GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

OPERATIONS MANUAL

JANUARY 31, 2013

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ABBREVIATIONS AND ACRONYMS

AIS	Activity Initiation Summary
BETF	Bank-executed trust fund
CD	World Bank Country Director
CDM	Concept Review Decision Memo
CfP	Call for Proposals
CMU	World Bank Country Management Unit
CSO	Civil society organization
FO	Finance officer within CTRLD
GAC	World Bank's Governance and Anticorruption Strategy
GPSA	Global Partnership for Social Accountability
IAF	Integrated Assessment Framework
ICT	Information and communications technologies
IEG	Independent Evaluation Group
ISDS	Integrated Safeguards Data Sheet
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
PAS	Procurement-accredited staff
RETF	Recipient-executed trust fund
RF	GPSA Results Framework
RoE	GPSA Roster of Experts
ROR	Results-oriented Reports
SAcc	Social Accountability
SAR	World Bank South Asia Region
SC	GPSA Steering Committee
SMU	Sector Management Unit
TFU	Trust Fund Proposal
TTL	Task Team Leader
WBI	World Bank Institute

Contents

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 grants from the Global Partnership for Social Accountability (GPSA). The GPSA Operational Manual (OM) outlines streamlined project processing procedures applicable to all GPSA recipient-executed trust fund grants subject to the June 2012 World Bank Board Paper and Resolution establishing the GPSA and World Bank OP/BP 14.40, Trust Funds. The Secretariat revised the January 2013 GPSA OM to reflect new processes (e.g., eliminating procedural redundancies) to gain efficiencies in the GPSA Grant Making Process. The revised June 2014 GPSA OM was developed in consultation with and endorsed by the World Bank's OPCS and LEG Departments, as well as the GPSA Steering Committee.

2.   The GPSA OM is organized in six sections: **Section 1**-- provides an overview of GPSA's objectives and components, as well as the scope of activities under each component; **Section 2**-- presents the general features of GPSA RETF grants, including eligibility criteria for CSOs, "opt-in" country status, and the use of Calls for Proposals (CfP); **Section 3**-- describes the GPSA grant application review and selection process; **Section 4**-- outlines the GPSA Grant Appraisal/Negotiation/Approval structure; **Section 5**--describes GPSA grant implementation arrangements; **Section 6--** includes other operational features of the GPSA RETF grants; and   **Section 7**-- contains Annexes with supporting documents.

1. GPSA Overview

3.   **The GPSA was designed to complement ongoing World Bank efforts to increase the effectiveness and impact of country-led governance and development reforms, supported by a wide range of actors.** As described in the GPSA 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 World Bank, are already doing"[1].

4.   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***."[2] Accordingly, GPSA activities support the collaboration of civil society organizations and governments to solve critical governance challenges in World Bank client countries. To meet this objective, the GPSA program is divided into two components:

5.   **Component 1: Programmatic support to CSOs for social accountability (SAcc)**. This component awards grants to CSOs working in countries that have "opt in" to GPSA. Four types of support are covered under this component: (1) SAcc initiatives undertaken by CSOs to strengthen transparency and accountability; (2) up to 100 percent of core funding (operating costs) to support institutional development of CSOs working on SAcc; (3) recipient-executed grants for mentoring nascent CSOs working on SAcc; and (4) World Bank-executed grants for technical assistance and capacity-building on SAcc.

6.   **Component 2: Knowledge Activities**. Two types of support are covered under this component: (1) additional knowledge and learning (K&L) activities complementing those financed under Component 1; and

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[1] Board Paper, op.cit, para. 23, p. 10.
[2] Ibid, Executive Summary, para. 2.

(2) a Knowledge Platform for SAcc (KP) developed and managed by the GPSA Secretariat, to include targeted support for knowledge-generation and exchange activities, as well as strengthening of practitioners' networks and communities of practice at the regional and global levels.

7.   In addition, GPSA may provide **strategic capacity building and knowledge grants outside the usual call for proposals** to national and international CSOs to enhance the capacity of grant recipients for effective implementation of proposed activities and to learn from those experiences. In this context, the GPSA would support (a) CSOs in countries where there is not yet strong expertise on social accountability (and in which there may be no CSOs with a track record of social accountability work); and (b) newly established CSOs, or CSOs with low capacity.

8.   Table 1 below summarizes GPSA's areas of support as organized under the above components:

Table 1: GPSA's Support Areas by Components

Components	Objective	Scope of Support	Execution Type (CSO/WB)
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
Support for Knowledge Activities	- Build a Social Accountability Knowledge Platform for knowledge-generation, learning and exchange	- 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	- Recipient-Executed by national and international CSOs & Bank-Executed
	- Strategic capacity building and knowledge grants outside the usual call for proposal	- Support (grants or direct capacity building/mentoring) would 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).	- Recipient -Executed

2. General Features of GPSA Grants Provided Trough

9.   **The GPSA makes grants available to CSOs for programmatic and knowledge activities related to social accountability (SAcc)**. These activities amplify efforts to improve development effectiveness via social accountability approaches and institutional development of CSOs. GPSA grants are also available for mentoring, knowledge, and capacity building activities. All grants are provided in accordance with the *Guidance Note on Multi-stakeholder Engagement* and consistent with the World Bank's Articles of Agreement and policies and procedures. In addition, all potential CSO recipients must reflect the 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.

10.   **CSO Eligibility Criteria.** CSOs eligible to receive GPSA grants must be legal entities that fall outside the public or for-profit sectors and are eligible to receive foreign funding under the country's applicable legal framework. These include non-government organizations, not-for-profit media organizations, charitable organizations, faith-based organizations, professional organizations, labor unions, other workers' organizations, associations of elected local representatives, private foundations, and policy development or research institutes, provided that these CSOs do not have partisan associations and their grant applications do not 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."[3]

11.   **Opt-in Country Status.** National governments may submit an "opt in" letter to the World Bank indicating their consent to be included in the GPSA (see Annex 1). By submitting this "opt in" letter, a national government effectively grants an umbrella, upfront, programmatic consent to each individual GPSA grant operating in its country without later needing to provide specific consents for each grant proposal. Once a country has opted in, GPSA may support CSOs based and/or operating in that country. Global and regional CSOs are eligible to receive GPSA support when their own local offices have an independent administrative and governance structure in the "opted-in" country. In addition, global and regional CSOs based in countries that have not "opted in" can participate provided they can demonstrate that they have an established and effective relationship with a local CSO in a country that has "opted-in" to the GPSA.

12.   **The GPSA allocates grants on a competitive basis to eligible CSOs for programmatic, institutional strengthening, and mentoring activities related to SAcc (Component 1 activities above).** Each grant is expected to include a sub-component to foster knowledge management, learning, and networking. In each case, disbursements are linked to key project milestones agreed with the recipient CSO, which may be adapted over time to reflect performance and lessons learned. All grant applications must meet the following minimum eligibility criteria:

-   Align with the country-tailored call for proposals.
-   Present a logical, achievable implementation strategy, including a sound budget.
-   Reflect the GPSA principles of constructive engagement.
-   Demonstrate a close correlation between the proposed activities and intended improvement of the governance framework at the country level.

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[3] GPSA Board Paper, Annex C. Activities Not Eligible for Funding and Conflicts of Interest, paragraph 7, pg 41.

13. **Funding amounts, Co-financing, and Duration of GPSA Grants under CfPs**. Grant amounts can range from US$500,000 to US$1,000,000 to be disbursed over a three to five year time period. Annual GPSA financing may not exceed fifty percent of the recipient CSO's total organizational annual budget[4], but it may cover 100 percent of proposed SAcc interventions. In order to ensure a balanced distribution of GPSA funding across countries, total funding per country per year is determined by the following formula:

$$Total\ funding\ per\ country = \left(\frac{Available\ funding\ per\ CfP}{No.\ participating\ countries\ per\ CfP}\right) \times (Available\ funding\ per\ CfP/4\ )$$

14. **GPSA Calls for Proposals (CfP)**. From time to time, based on available grant-making resources, the GPSA issues a round of calls for proposals targeting CSOs from countries that "opt-in" to the GPSA. Each round features one or more CfPs that are tailored to specific country regional or global governance challenges identified by Bank country teams or GPSA Secretariat in consultation with local CSOs, governments, donors, and GPSA global partners. In order to ensure effective alignment with national or regional development strategies and variables of the local context, the CfP at the country or regional level are based on specific solutions to governance challenges. A particular focus is to seek support civil society and Governments to work together to solve critical governance challenges in developing countries. In order to encourage harmonization when feasible GPSA also seeks country-level collaboration with other World Bank activities, donors, government officials, global partners, and stakeholders supporting broad governance reforms and social accountability programs. Grants at the regional level primarily focus on knowledge-exchange and networking.

15. **Non-CfP Grants.** In addition to grants provided to CSOs under country-tailored CfPs, GPSA may provide strategic capacity building and knowledge grants outside the usual call for proposals to national or international CSOs for more effective implementation of proposed activities and to learn from those experiences.

3. GPSA Grant Application Review and Selection Process

16. **Responding to country-tailored CfPs in a specific round of CfPs, eligible CSOs from countries that "opt-in" to the partnership may submit a GPSA funding proposal** (see Annex 2: Grant Application Form). At the Identification / Concept Review Stage, all GPSA grant applications for a particular round undergo a two-step preliminary review process before being submitted to the GPSA Steering Committee (SC) for concurrence at the Project Concept Stage. Following the Steering Committee Meeting, a Concept Review Decision Memo issued by the relevant World Bank managing Director of the World Bank sets forth a final list of candidates to receive GPSA grants for that round of CfPs.

17. **Identification/Concept Review.** During this stage, GPSA grant applications undergo a two-step review process:

18. **First Step: World Bank Country Management Units (CMUs) conduct a screening for grant eligibility using a standardized template provided by the GPSA Secretariat** (see Annex 3). CMUs play a pivotal role for country-level grants, since GPSA support needs to be tailored to each country context, including with respect to partnerships and risk assessment. Following this screening, CMUs forward all eligible proposals to the GPSA Secretariat using the standardized template. Only those proposals that meet the relevant eligibility

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[4] The definition of "annual operating budget" can include the GPSA disbursement.

criteria are allowed to continue to the second step of the review process (technical review). The CMU eligibility screening consists of verifying the following:

19.   *Proposal alignment:* Confirm that project objectives and activities align with priority themes outlined in the country-tailored CfP. In addition, the CMU verifies that the GPSA proposal was submitted in English.

20.   *Legal status of potential recipient CSOs:* For each potential recipient CSO, confirm proof of legal status in the relevant opted-in country through official documents that prove its formal registration in that country (e.g., presidential decree and certification).

21.   *Proven track record of potential recipient CSOs:* For each potential recipient CSO, confirm evidence provided by the CSO of its experience in the area of the country-tailored CfP, and a vision matching the goals of the GPSA as assessed via at least three references or reports of the CSO applicant's recent projects.

22.   *Status of potential implementation partners:* For each potential implementation partner, confirm either (i) proof of legal status in the relevant opted-in country through official documents that prove its formal registration in that country (e.g., presidential decree, certification, etc.), or (ii) with respect to global and regional CSOs based in countries that have not "opted in," [a clear demonstration] that they have an established and effective relationship with a local CSO that satisfies (i) above in that country.

23.   *No political interference:*   Consistent with the World Bank's "Guidance Note on Bank Multi-Stakeholder Engagement," carefully assessing the "risk of political entanglement – real or perceived" [based on a good understanding of the political economy of the country] and recommending any measures to be taken to ensure that activities are "implemented in a neutral, non-partisan fashion."

24.   <u>Second Step:</u> **Technical review of proposals by an independent Roster of Experts (RoE) with strong regional and technical capabilities.** With respect to each proposal forwarded by CMUs to the GPSA Secretariat as having met the relevant eligibility criteria, individual experts selected by the GPSA Secretariat from the GPSA RoE are requested to submit independent evaluations and recommendations to strengthen the respective grant applications. These RoE evaluations use a standardized point scale system, allowing the GPSA Secretariat to rank eligible proposals with respect to the RoE reviews.   The GPSA Secretariat subsequently decides which proposals merit consideration by the GPSA Steering Committee (SC). Table 2 (below) summarizes the criteria for RoE assessment of technical merit.

Table 2: GPSA Roster of Experts (RoE) Technical Review by Core Areas and Criteria

Focus on governance and development challenge	Ability to focus on a concrete governance and/or development challenge in the form of a well-defined public policy problem or issue, using supporting data and showing the relevance of the proposed target problem to the areas prioritized in the country-tailored CfP.
Problem-solving and constructive engagement approach	Ability to reflect GPSA's problem-solving approach by providing well-articulated answers to three key questions: - Which government actors or public sector institutions can solve the problem? - What incentives do these actors have in solving the problem? - What kind of feedback will be generated by the project through social accountability processes and how will this feedback be applied?
Justification o f social accountability approach	Ability to justify the need to set up new or strengthen existing social accountability processes by: (i) explaining why the proposed approach will work better than previous or existing initiatives to generate citizen feedback through social accountability, and (ii) explaining how the proposed processes will complement or add value to ongoing service delivery or public

	management.
Partnership approach	The proposal acknowledges the need to engage different stakeholders within and outside government to address the problem. It includes formal or informal partnership arrangements with a clear allocation of functions according to each actor's expertise, outreach capacities, and influence.
Clarity of proposal budget	Clarity and rationale for the proposal's budget as reflected in: (i) balance between the proposal's duration and the requested budget; and (ii) a realistic allocation of budget resources among the applicant CSO and any partner CSOs [implementing partners?] with clear and specific roles, including less-experienced CSOs that may be included as "Mentee CSOs."
Additional criteria	For open data standards consistent with GPSA's access to information and open data policy proposals must indicate how they will ensure that information generated by the project will be shared publicly in timely and accessible formats, including the use of open source formats and the availability of bulk data that can be reused by the public. Institutional strengthening: proposals that make a sound case for investing in the applicant CSO's or in Mentee CSO's institutional capacities will be considered. The proposal must clearly convey the need for such investment in the organization's management capacities, and link proposed activities to the organization's ability to strengthen self-sufficiency and sustainability. Eligible activities include support for organizational development activities such as: corporate governance and leadership succession, management and organizational design, financial management and training on resource mobilization, strategic planning, and capacity-building on monitoring and evaluation.

25.   **Project Concept Stage - GPSA Steering Committee (SC) Concept Review Decision.** Following the two-step Identification / Concept Review Stage (described above), the GPSA Secretariat presents to the Steering Committee (SC) its short-listed grant applications for concurrence. The GPSA Secretariat designates which proposals merit consideration by the SC and forwards these proposals, along with any technical review comments from RoE, to the SC for its concurrence on a consensus basis at a meeting[5]. SC meetings require a quorum of at least six SC members. The SC proposes a final envelope of GPSA grant proposals that fits the budget determined for that specific round of CfPs (see Annex 4, for details on how CfP envelope is calculated), which constitutes the Concept Review Decision. Country members of the SC may contribute to the discussions involving grant proposals from their countries, but are not considered part of the consensus decision. ***Following the Concept Review Decision, the GPSA Secretariat prepares a Concept Review Decision Memo (CDM) to be issued by the relevant managing Director of the World Bank.*** The CDM sets forth the final list of eligible proposals to be appraised and their respective funding amounts for that round of CfPs.

26.   **Communicating with winners CSOs:** Once the CDM is issued, the GPSA Secretariat will inform both the respective Country Office and the preselected grantee that the project has been preselected by the Steering Committee. In this communication the Secretariat will inform the grantee of potential next steps to make the grant effective, including the observations made by the GPSA Steering Committee. In the case of unsuccessful applications, the GPSA Secretariat will generate an automatic email informing the applicants that they were not selected.

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[5] Consensus need not reflect unanimity; consensus will mean a procedure for adopting a decision when no four members block the proposed decision. A dissenting SC member may nonetheless state an objection to be recorded in the meeting minutes. The Chair articulates the consensus view.

4. GPSA Grant Appraisal/Negotiation/Final Approval

27. **Assembling the GPSA Task Team.** Following issuance of the CDM, the task team leader (the GPSA TTL) for the specific round of CfPs coordinates a task team (the GPSA Task Team), including a financial management specialist (FMS) and a procurement-accredited staff (PAS). These individuals have extensive experience working with the World Bank's "Small Recipient Executed Grants" requirements and are expected to provide Bank staff and recipients with timely and high quality guidance in preparing GPSA grants. In addition, the TTL identifies other staff from the GPSA Secretariat and in the Bank whose support may be needed to complete grant documentation and arrangements. Finally, the GPSA Task Team includes a World Bank designated lawyer and a CTR finance officer (FO) and a safeguards staff.

28. **As a first step, all CDM proposals and the respective CSO applicants are subject to a full due diligence assessment[6].** This assessment, carried out by the GPSA Task Team (in particular the fiduciary and safeguards specialists), determines if each CSO applicant (and implementing partners) meets all necessary criteria to advance to the next preparation stage or if corrective measures are needed. This due diligence assessment consists of the following:

- *__Institutional, Fiduciary, and Safeguards Capacity__*: confirming the ability to meet applicable World Bank policies for grants. Each CSO applicant completes the World Bank's Integrated Assessment Framework (IAF), an information questionnaire and assessment framework that covers administrative, fiduciary, and safeguards questions. The IAF includes basic information about the prospective recipient (name, address, etc.); its capacity; arrangements for implementing the grant, as well as monitoring and evaluating its implementation; financial management, procurement, and safeguards.
- *__Governance Structure:__* determining if the CSO applicant has sound internal management policies and practices, such as clear management roles and responsibilities, established methods for planning and organizing activities, human capital, financial and technical resources, and sound implementing partnership arrangements.
- *__Transparency__*: clarifying all sources of funding for the project, assessing the CSO applicant's financial accountability and governance transparency.
- *__Technical Competence:__* Verifying that the CSO applicant's (and implementing partners when relevant) proposed executing team possesses the relevant expertise across all areas for which activities have been proposed.

29. **CMU in consultation with the GPSA Secretariat identifies a country-specific TTL (the Country TTL) for responsibility during implementation.** The CMU designates a country-specific Bank staff to take up responsibility as Country TTL following grant agreement signature, including playing a key role in monitoring and evaluating grant implementation in close coordination with the GPSA Secretariat. Budget for World Bank project supervision will be included in the WPA (Work Program Agreement) with a suggested norm of $20K per year allocated by the CMU. Coordination between the GPSA TTL / Task Team and the Country TTL already takes place during the appraisal and negotiation period.

30. **GPSA Task Team in collaboration with CSO Applicants Prepares a Project Paper Proposal (PPP) to be shared with national government and the country public for comment.** While carrying out the full due diligence assessment, the GPSA Task Team prepares a PPP for each CDM proposal that satisfactorily

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[6] 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)

completes the due diligence process (see Annex 5 for PPP template). The PPP draws from the original proposal and incorporates proposal-specific RoE technical review comments from the ROE and [guidance?] from the SC. *The PPP is made available to the national government for a 10-day comment period, followed by a 5-day public comment period.* PPPs are submitted to the ministry or government agency identified in the "opt in" letter in each of the respective national] governments by each respective CMU for the ten-day review period, after which the World Bank (CMU / GPSA Task Team) follows with a five-day public disclosure and comment period through local / national media. The relevant Country Director (or Regional Vice President in the case of regional grants and Sector Director for Global grants) takes into account all comments received during the two comment periods before approving the project's Activity Initiation Summary (AIS).

31. **GPSA Task Team Prepares a Combined Appraisal Completion/Approval Package.** For each CDM proposal and its CSO applicant that have been determined to be compliant with all GPSA requirements through the full due diligence assessment, the GPSA Task Team prepares and submits a combined appraisal completion/approval package (see Annex 6: Combined Appraisal Completion/Approval Package template) to the GPSA Program Manager for clearance. The appraisal completion/approval package includes:

- Project Paper (Concept Memo Review for micro-grants), including: (i) Appraisal Summary; (ii) results framework; (iii) completed IAF; and (iii) simplified ORAF.
- Evidence of government consent – "opt in" letter from respective government.
- Simplified Procurement Plan.
- ISDS[7] (if required by safeguards specialist).
- Initial draft Grant Agreement.
- Initial draft Disbursement Letter.
- Template for Interim Project Progress Report.

32. **GPSA Task Team Prepares and submits the Grant Funding Request (GFR)**. Drawing on the information contained in the Project Paper, the GPSA Task Team prepares GFRs for each grant for approval by the GPSA Program Manager. Once the GFR is approved, the system automatically creates a child trust fund account and generates a trust fund grant account number.

33. **Finalizing the Grant Agreement and Disbursement Letter.** The GPSA Task Team supports the designated Bank lawyer and CTR finance officer (FO) in the preparation of the Grant Agreement and the Disbursement Letter respectively. The completed draft Disbursement Letter and draft Grant Agreement are circulated by the GPSA Task Team for concurrence from FM, Procurement, Safeguards, and TACT. *The final draft Grant Agreement is cleared by the World Bank's Legal Department prior to its signing, which provides the execution copy*.

34. **GPSA Grant Agreements (GAs) are prepared using the Bank's standardized template for small Recipient-Executed grants** (see Annex 7 for GA template). For GPSA grants that do not require changes to the standard template, the GPSA Task Team prepares the grant agreement using the standard Grant Agreement template, drawing on the Project Paper. In addition, the grant agreement will define the type of implementation arrangements between the CSO applicant and implementing partners (see box below for recommended options).

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[7] Appraisal stage ISDS. The GPSA Task Team sends the appraisal stage ISDS to the Regional safeguards adviser and GPSA Program Manager for clearance. The GPSA Task Team sends the cleared ISDS to the InfoShop for disclosure.

35.   **GPSA Disbursement Letter (DL) is prepared using a customized template** prepared and cleared by CTR. Disbursements under GPSA RETFs follow World Bank OP12.00 Disbursement Payments made out of a Trust Fund Account or IDA Account. At all times, the FO is copied on all exchanges related to the preparation of the DL to intervene as needed and eventually clears the final version of the DL.

Box 1. GPSA Suggested Implementation Arrangement Modalities

A. Partnership relationship between the Recipient (Main CSO) and other Partners CSOs

1. Only the Recipient manages project funds and takes all fiduciary responsibility (FM and Procurement). Partners CSOs do not take any fiduciary decisions.
2. Partner CSOs only receive funds for implementing specific parts of each project. Funds can be transferred in advance or ex-post once activities are implemented by the partner CSO.
3. There is *no need* to assess the capacity (FM and Procurement) of Partner CSOs to receive project funds.
4. Prior to carrying out the Project activities, the Recipient shall sign an Agreement with all Partner CSOs, which shall include, inter alia, the following clauses:
    -   Respective roles and responsibilities of the Recipient and Partner CSOs in Project implementation.
    -   Conditions of the Recipient's payment, out of the proceeds of the Grant, of limited operating costs related to the Partner CSO discharge of its responsibilities.
    -   Obligation of the Recipient to exercise its rights and carry out its obligations under the Partner CSO Agreement in such manner as to protect the interest of the Recipient and the Bank to accomplish the purposes of the Financing.
    -   A covenant indicating that "except as the World Bank shall otherwise agree, the Recipient shall not assign, amend, abrogate, waive or fail to enforce the Partner COS Agreement or any or their provisions thereof."

B. Relationship between the Recipient (Main CSO) and other associated CSOs (not in a partnership relationship).

1. Both the Recipient and associated CSOs manage funds and take fiduciary responsibility (FM and Procurement).
2. Funds can be transferred in advance to associate CSOs to manage certain parts of the project.
3. There is a need to assess the capacity (FM and Procurement) of the associated CSOs before they receive project funds. This assessment can be done by the Bank or by the Recipient.
4. A Subsidiary Agreement is signed between the Recipient and associated CSOs, to include, inter alia ,the following clauses:
    -   Obligations of the Partners CSOs to carry out [X parts of the project] with due diligence and efficiency and in accordance with the provisions of the Grant Agreement.
    -   Obligation of the Recipient to transfer project funds to the associated CSOs.
    -   Obligation of the Recipient and the associated CSO to maintain adequate records and accounts.
    -   Obligation of the associated CSO to make available such documentation to the Recipient and any other information that the Recipient may request.
    -   Obligation of the associated CSOs to procure consultants' services and goods under the project in accordance to the provisions of the procurement section of the Grant Agreement.
    -   Obligation of the associated CSO to take all actions necessary to enable the Recipient to comply with its obligations under the Grant Agreement.
    -   A covenant indicating that the Recipient shall exercise its rights under the Subsidiary Agreement in such a manner as to protect the interest of the Recipient and the World Bank and to accomplish the purposes of the Financing.
    -   A covenant indicating that "except as the World Bank shall otherwise agree, the Recipient shall not assign, amend, abrogate, waive or fail to enforce the Subsidiary Agreement or any or their provisions thereof."
    -   A covenant indicating that "in case of a conflict between the provisions of Subsidiary Agreement and the provisions of the Grant Agreement, the provisions of the Grant Agreement shall prevail."

C. Relationship between the Recipient (Main CSO) and other CSOs hired as consultants.

1. The partner CSOs are hired for consultant services, following World Bank procurement guidelines.
2. The contract is duly reflected in the project's procurement plan.

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36.   **GPSA grants disbursements are linked to the achievement of key project milestones agreed to in the result framework of each grant.** GPSA DLs include an "Indicative Schedule of Withdrawals" which links the eligibility expenditure categories to key milestones. These milestones are designed to be measurable

based on quantifiable criteria (e.g., was the milestone achieved? yes/no). After the first advance of funds is disbursed, the Recipient is required to report on how the funds they have received have been utilized and to what degree the milestones were achieved. ***Before receiving any additional financing the World Bank supervising Task Team confirms that agreed milestones were achieved***. In addition, as part of the Bank's supervision, monitoring progress in all substantive/technical aspects of grants, including disbursement, against the targets, development objectives and performance monitoring indicators set out in the Grant Agreement, consulting as necessary with CTR FO.

Box 2. Eligible Expenditures under GPSA RETF Grants

- *Training:* includes expenditures that would not otherwise be covered under goods and consulting services. For example, fees to rent training facilities, per diem and travel expenses paid to trainers (if these expenditures are not included in their consultant contract), or printing and distribution of training material. They are distinguished as a separate expense category for 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 and non-consultant services:* includes tangible products such as but not limited to stationery supplies, office equipment, computer hardware and software, audio visual equipment, photocopiers, and printed material. Art, furniture, carpet, vehicles, and generators are excluded as eligible goods.
- *Consultant Services:* includes services provided by individuals of firms, including audit services.
- *Up to 100-percent of Operating Costs:* covers administrative costs such as staff costs (including staff salaries), office rental, secretarial services, transportation, basic utilities (electricity, water), and communication expenses (telephone and internet access).

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37.   **GPSA Task Team Negotiations with Grant Recipient.** Throughout project preparation, the GPSA Task Team discusses and reaches an agreement with the grant Recipient on suggested project implementation arrangements, description of activities, milestones etc. These agreements are recorded in the Project Paper. In addition, the grant recipient designates its representative authorized to sign the Grant Agreement as well as the legal status of potential Recipient CSOs and CSO partners when applicable. When finalizing the Grant Agreement and Disbursement Letter, the GPSA Task Team and grant recipient conduct a virtual negotiation where the completed Disbursement Letter (including agreed project milestones) is sent to the Recipient together with draft Grant Agreement and results framework.

38.   **Grant Agreement and Disbursement Letter signing, and project effectiveness.** GPSA Task Team prepares (in collaboration with the Bank's Country Lawyer) execution copies of the Grant Agreement and Disbursement Letter and arranges for signature by the World Bank Country Director (or, for global grants, the relevant Network director) and the recipient CSO. Unless there are additional conditions of effectiveness, the Grant Agreement becomes effective once it is countersigned by the recipient. The Grant Agreement and the Disbursement Letter are signed in two originals, one for the Bank and one for the Recipient. The GPSA Task Team retains the original hard copy of the countersigned Grant Agreement and sends it along with the original signed Disbursement Letter to Official Documents in LEG, with an official transmittal memorandum based on a template provided by LEG. LEG distributes the scanned copy of the countersigned agreement and the disbursement letter to TACT for purposes of activation of the trust fund. In addition, the GPSA Task Team provides a .pdf file of the countersigned Grant Agreement and Disbursement Letter to LEG, TACT, and CTR.

5. GPSA Grant Implementation Arrangements

39. **Once a grant becomes effective, the GPSA Task Team transfers the project to the Task Team designated by the CMU and relevant Sector to manage project supervision.** The Bank supervising TTL works with the Recipient to obtain the original signatures of the Recipient's authorized signatories for withdrawal applications. The original specimen signature letter must be filed in Official Documents, normally done by LEG, before disbursements can be made. The TTL also provides a pdf file of the specimen signatures letter to LEG, CTR, and TACT. Upon effectiveness of the Grant Agreement and after receipt of the original signed Authorized Signatories Form and the Recipient can prepare and submit the *first Withdrawal Application for the initial advance* (duly signed by the Authorized Signatories). The GPS Task team continues to support the Bank Task Team responsible for project supervision.

40. **Monitoring and Reporting Mechanisms.** The following mechanisms are intended to ensure the collection of appropriate and sufficient data and feedback to fulfill GPSA's monitoring and evaluation responsibilities:

- *Bi-Annual Reports.* CSO recipients must furnish bi-annual financial and activity progress reports (Results-oriented Reports, RORs) to the World Bank supervising 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 Annex 8.
- *Field Visit Reports.* As part of grants' ongoing supervision, TTLs may conduct field visits to more closely monitor grant implementation and provide technical assistance to grantees.

41. **For the Knowledge Component, reporting is carried out through the Grant Reporting and Monitoring (GRM) module**, which includes progress and completion reports. In addition, Bank-Executed Knowledge products are disseminated through the GPSA's Knowledge Platform.

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

43. **Program-level Evaluations.** Independent evaluation is a governance responsibility. As recommended by IEG's assessment of global partnership programs it is critical that the Partnership's governing body (Steering Committee) take ownership of independent evaluation. Independent external evaluations are expected to be carried every two years[8].

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

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[8] Consistent with GPSA Board Paper, paragraph 64, p. 24-25

Phase	Description	Main actors involved
Phase I *Formulation and* *Call for Proposals*	- Country multi-stakeholder consultations - Global CfP tailored to country priorities and cleared by CMU - Global CfP issued and publicized	- GPSA Secretariat - CMUs, - CIs
Phase II *Selection of* *Proposals*	- Submission of Proposals	- CSOs
	1st Stage Review: Identification/ Concept - Proposals screened by CMU - Proposals reviewed by Roster of Experts - Proposals ranked and submitted to Steering Committee by the Secretariat - Proposals pre-approved by Steering Committee - Decision Note issued by Network Director -	- GPSA Secretariat, CMUs - RoE - SC - Network Director
	2nd Stage Review: Appraisal/Negotiation - Proposals shared with Government for comments - Proposals shared with Public for comments - Due diligence conducted - Project Package completed - Grant Agreements (GA) and Disbursement Letters (DL) completed by LEGAL and LOA respectively. - GM and DL cleared by FM, PR, SAFEGUARD and TACT - AIS processed	- GPSA Secretariat, CMUs - Governments - General Public - FM - LEGAL - LOA - PR - SAFEGUARD -
Phase III *Awarding of* *Proposals*	- Grant Agreement signed - Award winners announced	- GPSA Secretariat, - Grants' winners - Country Director
Phase IV *Implementation*	- Project transferred to TTL and supervision norm (20K) included in WPA - AISs and GFRs transferred to SMU Implementing Units by GPSA Secretariat - Signature specimen and first disbursement request submitted by Grantees - First disbursement disbursed and project activities initiated - Project monitored and periodic reports presented to Secretariat.	- GPSA Secretariat - Grantees - TTLs - SMUs - Disbursements - Fiduciary Specialists

6. Other operational features of GPSA RETF Grants

6.1 Disclosure Requirements and Access to Information Policy

45.   Disclosure requirements comply with the World Bank's Access to Information Policy. The status of individual proposals – from submission to implementation – are made public on the GPSA website.

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

47.   **Information Requests and Grievance Redress Mechanism.** The GPSA Secretariat manages an open, active, two-way communication channel with all Program stakeholders by:

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

48.   Information requests and grievances related to any aspect of GPSA operations are submitted to the GPSA Secretariat, which redirects them accordingly.

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

6.2 Fraud, Corruption, and Sanctions

50.   RETFs are subject to the same policies and procedures as all IBRD and IDA financing; therefore, sanctions reform applies to all GPSA TF grants. All such grants incorporate, and are subject to, the Bank's Anti-Corruption Guidelines[9] and the Procurement and Consultant Guidelines, as revised in January 2011, as well as the revised Standard Conditions for TF Grants dated February 15, 2012.[10] The revised Standard Conditions provide for suspension and/or cancellation of disbursements, as well as the refund of disbursed grant proceeds, in the event of fraud and corruption in connection with the use of grant proceeds. The Anti-Corruption Guidelines specify actions to be taken by grant recipients to prevent and combat fraud and corruption in connection with grant proceeds.

51.   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.

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[9]http://siteresources.worldbank.org/INTLEGSTAFONLY/Resources/AnticorruptionGuidelinesOct2006RevisedJan2011.pdf or available at www.worldbank.org
[10] http://siteresources.worldbank.org/INTLAWJUSTICE/Resources/STDGC-English-12.pdf

7. ANNEXES

Annex 7.1 - Opt in Letter

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 7.2 – Grant Application Form

Welcome to the GPSA Grant Application!

	SECOND CALL FOR PROPOSALS **NOVEMBER 18TH, 2013 – JANUARY 6TH, 2014**

Instructions

> 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 Part 1: Proposal Basic Information. 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.

> Part 2: Main Application Form and Part 3: Proposal Budget 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:

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

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. *E.g.: June 2014 – June 2017 / 36 months*

Other funding sources. Both proposals that are part of ongoing projects/programs AND new proposals MUST provide complete and accurate information about additional funding sources. Please indicate:

- **(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.

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.

If no additional funding, you must indicate "N/A"**.**

1.6 **ONGOING/NEW Project.** Please specify:
- ➢ 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]

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**)** Please indicate:
(a) Name of Partner[s] *(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.), 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 budget only.

(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.

(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.

(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.

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. Please include:
(a) Names of person
(b) Position
(c) Name of Organization
(d) Contact information (telephone and e-mail)

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 use 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]

GPSA Access to Information and Open Data Policy.

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.

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:
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.

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.

ATTACHED FILES. Please upload required files here. Please note that your application will NOT be considered without these documents:

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.

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

1. **Define the overall objective(s) of the proposal.** 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 500 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?** 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

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

3. **What is the social accountability approach 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.** 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 500 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?

MAX 500 WORDS

6. **Institutional strengthening.** 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 500 WORDS

7. **Project areas/components**: how do you propose to organize your project?

Area/Component 1	[Insert title or definition of Project area]
Activities	List the Component's main activities. Number the activities.

Outputs	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	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 <u>Knowledge and Learning (K&L)</u>	**[<u>Please note</u>: 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>	

8. **Action Plan.** Use the Gantt chart below to present your proposal's Action Plan. Please refer to the examples provided in the endnotes.

Key Activities	Main Outputs/Deliverables	Estimated Schedule *(use years applicable to proposal's duration)*									
		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.									
2.	2.										
3.	3.										
4.	4.										
5.	5.										
Milestones *[List milestones in this column. Add rows as needed] Shade cells to indicate milestone achievement estimated timeframe.*											
➢			E.g.								
➢					E.g.						
➢											
➢											
Component 2:											
Milestones											
Component 3:											
Milestones											

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 [delete for filling-out]	Project Manager	Full-time Personnel Full project duration	Component 1	▪ 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	
[Add rows as needed]				

*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

<u>Question 1: Proposal's overall objectives.</u> 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.*

<u>Citizen "feedback"</u> 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

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.*

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.

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).

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.

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.

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.

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.)

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).

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?

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.

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

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

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

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.

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

Annex 7.3 – CMU Eligibility Screening

(Word Version of Online Template)

Instructions for CMU Reviewers

Step 1 of GPSA's review of grant applications consists of checking eligibility based on two main criteria:

1) <u>Alignment with country Call for Proposals</u>: the application's overall objectives must respond to the priority issues, themes and sectors indicated in the call for proposals of the country where the proposal would be implemented.

2) <u>Basic references about applicant CSO</u>:
   a. <u>Legal status:</u> the applicant CSO has legal status as a civil society organization in any of GPSA's "opted-in" countries, and
   b. <u>Track record</u>: (i) at least three years of relevant experience on social accountability as evidenced by past/ongoing projects, and (ii) at least three contact persons that can provide references about the organization's performance.

The template below will guide you through the application information that needs to be reviewed in order to check with the aforementioned eligibility criteria.

Please fill out one review per application. You will be able to save the review as a draft. When all the reviews from one country are completed, you will be able to submit them altogether.

By clicking on this link you will be directed to the GPSA's electronic platform containing the grant applications from your country**.**

[LINK]
[Create new review]
Country: [mark from list of participating countries]

Proposal's title:

1. **Alignment with country Call for Proposals.**

See <u>Question 10 - Proposal Summary</u> in the electronic application (Part 1: Proposal Basic Information)

Check if the proposal's overall objectives are aligned with the priority themes and objectives outlined in the Call for Proposals of the country where it would be implemented.

2. **Eligibility of Applicant CSO**

See Question 8 - Brief organizational information in the electronic application (Part 1: Proposal Basic Information)

--> Legal status: the answer indicates that the applicant CSO has legal status as a civil society organization in any of GPSA's "opted-in" countries. A copy of its legal status is attached to the application (see the attachment at the bottom of the application)

--> Track record on social accountability: the answer includes references of projects related to transparency, accountability and citizen participation implemented by the applicant CSO in the last three years.

--> References: the answer includes the names and contact information of at least three persons that can provide references about the organization's track record.

Check if the answers to the three sub-questions contain complete information as indicated in the guidance above.

3. Final Assessment

Eligible application:

- NO
- YES **[opens to the question below if marked as yes]**

Are there any special considerations that the GPSA Secretariat should take into account when considering this proposal for potential funding?

Additional comments by CMU. Please add here any additional comments about the eligibility check of this application.

GLOBAL PARTNERSHIP for SOCIAL ACCOUNTABILITY

Annex 7.4 – GPSA Envelope Calculation

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.

Basis of Commitment Risk

	(a)	(b)	(c)	(d)	(e)=(c) -(d)	(f)	(g)	(h)	(i)=(g) -(h)	(j)=(i)*.5	(k)	(l)= (e)+(j)+(k)
	Contributions Paid In	Investment Income	Revenue	Estimated Annual Secretariat Costs	Cash Available for Commitment	Total Grant (BETF and RETF) Commitments beginning of FY	Contribution Receivable	Future Secretariat Costs	Contribution Receivable Available for Commitment	50% of Receivables Available for Commitment	Total Committable -Committed T0	Total Grant (BETF and RETF) Commitments end of FY
FY13												
FY14												
FY15												
FY16												
Total												

Notes:
(a): Contributions Paid In (WB + other donors)
(f): allocation observed for grants in previous year
(g) For FY2013: Total Revenue - (a) - (f)
(g) For FY2014 and beyond: Total Revenue - (a) - (l) previous year - (d) SUM previous years - (f) SUM previous years
(k) : (l) previous year - (f)

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

Annex 7.5 – PPP template

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY	**SECOND GLOBAL CALL FOR PROPOSALS**

PROJECT PROPOSAL PAPER

FOR

GPSA GRAT

[(US$ xxx EQUIVALENT)]

TO

[NAME of CSO]

[COUNTRY]

FOR A

[TITLE OF THE PROPOSAL] PROJECT

[DATE]

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

DATA SHEET

[COUTRY]

[PROJECT TITLE]

[REGION]

[SECTOR]

Basic Information			
Date:	[March X, 2014]	Sectors:	[DEFINE %]

Recipient: [Name of CSO]	
Executing Agency: [Name of CSO]	

Contact:	[Name]	Title:	[XXX]
Telephone No.:	[XXXX]		[XXX]
		Email:	

Project Financing Data(US$M)

[ ] Loan	[X] Grant	[ ] Other
[ ] Credit	[ ] Guarantee	

Expected Disbursements (FY/US$)

Fiscal Year	Year 1	Year 2	Year 3	Year 4	Year 5				
Annual	0,00	0.00	0.00	0.00	0.00				
Cumulative	0.00	0.00	0.00	0.00	0.00				

Project Development Objective(s)

The Project's overarching objective is to….

Components

Component Name:	Cost (US$)
Name	0.00
Name	0.00
Name	0.00

I. **PROJECT DEVELOPMENT OBJECTIVES**

A. **PDO**

B. **Project Beneficiaries**

The Project's direct beneficiaries include:

The Project's indirect direct beneficiaries include:

II. **PROJECT DESCRIPTION**

A. **Project Components**

B. **Project Financing**

Project Costs	Total Project Cost (US$)	GPSA Grant Financing (US$)	CSO Financing** (US$)	WB Financing (US$)	GPSA Financing (%)
Component 1.	0.0	0.0	0.0	0.0	0.0
Component 2.	0.0	0.0	0.0	0.0	0.0
Component 3.	0.0	0.0	0.0	0.0	0.0
Total Base Cost	0.0	0.0	0.0	0.0	0.0
Other costs	0.0	0.0	0.0	0.0	0.0
Total Project Cost	**0.0**	**0.0**	**0.0**	**0.0**	**0.0**

* Annual World Bank Project supervision budget of US$20,000.
** Financing covers mainly operational costs.

III. **IMPLEMENTATION**

A. **Implementation Arrangements**

B. **Results Monitoring and Evaluation**

C. **Sustainability**

Annex 7.6.1 – Project Paper

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

PROJECT NAME

{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}

GLOBAL PARTNERSHIP FOR **SOCIAL ACCOUNTABILITY**

COUNTRY
Project Name

TABLE OF CONTENTS

Page

DATA SHEET

Country Name

Project Name

Small RETF Grant Project Paper

Region

Unit

Basic Information	
Date:	Sectors:
Country Director:	Themes:
Sector Manager/Director: … / …	EA Category:
Project ID:	
Instrument:	
Team Leader(s):	

Recipient	
Executing Agency:	
Contact:	Title:
Telephone No.:	Email:

Project Implementation Period: Start Date:	End Date:
Expected Effectiveness Date:	
Expected Closing Date:	

Project Financing Data(US$M)

[ ] Loan	[ ] Grant	[ ] Other
[ ] Credit	[ ] 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

Annex 7.6.2 –Result Framework for Monitoring Projects

TITLE											
Project Development Objective (PDO): *"The development objective of this proposal is to improve access and quality of health care services in targeted regions (Bas Congo and South Kivu) through the strengthening of Health Facility Committees."*											
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**				
Indicator One:	☐										
Indicator Two:	☐										
Indicator Three:	☐										
INTERMEDIATE RESULTS											
Intermediate Result, Component 1:											
Intermediate Result indicator One:	☐										
Intermediate Result indicator Two:	☐										
Intermediate Result, Component 2:											
Intermediate Result indicator One:	☐										
Intermediate Result indicator Two	☐										
Intermediate Result indicator Three: .	☐										
Intermediate Result, Component 3: K & L: health facility committees are fully integrated into the health system and beyond.											
Intermediate Result indicator One:	☐										

Annex 7.6.3 –Integrated Assessment Framework

Item: General information on grant Recipient and grant context	
Question	Recipient Response
Name and contact information of Recipient organization i.e. 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 (e.g. 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 e.g. 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: e.g. 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 may arise from the design of the project?	
Which individuals or organizations are likely to benefit from or be adversely affected by the project? E.g. 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?	

Item: Fiduciary Arrangements	
Question	Recipient Response
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 – include a sample of your Financial Management System if available); (b) complete records of procurement transactions and contract administration e.g. 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 (i.e. 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 e.g. third party monitoring? Are the annual financial statements audited by an external audit firm? If so, please provide name and contact information. Are the audit reports public and/or published on the website? If so please provide the link.	
What measures are in place to ensure the integrity of the (a) FM and (b) procurement process (e.g. regular board meetings, externally audited reports)? 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.	

Item: Fiduciary Arrangements	
Question	Recipient Response
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.	
What experience does the Recipient have in monitoring and evaluation of projects? Does the Recipient have staff capable of undertaking M&E work? Does the Recipient already have an M&E system in place?	

Item: **Environment and social safe-guards**	
Question	Recipient Response
How will the project affect any of the following? • natural habitats • forests • pest management • physical cultural resources • indigenous peoples • involuntary resettlement • safety of dams • international waterways • disputed areas • any other environmental feature • any other social group	The project is not expected to have any negative environmental or social impact.

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]

Annex 7.6.4 –Operational Risk Assessment Framework

1. Project Stakeholder Risks	Rating	Moderate(M)		
Description:	**Risk Management:**			
	Resp:	**Period:**		**Status:**
2. Implementing Agency Risks (including fiduciary)				
Capacity	**Rating:**			
Description:	**Risk Management:**			
	Resp:	**Period:**		**Status:**
Governance (including Fraud & Corruption)	**Rating:**	**Low (L)**		
Description:	**Risk Management:**			
	Resp:	**Period:**		**Status:**
3. Project Risks				
Design	**Rating:**	**Moderate (M)**		
Description:	**Risk Management:**			
	Resp:	**Period:**		**Status:**
Delivery Monitoring	**Rating:**	**Moderate (M)**		
Description:	**Risk Management:**			
	Resp:	**Period:**		**Status:**
Overall Risk Rating	**Rating:**	**Moderate (M)**		

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

Annex 7.7 – Grant Agreement

The World Bank
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT
INTERNATIONAL DEVELOPMENT ASSOCIATION

1818 H Street N.W.
Washington, D.C. 20433
U.S.A.

(202) 477-1234
Cable Address: INTBAFRAD
Cable Address: INDEVAS

[_____Date_____]

[1] [*Addressee*
Address]

Re: [*Acronym of TF, e.g., GEF/JSDF/PHRD/CGAP*] Grant No._____[2]
[*Name of Project*] Project

[3][Excellency / Dear Sir/Madam]:

In response to the request for financial assistance made on behalf of [4][*Name of Recipient*] ("Recipient"), I am pleased to inform you that the [5][International Bank for Reconstruction and Development/International Development Association] ("World Bank")[, acting as administrator of grant funds provided by [*name(s) of donor(s)*] ("Donor(s)" under the [*name of trust fund*]]], proposes to extend to the Recipient [6][for the benefit of [*insert name of the beneficiary member country if the recipient of the grant is not the country*] ("Member Country"),] a grant from the [*name of trust find*] in an amount not to exceed [7][*amount in words*] [8][United States Dollars (U.S.$[*in numbers*])] ("Grant") on the terms and conditions set forth or referred to in this letter agreement ("Agreement"), which includes the attached Annex, to assist in the financing of the project described in the Annex ("Project").

[9][This Grant is funded out of the abovementioned trust fund for which the World Bank receives periodic contributions from the Donor[s]. In accordance with Section 3.02 of the Standard Conditions (as defined in the Annex to this Agreement), the World Bank's payment obligations in connection with this Agreement are limited to the amount of funds made available to it by the Donor[s] under the abovementioned trust fund, and the Recipient's right to withdraw the Grant proceeds is subject to the availability of such funds.]

The Recipient represents, by confirming its agreement below, that it is authorized to enter into this Agreement and to carry out the Project in accordance with the terms and conditions set forth or referred to in this Agreement.

Please confirm the Recipient's agreement to the foregoing by having an authorized official of the Recipient sign and date the enclosed copy of this Agreement, and returning it to the World Bank. Upon receipt by the World Bank of this countersigned copy, this Agreement shall become effective as of the date of the countersignature] [10][; provided, however, that the

offer of this Agreement shall be deemed withdrawn if the World Bank has not received the countersigned copy of this Agreement within [_____ days] after the date of signature of this Agreement by the World Bank, unless the World Bank shall have established a later date for such purpose.]

Very truly yours,
[INTERNATIONAL BANK FOR
RECONSTRUCTION AND DEVELOPMENT/INTERNATIONAL DEVELOPMENT
ASSOCIATION]

By _____
[11][Name]
[Title]

AGREED:
[NAME OF RECIPIENT]

By_____
Authorized Representative
Name _____
Title _____
Date: _____

Enclosures:

(1)   Standard Conditions for Grants Made by the World Bank Out of Various Funds, dated February 15, 2012
(2)   Disbursement Letter of the same date as this Agreement, together with World Bank Disbursement Guidelines for Projects, dated May 1, 2006
(3)   "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and revised in January 2011
(4)   "Guidelines: Procurement of Goods, Works and Non-consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers", dated January 2011
(5)   "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers", dated January 2011

[Acronym of TF] **Grant No. _____**
ANNEX

Article I
Standard Conditions; Definitions

1.01.   *Standard Conditions.* The Standard Conditions for Grants Made by the World Bank out of Various Funds dated February 15, 2012 ("Standard Conditions") constitute an integral part of this Agreement.

1.02.   *Definitions.* Unless the context requires otherwise, the capitalized terms used in this Agreement have the meanings ascribed to them in the Standard Conditions or in this Agreement.

Article II

Project Execution

2.01. *Project Objectives and Description.*   The objective[s] of the Project [is][are] _____. The Project consists of the following parts:

[*insert an accurate and comprehensive, but brief description of the various components of the Project based on the approved Grant Proposal*][12]

2.02. *Project Execution Generally.* The Recipient declares its commitment to the objectives of the Project. To this end, the Recipient shall [13][carry out [Part[s] ___ of] the Project [through ____]] [[and] cause [Part[s] ___ of] the Project to be carried out by _____] in accordance with the provisions of: (a) Article II of the Standard Conditions; (b) the "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and revised in January 2011 ("Anti-Corruption Guidelines"); and (c) this Article II.

[2.03. *Institutional and Other Arrangements.* [*Insert additional covenants on institutional or other arrangements, as needed.*] [14]

[15] [2.[04]. *Donor [Visibility] [and] [Visit]*. [(a)] The Recipient shall take or cause to be taken all such measures as the World Bank may reasonably request to identify publicly the [Donor's] support for the Project.

[(b) For the purposes of Section 2.09 of the Standard Conditions, the Recipient shall, upon the World Bank's request, take all measures required on its part to enable the representatives of the [Donor(s)] to visit any part of the [16][Recipient's][Member Country's] territory for purposes related to the Project.]

[17] [2.0[5].   ***Project Monitoring, Reporting and Evaluation.*** (a)   The Recipient shall monitor and evaluate the progress of the Project and prepare Project Reports in accordance with the provisions of Section 2.06 of the Standard Conditions and on the basis of indicators acceptable to the World Bank. Each Project Report shall cover the period of [18][one calendar semester], and shall be furnished to the World Bank not later than [one month] after the end of the period covered by such report.

[(b)   The Recipient shall prepare the Completion Report in accordance with the provisions of Section 2.06 of the Standard Conditions. The Completion Report shall be furnished to the World Bank not later than [*six months after the Closing Date*][*insert other date.*]

2.0[6]. ***Financial Management.*** (a) The Recipient shall ensure that a financial management system is maintained in accordance with the provisions of Section 2.07 of the Standard Conditions.

[19][(b)   The Recipient shall ensure that interim unaudited financial reports for the Project are prepared and furnished to the World Bank [as part of the Project Report] not later than [one month] after the end of each [calendar quarter], covering the [quarter], in form and substance satisfactory to the World Bank.]

[20] [(c)] The Recipient shall have its Financial Statements audited in accordance with the provisions of Section 2.07 (b) of the Standard Conditions. Each such audit of the Financial Statements shall cover the period of one fiscal year of the Recipient. The audited Financial Statements for each such period shall be furnished to the World Bank not later than [six months] after the end of such period.

[21][(c)] The Recipient shall have its Financial Statements audited in accordance with the provisions of Section 2.07 (b) of the Standard Conditions. Such audit of the Financial Statements shall cover the entire period during which withdrawals from the Grant Account were made. The audited Financial Statements for such period shall be furnished to the World Bank not later than [six months] after the end of such period.

[22][(c)] The Recipient shall, upon the World Bank's request, have its Financial Statements audited in accordance with the provisions of Section 2.07 (b) of the Standard Conditions. Such audit of the Financial Statements shall cover the period indicated in the World Bank's request. The audited Financial Statements for such period shall be furnished to the World Bank not later than [six months] after the date of the World Bank's request.

2.0[7]. ***Procurement***.   All goods, works, non-consulting services, and/or consulting services required for the Project and to be financed, fully or partially, out of the proceeds of the Grant shall be procured in accordance with the requirements set forth or referred to in the "Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers", dated January 2011 ("Procurement Guidelines"),

and the "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers", dated January 2011 ("Consultant Guidelines").

2.0[8]. Any contract for Eligible Expenditures to be financed in full or in part out of the proceeds of the Grant shall be included in the procurement plan prepared by the Recipient and approved by the Bank in accordance with the Procurement Guidelines and the Consultant Guidelines, prior to initiating the procurement process for any such contract.[23]

Article III
Withdrawal of Grant Proceeds

3.01.   *Eligible Expenditures.*   The Recipient may withdraw the proceeds of the Grant in accordance with the provisions of: (a) Article III of the Standard Conditions; (b) this Section; and (c) such additional instructions as the World Bank may specify by notice to the Recipient (including the "World Bank Disbursement Guidelines for Projects" dated May 2006, as revised from time to time by the World Bank and as made applicable to this Agreement pursuant to such instructions), to finance [24]___% of Eligible Expenditures consisting of [25][*here, add as appropriate the categories of items to be financed, e.g., goods, works, non-consulting services, consultants' services, Training and Workshops, and Operating Costs*] [26][inclusive/exclusive] of Taxes [27][; provided however that [*specify which type of the above expenditures*] shall not exceed [specify amount or percentage of the total grant amount]].

[28][For the purposes of this paragraph, the term[: (i)] "Training and Workshops" means the reasonable costs, as shall have been approved by the World Bank, for training and workshops conducted under the Project, including tuition, travel and subsistence costs for training and workshop participants, costs associated with securing the services of trainers and workshop speakers, rental of training and workshop facilities, preparation and reproduction of training and workshop materials, and other costs directly related to training course and workshop preparation and implementation (but excluding goods and consultants' services)[.][; and (ii)] "Operating Costs" means the reasonable costs, as shall have been approved by the World Bank, for the incremental expenses incurred on account of Project implementation, consisting of vehicle operation and maintenance, communication and insurance costs, banking charges, rental expenses, office (and office equipment) maintenance, utilities, document duplication/printing, consumables, travel cost and *per diem* for Project staff for travel linked to the implementation of the Project, and salaries of contractual staff for the Project (but excluding consultants' services and salaries of officials of the Recipient's civil service).]

[29]3.02.   *Withdrawal Conditions.*   Notwithstanding the provisions of Section 3.01 of this Agreement, no withdrawal shall be made for payments made prior to the date of countersignature of this Agreement by the Recipient [30][, except that withdrawals up to an aggregate amount not to exceed $____ equivalent may be made for payments made prior to this date but on or after [*insert retroactive financing date*], for Eligible Expenditures].

3.03.   *Withdrawal Period.*   The Closing Date referred to in Section 3.06 (c) of the Standard Conditions is [_____] [____ years after the date of countersignature of this Agreement by the Recipient].[31]

Article IV
Recipient's Representative; Addresses

4.01.   ***Recipient's Representative***.   The Recipient's Representative referred to in Section 7.02 of the Standard Conditions is [32]_____.

4.02.   ***Recipient's Address***.   The Recipient's Address referred to in Section 7.01 of the Standard Conditions is:

_____

_____

Facsimile:

_____

4.03.   ***World Bank's Address***.   The World Bank's Address referred to in Section 7.01 of the Standard Conditions is:

[International Bank for Reconstruction and Development][International Development Association]
        1818 H Street, N.W.
Washington, D.C. 20433
        United States of America

Facsimile: 1-202-477-6391

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[1] The agreement should be addressed to the official legal representative of the Recipient who is authorized to sign, or delegate the signature of, the grant agreement on behalf of the Recipient. If the Recipient is the country/government, this would normally by the Minister of Finance or equivalent minister who normally signs all financing agreements with the World Bank, rather than the line minister or another agency official who may be responsible for the day-to-day implementation of the grant activities. If the activities are to be implemented by a line ministry/agency other than the Minister of Finance or equivalent, Section 2.02 of the Agreement can clarify that through the language "*the Recipient shall carry out the Project through _____.*"

[1] Insert the TF child number generated from the GFR.

[1] Ministers are normally addressed as "Excellency / Honorable Minister."

[1] Use the official/legal name of the Recipient. For country recipients, the recipient should be defined as the country (e.g. "Republic of Ghana") and not the government (e.g. "the Government of Ghana").

[1] Select IBRD or IDA depending on which one is the administrator of the trust fund and/or the specific grant as per the applicable Administration Agreement.

[1] If the Recipient is an NGO or another private entity and not a member country, but the activities will be carried out in the territory of a member country for the benefit of that country, the government (i.e. the Ministry of Finance or equivalent interlocutor with the World Bank) should be informed, and confirm its endorsement of, making the grant to the Recipient. A sample notification and endorsement letter is provided in the guidelines for processing of small grants.

[1] In accordance with CFP's guidance on "Donor Funding Risk and Currency Risk in Trust Fund Programs," the amount of the grant provided under the grant agreement should normally be limited to the funds already received from the donor(s) for the purposes of the grant, in order to reduce donor funding risk and currency exchange risk. As additional funds are received from the donor(s), the amount of the grant agreement and any other related changes to its provisions would need to be reflected through an amendment to the grant agreement. Exceptionally, the grant agreement may include the entire amount that is legally committed by the donor(s) for the purposes of the grant (through the relevant administration agreement(s)) but not yet paid by the

donor(s) in full, if such deviation from the Bank's preferred form of commitment is approved by the line manager at the Director level (e.g. the Director of Operations & Strategy or equivalent).

[1] Insert the applicable currency of the Grant. In accordance with CFP's guidance on "Donor Funding Risk and Currency Risk in Trust Fund Programs", TTLs should try to match the currency of the donor contribution(s) and the TF holding currency (i.e. the currency of the grant).

[1] This bracketed paragraph applies only to grants from donor-financed trust funds. Delete in the case of any grants financed from the Bank's own budget (administrative budget or net income).

[1] Use the bracketed text if the relevant TF grant program envisages a deadline for activation of the grant, inserting the period specified in the relevant TF grant program guidelines or determined in consultation with the relevant TF grant program secretariat.

[1] Check AMS 1.30.C on signing authority for grant agreements.

[1] Note that listing objectives (e.g. 'improve educational outcomes' etc.) or categories of inputs/expenditures (e.g. 'consultants', 'equipment and supplies', 'operating costs' etc.) is not a proper description of activities. The activities to be summarized here are the actions/outputs which the expenditures will finance and which are intended to lead to the desired outcomes/objectives (e.g. 'carrying out studies/workshops on…' 'review and revision of policies and regulations related to…', etc.). Normally, the activities are summarized in the main text of the agreement, unless special circumstances warrant adding a more detailed annex describing the project activities. If any such annexes are included, special care should be given to ensure that its content does not contradict or duplicate other provisions of the grant agreement.

[1] If the Recipient itself will carry out the entire Project, this provision would state that the "*Recipient shall carry out the Project.*" If the Recipient is a country and the activities will be carried out by a specific ministry/department, this can be further clarified with the additional language "the Recipient shall carry out the Project *through [e.g. its Ministry of Health].*" In the rare case that the entire Project will be carried out by another entity that is legally independent/autonomous from the Recipient, the provision should state that "*the Recipient shall cause [name of entity] to carry out the Project*." In those cases, consult with LEG whether an additional subsidiary grant agreement between the Recipient and the implementing entity and a project agreement between the Bank and the entity may be required. In cases where some of the activities will be carried out by the Recipient and others by another entity, the provision should clarify which parts/components of the Project are to be carried out by which entity.

[1] If additional implementation provisions are necessary in the particular grant, consult with LEG.

[1] Use this provision for all TF grants financed by the EC, and for TF grants financed by other donors where the TF administration agreement requires that (i) information concerning the donor's financial support to the project be made publicly available and/or (ii) the donor's representatives are invited to participate in World Bank supervision missions related to the Project.

[1] Keep the reference to Recipient if the recipient is a member country; if the Recipient is not a member country, refer to the territory of the "Member Country" instead.

[1] This Section should be included if the Recipient will be required to prepare periodic Project Reports and/or Completion Report. See Section 2.06 of the Standard Conditions.

[1] Indicate the appropriate periodicity of project reports.

[1] Use this provision if the Recipient will be required to submit interim unaudited financial reports, and the periodicity of preparation and submission of such reports.

[1] Use the following version of paragraph (c) (and delete the other two) if the grant will be subject to annual audits. Specify the deadline for receipt of the audits, normally six months after the end of the fiscal year. The choice should be made consistent with the Grant Proposal and in consultation with the FMS as necessary.

[1] Use the following version of paragraph (c) (and delete the other two) if the grant will be subject to a single audit upon completion of the project. Specify the deadline for receipt of the audit, normally six months after the last withdrawal from the grant account. The choice should be made consistent with the Grant Proposal and in consultation with the FMS as necessary.

[1] Use the following version of paragraph (c) (and delete the other two) if the grant will be exempted from audit, while reserving the Bank's right to request an audit if deemed necessary during project implementation. Specify the deadline for receipt of the audit should the Bank decide to request one during the life of the Project, normally six months after the Bank's request for an audit. The choice should be made consistent with the Grant Proposal and in consultation with the FMS as necessary.

[1] In case the procurement plan includes any contracts procured under National Competitive Bidding (NCB) procedures, the NCB-related provisions need to be included by the country lawyer with inputs from procurement staff.

[1] Specify the percentage of Bank financing of Project expenditures, taking into account the share of any cash counterpart funds that may have been agreed for the same expenditures.

[1] Choose the applicable expenditures in accordance with the approved grant proposal. The sample expenditure items listed in the brackets would normally suffice to describe the universe of possible expenditures financed under small grants. If there are any additional expenditures not captured by these items, consult with LEG whether they need to be added and defined. Note that some trust fund restrict the types of expenditure that can be financed by the particular trust fund.

[1] Specify whether the expenditures to be financed are inclusive of exclusive of taxes, in line with the Country Financing Parameters for the relevant country.

[1] If the particular trust fund has specific guidelines placing certain ceilings on the amount of the grant that can be spent on any particular types of expenditures (e.g. training or operating costs), reflect those here. If there are any other necessary expenditure restrictions, consult with LEG.

[1] Include the bracketed provisions if the grant will finance training and/or operating costs among the list of eligible expenditures under this Section 3.01. Delete any inapplicable items; if additional items need to be added, consult with LEG.

[1] No special conditions of disbursement for any type of expenditure are specified here. If any such conditions are necessary, consult with LEG.

[1] Add the following bracketed text only if retroactive financing needs to be allowed in a particular case. (Note that "retroactive financing" refers only to payments made by the Recipient before the date of countersignature of the Agreement, regardless of when the expenditures were incurred). If retroactive financing is included, specify the amount of such financing (up to 20% of the total grant amount) and the date of retroactive financing (up to 12 months before the expected date of signature of the Agreement).

[1] Note that different TF programs have different policies regarding closing dates.

[1] Specify the title (not name) of the Recipient's official for all future formal amendments, notices and other official correspondence. Normally this is the same official as the addressee of the Grant Agreement who is expected to sign (or delegate the signature of) the Agreement.

Annex 7.8 Progress Report

GLOBAL PARTNERSHIP FOR SOCIAL ACCOUNTABILITY

Name of Project:

Grant amount:

Expected completion date of grant:

Project Manager and Executing Organization:

Reporting period:

Progress made during reporting period:

Challenges encountered / course corrections:

Key lessons learned:

Assessment of expected results/impact:

Success stories or personal stories:

Terms

Information: Targeting data (priority service facilities to be included in the project's targeting; service indicators the government is monitoring through its MIS; budget transfers to service facilities; contracts under preparation and awarded for provision of services and infrastructure in facilities targeted by the project, etc.

Collaboration: Diagnosing problems; defining activities and reaching out to other government officials including at lower-levels of government and service staff such as School Directors, Health Clinics personnel, Administrative staff at the district and municipal level, etc.

Project's Feedback: Examples include monitoring reports, recommendations, action plans, etc.

Horizontal accountability institutions: Examples include Parliamentary Committees, Supreme Audit Institution, Anti-Corruption Agency, Ombudsman, etc.

Course corrections – deviations from original operations plan

In the last 6 months…	Choose one	Additional comments
Have you been able to formalize the terms of collaboration with the government counterparts that you need to engage for the project to start or make progress during implementation?	○ Yes ○ No	
Have you been able to meet with the government counterparts to agree on the specific details for the project to make progress during implementation?	○ Yes ○ No	
Have you been able to obtain the information that you need for the project's operational plan to make progress?	○ Yes ○ No	
Has there been collaboration from specific government officials with whom you need to coordinate the project's activities?	○ Yes ○ No	
Has any public sector institution engaged in the project responded to the project's feedback?	○ Yes ○ No	
Overall, how would you rate your satisfaction with the level of collaboration exhibited by the government counterparts?	Rating	
If you have rated negatively any of the above, please indicate the reasons?	Reason	
Have you been able to obtain information with any of the horizontal accountability agencies/institutions that the project had planned to target?	○ Yes ○ No	
Have you been able to engage in dialogue or collaboration with any of the horizontal accountability agencies/institutions that the project had planned to target?	○ Yes ○ No	
Have you received help or guidance from any WB staff in the process of engaging with public sector institutions?	○ Yes ○ No	
If needed, has the WB staff helped you to access information and people in the public sector that you need to engage for the project?	○ Yes ○ No	
Have you used or contributed to any GPSA knowledge product or participated in knowledge activities?	○ Yes ○ No	
Have you been able to apply or use any of the knowledge obtained to your project operations and analytical work?	○ Yes ○ No	
Have you been able to learn from experiences of CSOs working in contexts that are similar to yours?	○ Yes ○ No	
Has any collaboration with a GPSA Global Partner helped your project?	○ Yes ○ No	

Description of attachments (if any):

Please attach updated Results Framework
Filled in by: **Date:**

Annex 7.9 - Governance and Institutional Arrangements of the GPSA

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:

- 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

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.

The Partnership's structure is comprised of the following stakeholders: i) Participating countries, ii) Steering Committee, iii) Secretariat, and iv) Global partners

Roles and Responsibilities of GPSA Stakeholders

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

Participating countries: The GPSA will operate in countries whose governments have "opted-in" to the program. Governments will submit a letter of consent to the Bank. 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.

Steering Committee: 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

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.

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. 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 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
- *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.

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.

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

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.

GPSA Secretariat: 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.

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.

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

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

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 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.

The Secretariat will coordinate countries' grant-making and grant supervision processes closely with Country Management Units (CMUs). 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 screening 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). 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

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.

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 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.

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.

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.

Global Partners: 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. In addition, this constituency will be consulted during the definition of the call and will provide inputs on Governance and CSO contexts of participating countries.

The Global Partners will meet with the Secretariat periodically to assess the progress of the program and the accountability agenda. These meetings will include an annual Global Forum for all the Global Partners to come together.

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.

Annex 7.10 - 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 7.11 – GPSA Result Framework

Table of Contents

Global Partnership for Social Accountability (GPSA)

Results Framework

8. Introduction

On June 12, 2012, the World Bank's Board of Directors approved the Global Partnership for Social Accountability (GPSA). The GPSA is a coalition of donors, governments and CSOs that supports civil society and governments to work together to solve critical governance challenges in developing countries. To achieve this objective, the GPSA provides strategic and sustained support to CSOs' social accountability initiatives aimed at strengthening transparency and accountability. It builds on the World Bank's direct and ongoing engagement with public sector actors, as well as on a network of Global Partner organizations, to create an enabling environment in which *citizen feedback is used to solve fundamental problems in service delivery and to strengthen the performance of public institutions*.

Through a country-tailored approach, GPSA-supported activities are implemented in sectors where the World Bank has a strong involvement and can help governments respond to citizen feedback. *The GPSA works to "close the loop" by supporting citizens to have a more articulated voice, helping governments to listen, and assisting government agencies to act upon the feedback they receive.* Ultimately, this helps the countries to improve development results and to reach the goals of ending extreme poverty and fostering shared prosperity.

The GPSA is governed by a Steering Committee (SC) comprised of CSO, government and donor agency representatives. The SC is chaired by a WB Vice-President.[11] The Partnership's scope encompasses two main areas:[12]

Grants for Social Accountability	The GPSA awards grants to CSOs and networks of CSOs working in countries that have "opted-in" to the Program. Grants are intended to provide strategic and sustained support to CSOs with the following objectives: - Addressing critical governance and development problems through social accountability processes that involve citizen feedback and participatory methodologies geared to helping governments and public sector institutions solve these problems. Special emphasis is put on problems that directly affect extreme poor and marginalized populations. - Strengthening civil society's capacities for social accountability by investing in CSOs' institutional strengthening and through mentoring of small, nascent CSOs by well-established CSOs with a track record on social accountability.
Knowledge	Offers a global space for facilitating the advancement of knowledge and

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[11] See GPSA Operational Manual for further information about the GPSA's governance structure: www.worldbank.org/gpsa.
[12] Ibid.

Platform	learning on social accountability by (1) leveraging the K&L generated through the GPSA-supported grants, and (2) deepening and expanding networks of social accountability practitioners from CSOs, governments and donor agencies to foster constructive engagement for solving governance and development challenges.

The GPSA's funding is channeled through a Multi-donor Trust Fund, to which the World Bank will contribute US$5 million annually from FY13 through FY16, which brings the Bank's total commitment to US$20 million. Government bilateral agencies and private foundations may also contribute to the MDTF.[13]

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

This document presents the GPSA's theory of change and results framework. The theory of change provides a description of how the GPSA expects its financial and knowledge support to contribute to realistic, measurable outcomes. It identifies the assumptions underlying this vision as well as the outputs and key contextual factors expected to mediate the effects of the GPSA's inputs on outcomes within particular countries.

The GPSA's Results Framework is a tool that will be used to monitor and manage progress and report on delivery. It sets out the indicators and methods that will be used to collect data and measure results that will support learning and adaptation of the GPSA's interventions, as well as inform their evaluations at different stages of implementation.
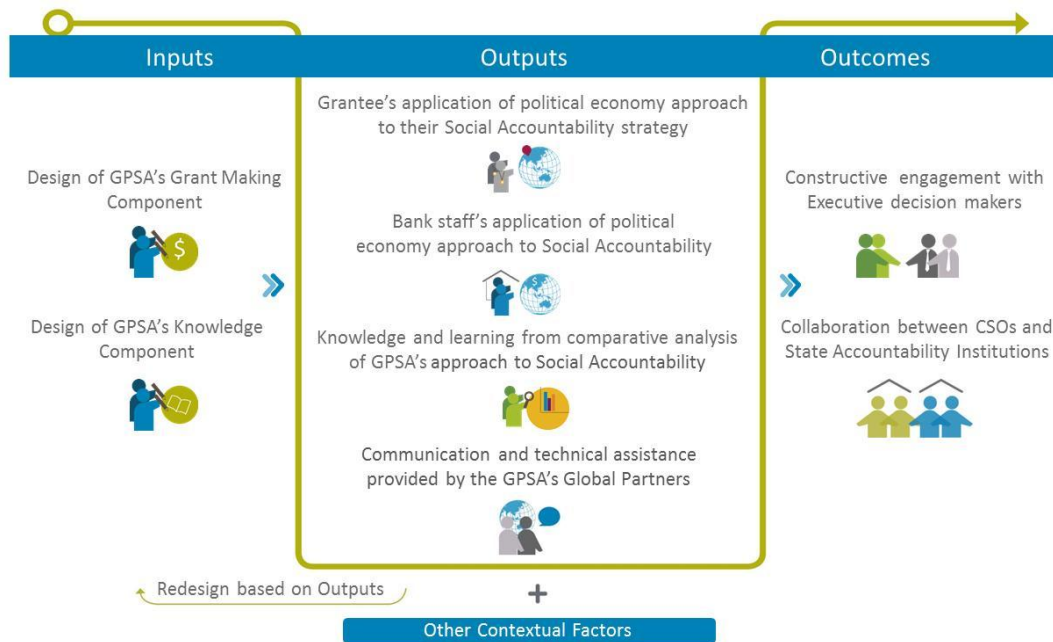
9. Theory of Change

Through its grant making and its knowledge and learning activities, the GPSA seeks to (1) increase constructive engagement between civil society actors and government decision makers in the executive responsible for improved service delivery; and (2) facilitate collaboration between the social accountability initiatives of civil society actors and state institutions of accountability (sometimes also referred to as "horizontal" or "independent" institutions of accountability) for overseeing actors in the executive responsible for service delivery. These are the two main outcomes of the GPSA's theory of change (see Figure 1 1).

Rather than focusing solely on bottom-up citizen action, these two outcomes help to "close the loop" between state-society interactions by encouraging government responsiveness to citizens and civil society actors on citizen preferences for public service delivery and citizen demands for better governmental performance.

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[13] As of February of 2014, the following foundations have made contributions to the GPSA: Ford Foundation: US$ 3 million; Open Society Foundations: US$3 million in parallel funding and Aga Khan Foundation U.S.A.: US$500,000.

The GPSA will work to achieve these outcomes through three main outputs. Unlike outcomes, which are affected by both the GPSA's activities and contextual factors (which we discuss below), outputs are actions taken directly by the GPSA itself. The first is the integration of a comprehensive political economy approach into the operational strategies of the GPSA's grantees borne out of direct engagement with decision makers that have authority over service delivery or the governance of service delivery. The second is the application of strategic problem-driven political economy analyses by the Bank's Task Team Leaders (TTLs) and the Country Management Units (CMUs) working with the GPSA grantees. The third is the knowledge and learning that the GPSA will produce through comparative analysis and sharing of grantee activities and experiences among grantees, Global Partners, and other key actors working on social accountability initiatives.

Figure 1: GPSA's Theory of Change

The GPSA's theory of change posits that its grant making program, and its knowledge and learning activities will work together to produce these three outputs in the operational strategies of GPSA grantees, TTL and CMU work on GPSA projects, and the knowledge and learning from comparative analysis of grantee activities. These three outputs will then work jointly and in interaction with one another to effect change in the theory's two main outcomes. Contextual factors within each country context will also interact with the GPSA's outputs and mediate the impact of the outputs on the outcomes. In addition, the GPSA's theory of change also expects these three outputs to provide feedback to the GPSA during the course of the GPSA's lifetime to inform improvements in the design of both the grant making and knowledge and learning activities.[14]

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[14] The GPSA's theory of change thus differs significantly from other initiatives in transparency and accountability in its emphasis on fostering collaboration and constructive engagement between civil society actors and state decision makers, its explicit political economy approach, and its utilization of the Bank's unique access to and leverage over state decision makers, its convening power, and its broad-based comparative knowledge across country contexts. Twaweza, for example, aims to

10. Outcomes

This section elaborates on the GPSA's focus on promoting constructive engagement between civil society actors and decision makers in the executive and on increasing collaboration between social accountability initiatives and state accountability institutions in ways that can improve service delivery and responsiveness to citizen needs.

Motivations for the choice of outcomes in the GPSA's theory of change

First and foremost, the GPSA's focus on promoting constructive engagement and collaboration between civil society and state actors in social accountability is to enable beneficiary feedback and ensure that citizens and governments have the tools to respond to each other, thereby contributing to the goals of improving development and ending extreme poverty.[15] Within each project, GPSA grantees identify specific development challenges that they aim to address. Given that the specific challenges addressed by grantees vary with each project, the impacts of these interventions on development will be measured and evaluated within grantee projects.

A growing amount of evidence indicates that neither government actors on their own nor civil society actors on their own can produce improved government transparency or accountability.[16] These findings suggest that funders should support social accountability strategies that engage government actors – rather than bypass or ignore them –to achieve their aims.

Facilitating constructive engagement and collaboration between civil society and state actors is also critical in developing countries because of the low-trust, low-efficacy equilibrium that exists in so many places. In many developing contexts, citizens and civil society organizations do not believe that state

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stimulate citizen action and government responsiveness through the collection, curation, and dissemination of information and evidence. Although its theory of change acknowledges that citizen action and government responsiveness may affect each other in turn, its theory of change conceptualize the two outcomes as distinct from one another so that its specific activities focus on having a direct impact on either citizen action or the decisions of authorities, rather than on collaboration and cooperation between civil society and government. Making All Voices Count (MAVC), on the other hand, focuses on encouraging the development of bottom-up innovations that connect citizens and governments in ways that improve government performance. In contrast to the GPSA's strategy of bringing civil society organizations with well-developed social accountability initiatives together with key decision makers in the executive and state accountability institutions, MAVC provides seed grants for the entrepreneurial development of innovative solutions and technologies, scaling-up grants to incubate promising ideas, and grants to researchers seeking to build an evidence base for what kinds of innovations work and why.

[15] See, for example, http://live.worldbank.org/from-engaged-citizens-to-more-responsive-governments.

[16] Shantayan, Devarajan, Stuti Khemani & Michael Walton, "Civil Society, Public Action and Accountability in Africa," Policy Research Working Paper Series 5733 (The World Bank).

[16]Rosie McGee & John Gaventa, "Shifting Power? Assessing the Impact of Transparency and Accountability Initiatives," IDS Working Paper 383 (Institute of Development Studies, 2011). Carmen Malena, Reiner Forster & Janmejay Singh, "Social Accountability: An Introduction to the Concept and Emerging Practice," Social Development Papers Paper No. 76 (The World Bank, 2004). Ghazala Mansuri & Vijayendra Rao, "Localizing Development: Does Participation Work?", Policy Research Reports, (The World Bank, 2013). Claire Mcloughlin & Richard Batley, "The Politics of What Works in Service Delivery: An Evidence-Based Review," ESID Working Paper 06 (International Development Department, University of Birmingham, 2012). Simon O'Meally, "Mapping Context for Social Accountability," Resource Paper (The World Bank, 2013). Jonathan Fox, "The Uncertain Relationship between Transparency and Accountability," Development in Practice 17:4 (2007): 663-671. Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014). Becky Carter, "Budget Accountability and Participation," Helpdesk Research Report (GSDRC, 2013). Stephen Kosack and Archon Fung. Does Transparency Improve Governance? Annual Review of Political Science (forthcoming).

actors can or want to improve their performance and public service delivery. As a result, they either adopt a combative attitude toward the state or exit politics entirely. But the more combative or passive civil society organizations and citizens are, the less confident that state actors are that CSOs and citizens can assist them effectively in improving governance and public service delivery. By focusing on building constructive engagement and collaboration, the GPSA aims to break this equilibrium and move toward a more positive equilibrium where state and societal efforts are complementary and synergistic.

The GPSA has been set up to take advantage of the World Bank's official and unique relationship with governments, the range and reach of its partnership and knowledge services, its convening power, and its ability to complement and reinforce interventions to improve governance implemented by governments themselves. The Bank can use its convening power and leverage its traditional engagements with governments to create more space for state-CSO interaction, open policy dialogues to CSOs, and improve the quality of information sharing between grantees and governments. The ability of CSOs to reach government decision-makers when it matters and in ways that have a real chance to influence them are relevant because the success and failure of many social accountability interventions is influenced the ability of CSOs to take advantage of political circumstances.[17] By knowing when and where the 'windows of opportunity' are, the Bank can help to close the feedback loop and move beyond engaged citizens to more responsive governments.

The Bank is uniquely equipped to understand the capacity and constraints of state institutions and CSOs on specific developmental and governance challenges through its analytic, knowledge, and advisory activities. Moreover, these activities often provide the Bank with a detailed understanding of the variety of actors who have influence over a particular public service delivery or governance problem. In dealing with the problem of teacher absenteeism, for example, interventions may need to involve not just civil society organizations and state actors but also parents, the teachers' union, and the head teachers' association. The GPSA also takes full account of the need to disaggregate the state due to the diversity of interests and conflicts that exist across different actors within the state. Different branches of government, ministries, levels, and even individuals may have very different constraints and preferences. The Bank's detailed knowledge and experience with multiple stakeholders in specific governance and development challenges enables the GPSA to identify potential partners and facilitate cooperation effectively.

Although the GPSA is not the only program that advocates constructive engagement and collaboration, the GPSA does add value to the promotion of social accountability in ways other funders cannot.[18] These comparative advantages have influenced the GPSA's decision to maximize its contributions, and complement the efforts of other funders, by focusing on projects that implement collaborative social accountability strategies.[19] Adversarial social accountability are well suited to promote results under

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[17] Becky Carter, "Budget Accountability and Participation," Helpdesk Research Report (GSDRC, 2013). Rosemary McGee & John Gaventa, "Review of Impact and Effectiveness of Transparency and Accountability Initiatives," Transparency and Accountability Initiative Workshop (Institute for Development Studies, 2010). Khagram et.al. 2013.

[18] The World Bank, "Global Partnership for Social Accountability and Establishment of a Multidonor Trust Fund," last modified June 13, 2012, http://siteresources.worldbank.org/CSO/Resources/675810BR0REVIS0Official0Use0Only090.pdf. Also see, Global Partnership for Social Accountability, "Summary of Consultation Feedback and Overview of GPSA Features," accessed February 28, 2014,
http://siteresources.worldbank.org/CSO/Resources/Summary_of_Consultation_Feedback_and_GPSA_Features.pdf

[19] There are, of course, other initiatives seeking to promote constructive engagement between civil society actors and state decision makers and reformers. The Open Government Partnership (OGP), for example, brings governments and civil society organizations together to develop and implement national action plans for open government initiatives such as right-to-information (RTI) laws. See the OGP Articles of Governance, http://www.opengovpartnership.org/node/1329.

certain conditions, but other funders are better placed than the GPSA to support them.

Outcome 1: Constructive engagement between actors in civil society and the executive branch of country governments for improved service delivery and responsiveness to citizen needs

One of the GPSA's main objectives is to increase constructive engagement between civil society actors and government actors in the executive branch that influence resource allocations and decisions that affect developmental outcomes. This approach promotes discussion and deliberation between civil society and government actors in order to solve problems of poor services.[20]

This constructive engagement can entail working together to gather evidence on government performance and service delivery, to apply political pressure for change, or some combination of the two. This approach requires civil society organizations to search for political resources and influence inside the system the organization seeks to change. Often it also requires pursuing "second-best" policy solutions and taking into account multiple policy cycles over time.[21]

Collaboration between state and non-state actors requires sustaining a difficult equilibrium: civil society actors need to be careful about potential collusion and co-optation or perceived collusion co-optation with state actors.[22] In the constructive engagement facilitated by the GPSA, civil society organizations drive strategic social accountability interventions while learning from and teaming up with state actors to figure out and implement strategies for solving service delivery problems.

Civil society organizations can use different political strategies to try to affect the decisions of government officials. We often conceptualize the relationship between citizens and government officials and service providers as *adversarial*. In this view providers will misbehave unless citizens vigilantly monitor them and seek to expose corruption and underperformance.[23] Citizens and civil society organizations use information to confront government actors and try to force them to change policies or behaviors, yet they are relatively powerless in the face of repression and institutional blockage. They thus often search for political resources outside the system in order to bring external pressure that might shock the system into a new status quo.[24] Adversarial social accountability work relies on grassroots mobilization, public demonstrations, and naming and shaming campaigns where civil society organizations might, for example, compile data about the failure of government to meet international standards in order to shame them through press conferences and media coverage.[25] Civil society

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[20] See Joshi and Houtzager 2012.

[21] Guerzovich, Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations)
http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf.
Guerzovich, M. Florencia. 2010. Building Accountability: The Politics of Anticorruption, Northwestern University, Evanston, IL.

[22] Guerzovich , Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations)
http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf.

[23] See Joshi and Houtzager 2012.

[24] Keck, Margaret E., and Kathryn Sikkink. 1998. *Activists beyond borders : advocacy networks in international politics*. Ithaca, N.Y.: Cornell University Press; and ck, Margaret E., and Kathryn Sikkink. 1998. *Activists beyond borders : advocacy networks in international politics*. Ithaca, N.Y.: Cornell University Press.

[25] For an example, see the work of Mazdoor Kisan Shakti Sangathan analyzed in Rob Jenkins & Anne Marie Goetz, "Accounts and Accountability: Theoretical Implication of Right to Information Movement in India," *Third World Quarterly* 20:3 (1999): 603-22; or Ruth Carlitz & Rosie McGee, "Raising the Stakes: The Impact of HakiElimu"s Advocacy Work on Education Policy and Budget in Tanzania," Partnership Initiative Case Study Series (International Budget Partnership, 2013).

organizations have also taken governments to court when they are unresponsive to access to information requests.[26]

In contexts where service providers, the executive, the legislature, and/or national courts have opened channels for citizen voice, bypassing these domestic opportunity structures may no longer be the first or only choice.[27] Civil society organizations can take a collaborative approach – for example, participatory budgeting processes – and use information to help and work with government actors to improve policies, governance, and development outcomes. Such methods presuppose the willingness of CSOs to reach out to decision-makers and engage in a continuous, iterative process of information and responding to information, but CSOs can remain autonomous actors. This process, of course, is not necessarily seamless or characterized by a complete overlap of interests and positions by CSOs and government interlocutors.

While few studies explain the conditions under which each one of these strategies should be used, there is growing consensus that the political context in which a social accountability project is implemented should influence a civil society organization's choice of political strategy.[28]

CSOs often struggle with identifying potential partners within government with whom they can forge and maintain cooperation and collaboration on shared objectives. They often lack information about both the formal and informal opportunities for engaging in public decision-making processes.[29]

Because of the Bank's unique relationship with country governments and its access to decision makers within the executive branch of these governments, the GPSA is able to help civil society organizations identify the actors within government who have the competence and authority to influence a particular decision about the allocation of resources or the delivery of public services. The GPSA's contributions thus extend beyond the funding it provides to its grantees.

By identifying the key government actors at various levels, civil society organizations can then produce information that is targeted and tailored to the people who actually have the power to make decisions

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[26] Fernando Basch, "Children"s Right to Early Education in the City of Buenos Aires: A Case Study on ACIJ"s Class Action," Partnership Initiative Case Study Series (International Budget Partnership, 2011). See also, Vimala Ramachandran & Sapna Goel, "Tracking Funds for India"s Most Deprived: The Story of the National Campaign for Dalit Human Rights' "Campaign 789"," Partnership Initiative Case Study Series (International Budget Partnership, 2011); Guillermo M. Cejudo, "Evidence for Change: The Case of Subsidios al Campo in Mexico," Partnership Initiative Case Study Series (International Budget Partnership, 2012); and Neil Overy, "The Social Justice Coalition and Access to Basic Sanitation in Informal Settlements in Cape Town, South Africa," Partnership Initiative Case Study Series (International Budget Partnership, 2013).

[27] Sikkink 2005.

[28] On collaboration and confrontation, see, Archon Fung & Stephen Kosack, "Confrontation and Collaboration," Civil Society 4 Development, Blog #5 (Transparency Initiative 2013). Also see, O'Meally, "Mapping Context for Social Accountability"; Alina Rocha Menocal & Bhavna Sharma, "Joint Evaluation of Citizens' Voice and Accountability," Synthesis Report (Overseas Development Institute, 2008); M. Florencia Guerzovich, "Evaluating Conflicts of Interests Control Systems: Lessons about their Sustainability," Working Paper Series (SSRN, 2010).

[29] For example, on budgets see Carter, "Budget Accountability and Participation"; Anwar Shah, "Participatory Budgeting," Public Sector Governance and Accountability Series (World Bank, 2007); Alta Folscher, "Budget Transparency: New Frontiers in Transparency and Accountability," (Transparency and Accountability Initiative, 2010). More generally, Anuradha Joshi & Peter P. Houtzager, "Widgets or Watchdogs? Conceptual explorations in social accountability" Public Management Review 14: 2 (2012). Anuradha Joshi,"Context Matters a Causal Chain Approach to Unpacking Social Accountability Interventions" Work in Progress Paper (SDC-IDS, 2013). Anuradha Joshi, "Do they Work? Assessing the Impact of Transparency and Accountability Initiatives in Service Delivery. Development Policy Review 31.S1 (2013). Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014). Stephen Kosack and Archon Fung. Does Transparency Improve Governance? Annual Review of Political Science (forthcoming).

and allocate resources.[30] The Bank may be particularly helpful in identifying the actors within ministries who typically work behind the scenes and who are less visible to civil society organizations and the general public, yet play a central role in information-gathering and decision-making procedures.

The GPSA will draw on the Bank's experience and skills working with officials on government reforms and public financial management that Bank staff and country management units have accumulated over time in order to help forge working relationships between government decision makers and civil society organizations to identify collaborative efforts of mutual benefit. By drawing on insights from within the Bank and from relationships with government decision makers, CSOs will be better able to understand and tap into the different stages of the policy making cycle.[31]

By helping civil society organizations to identify potential allies within government, the GPSA can also help to create insider-outsider coalitions for reform and increased resources for public service delivery in which outsiders can generate public discussion and demand for change, while insiders use their political authority and knowledge of the bureaucratic process to push reforms forward as well.

By supporting the politically informed work of these multi-stakeholder partnerships, the GPSA can also

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[30] The approach to information of GPSA interventions aims to link by design the suppliers and target users of information – this is consistent with recommendations in multiple reviews of the literature in the social accountability field, see Fung & Kosack, "Confrontation and Collaboration," Gaventa and McGee "Shifting Power? Assessing the Impact of Transparency and Accountability Initiatives," Fox, "The Uncertain Relationship between Transparency and Accountability", Dena Rigold, Alaka Holla, Margaret Koziol & Santhosh Srinivasan, "Citizens and Service Delivery: Assessing the Use of Social Accountability Approaches in Human Development," Directions in Development (The World Bank, 2012); Rosemary McGee & Ruth Carlitz, "Learning Study on 'The Users' in Technology for Transparency and Accountability Initiatives," Knowledge Programme (Hivos, 2013). Evan Lieberman, Dan Posner & Lily Tsai, "Does Information Lead to More Active Citizenship? An Evaluation of the Impact of the Uwezo Initiative in Kenya," Draft Paper (2012); Ivar Kolstad & Arne Wiig, "Is Transparency the Key to REducing Corruption in Resource-Rich Countries?", *World Development* 37:3 (2009): 541-532.

[30] Archon Fung, Mary Graham & David Weil, *Full Disclosure: The Perils and Promise of Transparency* (Cambridge: Cambridge University Press, 2007); Archon Fung, Hollie Russon Gilman & Jennifer Shkabatur, "New Technologies," Impact Case Studies from Middle Income and Developing Countries (Transparency Initiative 2011); Andres Mejia Acosta. The Impact and Effectiveness of Accountability and Transparency Initiatives: The Governance of Natural Resources. Development Policy Review 31.S1 (2013). ; Richard Calland, "Annex 3: Freedom of Information," TAI Impacts and Effectiveness (Transparency Initiative 2011); Ruth Carlitz, "Annex 2: Budget Processes," TAI Impacts and Effectiveness (Transparency Initiative 2011); Rose McGee, "Annex 5: Aid Transparency," TAI Impacts and Effectiveness (Transparency Initiative 2011); Martina Björkman and Jakob Svensson, "Power to the People: Evidence from a Randomzied Field Experiment on Community-Based Monitoring in Uganda," *Quarterly Journal of Economics* 124:2 (2009): 735-769; Priyanka Pandey, Sangeeta Goyal & Venkatesh Sundararaman, "Community Participation in Public Schools: The Impact of Information Campaigns in Three Indian States," *Education Economics* 17:3 (2009): 355-375; Abhijit Banerjee, Rukmini Banerji,Esther Duflo, Rachel Glennerster & Stuti Khemani, "Pitfalls of Participatory Programs: Evidence from a Randomized Evaluation in Education in India," *American Economic Journal: Economic Policy* 2:1 (2010): 1-30; Ritva Reinikka & Jakob Svensson, "The Power of Information in Public Services: Evidence from Education in Uganda," *Journal of Public Economics* 95:7 (2011): 956-966; William M. Cejudo, Sergio Lopez Ayllon & Alejandra Rios Cazares, eds., *The Policy of Transparency in Mexico: Institutions, Achievements, and Challenges* (Mexico: CIDE, 2010); Nicolas Dassen & Juan Cruz Vieyra, eds., *Open Government and Targeted Transparency: Trends and Challenges for Latin America and the Caribbean* (Washington DC: Institutions for People, 2012). Anuradha Joshi, "Do they Work? Assessing the Impact of Transparency and Accountability Initiatives in Service Delivery. Development Policy Review 31.S1 (2013).
Ezequiel Molina. Essays in the Political Economy of Service Delivery. Dissertation (Princeton University 2013).
Diarmid O'Sullivan. What is the point of transparency? Independent Report published with the support of the Open Society Fellowship (London 2013).Verena Fritz, Brian Levy & Rachel Ort, *Problem-Driven Political Economy Analysis: The World Bank's Experience* (DC: World Bank, 2014); Cejudo, Lopez Ayllon & Rios Cazares, *The Policy of Transparency in Mexico: Institutions, Achievements, and Challenges*

[31] This a success factor for social accountability interventions identified by McGee & Gaventa, "Review of Impact and Effectiveness of Transparency and Accountability Initiatives," among others.

contribute to the design of "politically responsive"[32] operational strategies. Such strategies build on knowledge about what policy and development reforms are feasible and can be implemented during the lifespan of a grant given the political opportunities and constraints of a particular context.

The Anticorruption Participatory Initiative (IPAC) in the Dominican Republic provides a concrete example of successful constructive engagement between civil society organizations and government decision makers in the executive branch.[33] In the case of IPAC, a group of international cooperation agencies led by The World Bank's country office brought together pro-reform government officials and civil society actors to discuss, propose, and monitor concrete and feasible good governance measures on an ongoing basis.[34] This initiative identified ten concrete areas and created thematic working groups comprised of reform-oriented government officials and civil society organizations in the same sector. Meetings ranged from several times a year to, in some cases, monthly, and groups worked together to define actionable recommendations for change. In the case of the working group on public financial management, for example, the group decided to push for the creation of a single bank account for the Treasury in order to make it easier to monitor fiscal expenditures.

These working groups made it easier to coordinate reformers – inside, outside and across the government – who previously may not have known about or trusted one another's efforts. IPAC also made it more likely that individual stakeholders united together to convince key decision-makers to implement anticorruption reforms. As a result, projects have been fast-tracked. Governance milestones appear more likely to be considered. Levels of programmatic coherence are higher.

In other cases, civil society organizations might work together with government actors by gathering data to provide to their government partners for use in internal negotiations with other ministries or officials. Bureaucrats in the Ministry of Finance might, for example, take evidence produced by civil society partners to discussions with their counterparts in other ministries when they are negotiating the budget.

Outcome 2: Collaboration between social accountability initiatives and state accountability institutions in overseeing service delivery by the executive branch

The other main objective of the GPSA is to increase collaboration between civil society actors implementing tools for social accountability and state actors that can influence the enforcement and design of official state institutions for bureaucratic accountability in overseeing service delivery by the executive branch.

Again, this collaboration can entail working together to gather evidence and to coordinate efforts for greater accountability by CSOs with efforts by state actors, to apply political pressure for change in coordination with each other, or some combination of the two.[35]

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[32] Fritz, Levy & Ort, *Problem-Driven Political Economy Analysis: The World Bank's Experience*

[33] Jonathan Fox refers to this strategy of civil society reformers cooperating with higher-level reformers in the state as a "sandwich strategy." See Jonathan Fox, *The Politics of Food in Mexico: State Power and Social Mobilization* (Cornell: Cornell University Press, 1993).

[34] Florencia Guerzovich. "How to Articulate and Strengthen Pro-reform Coalitions: The Case of the Participatory Anticorruption Initiative in the Dominican Republic" Unpublished Manuscript (The World Bank, 2011).

[35] The effectiveness of collaboration, however, does rest on the assumption that state accountability institutions do not work against each other to block one another's effectiveness and that there is effective inter-horizontal coordination when necessary. If, for example, a parliamentary oversight committee suppresses the report from the supreme audit institution, collaboration between civil society organizations and the supreme audit institution may not necessarily result in increased government responsiveness.

Official state institutions for bureaucratic accountability – sometimes also referred to as "horizontal accountability"[36] – are institutions that oversee and sanction public agencies and government officials.[37] Conversely, CSO-led transparency interventions may be more likely to lead to accountability when state oversight bodies use this information to hold government to account and apply sanctions, if necessary.[38]

As the GPSA's Board Paper notes, social accountability tools and mechanisms – such as citizen report cards, community scorecards, participatory budgeting, and public hearings – are designed to gather systematic citizen feedback on government performance. Such feedback may offer valuable evidence to horizontal accountability agencies in their assessment of public programs, service delivery and institutions.

As with the previous outcome, the choice to focus on this outcome leverages the Bank's existing dialogues with and support to horizontal state accountability institutions such as supreme audit institutions, anti-corruption offices, information commissions, ombudsman offices, and parliamentary and judiciary checks-and-balances institutions.[39] Again, building on the Bank's unique advantages in accessing and establishing working relationships with decision makers in these institutions, the GPSA seeks to identify civil society and state actors who may have shared or complementary objectives in the promotion of government accountability and good governance, and to connect these actors to each other.

Forging these collaborative relationships can take advantage of situations in which civil society organizations and state actors may have different resources and competencies that can serve as complementary inputs into political pressure for improved accountability.[40] Collaboration in fostering greater government accountability is especially critical when inputs from civil society and state actors are not completely substitutable for each other. In these situations, collaboration between the two types of actors results in a higher level of output – in this case, improved accountability – than if there

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[36] Guillermo O'Donnell, "Delegative Democracy," *Journal of Democracy* 5:1 (1994): 55-69; Guillermo O'Donnell, "Horizontal Accountability in New Democracies," *Journal of Democracy* 9:3 (1998): 112-126.

[37] Horizontal state accountability institutions include agencies and offices within the state such as auditing agencies, oversight commissions, anticorruption commissions, ombudsmen, central banks, and personnel departments within line ministries. As part of the government itself, however, these institutions can find it difficult to establish legally authorized and/or actual autonomous oversight and sanctioning abilities. Susan Rose-Ackerman, *From Elections to Democracy: Building Accountable Government in Hungary and Poland* (New York: Cambridge University Press, 2005).

[38] Fox, "The Uncertain Relationship between Transparency and Accountability"; Matthew McCubbins & Thomas Schwartz, "Congressional Oversight Overlooked: Police Patrols versus Fire Alarms," *American Journal of Political Science* 28:1 (1984): 165-179.

[39] The Bank, for example, has given grants and loans to supreme audit institutions on technical issues such as best practices in auditing, and has worked with the International Organization of Supreme Audit Institutions and its regional chapters. Units such as the Social Development Department (SDV) have been working with provincial-level ombudsman in Pakistan on how to facilitate interactions between citizens and the executive in post-conflict contexts. See, for example, the Social Development Department / Demand for Good Governance's companion note to the GAC Update II and its section on Demand for Good Governance and Independent Accountability Institutions (Grandvoinnet).

[40] Such collaboration constitutes what Elinor Ostrom has referred to as "coproduction," or the process through which inputs used to produce a good or service are contributed by individuals who are not "in" the same organization. See Elinar Ostrom, "Crossing the Great Divide: Coproduction, Synergy, and Development," in State-Society Synergy: Government and Social Capital in Development, ed. Peter Evans (Berkeley: University of California, 1997): 86. For examples of coproduction in Brazil, see Augusto Doin, Guilherme, et.al. Mobilização social e coprodução do controle: o que sinalizam os processos de construção da lei da ficha limpa e da rede observatório social do Brasil de controle social. Pensamento & Realidade. 2012, Vol. 27 Issue 2, p56-79. 24p.

were no collaboration.[41] Moreover weak formal oversight institutions -- legislators and supreme audit institutions – deprive civil society actors of an important route to influencing state actions and ensuring accountability.[42]

In the case of Argentina, for example, officials in the General Audit Office (AGN) faced more potential issues for auditing than they could handle. To prioritize issues for auditing, they conducted a Participatory Planning Programme to incorporate feedback from civil society into the audit plan.[43] State auditors had technical resources and capacity to conduct audits but lacked political authority to address problems uncovered by the audit beyond releasing their report. Civil society groups lacked incentives to use the reports. In this case, dialogue contributed to incorporating information from and the perspective of a wide variety of actors. Civil society can also provide information to auditors[44] or contribute to strengthening compliance with audit recommendations. For instance, civil society partners can use audit evidence to lobby elected representatives to pass new laws, publicize the findings of the audit in press releases for the media, and support other advocacy activities to press for the sanctioning of poor performance and/or reforms to address underlying causes.

11. Outputs

The GPSA will produce three main outputs intended to work in conjunction with one another to effect change on the two main outcomes discussed above. Through its grant making and its knowledge and learning activities, the GPSA will (1) integrate problem-driven political economy analyses into the operational strategies of civil society organizations implementing social accountability initiatives; (2) apply problem-driven political economy analyses in the work of the Task Team Leaders (TTLs) and Country Management Units (CMUs) supporting GPSA grants; and (3) generate knowledge about the

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[41] Ostrom refers to this type of collaboration or coproduction as "synergy" since it is impossible to achieve the same level of output with only input from one or the other type of actor. Elinar Ostrom, "Crossing the Great Divide: Coproduction, Synergy, and Development," in *State-Society Synergy: Government and Social Capital in Development*, ed. Peter Evans (Berkeley: University of California, 1997): 101-102.

[42] Folscher, "Budget Transparency: New Frontiers in Transparency and Accountability"; Evilasio Salvador, "The role of Brazilian Civil Society in the Tax Reform Debate: INESC"s Tax Campaign," Partnership Initiative Case Study Series (International Budget Partnership 2012); Tony Dogbe & Joana Kwabena-Adade, "Ghana: Budget Monitoring by SEND-Ghana and its Partners Helps Improve Nutrition for Children and Support Local Farmers," Partnership Initiative Case Study Series (International Budget Partnership 2012).

[43] Carolina Cornejo, Aranzazu Guillan & Renzo Lavin, "When Supreme Audit Institutions Engage with Civil Society: Exploring Lessons from the Latin American Transparency Participation and Accountability Initiative," U4 Practice Insight No. 5 (Bergen: Chr. Michelson Institute, 2013). = On SAIs and citizen engagement also see, Aranzazu Guillen Montero, "Building Bridges: Advancing Transparency and Participation Through the Articulation of Supreme Audit Institutions and Civil Society" (paper presented at the 2nd Transatlantic Conference on Transparency Research, Utretch, June 7-9, 2012); Quentin Reed."Maximising the efficiency and impact of Supreme Audit Institutions through engagement with other stakeholders" Chr. Michelsen Institute (U4 Issue 2013:9). For analysis of experiences of civil society organizations working with other state accountability institutions, see e.g. Enrique Peruzzotti, "Accountability Deficits of Delegative Democracy" Paper presented at the Conference: Guillermo O'Donnell and the Study of Democracy (Buenos Aires 2013); Rick Stapenhurst, Riccardo Pelizzo & Mitchell O'Brien ex post financial oversight: legislative audit, public accounts committees….and parliamentary budget offices?. Background paper OECD parliamentary budget officials and independent fiscal institutions 4th Annual meeting (OECD 2012); Pelizzo, Riccardo and Spaenhurt, Rick, Legislative Oversight and the Quality of Democrach (July 10, 2012). Available at SSRN: http://ssrn.com/abstract-2105585 or http://dx.doi.org/10.2139/ssrn.2105585; Pelizzo, Riccardo and Stapenhurst, Rick, The Role of Parliament in Promoting Good Governance in Africa (September 18, 2007). Available at SSRN: http://ssrn.com/abstract-2101133 or http://dx.doi.org/10.2139/ssrn.2101133; Guerzovich, M. Florencia. 2010. Building Accountability: The Politics of Anticorruption, Northwestern University, Evanston, IL.

[44] In Ghana, the analysis of a CSO led to investigations of the national school-feeding scheme by the national audit institution. Dogbe & Kwabena-Adade, "Ghana: Budget Monitoring by SEND-Ghana and its Partners Helps Improve Nutrition for Children and Support Local Farmers."

process of customizing social accountability interventions to specific political economy contexts through comparative analysis of grantee experiences that can inform and improve the operations of both grantees and the GPSA itself.

The GPSA's strategic problem-driven political economy approach to social accountability

The GPSA's approach to the promotion of social accountability relies on a *comprehensive and strategic* problem-driven approach that tightly couples political analysis based on *direct engagement with government decision makers* with the development of CSO strategies and tactics for designing and implementing social accountability initiatives.[45] This approach contrasts sharply with providing solely technical inputs to solve a particular problem. The GPSA's strategic approach to social accountability goes beyond basic political economy analysis by stressing the development of a set of linked tactics and tools that are tailored to the political context and selected on the basis of their *political* costs and benefits for all the stakeholders, including service users, CSOs, service providers, and decision makers within the state, which themselves may also span a range of actors with diverse interests.

Basic political economy analysis is concerned with the interaction of political and economic processes in a society. It focuses on power and resources, how they are distributed and contested in different country and sector contexts between different groups and individuals, and the processes that create, sustain, and transform these relationships over time.

A problem-driven political economy approach identifies a specific development challenge, assesses why the observed dysfunctional patterns are present, and identifies ways of initiating reform and change. Political economy analysis does so by assessing interests, incentives, rents and rent distribution, historical legacies, prior experiences with reforms, and how all of these factors affect or impede change for the particular problem.[46]

The GPSA's *strategic* political economy approach goes beyond analysis alone; it aims at much more than writing up a map of stakeholders and a review of institutional and governance arrangements for a specific governance problem. The GPSA emphasizes the development of a social accountability strategy that is responsive to prevailing political economy dynamics – combining tools and tactics that (1) fit together and (2) fit the context. These tools may be formal (i.e., mandated by laws and regulations) and informal (set up or organized by CSOs and citizen groups). They should, however, be *linked* together in complementary ways that reinforce one another and/or provide complementary inputs into the social accountability process.

Moreover, each of these tools, as well as the overall strategy, ought to be *tailored* to the political

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[45] On strategic social accountability see, Guerzovich , Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations) http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf. Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014). A series of forthcoming GPSA dissemination notes have been commissioned to Florencia Guerzovich and Maria Poli to illustrate how these concepts apply to GPSA's experience to date.

[46] This definition of political economy analysis draws on the Bank's definition provided in Alice Poole, "How-To Notes: Political Economy Assessments at Sector and Project Levels" (DC: The World Bank, 2011); the OECD-DAC definition is citd in DFID. Political Economy Analysis How-to Note. DFID Practice Paper (London 2009). See also Clare McLoughlin, "Topic Guide on Political Economy Analysis" (Governance and Social Development Resource Center 2009); Sarah Collinson; "Power, Likelihoods and Conflict: Case Studies in Political Economy Analysis for Humanitarian Action," Human Policy Group Report #13 (Overseas Development Institute 2003).

context. The goal is to identify political opportunities for reform and change on specific problems within particular contexts, and to design strategies and operations that are feasible given the political incentives and constraints of all the key actors – state and non-state – for a particular problem within a particular context. [47]

The design of the strategy and the choice of tools should thus take into account the "entry points" in decision making and implementation where voice and pressure could make a difference, the existing capacities and incentives of the actors to be engaged, in addition to a cost-benefit analysis of alternatives, a mapping of the political-institutional context, and an assessment of the needs and problems regarding the service delivery chain or management process.

Moreover, the GPSA's strategic approach to problem-driven political economy analysis also entails direct engagement with decision-makers that have authority over the service delivery chain or over the management and governance of the process of service delivery. While the starting point may be an initial analysis of government performance and mapping of power dynamics, political opportunities, and constraints, such analysis cannot be based on secondary data. Given that the process of social accountability should be designed to help solve a policy issue (involving one or more policy making stages), engagement with decision-makers is necessary in order to devise a realistic set of interventions that complement what the public sector is already doing to address the problem.

In short, the GPSA's strategic problem-driven political economy approach involves not only helping grantees apply standard political economy analysis to their strategy for social accountability, but a comprehensive social accountability approach that tightly couples political analysis with strategies and tactics. This approach also informs the GPSA's monitoring, evaluation, and learning components.[48] Without this type of strategic political economy approach, the social accountability initiative may only be partially influential, or at worst, irrelevant.

Output 1: Application of strategic and comprehensive political economy approach to social accountability to GPSA grantee strategies

The first output the GPSA will produce is the integration of political economy analyses into the strategies of GPSA grantees for project implementation.   Integration of political economy analysis (PEA) into these operational strategies – both the initial ones outlined in the grant application as well as subsequent revisions responding to changes in the political economy context – means that CSOs will be able to articulate in both writing and in their day-to-day work why the specific reform or change within the government that the CSO is pursuing is feasible and actionable from the government's point of view.

Integration of political economy analysis also entails justification by the CSO of why its strategies for building multi-stakeholder support, its plans for constructive engagement with government actors and collaboration with horizontal state accountability institutions, and its choice of social accountability tools are feasible and actionable, given the structure of the policy process in their context and the political incentives and constraints facing key government actors. This political economy analysis would

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[47] Fritz, Levy & Ort, *Problem-Driven Political Economy Analysis: The World Bank's Experience*

1. [48] On this issue, see Monitoring and Evaluation when Politics Matters Chris Roche & Linda Kelly, Developmental leadership Program (Background Paper 12: Notes from Program Experience, 2012). Guerzovich , Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations) http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf.

include a power analysis, identify the formal and informal rules for government and service providers, evaluate the incentives of government and service providers, and specify what types of information would be actionable for these actors.

<u>How will the GPSA produce this output?</u>

The GPSA will produce this output through actions taken at all three stages of the grant making process – the call for proposals, the selection of grantees, and the implementation of grantee projects.

Call for proposals and design of the grant. First, during the call for proposals, the GPSA only operates in countries whose governments have voluntarily opted into the GPSA's grant making program. By opting in, these governments are already more likely to be open to the implementation of collaborative strategies and working together with CSOs to identify political opportunities and openings in the policy process through political economy analysis.

Second, the GPSA works with the Bank's country offices to assess the political economy context of each country and identify issue areas where there may already be windows of opportunity for constructive engagement and collaboration among CSO and government actors. Based on this assessment, they adapt the GPSA's global mandate to the local context, tailoring the call for proposals to each country's political economy context and identifying a different substantive focus for grant applications in each country.

Third, the time horizons for the grants are longer than typical social accountability grants, which give grantees time to take into account how political processes affect their operational strategies and to design and revise these strategies as the political economy context changes.

Selection process. As part of the grant application process, the GPSA requires CSO applicants to assess the political economy context of the concrete problems they hope to address through the implementation of social accountability initiatives. Applicants have to target concrete problems, identify the decision makers and decision-making processes relevant to these problems, and describe in their applications how their proposals lever existing government systems to improve governmental performance and service delivery.[49]

The GPSA then allocates grants to applicants that incorporate political thinking into their proposals and respond to suggestions from reviewers and the GPSA secretariat on how better to integrate and apply political economy analyses to their operational strategies.

Project implementation. During the course of the grantee's project implementation, the GPSA will seek to utilize the Bank's in-country assets, including country offices, ongoing funding portfolios, existing resources, and the Bank's unique access to government officials in order to integrate a comprehensive and strategic problem-driven approach to social accountability, including a political economy analysis conducted through direct engagement with government decision makers and the development of an operational framework that is embedded into the actual policy making and implementation process about the problem at hand. Applicants, for example, receive feedback from their governments early in

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[49] Florencia Guerzovich and Maria Poli are currently writing a GPSA dissemination note spelling out how the GPSA application templates and selection processes used in Rounds 1 and 2 sought to identify politically savvy, strategic social accountability projects.

the project, thus opening opportunities for dialogue and identifying entry points for action that grantees might not be able to see or create on their own.

Moreover, the GPSA is willing to provide public goods to grantees and bear the costs of facilitating collective learning, problem solving and action. In the process of revising the proposals and structuring the final project, the GPSA provides guidance to grantees to ensure that their social accountability initiative is realistic and can be feasibly implemented. This guidance includes the application of strategic political economy analysis but also encompasses other elements that are needed for an effective social accountability approach, such as selecting appropriate tools and mechanisms for citizen engagement and feedback generation that tap into ongoing decision making processes where feasible, or identifying cost-effective alternatives that might increase the ability of CSOs to implement self-sustaining processes.

The knowledge and learning component of the GPSA's activities will also contribute to these objectives.[50] This component will provide advice to grantee CSOs through the Bank's in-house pool of global knowledge as well as by facilitating the provision of expertise about the design of specific social accountability tools and mechanisms when needed. This component will also provide opportunities to increase knowledge and skills about how to apply political economy approaches to specific projects and contexts. The GPSA's knowledge component will also target government officials and Bank staff, and facilitate exchanges of tacit knowledge among officials, Bank staff, and CSOs. These exchanges can deepen the understanding of grantees about political economy drivers and obstacles to reform.

Finally, as this document explains, the GPSA integrates political economy in its Monitoring & Evaluation systems. For instance, it will encourage the integration of a political economy approach into the operational strategies of grantees. It will encourage learning about political economy that has explicit impact on grantees decision-making;[51] it will not penalize grantees that correct their course of action as a result of improved understanding of their political circumstances and the political economy context of their problem of interest.

<u>Indicators</u>

The Results Framework identifies two main indicators for the integration of political economy analyses into the operational strategies of GPSA grantees (see Table 1). First, can grantees explain – in their final project design before implementation and subsequent progress reports (RORs) – why they expect their requests for the government to be feasible and actionable *from the government's point of view*.[52]

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[50] The approach proposed here, and further developed for output 3 below builds on and adapts key insights and the latest recommendations to increase the effectiveness of World Bank's knowledge service provision for operational work. Independent Evaluation Group. Knowledge Based Country Programs: An Evaluation of The World Bank's Experience Report (IEG, 2013). The approach proposed here, and further developed for output 3 below builds on and adapts key insights and the latest recommendations to increase the effectiveness of World Bank's knowledge service provision for operational work. Independent Evaluation Group. Knowledge Based country Programs: An Evaluation of the World Bank's Experience Report (The Independent Evaluation Group 2013).

[51] This could include decisions about making program choices; creating and updating theories of change; choosing delivery mechanisms; and adapting and improving implementation of activities. For further guidance on this approach see, http://icai.independent.gov.uk/wp-content/uploads/2014/04/How-DFID-Learns-FINAL.pdf.

[52] Measurement of this indicator might include evidence from the final project design (after approval by the GPSA before implementation) and from subsequent progress reports that grantees have designed and implemented social accountability initiatives that are generating systematic feedback about the problem being addressed, about adjustments to the process being incorporated as a result of learning; evidence from these sources that the social accountability process is being implemented through collaborative engagement with relevant decision makers; and evidence from these sources that feedback through a

Second, can grantees explain in their final project design and subsequent documentation of their operational strategies why their strategies for building multi-stakeholder support, their plans for constructive engagement with government actors, and their choice of social accountability tools are realistic, given the structure of the policy process in their context and the political incentives and constraints facing key government actors.

Output 2: Application of strategic and comprehensive political economy approach to social accountability by the Bank's Task Team Leaders and Country Management Units

The second output the GPSA will produce is the alignment of Task Team Leaders (TTLs) and Country Management Units (CMUs) with the GPSA's strategic and comprehensive problem-driven political economy approach by the Task Team Leaders (TTLs) and Country Management Units (CMUs) associated with each grantee.

Each grantee project is handled by a Task Team Leader (TTL) who has overall responsibility for the project from inception to completion. The Task Team Leader is selected from the professional staff based on his or her experience and professional training. Country Management Units (CMUs) of the countries where grantees are located will also work with grantees and TTLs to oversee grantee projects. CMUs are responsible for Bank dialogue with the country and the preparation of the Country Assistance Strategy (CAS), which is the basis for the Bank's financial support to the country.

Each grantee's Task Team Leader and Country Management Unit will assess the specific political economy context of each grantee's intervention. They will help identify potential government partners for grantees, facilitate connections and meetings between government actors and CSO grantees, and invite CSOs to existing policy dialogues between the Bank and the country government on related issues.

TTLs and CMUs will also provide information to GPSA grantees on how the policy cycle works, help identify entry points into the policy cycle where CSOs can provide inputs and participate in discussions with government decision makers. They will also help CSOs identify the kinds of information that can sway public officials and help information from CSOs reach public officials in both the executive and in state accountability institutions.

How will the GPSA produce this output?

The GPSA will work with TTLs and CMUs to provide grantees with continued implementation support through its Knowledge Platform in the form of mentoring and technical assistance via Bank and external resources. For example, when grantees face specific implementation issues, the GPSA will facilitate a process of discussion through the technical assistance facility / pilot social accountability lab, which will involve TTLs, government counterparts, and specific experts from both within and outside the Bank. The GPSA will also work with TTLs and CMUs to provide grantees through the Knowledge Component with opportunities for accessing a pool of global knowledge and for exchanging amongst themselves targeted knowledge and learning about specific topics within the GPSA's strategic political economy approach to social accountability that they want to refine and improve, such as methodologies for social accountability, systems for monitoring and evaluation.

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combination of social accountability tools and mechanisms is being used by decision makers and leading to actual adjustments in policy making and implementation processes to solve the problem of interest.

Indicators

The first indicator for this output will be measured by asking the grantees to report on the extent to which Task Team Leaders and Country Management Units helped them to identify key government actors and facilitate relationships with them. Specific components of this indicator are specified in Table 1.

The second indicator for this output is the degree to which TTLs and CMUS customized global knowledge to inform the strategies and actions of civil society organizations. Specifically, did CMUs customize the call for proposals for each country context? Did CMUs customize the orientation sessions for potential applicants for each country context? Did TTLs and CMUs cite global knowledge and adaptation of this global knowledge in their justification of why they signed off on mid-course corrections in the operational strategies of the grantees?

Output 3: Knowledge and learning from comparative analysis of the GPSA's approach to Social Accountability

The third output produced by the GPSA will be knowledge and learning from comparative analysis and sharing of aggregated lessons from the GPSA's approach to social accountability. As per the Knowledge Component's strategy, the GPSA will prioritize content around the following issues already covered in this results framework document: 1) how to think and act politically when advancing transparency and accountability reforms; 2) citizen-state constructive engagement; and 3) collaboration between social accountability initiatives and state horizontal accountability mechanisms.[53]

The GPSA has a unique emphasis on constructive engagement with government decision makers and collaboration between social accountability initiatives and state accountability institutions. As noted earlier, there is a consensus emerging that neither government actors on their own nor civil society actors on their own can produce improved government transparency or accountability.

Yet few have had the unique advantages that the Bank has in facilitating these cooperative and collaborative relationships. As a result, the existing state of knowledge about how this approach actually works and under what conditions is relatively undeveloped.[54]

By engaging in systematically structured comparative analysis of grantee experiences, the GPSA will produce both in operationally useful knowledge for CSOs and in rigorous evidence of the contribution of social accountability to the quality of public services and improvement in development outcomes. Both are public goods that the GPSA has a mandate to provide according to its Board Paper.

Structured comparative analysis compares two or more cases in order to generate or evaluate working hypotheses about the relationship of an intervention to the outcomes it seeks to affect. It can involve comparisons between just two cases or, as in the case of survey research, hundreds and thousands of cases. These cases may from within the same grantee project, or they may be different grantee projects.

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[53] Global Partnership for Social Accountability. Knowledge and Learning for Social Accountability Strategy. February 2014.
[54] McGee & Gaventa, "Review of Impact and Effectiveness of Transparency and Accountability Initiatives"; Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014); Stephen Kosack and Archon Fung. Does Transparency Improve Governance? Annual Review of Political Science (forthcoming).

It can be two cases – or, in the case, of survey research, it can be hundreds of cases or more.

Structured comparative analysis is clear and explicit about the objective of the comparison of cases. Possible objectives include trying to figure out why very similar cases had different outcome, why very different cases had similar outcomes, whether a particular characteristic of an intervention or a particular contextual condition had a substantial impact on the outcome, and/or whether interventions can have similar impacts in a wide range of contexts.

All of these objectives are important for practitioners who often want to know how best to design their interventions, the conditions under which their interventions are most likely to have an impact on the outcomes that they seek to change, and whether their intervention is likely to work in a number of different contexts.

Systematically structured comparisons require us to be clear and explicit about what we hope to learn from the comparison. Unlike a single case study, which often describes in detail the many and various aspects of an intervention or experience, systematically structured comparisons deliberately focus on particular intervention characteristics and particular outcomes, and not others.

The knowledge created through structured comparative analysis is typically more rigorous than single descriptive case studies because structured comparative analysis requires us to be very clear about our theory of change, our working hypotheses about how intervention characteristics and/or contextual conditions might affect the outcomes of interest, how to collect observable information about the characteristics, contextual conditions, and outcomes in the cases that we are studying so that we can categorize them, and what we would need to see in order to make us more or less confident about our working hypotheses.

By engaging in careful comparisons of social accountability initiatives with deliberate and principled selection of cases, the GPSA can assist grantees by identifying possible differences in contextual conditions that might lead to differences in the success of these initiatives. Structured comparisons of grantee experiences result in operationally useful learning for grantees and generate practical knowledge about how best to customize social accountability interventions to specific political economy contexts.[55] Such comparisons help to identify lessons from the political economy work conducted by civil society organizations such as the type of information and incentives that are critical for the success of social accountability initiatives; the processes of constructive engagement and the role played by brokers or interlocutors;[56] the experiences of civil society collaboration with horizontal state accountability institutions; and the incentives and factors that induce state actors to be more willing to listen to and partner with citizens and civil society organizations.[57]

Moreover, structured, focused comparisons of lessons aggregated from the GPSA grantees are also

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[55] Walter Flores, Florencia Guerzovich, and Steven Rosenzweig. "Learning Across Localities: Looking At Transparency And Accountability's Local Context More Systematically" think piece, Transparency and Accountability Initiative. http://www.transparency-initiative.org/wp-content/uploads/2014/03/Think-Piece.-Learning-across-localities.pdf,
[56] See, for example, Anirudh Krishna on brokers, and Jonathan Fox on interlocutors. See Fox, "the Politics of Food in Mexico: State Power and Social Mobilization."
[57] E. Peruzotti refers to this kind of collaboration as the "societalization of horizontal accountability institutions." See Enrique Peruzzotti, "The Societalization of Horizontal Accountability: Rights Advocacy and the Defensor del Pueblo de la Nacion in Argentina," in *Human Rights, State Compliance, and Social Change: Assessing National Human Rights Institutions*, eds. Ryan Goodman & Thomas Pegram (New York: Cambridge University Press, 2012).

critical for informing revisions and improvements to the design of the GPSA program itself. A recent multi-stakeholder convening identified a need to improve decision-making in transparency and accountability, including how funders' decide on their portfolio of interventions, and the potential of comparative research to help move the field in the right direction.[58] Comparative analysis can also help high-level policy-makers make informed decisions about the opportunity costs entailed in the allocation of limited resources, but the gap in this kind of analysis extents to the broader development field.[59]

These comparisons will take advantage of knowledge that grantees themselves produce through the funding in the grant that is allocated to knowledge and learning as well as knowledge produced directly by the GPSA. And of course the GPSA will generate the structured, focused comparisons of grantee experiences.

How will the GPSA produce this output?

The GPSA will produce and commission knowledge products that capture comparative lessons about the implementation of the GPSA model of social accountability produced through structured and focused comparisons of matched case studies.

The GPSA will also produce and commission external research based on controlled comparisons to help specific grantees answer operationally useful questions and evaluate the impact of specific grantee projects on development outcomes and outcomes in the GPSA's theory of change.

The GPSA will contribute to learning based on the knowledge generated through structured and controlled comparative analysis through Knowledge Portal activities such as webinars and e-forums, the GPSA's Brown Bag Lunch sessions (BBLs).

How will we know that the GPSA has produced this output?

There are two main indicators for this output. The first is the number of knowledge products – including memos, reports, webinars, e-forums, Brown Bag Lunch sessions (BBLs) etc. – capturing comparative lessons about 1) how to think and act politically when advancing transparency and accountability reforms; 2) citizen-state constructive engagement; and 3) collaboration between social accountability initiatives and state horizontal accountability mechanisms. This indicator also captures the quality of the comparative analyses about the implementation of the GPSA model of social accountability in these publications. Are the comparisons structured, matched or controlled, and justified in terms of background or contextual conditions?

The second indicator is the perceptions of grantees, TTLs, and CMUs for participating countries of the usefulness of GPSA knowledge products and activities for their decision-making and actions. Have they actually applied knowledge and learning from these products and activities to make decisions about mid-course corrections? Have these products and activities helped them to carry out their own

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[58] Florencia Guerzovich and Steven Rosenzweig "Bridging The Context Gap: Do We Need More Systematic Comparative Research On The Impact Of Transparency And Accountability Interventions?" think piece, Transparency and Accountability Initiative. Unpublished Manuscript,

2. [59] Jeff Hammer. The Chief Minister Posed Questions We Couldn't Answer. Blog post Future Development The World Bank 2014 http://blogs.worldbank.org/futuredevelopment/chief-minister-posed-questions-we-couldn-t-answer.

knowledge and learning, which is an integral part of each grant?

Output 4: Communication and technical assistance provided by the GPSA's Global Partners

The GPSA will also lever its position to forge a diverse network of Global Partners and foster a worldwide and vibrant community of practice – within the Global Partners and beyond – contributing to and benefitting from knowledge generated or disseminated through the GPSA.

To date, the GPSA's Global Partners include more than 160 organizations from civil society, donors, private sector, academia and governments.[60] In becoming Global Partners, these organizations have endorsed the objectives and strategies of the GPSA.

Moving forward, the GPSA expects that the Global Partners will contribute to improved communications about its operations and the broader work in the social accountability field. Global Partners will share existing knowledge about their own practical experiences as well as academic and technical knowledge related to the GPSA's theory of change. Global Partners will also disseminate the work of the GPSA – including but not limited to the comparative analysis discussed above – to a broader range of stakeholders than the GPSA could reach on its own.

Global Partners will also contribute technical expertise on the GPSA's approach to social accountability. Potential examples include assistance with ICT tools, monitoring and evaluation research, and media communications.   Such assistance includes (but is not limited to) providing customized technical assistance to GPSA grantees, contributing to the definition of country-tailored calls for proposals, and helping the GPSA evaluate submissions.

In supporting communication efforts and providing technical expertise, the GPSA expects Global Partners to contribute to the outcomes (and impacts) described in this document.[61]

How will the GPSA produce this output?

The GPSA will actively identify organizations from civil society, donors the private sector, academic, and governments to participate in the GPSA's network of Global Partners. Activities such as the GPSA grantees workshop, Brown Bag Lunch sessions, the Global Partners Forum, the Transparency/Accountability Lab pilot, and online programming through the Knowledge Platform will actively engage Global Partners and help them to identify areas of potential collaboration and synergy with one another.   Such collaboration is not mandatory, of course, but the GPSA will connect Global Partners with each other and with grantees when it receives information about shared or complementary interests.

How will we know that the GPSA has produced this output?

These indicators capture the value Global Partners add to the GPSA's effort to implement its theory of change in terms of communication and technical assistance.

- Number of Global Partners funding the GPSA.

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[60] For an updated list, see www.theGPSA.org
[61] Global Partnership for Social Accountability. Knowledge and Learning for Social Accountability Strategy. February 2014.

- Number of instances in which Global Partners share knowledge about priority issues with other stakeholders during a GPSA-sponsored activity.
- Percentage of Global Partners who acquire information about priority issues/relationships that are useful for their work through GPSA- sponsored activities.
  Percentage of Global Partners who report that they have disseminated GPSA activities or products through non-GPSA sponsored mechanisms (blogs, meetings, letters, twitter, Facebook, mailing lists).
- Percentage of grantees who report that the Global Partners technical assistance has led to changes (e.g. reflection and/ or action) to improve their GPSA project.
- Percentage of grantees, TTLs, CMUs, who report reaching out to Global Partners for technical assistance.

12. Contextual factors

Outcomes result from a combination of the GPSA's outputs – which are directly produced by the GPSA and thus directly under their control – and a range of contextual factors, which are beyond the control of the GPSA.

This section discusses a number of contextual factors that have been identified by key stakeholders as factors that are likely to influence the GPSA's opportunities and constrain their ability and their partners' abilities to affect the two main outcomes of the GPSA's theory of change.

Again, indicators for contextual factors should be distinguished clearly from indicators for the outcomes and outputs identified by the GPSA's theory of change. Outputs are directly produced by the GPSA and completely under their control. Thus, the GPSA will be evaluated on their production of these outputs. By producing these outputs, the GPSA seeks to affect the outcomes in their theory of change. Their outputs should have a direct effect on these outcomes. Thus, the GPSA will also be evaluated on whether their outputs have a causal impact on these outcomes.

Outcomes, however, are not purely a function of the GPSA's activities. The perfect social accountability initiative and problem-driven political economy approach may still fail to result in constructive engagement between civil society actors and executive decision makers if, for example, something changes in the political, economic, or social context – a military coup, an election, etc.

Outcomes are thus distinguished from outputs in that they are not completely under the control of the GPSA, due to *contextual factors*. It is some of these contextual factors that we discuss below.

Space for civil society to operate. This category encompasses the existing characteristics of the political, institutional, and social environment in which civil society organizations operate.[62] Most importantly,

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[62] To assess this set of factors, the Open Government Partnership uses the Economist Intelligence Unit Democracy Index's Civil Liberties sub-indicator, which covers 167 countries. See Economist Intelligence Unit, "Democracy Index 2012: Democracy is at a Standstill," accessed 4 March 2014, https://www.eiu.com/public/topical_report.aspx?campaignid=DemocracyIndex12. The environmental dimension of the Civicus Index incorporates many of these characteristics in the measurement of the dimension, although the Civicus Index itself is not available for many of the GPSA's member countries. See Volkhart Finn Heinrich, "Assessing and Strengthening Civil Society Worldwide: A Project Description of the CIVICUS Civil Society Index: A Participatory Needs Assessment and Action-Planning Tool for Civil Society," CIVICUS Civil Society Index Paper Series 2:1 (Johannesburg: CIVICUS): 19-20.

these characteristics include the existence – and more importantly, the enforcement – of the constitutional rights that directly relate to the functioning of civil society such as civil liberties, information rights, and freedoms of the press.[63]

Level of government openness. The pre-existing level of government openness is likely to influence the impact of any social accountability intervention on the behavior of state actors. Important aspects of government openness include minimal levels of fiscal transparency, access to information, and legal requirements for disclosures of income and assets for elected and senior public officials.[64]

State capacity, or quality of public sector management. In order for any intervention to improve service delivery and government performance, the state has to have some capacity for delivering services and for implementing reforms. This category includes the quality of public sector management, or the management of resources by various arms of the public administration. It also includes aspects of organizational capacity – the amount of resources available to agents with responsibilities for improving service delivery and government performance as well as the quality of those resources (such as the qualifications of staff).[65]

Level of political accountability. The pre-existing level of political accountability will of course also affect the potential for government responsiveness to social accountability initiatives and proposals for cooperation and collaboration. Political accountability can be evaluated in terms of the formal institutions that exist to create incentives or imperatives for political leaders and public bodies to wield their authority in ways that are in compliance with the country's laws and reflect the interest of the citizenry, such as the electoral system, the degree of electoral competition, and the institutionalization of a multi-party system.[66]

Institutionalization of checks and balances, and horizontal state accountability institutions. The pre-existing institutionalization of state accountability institutions such as legislative oversight mechanisms, judicial review, and independent oversight institutions also influence the probability that the GPSA will be able to foster collaboration and constructive engagement between civil society initiatives and these institutions.[67]

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[63] The International Center for Nonprofit Law publishes reports on the legal framework for civil society in many countries and indicators for some countries, but many of the GPSA countries are not covered by their work.

[64] These criteria overlap with the minimum eligibility criteria required by the Open Government Partnership for governments interested in participating. See "Eligibility Criteria," Open Government Partnership, last modified 2013, http://www.opengovpartnership.org/how-it-works/how-join/eligibility-criteria. The OGP uses the following indicators to assess these criteria: Fiscal transparency is assessed in terms of publication of the Executive's Budget Proposal and Audit Reports, based on a subset of indicators from the Open Budget Index, constructed by the International Budget Partnership, which covers 100 countries. See International Budget Partnership, "Open Budget Survey," accessed 4 March 2014, http://internationalbudget.org/what-we-do/open-budget-survey/. Legal guarantees of access to Information is assessed using information from Right2Info.org, a collaboration of the Open Society Institute Justice Initiative and Access Info Europe that covers 197 countries. See "Access to Information Laws: Overview and Statutory Goals," Right 2 Info, last modified Jan 20, 2012, http://right2info.org/access-to-information-laws. Disclosure requirements for public officials are measured using the following World Bank sources: Simeon Djankov, Rafael La Porta, Florencio Lopez-de-Silanes & Andrei Shleifer, "Disclosure by Politicians" (DC: The World Bank, 2009); Richard Messick, "Income and Asset Disclosure in World bank Client Countries" (DC: The World Bank, 2009); OECD, "Government at a Glance," OECD Multilingual Summaries (Paris: OECD, 2009).

[65] See, for example, "Actionable Governance Indicators on Public Sector Management," World Bank, accessed 4 March, 2014, http://go.worldbank.org/BN5GB74IV0.

[66] See, for example, Anti-Corruption Research Network, "Actionable Governance Indicators on Political Accountability," accessed 4 March, 2014, http://corruptionresearchnetwork.org/marketplace/datasets/actionable-governance-indicators-agi-data-portal

[67] See, for example, Anti-Corruption Research Network, "Actionable Governance Indicators on Checks and Balances," accessed

Engagement of Private Sector.

13. Assumptions

The theory of change outlined in this Results Framework has three main categories of assumptions: (1) assumptions about contextual factors in country contexts; (2) assumptions about the capacity and operations of the grantee civil society organizations; and (3) assumptions about the resources and operations of the GPSA and the Bank.

Assumptions about country contextual factors. The GPSA is only likely to have an impact on the main outcomes in its theory of change – constructive engagement between civil society organizations and actors in the government executive, and collaboration between grantee's social accountability initiatives and state accountability institutions – in country contexts that have at least minimal levels of the contextual factors discussed in the previous section.

Without constitutional and legal guarantees that are actually enforced, for example, civil society organizations are unlikely to take actions that could result in negative consequences from opponents within government, even when those actions are aimed at building constructive engagement and collaboration with government actors. Political conflict within the government, between groups or individuals with different interests, mean that without protected space for civil society to operate, civil society organizations may be unlikely to be able to implement meaningful social accountability initiatives.

The GPSA's problem-driven and strategic political economy approach to social accountability also assumes minimal levels of government openness and political accountability. Without some government openness and political accountability, civil society organizations are unlikely to be able to obtain the information about government performance that they need in order to monitor government and implement social accountability initiatives. Moreover, they are unlikely to be able to find the partners and allies within government that they need in order to influence decision-making processes, or even to obtain basic information about policy cycles, entry points, and the political incentives and constraints facing key actors.

Facilitating collaboration between with horizontal state institutions and the grantee's social accountability initiatives of course also requires the existence of horizontal state accountability institutions that are functioning and have some technical and operational capacity.

Finally, civil society organizations are unlikely to have an impact, or even be willing to take action or initiate cooperation in the first place, unless they believe that the state has some capacity to implement reforms and improve service delivery. In country contexts, where civil society organizations do not believe the state has the ability to improve service delivery and performance, it may not be rational for them to take any action to advocate for better public sector performance. In these contexts, citizens and civil society organizations often opt for self-provision, or to substitute for state functions and service delivery provision themselves.

Overall, the GPSA assumes that its initiatives will produce better results in countries where the

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4 March 2014, http://corruptionresearchnetwork.org/marketplace/datasets/actionable-governance-indicators-agi-data-portal

government is willing to listen to citizens. While bad governance can sometimes energize civic movements, willing and engaged government partners are a key characteristic of the enabling environment in which GPSA projects will operate. To be successful, the GPSA will need to build a plausible theory and evidence base for the incentives and factors that induce state actors to be more willing to listen to and partner with citizens.

Assumptions about CSO grantee capacity. The GPSA's theory of change also assumes that CSO grantees have sufficient knowledge, experience, and capacity for social accountability initiatives, building multi-stakeholder coalitions, and developing collaborative relationships with state actors. Prior knowledge, experience, and organizational capacity are particularly important for the GPSA's problem-driven and strategic political economy approach as this approach requires grantees to step back and assess the power dynamics and political context in which they work, and to strategize about where they are most likely to be able to influence decision making processes. This approach requires grantees to have a degree of political sophistication, analytical ability, and capacity for reflection that not all civil society organizations may have. The GPSA evaluates these assumptions to the best of their ability during the selection process of grantees, but to some extent, they remain assumptions.

Assumptions about GPSA and Bank processes. First, the GPSA assumes increased operational capacity and administrative resources over the next two years as it moves to a full slate of grantees on three-to-five year timelines. This assumption is a critical one, given the small size of the GPSA as a unit.

Specifically, the GPSA's theory of change assumes that the GPSA will have sufficient capacity and resources to assist grantees and their TTLs in carrying out a strategic problem-driven political economy analysis of the context for the intervention and to provide guidance and knowledge about customizing social accountability initiatives to particular contexts. This approach assumes that the GPSA will have the personnel and expertise to help and/or train grantees and TTLs to analyze the power dynamics of their contexts and how to identify political opportunities for successful action.[68]

Note that this approach assumes that the GPSA will have sufficient time and resources to devote to understanding some detail about the political contexts facing grantees, particularly in the first six months of the grant as the grantees and TTLs are conducting their own strategic political economy analyses in preparation for identifying potential government partners and allies, formulating strategies for constructive engagement and collaboration that TTLs and CMUs can help facilitate, and developing proposals to state actors for ways of moving forward that are actionable and feasible from the point of view of state actors.

In sum, the GPSA's approach to social accountability is one that requires significant levels of political sophistication, analysis, and strategizing as well as familiarity with specific country contexts and policy cycles. The degree of knowledge and analysis required assumes that the GPSA has sufficient capacity and manpower to provide this knowledge and analysis and/or to provide training and support to build capacity for this knowledge and analysis among grantees.

Second, the GPSA's theory of change assumes a high level of cooperation and communication between the GPSA and the TTLs for grantees. Because of the GPSA's strategic political economy approach and its

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[68] The Global Partnership Facility's experience provides some grounds to believe the plausibility of this assumption. Its forthcoming evaluation should provide further insights as to what conditions need to exist / risk management measures may need to be put in place to increase the likelihood that this assumption holds.

reliance on TTLs to link grantees with key state actors and potential government partners, it is critical that communication loops between the GPSA, TTLs and grantees will be closed through informal and, ideally, formal cooperation. Cooperation and communication between the GPSA and TTLs is important throughout the period of a grant, but particularly so in the first 6-12 months when grantees are intensively engaged in developing and revising their strategic plans for design, implementation, and action. Given the current responsibilities of TTLs for trust fund projects and the limitations of the GPSA's personnel power, this assumption is also a critical one.

14. GPSA Monitoring and Evaluation System

Evaluations and reviews of global partnership programs have identified the lack of a monitoring and evaluation system as a recurrent problem.[69] Without such a system, neither learning nor accountability can take place adequately, thus jeopardizing the quality and value of the program.

The GPSA's monitoring and evaluation system builds on this Results Framework. Monitoring and evaluation of the GPSA will include selective impact evaluations, systematic reviews or meta-studies, as well as real-time monitoring and evaluation through the collection of feedback from governments and grantees to facilitate learning and adaptation.[70]

Grant component monitoring and reporting.   Monitoring and reporting at the grant level will take place through the following mechanisms.

First, grantees will provide bi-annual financial and substantive activity progress reports (Results-Oriented Reports, or RORs) to the TTL and to the GPSA Secretariat. The substantive section of the RORs will include evidence and stories of success and failure, indicating the way in which learning is taking place, and how government responds to the interventions. 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. Information from the RORs will enable the Bank to assess whether milestones required for annual disbursements are met by the grantees.

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[69]Independent Evaluation Group. Knowledge Based Country Programs: An Evaluation of The World Bank's Experience Report (IEG, 2013). Independent Evaluation Group. The World Bank Involvement in Global and Regional Partnerships: An Independent Assessment Report (The Independent Evaluation Group 2011).

[70] Additional resources for monitoring and evaluations the GPSA's proposed outcomes of constructive engagement with the executive and collaboration with horizontal state accountability institutions include the following:
WBI, Designing a Multi-Stakeholder Results Framework, November 2013
http://wbi.worldbank.org/wbi/Data/wbi/wbicms/files/drupal-acquia/wbi/ResultsFramework.pdf
WBI Summary Note: Improved Consensus and Teamwork, Strengthened Coalitions and Enhanced Networks. Attributes and Indicators Relational Intermediate Capacity Outcomes, January 2013
http://wbi.worldbank.org/wbi/document/summary-note-relational-intermediate-capacity-outcomes
WBI, Operational Note on Relational Intermediate Capacity Outcomes, May 2013
http://wbi.worldbank.org/wbi/document/operational-note-relational-intermediate-capacity-outcomes
WBI,Guide to Evaluating Capacity Development Results. A collection of Guidance Notes to development practitioners and evaluators, December 2012
http://wbi.worldbank.org/wbi/Data/wbi/wbicms/files/drupal-acquia/wbi/Guide%20to%20Evaluating%20Capacity%20Development%20Results_0.pdf

Second, grantees will send fully updated versions of their own Results Frameworks once a year in advance of the Bank's disbursements against the project outputs and milestones required of the grantee.

Third, TTLs will meet in person with grantees in advance of the TTL's annual report on the grant and the use of the Bank's Grants Reporting Mechanism (GRM). This annual report and documentation from the mission such as reports, memos, etc. that is attached to the GRM will also be used to assess progress on the grant and whether mid-course corrections are needed. TTLs may also conduct additional field visits to monitor grants' implementation and provide technical assistance to grantees.

Knowledge and learning component monitoring. 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.

Program level monitoring and reporting. Information from the substantive activity section of the bi-annual Results-Oriented Reports (RORs) will also be used for the monitoring and evaluation of the GPSA's overall program. The data from the bi-annual RORs will be assessed, coded, and recorded by the GPSA. The RORs are prepared and submitted electronically, and contain standardized information across all grants, in order to facilitate the collection of data and indicators that will be used for analysis and for evaluation of both grant projects and of the GPSA program. RORs will thus include information required by the grant's own Results Framework and M&E plans as well as by the GPSA's overall Results Framework. Standardization of sections of the RORs will enable aggregation of data from individual grantee reports by the GPSA, which can be used by the GPSA to generate knowledge and learning outputs for grantees and for feeding back into the design of the GPSA's components.

Similarly, the annual updated versions sent by grantees of their own Results Frameworks in advance of the Bank's disbursements against the project outputs and milestones will also provide data for monitoring of the GPSA's overall program. Data on a few of the indicators provided by grantees in their own Results Frameworks will also be aligned with the GPSA program's Results Frameworks so that these data can be assessed, coded, and recorded by the GPSA for monitoring and evaluation of the overall program.

Annual reports from TTLs and their use of the Grants Reporting Mechanism (GRM) template will also contribute data on indicators for the GPSA's overall program. In addition to qualitative assessment and/or quantitative coding of the TTL reports, questions will also be added to the GRM template to collect information on specific indicators for monitoring of the GPSA's overall program. TTLs may also conduct additional field visits to utilize rapid appraisal methods (such as direct observation and key informant interviews) to collect data relevant for measuring the GPSA's indicators for GPSA program outputs and outcomes.

Finally, the GPSA Secretariat will submit Annual Progress Reports to the Steering Committee that may be used for monitoring and reporting of the overall GPSA program.

Program level evaluation. Independent, external evaluation is a governance responsibility. As recommended by IEG's assessment of global partnership programs, it is important that the GPSA's governing body (Steering Committee) takes ownership of the independent evaluation. The first independent external evaluation will be carried out at the end of the Program's second year of implementation, with periodic follow-ups. Key questions for external evaluation are: (1) ideas for

improving the links and accountability relations of the GPSA and the Task Team Leaders; (2) strengthening the assumptions about GPSA and Bank communication and coordination processes laid out in the Assumptions sections; 3) improving comparative analysis produced by the GPSA's Knowledge Component and the feedback from the Knowledge Component into improvements in the design of the GPSA program itself.

Table 1: <u>Suggested</u> Indicators Table for GPSA Results Framework

	Indicators	Suggested measurement strategies	Suggested data source(s)	Responsibility for data collection
Output 1: *Integration of political economy analyses into GPSA grantee strategies*	Indicator 1: Grantee explains in their initial grant application and subsequent biannual reports (RORs) why they expect their asks for the government to be feasible and actionable *from the government's point of view*.	Qualitative assessment of relevant sections in grant applications and biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the GRMs filed regularly by the TTLs.	Grant application (Question 2.1 in Round 1 application section on Proposal Objectives) Relevant sections in biannual reports (RORs) from grantee on justification of asks and mid-course corrections GPSA questions added to the GRMs filed by TTLs	Grantees Task Team Leaders
	Indicator 2: Grantee provides an assessment of the political (not just technical) feasibility and actionability of its choice of social accountability tools and strategies for pushing its shared objectives with government	Qualitative assessment and/or coding into quantitative measures of Questions 3.2.2, 3.2.3, 3.3, and 3.4.3 in Round 1 application Qualitative assessment and/or coding into quantitative measures of relevant sections in biannual reports (RORs) on three key operational strategies: (1) strategy for building multi-stakeholder support; (2) strategy for constructive engagement; (3) choice of SA tools.	Relevant sections in grant applications and biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. GPSA questions added to the GRMs filed regularly by the TTLs.	Grantees Task Team Leaders

	actors forward	Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs.		
Output 2: Application of strategic political economy approach by Task Team Leaders and Country Management Units	Indicator 1: TTLs and CMUs help to identify key government actors and allies with influence over the identified problem(s) and facilitate relationships between grantees and these key government actors	Qualitative or quantitative measures of questions such as the following: Did TTLs and CMUs – - Identify potential partners in government for the CSOs? - Help CSOs contact these partners? - Set up meetings between CSOs and potential government partners? - Help clarify how the policy cycle works - Identify entry points into policy cycle - Help identify the kinds of information that can sway public officials - Help information from CSOs reach public officials - Invite CSOs to existing policy dialogues between Bank and country government - Connect CSOs to other Bank staff that can help with these things NB. Higher, constant numbers are not necessarily better. An independent evaluator should make contextual assessment of the trajectory of CSO-government relationships and the relevance/need of WB action.	Section added to biannual reports (RORs) from grantees Survey of grantees or representative sample of grantees Rapid appraisal methods (e.g., direct observation and key informant interviews)	GPSA responsible for collecting data from grantees on a regular basis

	Indicator 2: Customization of global knowledge to country context to inform grantee strategies and actions	Qualitative assessment and/or coding into quantitative measures of Call for Proposals (CFPs) and orientation session materials to assess customization to each country context, and/or coding of assessment into quantitative measures Qualitative assessment and/or coding into quantitative measures of regular reports and GRMs by TTLs to determine whether TTLs and CMUs cite global knowledge and adaptation of this global knowledge in their justification of why they signed off on mid-course corrections by CSOs. (For example, TTLs note that we know that elections can affect political appointees within the executive so this mid-course correction by the grantee responds to the expected effects of elections in this country context.)	CFPs, orientation session materials, TTL ISRs/GRMs	GPSA responsible for collating the documentation
Output 3: Knowledge and learning from comparative analysis of GPSA's approach to Social Accountability	Indicator 1: Number of publications capturing comparative lessons - quality of comparative analysis -- structured, matched, justified in terms of scope conditions, etc. -- about the implementation of the GPSA model of Social Accountability	Qualitative assessment and/or coding of assessment into quantitative measures of the Terms of Reference agreements (TORs) for GPSA knowledge products (e.g. dissemination notes, minutes from virtual and F2F forums, BBLs, workshops and convenings, summaries of exchanges in the portal, working papers) in terms of the following: - Do the products focus on issues associated	TORs for commissioning publication and similar documents setting the scope and quality of the product/activities	GPSA responsible for collating the documentation

	through constructive multi-stakeholder engagement and collaboration with state institutions	with political economy analysis (incentives, actors, formal and informal institutions, etc.)? - Do the products convey comparative knowledge and relevant examples from different regions/sectors? -Do the products use systematic comparative analyses such as (1) comparing the experiences and outcomes of grantees operating in similar country or sectoral contexts with similar political, institutional, economic, and social background conditions to identify why grantees operating in similar contexts may have different experiences; or (2) comparing grantees that have had similar experiences and outcomes but in very different country or sectoral contexts in order to identify the factors leading to the similar outcomes? - Do the products discuss the applicability of insights to other places and identify concrete contextual factors that bound the applicability of insights? - Do the products discuss issues related to capacity and feasibility (opportunities, constraints, costs and risks) of implementing lessons learned?		

		- Are the issues covered in the knowledge and learning products integrated with the grant-making component and GPSA's expected outcomes or are they independent of grantee operational strategies and experiences? - Do the products focus on big-picture/cross-sectoral issues important for the grants (which is where the Bank has a comparative advantage), vs. specific solutions to narrow problems? - Are the products focused on how-to questions such as those relevant for output 2 indicator 1 rather than purely technical questions (such as the best design for a report card)? For example, does the product examine how grantees get from receiving the GPSA funds to the outcome? What is their strategic plan of action? Under what conditions, for example, is lobbying a better strategy than training community leaders?		
	Indicator 2: Perceptions of grantees, TTLs and CMUs (in countries where the GPSA operates) of the usefulness of GPSA	Coding of survey and interview data into quantitative measures Qualitative assessment of relevant sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures.	Survey and interviews of grantees, TTLs, and CMUs Relevant sections in biannual reports (RORs) from grantee on justification of asks and mid-course corrections	GPSA responsible for collecting data from grantees on a regular basis

	knowledge products/activities for their analysis, decision making	Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs	GPSA questions added to the ISRs/GRMs filed by TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews)	
Outcome 1: *Constructive engagement with executive decision-makers*	Indicator 1: Constructive engagement between grantee (lead implementing CSO) and relevant government counterparts	Survey and interview questions for grantees such as the following: - Out of the total number of requests made to relevant government counterparts, how many of these requests received any response at all (acknowledgement of request, written message, invitation to meeting, forum, etc.)? How satisfactory was this response? - Has discussion been initiated / resumed? - Has collaboration increased or improved? - Have you made new contacts with relevant government counterparts? Have these contacts been sustained beyond a single contact or meeting? - Have your interactions with government counterparts and partners helped to clarify	Survey of grantees or representative sample of grantees Qualitative assessment of relevant sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was	GPSA responsible for collating the documentation and collecting data from grantees Grantees Task Team Leaders

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		how the policy cycle works and identify entry points into the policy cycle? - Have your interactions with government counterparts helped you to identify and produce the kinds of information that can sway the decisions of public officials? - Have your government counterparts helped deliver and dissemination information produced by you to other public officials? - Have you been invited to existing policy dialogues between Bank and country government? - Have your government counterparts helped you to diagnose key problems? - Have your government counterparts helped you to formulate action plans and steps?	initiated/resumed/activated; that consensus was reached on the formulation of a strategy Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration	
	Indicator 2: Constructive engagement among grantee's CSO partners and relevant government counterparts	Survey and interview questions for grantees and their CSO partners such as the following: - Out of the total number of requests made to relevant government counterparts by the grantee's CSO partners, how many of these requests received any response at all	Survey of grantees or representative sample of grantees Survey of grantee partners or representative sample of grantee partners Qualitative assessment of relevant	GPSA responsible for collating the documentation and collecting data from grantees

		(acknowledgement of request, written message, invitation to meeting, forum, etc.)? How satisfactory was this response? - Have the grantee's CSO partners made new contacts with relevant government counterparts? Have these contacts been sustained beyond a single contact or meeting? - Have the grantee's CSO partners' interactions with government counterparts and partners helped to clarify how the policy cycle works and identify entry points into the policy cycle? - Have the grantee's CSO partners' interactions with government counterparts helped to identify and produce the kinds of information that can sway the decisions of public officials? - Have the grantee's CSO partners' government counterparts helped deliver and dissemination information produced by you to other public officials? - Have the grantee's CSO partners' been invited to existing policy dialogues between Bank and country government?	sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated; that consensus was reached on the formulation of a strategy Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews Memo(s) or other communication from participants or other	Grantees Task Team Leader

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			stakeholders describing how collaboration has increased or improved Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration	
	Indicator 3: Constructive engagement between beneficiary participants in GPSA project and relevant local authorities in terms of communication of beneficiary feedback and increased opportunity for feedback loops between citizens and government	Survey and interview questions for grantees and/or beneficiary participants in GPSA project such as the following: - Out of the total number of contacts and requests made to service providers and local authorities responsible for service provision, how many of these contacts and requests received any response at all (acknowledgement of request, written message, invitation to meeting, forum, etc.)? How satisfactory was this response? - Have beneficiary participants made new contacts with service providers and local authorities responsible for service provision? Have these contacts been sustained beyond a single contact or meeting? - Have the beneficiary participants' interactions with service providers and local authorities helped to clarify how decisions about service provision are made and to identify entry points into the decision	Survey of grantees and/or beneficiaries Qualitative assessment of relevant sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews)	GPSA responsible for collating the documentation and collecting data from grantees Grantees Task Team Leaders

		making processes?		
		- Have the beneficiary participants' interactions with service providers and local authorities helped to identify and produce the kinds of information that can sway their decisions about service provision?		
Outcome 2: Collaboration between CSOs and Social Accountability Institutions	Indicator 1: Collaboration between social accountability initiatives of grantee (lead implementing CSO) and state accountability institutions	Survey and interview questions for grantees such as the following: - Out of the total number of requests made to actors within state accountability institutions, how many of these requests received any response at all (acknowledgement of request, written message, invitation to meeting, forum, etc.)? How satisfactory was this response? - Has discussion been initiated / resumed? - Has collaboration increased or improved? - Have you made new contacts with actors within state accountability institutions? Have these contacts been sustained beyond a single contact or meeting? - Have your interactions with actors within state accountability institutions helped to	Survey of grantees or representative sample of grantees Qualitative assessment of relevant sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was	GPSA responsible for collating the documentation and collecting data from grantees Grantees Task Team Leaders

		clarify how state accountability institutions work and potential complementarities between social accountability initiatives and state accountability institutions? - Have your interactions with actors within state accountability institutions helped you to identify and produce the kinds of information that can sway the decisions of public officials? - Have your actors within state accountability institutions helped deliver and disseminate information produced by you to other public officials? - Have you been invited to existing policy dialogues between the Bank and state accountability institutions? - Have actors within state accountability institutions worked together with you to formulate action plans and steps?	initiated/resumed/activated; that consensus was reached on the formulation of a strategy Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration	
	Indicator 2: Collaboration between grantee's CSO partners and state accountability institutions	Survey and interview questions for grantees and grantee partners such as the following: - Out of the total number of requests made to actors within state accountability institutions, how many of these requests received any response at all (acknowledgement of request, written	Survey of grantees or representative sample of grantees Survey of grantee partners or representative sample of grantee partners Qualitative assessment of relevant	

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		message, invitation to meeting, forum, etc.)? How satisfactory was this response?	sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures.	
		- Has discussion been initiated / resumed?		
		- Has collaboration increased or improved?	Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs	
		- Have grantee partners made new contacts with actors within state accountability institutions? Have these contacts been sustained beyond a single contact or meeting?	Rapid appraisal methods (e.g., direct observation and key informant interviews)	
		- Have grantee partners' interactions with actors within state accountability institutions helped to clarify how state accountability institutions work and potential complementarities between social accountability initiatives and state accountability institutions?	Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated; that consensus was reached on the formulation of a strategy	
		- Have grantee partners' interactions with actors within state accountability institutions helped you to identify and produce the kinds of information that can sway the decisions of public officials?	Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews	
		- Have grantee partners' actors within state accountability institutions helped deliver and disseminate information produced by you to other public officials?	Memo(s) or other communication from participants or other	

		- Have grantee partners been invited to existing policy dialogues between the Bank and state accountability institutions? - Have actors within state accountability institutions worked together with you to formulate action plans and steps?	stakeholders describing how collaboration has increased or improved Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration	
	Indicator 3: Collaboration between beneficiary participants in GPSA project and local state accountability institutions	Survey and interview questions for grantees and/or beneficiary participants in GPSA project such as the following: - Out of the total number of requests made to actors within local state accountability institutions by beneficiary participants, how many of these requests received any response at all (acknowledgement of request, written message, invitation to meeting, forum, etc.)? How satisfactory was this response? - Have beneficiary participants made new contacts with actors within local state accountability institutions? Have these contacts been sustained beyond a single contact or meeting? - Have beneficiaries' interactions with actors within local state accountability institutions helped to clarify how state accountability institutions work and potential complementarities between social	Survey of grantees and/or beneficiaries Qualitative assessment of relevant sections in biannual reports (RORs) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs/GRMs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews)	

		accountability initiatives and state accountability institutions?		
Contextual Factor 1: Existing Space for Civil Society to Operate	Indicator 1: *De jure* and *de facto* protections for civil liberties, information rights, and freedom of the press	CSO Sustainability Index Economist Intelligence Unit Democracy Index's Civil Liberties sub-indicator (used by the Open Government Partnership for minimum eligibility criteria) Freedom House Accountability and Public Voice Index Freedom House Civil Liberties Index (NB: The environmental dimension of the CIVICUS Index incorporates many of these characteristics in the measurement of the dimension, although the CIVICUS Index itself is not available for many of the GPSA's member countries.)	http://www.interaction.org/civil-society-organization-sustainability-index https://www.eiu.com/public/topical_report.aspx?campaignid=DemocracyIndex12 http://www.freedomhouse.org/report/countries-crossroads-2010/survey-methodology?page=140&edition=9&ccrpage=45#.Uw5EvvZkKJM	
Contextual Factor 2: Pre-existing Level of Government Openness	Indicator 1: Pre-existing level of fiscal transparency	Whether or not the Executive's Budget Proposal and Audit Reports are published, based on subset of indicators from the Open Budget Index, constructed by the International Budget Partnership (used by the Open Government Partnership for minimum eligibility criteria)	http://internationalbudget.org/what-we-do/open-budget-survey/	
	Indicator 2: Pre-existing access to	Data from Right2Info.org, a collaboration of the Open Society Institute Justice Initiative and Access Info Europe	http://right2info.org/access-to-information-laws	

	information		http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPUBLICSECTORANDGOVERNANCE/0,,contentMDK:23352107~pagePK:148956~piPK:216618~theSitePK:286305,00.html	
		World Bank Public Accountability Mechanisms Initiative (PAM): Freedom of Information		
	Indicator 3:

Existing legal requirements for disclosures of income and assets for elected and senior public officials | World Bank Public Accountability Mechanisms Initiative (PAM): Financial Disclosure

Survey data from 2009 World Bank-commissioned survey on disclosure entitled "Disclosure by Politicians;" 2009 World Bank study titled, "Income and asset disclosure in World Bank client countries," by Richard Messick, and OECS Governance at a Glance 2009 | http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPUBLICSECTORANDGOVERNANCE/0,,contentMDK:23352107~pagePK:148956~piPK:216618~theSitePK:286305,00.html | |
| Contextual Factor 3: Pre-existing State Capacity / Quality of Public Sector Management | Indicator 1:

Pre-existing quality of public financial management | Public Expenditure and Financial Accountability Program (PEFA) Assessments

Subset of public sector management indicators from IDA Resource Allocation Index

Freedom House Accountability and Public Voice Index | https://www.pefa.org/en/dashboard

http://www.worldbank.org/ida/IRAI-2011.html | |
| Contextual Factor 4: Pre-existing Level of Political | Indicator 1:

Level of electoral | Polity IV Index | http://www.systemicpeace.org/polity/polity4.htm | |

Accountability	quality			
	Indicator 2: Quality of rule of law	World Justice Project Rule of Law Index	https://www.agidata.org/Site/Sources.aspx	
Contextual Factor 5: Institutionalization of Horizontal State Accountability Institutions	Indicator 1: Institutionalization of state accountability institutions such as legislative oversight mechanisms, judicial review, and independent oversight institutions	Subset of indicators from Freedom House Anticorruption and Transparency Index	http://www.freedomhouse.org/report/countries-crossroads-2010/survey-methodology?page=140&edition=9&ccrpage=45#.Uw5EvvZkKJM	

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