various contexts. These evaluations would be contracted out by GPSA's secretariat, promoting the use of rigorous methods such as randomized control trials whenever possible (the implementation strategy of some grants can make RCTs both feasible and ethically acceptable, allowing for the identification of comparison groups), with explicit counterfactuals, and also other methods. The use of complementary approaches (quantitative and qualitative) will maximize the gains that each method offers, exploiting their complementarities and allowing for cross-validation (triangulation). Adequate consideration should be given to the context and the processes followed, in order to allow judgments concerning the generalizability (external validity) of the findings and a deeper understanding of the causes leading to results, both positive and negative, so as to facilitate learning from success and from failure.

Linking GPSA grants with research

30. GPSA could draw on a set of experts from a roster to provide advice to grantees on how to structure their data collection and implementation strategy so as to maximize the learning that can be obtained from the intervention funded by GPSA, thus connecting implementers and researchers at the design stage, optimizing the contribution that GPSA can make to answer the research question "Under what circumstances different types of SA mechanisms contribute to better development outcomes?" Country priorities may also be in some cases a source of research questions concerning SA mechanisms, which would be worthwhile for GPSA to take into account.

31. For the country (meso) level activities and the global (macro) level, case studies could be carried out after the third year of operations, using and reviewing GPSA's "theory of change". A common template could be developed for the case studies in order to facilitate a comparative analysis and synthesis.

32. Furthermore, given GPSA's rationale in terms of knowledge generation, it is important to carry out systematic reviews of evidence or meta-studies, which could be done using the approach of the 3iE initiative.⁵¹ This work, as well as other outputs of the M&E system, and of GPSA's knowledge component, could be used by the research community to expand the frontier of validated knowledge concerning the effectiveness of social accountability.

33. The preceding types of evaluations will be key inputs for an independent evaluation, allowing for learning and accountability, as GPSA evolves.⁵²

Responsibilities for monitoring and evaluation

34. *Monitoring and self-evaluation* is a management responsibility, involving the assessment of progress achieved, tracking compliance with a plan, identifying reasons for non-compliance, proposing and taking actions to improve performance. *Independent evaluation* is a governance responsibility. As recommended by IEG's assessment of global partnership programs (see above footnote 2) it is important that the Partnership governing body (Steering Committee) takes ownership of independent evaluation. The first independent external evaluations should be carried out 4-5 years after program starts.

⁵¹ <http://www.3ieimpact.org/en/funding/>

⁵² Appendix G of IEG (2011) *An Independent Assessment. The World Bank's Involvement in Global and Regional Partnership Programs*, Washington, DC provides a list of major evaluation criteria and suggested evaluation questions for global and regional partnership programs evaluations

Resources for GPSA's M&E system

35. In addition to a specific allocation of resources for M&E from GPSA's budget, for some impact evaluation activities it would be worthwhile to try to tap resources from the recently established HDN managed "Strategic Impact Evaluation Fund" and for systematic reviews funds may be potentially available from 3iE.

D. NOTES

1. This draft was prepared by Osvaldo Nestor Feinstein, taking into account the views expressed by a number of Bank and non-Bank colleagues, some of which (Nick Manning, Roland Michelitsch, Anna Aghumian, Samuel Otoo) prepared powerpoint presentations for a workshop that due to weather conditions was cancelled. Their contribution is gratefully acknowledged. Furthermore, suggestions were also received during the November 29th retreat, where comments were provided by Chris Gerrard, Bob Beschel, Roland Michelitsch, Anna Aghumian and Francesca Recanatini, Vivek Srivastava, Jeremy Weinstein, Helene Grandvoinet, Lester Solomon, Lindsay Coates, Phillip Keefer and Christian Borja Vega. During the preparation of a previous version of this draft, Shiona Ruhemann & Ed Smithson (DFID), Navin Girishankar, Marcos Mendiburu, Maria Poli, and Christian Borja Vega suggested and/or provided useful materials. Finally, valuable comments on earlier versions of this draft were made by Isabella Toth, Tina George, Ed Smithson and Maggie Carroll (DFID), Tiago Peixoto, Randi Ryterman and Roby Senderowitsch.. Gulnara Febres and Rachel Matheson provided excellent support. **The usual disclaimer applies.**

2. The higher level outcome/impact indicators corresponds to the World Bank Scorecard Tier I indicators, which show the long-term development outcomes that countries are achieving and cannot be attributed directly to the Bank, because countries and their development partners all contribute to these achievements over the long term through a combination of multisector interventions, actions, and policy decisions. These indicators are also affected by external factors such as global crises (as pointed out in the WB Scorecard 2012).

3. With respect to the Social Accountability Index, note that it would be possible to elaborate an index with equal weight for the different indicators (what frequently is referred to as an "unweighted" index). If different weights were to be used it is important to provide a rationale for them, making the weights transparent, thus avoiding the problems pointed out in Thomas, Vinod and Xubei Luo (2012) "Multilateral Banks and the Development Process" New Brunswick, Transaction Publishers, chap 4.

4. For self-evaluation by CSOs the empowerment evaluation approach could be suitable. See Fetterman, D.M. & Wandersman, A.(2005) *Empowerment Evaluation Principles in Practice* New York: Guilford Press whereas "developmental evaluation" is an approach that could be used to support the process of developing appropriate SA practices in different contexts. See Patton, Michael (2010) *Developmental Evaluation* New York: Guilford Press. It is neither "summative evaluation", which makes judgments on the worth of the interventions implemented, nor "formative evaluations", which attempts to improve interventions that were fully designed, based on accepted theories. "Developmental evaluation" corresponds to situations in which, as stated by Taleb, N. (2012) "we don't put theories into practice. We create theories out of practice" *Antifragile* New York: Random House

5. Concerning meta-studies, as pointed out in a recent article, there is a need to conduct studies on different types of participatory governance institutions from a broad range of countries and regions, including meta-analysis of case studies and comparative analysis. See Speer, J. (December 2012) "Participatory Governance Reform: A Good Strategy for Increasing Government Responsiveness and Improving Public Services", *World Development*, Vol.40/12. A recent review of experiences of participatory development is provided in Mansuri, G. and Rao, V. (2013) *Localizing Development: Does Participation Work* Washington DC: World Bank Policy Research Report, which includes several findings that are relevant for GPSA in general and for the results framework in particular, such as the following: a) context, both local and national, is extremely important. Outcomes from interventions are highly variable across communities; local inequality, history, geography, the nature of social interactions, networks, and political systems all have a strong influence; b) Effective civic engagement does not develop along a predictable trajectory, indicating that trajectories of change in local participatory development are uncertain; c) The evidence on many participation-related issues is thin The Mansuri and Rao report recommends, inter alia, that quantitative evaluations would benefit from complementary qualitative work that sheds light on the processes and mechanisms that lead to change

6. The Strategic Impact Evaluation Fund (SIEF) is a new trust fund established within the World Bank to carry out and support research evaluating the impact of programs on alleviating poverty and improving people's lives. The knowledge generated will provide evidence for designing more effective policies and programs. The multi-donor fund was created with the support of the British government's Department for International Development with a commitment of nearly \$40 million. The program, managed by the World Bank's Human Development Network, runs from 2012 up to 2017. See http://siteresources.worldbank.org/INTHDOFFICE/Resources/5485648-1332253705502/SIEF_Call_for_Proposals_Final.pdf

Annex 7: Financial Management Arrangements

This Annex complements the information provided in Section 5: Financial Management.

- A. Basis of Commitment Risk**
- B. Suspension**
- C. Cancellations**
- D. Refunds**
- E. Closing of Trust Funds**
- F. Extension of Closing Date and End-Disbursement Date**
- G. Retroactive Extension of Closing Date and End-Disbursement Date**

A. Basis of Commitment Risk

The Basis of Commitment (BoC) is the criterion used to determine the amount of donor funding that becomes available for entering into grant commitments with recipients. This amount of available donor funding is also called “Commitment Authority”. The maximum Commitment Authority is limited to the total amount of donor contribution agreements in place for a given trust fund program (i.e. signed administration agreements) plus the total investment income credited to the trust fund to date, less administrative fees to be deducted from the contributions. The GPSA's request to use a Cash and Contributions Receivables Basis of Commitment option has been approved. Therefore, the Commitment Authority for the GPSA is limited to Cash received plus no more than 50% of Contribution Receivable.

FY	(a)	(b)	(c)	(d)=(a)+(b)+(c)	(e)	(f)=(e)-(d)	(g)	(h)	(i)=(g)-(f)-(h)	(j)=(i)*.5	(k)=e+(j)
	Contrib. Paid In	Investment Income	Secretariats Costs	Cash Avail. For Commit.	Total Grant (BETF & RETF) Commit. Beg. of FY	Commit. Above Cash Avail.	Contrib. Receiv.	Future Secret. Costs	Contrib. Receiv. Avail. For Commit.	50% of Receiv. Avail. For Commit.	Total Grant (BETF & RETF) Commit. End of FY
FY 13											
FY 14											
FY 15											
FY 17											
FY 18											

B. Suspension

OP13.40, Suspension, applies to recipient-executed trust funds for which the Grant Agreements include suspension remedies specified in Section 4.02 of Article IV of the Standard Conditions. The Bank has a discretionary right to exercise its suspension remedies with regard to undisbursed grant funds when it determines that any of the standard or project-specific events of suspension specified or referred to in the Grant Agreement have occurred.

While the Bank can exercise its suspension remedies immediately upon occurrence of an event of default, it normally seeks to resolve such situations in consultation with the recipient before resorting to suspension. Suspension under the Grant Agreement would also normally require notification of the relevant donors in accordance with the Administration Agreement or any applicable Framework Agreement. Staff should consult OP/BP 13.40 and LEG's TTL Guide on Portfolio Management for guidance and procedures relating to suspension.

At any time, the World Bank determines that any representative of the Recipient (or the Member Country, if the Recipient is not the Member Country, or any other recipient of any of the proceeds of the Grant) has engaged in corrupt, fraudulent, coercive or collusive practices in connection with the use of the proceeds of the Grant, without the Recipient (or the Member Country or any other such recipient) having taken timely and appropriate action satisfactory to the World Bank to address such practices when they occur.⁵³

IBRD or IDA has declared the Recipient (other than the Member Country) ineligible to receive proceeds of any financing made by IBRD or IDA or otherwise to participate in the preparation or implementation of any project financed in whole or in part by IBRD or IDA (including as administrator of funds provided by another financier), as a result of a determination by IBRD or IDA that the Recipient (other than the Member Country) has engaged in fraudulent, corrupt, coercive or collusive practices in connection with the use of the proceeds of any financing made by IBRD or IDA.⁵⁴

C. Cancellations

OP13.50, Cancellations, applies to RETFs to the extent that the Grant Agreements provide for cancellation remedies, specified in Section 4.03 of Article IV of the Standard Conditions.

The Recipient has a unilateral right to cancel any unwithdrawn grant funds (save for any amounts that are subject to special commitment). The Bank, on the other hand, also has a discretionary right to exercise its cancellation remedies with regard to undisbursed grant funds when it determines that any of the standard or project-specific events of cancellation specified or referred to in the Grant Agreement have occurred.

Cancellations under the Grant Agreement would normally require notification of the relevant donors in accordance with the Administration Agreement or any applicable Framework Agreement. Staff should consult OP/BP 13.50 and LEG's TTL Guide on Portfolio Management for guidance and procedures relating to cancellations.

At any time, the World Bank determines, with respect to any amount of the proceeds of the Grant, that corrupt, fraudulent, collusive or coercive practices were engaged in by representatives of the Recipient (or the Member Country, if the Recipient is not the Member Country, or any other recipient of the proceeds of the Grant), without the Recipient (or the Member Country or other recipient of the proceeds of the Grant) having taken timely and appropriate action satisfactory to the World Bank to address such practices when they occur.⁵⁵

At any time, the World Bank: (a) determines that the procurement of any contract to be financed out of the proceeds of the Grant is inconsistent with the procedures set forth or referred to in the Grant Agreement; and (b) establishes the amount of expenditures under such contract which would otherwise have been eligible for financing out of the proceeds of the Grant.⁵⁶

D. Refunds

The Grant Agreements for RETFs provide for refund remedies, specified in Section 4.05 of Article IV of the Standard Conditions. Under these provisions, the Bank may request a refund from the recipient of any disbursed grant amount that in the Bank's determination was used in a manner inconsistent with the provisions of the Grant Agreement. OP12.00, Disbursement and the related Disbursement Guidelines incorporated by reference in the Grant Agreement, similarly provide that if the Bank at any time determines that ineligible expenditures have been financed from the designated account, the Bank would require the borrower to refund to the Bank an amount equal to the amount withdrawn from the designated account to pay for the ineligible expenditures.

⁵³ <http://siteresources.worldbank.org/INTLAWJUSTICE/Resources/STDGC-English-12.pdf>

⁵⁴ Ibid.

⁵⁵ Ibid.

⁵⁶ Ibid.

Alternatively, the Bank may, at its discretion, allow the borrower to (i) deposit into the designated account an amount equal to the amount so withdrawn from the designated account, or (ii) provide substitute documentation evidencing other eligible expenditures under the operation.

Staff should consult OP/BP 12.00 and LEG's TTL Guide on Portfolio Management for guidance and procedures relating to cancellations.

With respect to a disbursed amount of the grant (Section 4.05(a)(ii) of Article IV Cancellation; Suspension; Grant Refund):

(i) use of such amount to make a payment for an expenditure that is not an Eligible Expenditure; or
(ii) engaging in corrupt, fraudulent, collusive or coercive practices in connection with the use of such amount, or (b) use of such amount to finance a contract during the procurement or execution of which such practices were engaged in by representatives of the Recipient (or the Member Country, if the Recipient is not the Member Country, or other recipient of such amount of the Grant), in either case without the Recipient (or Member Country, or other such recipient) having taken timely and appropriate action satisfactory to the World Bank to address such practices when they occur.

E. Closing of Trust Funds

The Closing Date is the date by which all services/activities chargeable to the trust fund at the disbursing account level must be completed. No commitments (e.g., purchase order or contract) can be made that go beyond the closing date.

The End-Disbursement date is the date after which no accounting entries will be posted into the trust fund account and all financial closure procedures at the disbursing/grant level (e.g. documentation or refund of Designated Account balances) as well as the Trustee level account must be completed.

At the disbursing account level, the closing date is set out in the Grant Agreement (GA) and should be no less than six months prior to the end-disbursement date in the AA.

The RETF closing and disbursement dates may be extended as appropriate, in agreement with the GPSA Secretariat, up to a maximum of two years from the originally agreed implementation schedule. The TTL initiates action for closure when the TF activities are completed. CTR cancels any unused funds, ensures the disposition of all cancelled funds in accordance with the legal agreements, and prepares any required final financial statements.

For BETFs, arrangements on Closing Dates and/or final dates of disbursements are governed by the Administration Agreement between the Bank and donors. Normally there is a 4-month grace period between the closing date of the BETF and the end-disbursement date of the BETF. All open commitments are closed; Institutional Chargeback System (ICBS) hold items are resolved; ICBS rejects, if any, are reposted as appropriate; expenses charged are confirmed to be eligible per donor agreements. Legal closure of the trust fund is usually done within 30 days after the trust fund's end-disbursement date, but the TTL can always request earlier closure of the fund if required.

For RETFs, the closing date of a recipient executed grant must be a minimum of six months prior to the Administration Agreement end-disbursement date. The Grant Agreement, or Disbursement Letter, provides the recipient with a 4-month grace period for submission of withdrawal applications. The remaining 2 months allow CTR to complete all financial closure procedures after disbursements are completed, including receipt of any refund of outstanding designated account balances. This ensures that all financial transactions are completed prior to the Administration Agreement end-disbursement date.

Closing Dates should not pass without Bank action to either close the grant account or extend the closing date. The TTL monitors project progress during supervision, particularly to gauge if the planned activities would be substantially completed by the Closing Date. Six months before the Closing Date, the TTL and the Grant recipient should decide whether there is a need to extend the Closing Date or to close the grant account on schedule.

Both for BETFs and RETFs, the TTL will receive a SAP alert several months prior to the closing date of the trust fund. S/he must ensure that: activities are completed by the closing date of the TF; no new commitments are created after the closing date; payments for activities completed by the closing date are processed by the end –disbursement date of the TF.

For RETFs, CFPTO and CTRLD may provide their no-objection to reducing the standard 6 months period between closing date of the grant and end disbursement date of the trustee level to 4 months, provided the following conditions are met: (i) the Disbursement Letter or the grant extension agreement with the recipient clearly specifies that "grace period" for submitting withdrawal applications shall now be only 2 months as the Bank must still retain 2-months to process all withdrawal applications and fully close the trust fund account; and (ii) the TTL is confident and gives written assurance to CFPTO that if recipient submits withdrawal applications beyond the two month grace period, his/her unit will resolve the matter directly with the recipient so that Bank is not obligated to honor such late withdrawal requests; and CTRLD concurs with this arrangement.

Unless already provided for in the Grant Agreement or Disbursement Letter, the TTL decides with the recipient whether an additional period up to four months after the closing date is needed to process final withdrawal applications. If so, the TTL advises the recipient that the Bank will process withdrawal applications received within four months after the Closing Date. These apply solely to expenditures made or payments due for goods, works and services delivered or performed before the Closing Date.

The TTL initiates action for closure when the activities financed by the TF are completed. For grants financed from RETFs, after CTRLD completes disbursements and advises the TTL of the account's final status, the TTL advises the recipient of the final disbursement position (status), and the cancellation of any balance. This notice is cleared with LEG and CTRLD, as well as the relevant program manager for programmatic trust funds. As soon as CTRLD receives a copy of the final signed notice, CTRLD cancels any unused funds after which CTR finalizes closure of the trust fund and ensures that the unused funds are disposed of in accordance with the Administration and Grant Agreements. The TTL notifies the Recipient of cancellation actions via the closing/cancellation notice. CTRTF arranges for any external financial statement audit required under the Administration Agreement(s).

F. Extension of Closing Date and End-Disbursement Date

Closing Dates can be extended in order to complete unfinished activities. Extensions generally depend on a determination that the activity objectives continue to be achievable, the performance of implementing agencies continue to be satisfactory, and the recipient has prepared an acceptable action plan to complete the activity. The RETF closing and disbursement dates may be extended as appropriate, in agreement with the GPSA Secretariat, up to a maximum of two years from the originally agreed implementation schedule.

For end disbursement date extensions at the Trustee level, which would cumulatively not exceed two years after the date of countersignature of the relevant legal agreement, Sector Directors approve the extension, based upon restructuring guidelines for Trust Funds and cleared with LEG and TACT, and the Sector Manager if applicable (based on VPU specific guidelines), justifying the extension request.

For Closing Date extensions at the disbursing account/grant level, which would cumulatively not exceed two years after the original closing date established in the legal agreement:

For BETF activities, provided the proposed extension is within the boundaries of the Trustee level trust fund (eg., at least four months prior to the End Disbursement Date in the AA), the Program Manager may approve the extension.

For end disbursement date extensions at the Trustee level, which would cumulatively equal or exceed two years regardless of TF type, Regional or network VPs approve the extensions, based upon restructuring guidelines for Trust Funds and cleared with LEG and TACT, the Sector Manager, if applicable (based on VPU specific guidelines), and the Country Director justifying the extension request.

Closing Dates and any extension thereto must be within the End-Disbursement Date(s) in the Administration Agreement(s) for the trust fund.

G. Retroactive Extension of Closing Date and End-Disbursement Date

Retroactive extension of closing and end-disbursement dates is always an exception. Once the date elapses and retroactive extensions are required at the disbursing account/grant level:

- for BETF activities, provided the proposed extension is within the boundaries of the Trustee level, the Program Manager may approve the retroactive extension.
- for RETF grants, the TTL (following restructuring guidelines for Trust Funds and any VPU-specific guidelines) prepares a memorandum for such extension addressed to the VP of the managing unit, and cleared with the TF Program Administrator, TACT, CTRLD and LEG, laying out the reasons for the extension and additionally, that the provisions of OP13.30 have been met.

Annex 8: Selected Appraisal Completion Note (ACN) Package documents:

This Annex includes internal World Bank documents that are required for processing grants:

- a. **Project Paper template**
- b. **Simplified Operational Risk Assessment Framework (ORAF)**
- c. **Integrated Assessment Framework (IAF)**

Document of
The World Bank

FOR OFFICIAL USE ONLY

Report No: {ReportNo}

PROJECT PAPER

FOR

SMALL RETF GRANT

(US\$ {AMT} MILLION EQUIVALENT)

TO THE

RECIPIENT

FOR A

Error! Unknown document property name. PROJECT

{PROJECT DATE}

Please insert one of the following based on the PAD Guidelines section on Disclosure.

This document has a restricted distribution and may be used by recipients only in the performance of their official duties. Its contents may not otherwise be disclosed without World Bank authorization.

OR

This document is being made publicly available prior to approval. This does not imply a presumed outcome. This document may be updated following management consideration and the updated document will be made publicly available in accordance with the Bank's policy on Access to Information.

CURRENCY EQUIVALENTS

(Exchange Rate Effective {Date})

FISCAL YEAR

January 1 – December 31

ABBREVIATIONS AND ACRONYMS

Regional Vice President:	{ VicePresident }
Country Director:	{ CountryDirector }
Sector Director:	{ SectorDirector }
Sector Manager:	{ SectorManager }
Task Team Leader:	{ TeamLeaderName }

COUNTRY
Project Name

TABLE OF CONTENTS

	Page
I. STRATEGIC CONTEXT	84
II. PROJECT DEVELOPMENT OBJECTIVES	84
A. PDO.....	84
B. Project Beneficiaries	84
C. PDO Level Results Indicators	84
III. PROJECT DESCRIPTION	84
A. Project Components	84
B. Project Financing.....	84
IV. IMPLEMENTATION	84
A. Implementation Arrangements.....	84
B. Results Monitoring and Evaluation.....	84
C. Sustainability	84
V. KEY RISKS AND MITIGATION MEASURES	84
VI. APPRAISAL SUMMARY	84
A. Technical
B. Financial Management
C. Procurement
Annex 1: Results Framework and Monitoring

DATA SHEET
Country Name
 Project Name
Small RETF Grant Project Paper

Region
Unit

Basic Information			
Date: Country Director: Sector Manager/Director: ... / ... Project ID: Instrument: Team Leader(s):	Sectors: Themes: EA Category:		
Recipient			
Executing Agency:			
Contact:			Title:
Telephone No.:			Email:
Project Implementation Period:			
Project Implementation Period:	Start Date:	End Date:	
Expected Effectiveness Date:			
Expected Closing Date:			
Project Financing Data(US\$M)			
<input type="checkbox"/> Loan	<input type="checkbox"/> Grant	<input type="checkbox"/> Other	
<input type="checkbox"/> Credit	<input type="checkbox"/> Guarantee		
For Loans/Credits/Others			
Total Project Cost :		Total Bank Financing :	
Total Cofinancing :		Financing Gap :	
Financing Source	Amount(US\$M)		
BORROWER/RECIPIENT			
IBRD			
IDA: New			
IDA: Recommitted			
Others			
Financing Gap			
Total			
Expected Disbursements (in USD Million)			

Fiscal Year									
Annual									
Cumulative									
Project Development Objective(s)									
Components									
Component Name						Cost (USD Millions)			
Compliance									
Policy									
Does the project depart from the CAS in content or in other significant respects?						Yes []		No []	
Does the project require any exceptions from Bank policies?						Yes []		No []	
Have these been approved by Bank management?						Yes []		No []	
Is approval for any policy exception sought from the Board?						Yes []		No []	
Does the project meet the Regional criteria for readiness for implementation?						Yes []		No []	
Safeguard Policies Triggered by the Project						Yes		No	
Environmental Assessment OP/BP 4.01									
Natural Habitats OP/BP 4.04									
Forests OP/BP 4.36									
Pest Management OP 4.09									
Physical Cultural Resources OP/BP 4.11									
Indigenous Peoples OP/BP 4.10									
Involuntary Resettlement OP/BP 4.12									
Safety of Dams OP/BP 4.37									
Projects on International Waters OP/BP 7.50									
Projects in Disputed Areas OP/BP 7.60									
Legal Covenants									
Name				Recurrent		Due Date		Frequency	
Description of Covenant									
Team Composition									
Bank Staff									
Name		Title		Specialization		Unit		UPI	
Non Bank Staff									

Name	Title	Office Phone	City		
Locations					
Country	First Administrative Division	Location	Planned	Actual	Comments

I. STRATEGIC CONTEXT

II. PROJECT DEVELOPMENT OBJECTIVES

- A. PDO**
- B. Project Beneficiaries**
- C. PDO Level Results Indicators**

III. PROJECT DESCRIPTION

- A. Project Components**
- B. Project Financing**

IV. IMPLEMENTATION

- A. Implementation Arrangements**
- B. Results Monitoring and Evaluation**
- C. Sustainability**

V. KEY RISKS AND MITIGATION MEASURES (IF REQUIRED BY CONCEPT NOTE) (SECTIONS V.A AND V.B COMBINED IN ONE, BRIEF SUMMARY OF THE MAIN RISKS AND MITIGATION MEASURES PROVIDED BY THE TTL WITH REFERENCE TO SIMPLIFIED ORAF)

VI. APPRAISAL SUMMARY

Please provide one paragraph with a summary description of the main economic benefits and costs of the project and a second paragraph summarizing the key FM, procurement and safeguards issues. Please attach a copy of the IRAF (if completed) and the approved grant proposal. (THIS SECTION WILL INCLUDE ONE GENERAL PARAGRAPH ABOUT THE ECONOMIC BENEFITS OF SOCIAL ACCOUNTABILITY INTERVENTIONS AND A SECOND PARAGRAPH SUMMARIZING THE KEY FM, PROCUREMENT AND SAFEGUARDS ISSUES.)

Other Safeguards Policies Triggered (if required)

Annex 1: Results Framework and Monitoring

Country: Project Name

Project Development Objective (PDO):

PDO Level Results Indicators*	Core	Unit of Measure	Baseline	Cumulative Target Values**					Frequency	Data Source/ Methodology	Responsibility for Data Collection	Description (indicator definition etc.)
				YR 1	YR 2	YR3	YR 4	YR5				
Indicator One:	<input type="checkbox"/>											
Indicator Two:	<input type="checkbox"/>											
Indicator Three:	<input type="checkbox"/>											
:												

INTERMEDIATE RESULTS

Intermediate Result (Component One):

<i>Intermediate Result indicator One:</i>	<input type="checkbox"/>											
<i>Intermediate Result indicator Two:</i>	<input type="checkbox"/>											
:												

Intermediate Result (Component Two):

<i>Intermediate Result indicator One:</i>	<input type="checkbox"/>											
<i>Intermediate Result indicator Two:</i>	<input type="checkbox"/>											
:												

*Please indicate whether the indicator is a Core Sector Indicator (see further <http://coreindicators>)

**Target values should be entered for the years data will be available, not necessarily annually

Integrated Assessment Framework (IAF)

Project/Activity Title:..... **Project Number** **Trust Fund number**
Country:..... **Region:** **Total Project Funding:**..... **Grant Funding:**.....
Date **TTL name:**... .. **Sector Manager:**

Item	Question	Recipient Response	Comments of TTL
General information on grant Recipient and grant context	Name and contact information of Recipient organization ie signatory of grant agreement (address, telephone, fax, email and website)		
	Name and contact information of Recipient’s implementing agency (The Recipient), if different from Recipient organization (address, telephone, fax, email and website)		
	Is the Recipient a government entity (eg government department, public institute or body, state owned enterprise)?		
	Is the Recipient a legal entity? What is the year of registration (attach statute and proof of registration) and years of operations?		
	Has the Recipient or its directors ever been convicted of a criminal offence? If so please provide details including dates.		
	Does the recipient organization, the Recipient or any of its directors or staff have ownership or a stake in any firm that provides the same type of services/goods/works as will be procured under the grant?		
	Does the Recipient have a Code of Ethics? Is it published? Are staff of the Recipient subject to a civil service code of ethics?		
	Does the Recipient publish an annual or other report eg on its website? If so please attach or provide the link to the website.		
	Does the Recipient have prior experience with WB-financed project or grant implementation: eg previous grants (years and grant amounts)? If so please specify and include project names and numbers including years of implementation.		
	Has the Recipient entered into an MOU with the Bank for the purpose of collaborating with the Bank on activities for which they will directly receive a grant?		
	What are the main challenges facing the Recipient that arise from the design of the project?		
	Which individuals or organizations are likely to benefit from or be adversely affected by the project? Eg government, private enterprises, NGOs, others? In what way?		
	What other donors are likely to be involved or in any way affected by the project? How might this project affect them positively or negatively?		

	Question	Recipient Response	Comments of TTL
Fiduciary Arrangements	Does the Recipient (Implementing Entity) have secure access to the internet and does it have experience of electronic banking?		
	In what bank does the Recipient hold a bank account if any? Who is authorized to deposit and withdraw funds?		
	Describe Recipient system for recording: (a) financial transactions, including funds received and paid (e.g. up-to-date cash book, as well as reconciled bank statements); (b) complete records of procurement transactions and contract administration eg copies of public advertisements, the bidding/proposal documents, the final bid/proposal evaluation report (c) signed originals of the final contract, invoices etc. Are cross-references to pertinent files adequate and clear?		
	Does the Recipient have a filing system for maintaining written records of procurement, financial and contract documents? Who has access to these records? Can anyone in the office access the files during working hours?		
	Does the Recipient have staff specialized in (a) financial management and (b) procurement (c) contract management? If yes, please specify the qualifications and years of experience for each.		
	Does the Recipient organization have an Operating Manual that describes (a) the internal control system and (b) procurement management of the project? If yes, please attach a copy.		
	Is the accounting system computerized or done manually?		
	Do standard templates (ie contract forms) exist for the type of expenditures (consulting services, goods, works) and procurement methods that will be financed by the grant? If so please attach copies.		
	How often does the Recipient produce interim financial reports? What information is included in the financial reports (such as income and expenditure tables, balance sheet, reconciled bank accounts)?		
	Does the Recipient have financial audit reports? If yes, please attach a copy of each of the two most recent audited financial statements (including the Management Letters from the auditors for the same periods) and procurement reports. Does the audit include procurement? If not, is there any form of oversight of procurement eg third party monitoring? Are the annual financial statements audited by an external audit firm? If		

	<p>so, please provide name and contact information.</p> <p>Are the audit reports public and/or published on the website? If so please provide the link.</p>		
	<p>What measures are in place to ensure the integrity of the (a) FM and (b) procurement process (eg regular board meetings, externally audited reports)?</p> <p>Do the evaluation committee members sign a declaration of impartiality and disclose any conflicts of interest? If so please attach a copy of the declaration.</p>		
	<p>Has the Recipient procured and administered contracts of a similar type and size to the one for which it will be responsible under the grant-financed project/activity? If so, please indicate (for the last two years): (a) type of contracts (consulting firms, individual consultants, goods, works); (b) the average contract amount per each type of contract; (c) the number of such contracts per year.</p>		
	<p>What experience does the Recipient have in monitoring and evaluation of projects?</p> <p>Does the Recipient have staff capable of undertaking M&E work?</p> <p>Does the Recipient already have an M&E system in place?</p>		
<p>Environment and social safeguards (assessment goes to Draft appraisal stage ISDS)</p>	<p>How will the project affect any of the following?</p> <ul style="list-style-type: none"> • natural habitats • forests • pest management • physical cultural resources • indigenous peoples • involuntary resettlement • safety of dams • international waterways • disputed areas • any other environmental feature <p>any other social group</p>	<p><u>Not applicable</u></p>	<p><u>TTL to provide comments at appraisal stage if ISDS need is defined at concept stage</u></p>

Annex 1: FM assessment and mitigating actions (if any)

[to be prepared by Bank staff]

Annex 2: Procurement assessment and mitigating actions (if any)

[to be prepared by Bank staff]

Template for Simplified Operational Risk Assessment Framework (ORAF) for small RETFs

1. Project Stakeholder Risks		Rating		
Description:		Risk Management:		
		Resp:	Due Date:	Status:
2. Implementing Agency Risks (including fiduciary)				
Capacity		Rating:		
Description:		Risk Management:		
		Resp:	Due Date:	Status:
Governance (including Fraud & Corruption)		Rating:		
Description:		Risk Management:		
		Resp:	Due Date:	Status:
3. Project Risks				
Design		Rating:		
Description:		Risk Management:		
		Resp:	Due Date:	Status:
Social & Environmental		Rating:	<u>To be filled by TTL if applicable based on concept note stage decision.</u>	
Description:		Risk Management:		
		Resp:	Due Date:	Status:
Delivery Monitoring		Rating:		
Description:		Risk Management:		
		Resp:	Due Date:	Status:
Other		Rating:		
Description:		Risk Management:		
		Resp:	Due Date:	Status:
4. Overall Risk Rating				
Comments:				

ⁱ **Question 1: Proposal's overall objectives.** The proposal's theme must be aligned with one or more of the priority areas identified in the country call for proposals. Within the chosen theme or sector, the specific issue(s) or problem(s) that will be addressed through social accountability must be clearly spelled out. For example:

- If the proposal focuses on monitoring health service delivery, identify the specific services or issues that will be monitored, such as service inputs (e.g. availability of vaccines for children 0-5 years old, of micro-nutrients for pregnant women, antiretroviral treatments for HIV patients, etc.), or service access (e.g. hours of operation at local health clinics, availability of doctors and nurses, infrastructure conditions, etc.)
- If the monitoring process encompasses budget monitoring, the precise issues to be covered must also be indicated: following the latter example, the social accountability approach may include gathering information about sector transfers to health clinics, procurement of inputs and contract supervision, among others.
- For budget monitoring as a more general theme, the specific issues to be monitored must also be spelled out: for instance, enforcement of budget accountability laws and regulations at the sub-national level, citizen participation mechanisms for agreeing on local spending priorities, budget allocations for public investments in critical basic infrastructure, procurement and contract monitoring, etc.

In this question, the reference to the proposed solution(s) must briefly and concisely explain (a) *what social accountability approach will be used to* (b) *achieve what type of changes in the proposal's lifetime. Point (a) must clearly define the type of citizen feedback that will be generated to address the issue or problem.*

Citizen "feedback" is understood as the information provided by citizens and is based on their experiences in accessing or using a certain service or program delivered by the state or a third party contracted out by the state. Information about a public service or program is also generated indirectly by analyzing and systematizing information either from data that is proactively made available to the public, or from requests for access to such public information. Whether the feedback is produced directly or indirectly, it is intended to be used as a basis for the improvement of a specific public service or program.

The justification of the need for this feedback should be briefly mentioned here, and expanded on questions 2 and 3.

Suggested guidance for defining the proposal's strategic objectives: "The Super Duper Impact Planning Guide", by Albert Van Zyl, International Budget Partnership, available at <http://internationalbudget.org/wp-content/uploads/Super-Duper-Impact-Planning-Guide.pdf>

ⁱⁱ **Question 2: role of government and public sector institutions.** The answer must provide a justification for the proposed solution(s) put forth in question 1 by answering all the sub-questions. By reading the answer it should be clear (a) *who in the public sector (including institutions within and outside the Executive branch) is/are interested in obtaining the type of citizen feedback that would be generated by the project, (b) why do they need this information and in which ways will this information benefit their positions and interests in order to motivate or incite them to take action.*

ⁱⁱⁱ **Question 3: social accountability** is approached as a process encompassing (a) the use of a combined set of mechanisms and "tools", including formal (i.e., mandated by laws and regulations) and informal (set up or organized by CSOs and citizen groups themselves), (b) whereby the choice of mechanisms and tools is grounded on several considerations, such as a cost-benefit analysis of alternatives, an analysis of the political-institutional context, an assessment of needs and problems regarding the service delivery chain or the management process, among others, as well as of "entry points" for introducing the process, and of existing capacities and incentives of the actors to be engaged, including service users, CSOs, service providers and public sector institutions.

The approach thus assumes that in order to be effective the social accountability process must engage citizens and public sector institutions, especially those with decision-making power to address the issues raised by citizens and CSOs. It is a double-way process, and as such, it cannot rely only on the assumption that the solution rests on building citizen capacities to generate feedback, or on the generation of such feedback by itself; these are necessary, albeit not sufficient conditions for generating the changes needed to improve or solve the issue. Therefore, the proposed process must be as explicit regarding the actions on the part of public sector institutions (and of other relevant stakeholders such as the private sector, the media, etc.) that will be required for it to be considered a plausible and realistic approach.

Suggested guidance for defining capacity-building activities: “The Capacity Development Results Framework. A strategic and results-oriented approach to learning for capacity development”, by Samuel Otoo, Natalia Agapitova and Jay Behrens, World Bank Institute, June 2009. Available at the GPSA website.

^{iv} **Question 4: Partnerships.** The GPSA encourages applicants to identify partners who may complement the applicant’s expertise, outreach capacity and influence in working towards achieving the proposed objectives. It is assumed that governance and development challenges call for multi-stakeholder coalitions, encompassing stakeholders from diverse sectors, to work together in order to solve them. Partnership arrangements may include “mentoring” schemes, whereby the main applicant CSO has identified one or more “mentee” CSO(s), that are usually nascent, or with less social accountability experience, and puts forth a capacity-building process that uses the proposed operational work as a means for the mentee(s) to “learn by doing”. Partnerships with other CSOs with specific, complementary expertise, outreach and influence may also be put forth. If partners will take on specific responsibilities within the proposal, that are directly related to its planned activities, outputs and outcomes, they must be included as part of the project team (see Question 10) and are expected to participate in a funds’ sharing scheme (see the Proposal Budget guidance).

^v **Question 5: Ongoing/new project.** For ongoing projects, the answer should clearly explain the value added of GPSA support, and what would GPSA funding support within such project. A summary of the ongoing project achievements and challenges should also be included here, as well as a clear explanation of its sources of funding. For new projects, the answer should relate the proposal to the organization’s experience on social accountability and in related projects.

^{vi} **Question 6: Institutional strengthening.** GPSA support may include activities aimed at investing in the applicant CSO’s institutional capacities that will ensure the organizations’ sustainability of operations beyond the proposal’s duration. CSOs working on social accountability usually operate in contexts of limited resources and one of GPSA’s central objectives is to offer “strategic and sustained support” that may allow for mid to long-term strategic planning. The GPSA gives special consideration to the ability of the applicant CSO to relate the proposal to the organization’s current state of development, including efforts to invest in strengthening staff’s capacities on social accountability, but also other activities such as those mentioned in the question.

^{vii} **Question 7: Project areas/components.** The proposal should be structured around areas or components, which consist of sub-sections that are organized together because of their direct relation to one or more intermediate outcomes. A Project component must thus group those activities and outputs that can be directly linked to specific intermediate outcomes as defined in the proposal’s results framework. By reading the Project component one must be able to understand the linkages between the activities included therein, as well as the relationship between the expected outputs and outcomes. See footnotes 7 and 8 below.

^{viii} **Outputs** are the direct products of project activities and may include types, levels and targets of services to be delivered by the project. The key distinction between an output and an outcome is that an output typically is a change in the supply of services (E.g. # of CSOs trained on social accountability, # of meetings with government officials, website set up and running, etc.), while an outcome reflects changes derived from one or more of those outputs (E.g. CSOs apply the skills learnt by implementing a social accountability process, XX Government actor

introduces X change/s in the delivery of X service, Supply of X service is increased by X%, Quality of X service is improved as measured by XX, etc.)

^{ix} **Outcomes** are the specific changes in project participants' behavior, knowledge, skills, status and level of functioning; they should be defined in a SMART way: strategic, measurable, action-oriented, realistic, and timed. **Intermediate outcomes** are attributable to each component, and would contribute to the achievement of final outcomes at the Project level. An intermediate outcome specifies a result proximate to an intended final outcome, but likely more measurable and achievable in the lifetime of a project to an intended final outcome. To ensure the accuracy of assigned intermediate outcomes, the consideration of each proposed outcome should include reviewing who is best situated to achieve the outcome (that is, is this within or outside the scope of this intervention?) and how the outcome might be effectively measured. Example: Teachers use the new teaching methods (intermediate outcome) to improve learning among students (final outcome).

x

Guidance for designing the Knowledge & Learning (K&L) Component

A key GPSA objective is to contribute to the generation and sharing of knowledge on social accountability (SAcc), as well as to facilitate knowledge exchange and learning uptake across CSOs, CSOs networks, governments and other stakeholders. GPSA aims to support its grantees with the best knowledge available on social accountability tools and practices, and also to develop and disseminate them widely among practitioners and policy-makers in order to enhance the effectiveness of SAcc interventions.

GPSA will promote K&L activities such as nurturing practitioner networks and peer learning, especially South-South exchanges through events, on-line resources, and technical assistance. An online Knowledge Platform will provide access to knowledge, support sharing of experiences, facilitate learning, and networking.

GPSA requires that grant proposals include a K&L Component, whereby applicants develop a plan in which the proposed interventions include opportunities for advancing knowledge about strategies and pathways for promoting transparency, accountability and civic engagement. Special emphasis should be made on learning mechanisms (internships, peer-to-peer reviews, Communities of Practice, etc.) focused on grant recipients and partner CSOs, as well as on key external audiences.

Some key questions to answer in designing the K&L Component are:

- ✓ What particular contribution to K&L on SAcc will our proposal make, such as developing tools, replicable models, impact indicators etc., which may have broader usage?
- ✓ What are our K&L needs and knowledge gaps? While proposals are being assessed on their strengths, the proponent's ability to recognize needs and weaknesses is an important aspect as well.
- ✓ What K&L resources do we have? Are they effective in achieving the objectives for which they were developed or do we need to improve them? Are we prepared to share these resources?
- ✓ Who are the specific audiences that we would like to engage in our K&L plan? What are their specific needs and what are the objectives we seek to accomplish in terms of K&L devised for them?
- ✓ How will we realistically develop and disseminate K&L derived from our project? How will we build sustained capacity with our project participants/beneficiaries and key audiences beyond, for example, one-time training or capacity building events?

^{xi} **Question 8: Proposal Action Plan.** The action plan should provide a clear summary of your proposal's operational roadmap. By reading it, it should be possible to understand (a) the activities and outputs that are considered critical for project implementation; (b) the sequencing logic devised (whereby a set of critical activities would lead to X outputs, that must be completed in order to proceed to deliver Y activities and outputs) which should be reflected in the planned calendar; and (c) the milestones that will flag the component's progress towards your expected outcomes. See endnote 14 below for examples.

^{xii} List only the key activities that best reflect the Component's successful implementation throughout the project's lifetime.

^{xiii} List only the key outputs that best reflect the successful delivery of planned activities.

^{xiv} Indicate planned timeframe by quarter for main activities by shading the cells.

^{xv} Milestones must be linked to the outputs and expected Component-level intermediate outcomes:

- ➔ They should summarize the Component's critical achievements by year geared to achieving key project-level outcomes by the end of the project.
- ➔ While a planned output will indicate the project's progress towards achieving a certain level of completion of an activity, for example, the target you have defined for training local CSOs and other stakeholders on the use of a social accountability tool or mechanism (E.g. 5 in Year 1, 10 in Year 2, and so on), a milestone would be achieved when these groups are able to actually use the tool or mechanism which would enable you to assess whether the participants have learned the skill and are able to implement it with increasing levels of independence, and whether these activities are leading up to certain outcomes that you expect to achieve incrementally throughout the project's lifetime.
- ➔ Similarly, you may need to define certain outputs for the process of engaging decision-makers, service providers and others power-holders; these outputs may range from sharing systematized data or information that you have produced independently (E.g. independent budget analyses) or that has been generated jointly by community stakeholders (users of a specific service) and service providers as a result of the implementation of a social accountability tool (E.g. Action Plans derived from community scorecards processes), to other type of outputs that are considered critical such as setting up a civil society-government (or multi-stakeholder) working group, or participating in X number of public hearings, among others.
- ➔ The milestones related to all these outputs, however, should help you identify the actions and events that would indicate that the project is progressing towards its expected outcomes. In relation to the examples provided, some questions that you may ask would be:
 - What do we expect will happen if we share independent budget analyses with XX decision-makers? What would progress mean to us? Could we use certain standards -for instance, we expect sector budget allocations or allocations to fund a specific service within a sector to change in any way- in order to define incremental measures or targets of progress?
 - How would we define progress as a result of the implementation of Action Plans agreed upon in the framework of a community scorecards process?
 - If a multi-stakeholder working group is set up, what are the measures of progress that would indicate that the working group is really functioning?
- ➔ There are also process-related milestones that may be critical for the project, such as, for instance, reaching an agreement with a certain government or public sector agency on the local-level service centers (E.g. schools, health centers, etc.) that will be targeted incrementally by the project; integrating the results of the project's end of Year 1 initial assessment (an output of the project's M&E system) into the project's operational plan, including by adjusting planned activities and outputs; etc. etc.