CDD TOOLKIT
Governance and Accountability Dimensions

Section I: Community Level Tools

Overview

People are at the center of the community-driven development (CDD) approach. They come together to create, articulate and build a common vision of their future and are meant to have control and decision-making authority over the resources available to make this vision real. Therefore, community level engagement is the starting point for ensuring governance and accountability in CDD-based projects. How community interests are represented; how community governance structures for the project are designed; and how community members participate are all factors that lay the foundation for the sound design and implementation of activities for the overall project.

As communities are in charge and typically manage the majority of project funds in most CDD-based projects, self-governance at the community level is the first and most powerful good governance measure in a project. Therefore, the majority of the accountability measures rest at the community level and this is why the vast majority of the tools in this Toolkit are focused at the community level. The powers vested in the communities are what set CDD-based projects apart from other World Bank projects involving the delivery of services by the state to citizens. In CDD-based projects, since citizens are themselves responsible for using project resources for improving their wellbeing and livelihood, the concept of holding the state accountable for the delivery of services to citizens does not strictly apply. Instead, the beneficiaries, as the project implementers at the community level, are held accountable by the rest of the community in which they live. Transparency and accountability at the village level is enforced through local community level bodies such as a ‘social audit committee’ or a ‘village assembly’ where the poor, the extreme poor and women are fully represented.
If accountability is not ensured in community level activities, all other efforts to make the project contribute to local development are unlikely to succeed. In this section, we introduce several good practice examples of tools which—though not exhaustive—have proven to be effective in operations for strengthening governance and accountability in CDD-based projects across the globe.

The tools are divided into several sub-sections and collectively address common risks, such as malfunction in institutional systems at the community level, weaknesses in financial management systems, irregularities in procurement, weaknesses in disclosure policies, poor communication systems, and ineffective complaint and grievance redress mechanisms. This Toolkit is not meant to be read front-to-back but, rather, selectively as just-in-time operational support is needed on a given topic or implementation approach.
Module 1.1: Foundations of CDD-based Project Accountability

Topic 1. Clarity and Ownership of Rules

The foundation of governance and accountability in CDD-based projects requires: (i) a clear and well-articulated set of community accepted rules; (ii) effective social mobilization and information dissemination to ensure that rules are well understood; and (ii) a robust and transparent system to identify and target the project beneficiaries.

Rules make the decision-making process more transparent and formalize behavioral expectations. When created with the participation of community members, this process can empower them with a sense of ownership over the project and reinforce a culture of compliance. Many tools contained in this Toolkit (and the further information provided in the annexes to this section) stress the importance of the community in defining and upholding these rules, with adequate transparency and accountability mechanisms contained therein. Clear rules help to avoid conflict of interest challenges and minimize temptation for collusion among actors involved.

BOX 1
What is Likely to Result if Clarity and Ownership of Rules is Not Present

- Community members may misunderstand the purpose of the project, and have wrong expectations.
- There might be inconsistency in interpretation of such rules across the community members, which could potentially create confusion and conflicts within the community.
- Community members cannot find out or complain about bad practices of the implementing agencies or other community members.
- Because clear rules help ensure that project activities are carried out in a standardized way, they can also help Monitoring and Evaluation (M&E) efforts to be more effective and comparative in measuring and assessing impacts.
- Silence can breed suspicion. If communication is not proactive and frequent, speculation can start to negatively affect the perceptions of the community regarding the project, its procedures, and its outcomes.
- Clear rules are necessary to attribute the positive or negative findings of a specific intervention. If impacts are not measured in a standardized manner, scaling-up the project becomes impossible.
Clear rules are also expected to pave the way for a smoother participatory facilitation process that enables the community to select its projects (thereby minimizing confusion and the perception of subjective selection of projects), manage its resources more efficiently and prepare basic financial and activity reports. Clear rules should also strengthen checks and balances at multiple levels of the project.

The communication of rules in a way that is appropriate, timely, and widely understandable is critical to their adoption and enforcement. Good communication/information campaigns should be kept simple using charts, pictures, and local languages. Campaigns should inform communities of the purpose and rules/principles of the project, rights and responsibilities of key actors (including community members), and the basic steps of how the project proceeds.

While the project should emphasize the importance of transparency and participation for its success, it should also inform the community of the ways to submit complaints or suggestions, and of the possible penalties in case there is a misuse of funds or corruption. Rather than just a one-time information campaign at the beginning of the project, a continued effort helps to keep people informed and reach those who might be missed in a one-time campaign. Communication is thus a critical part of the project throughout all phases of the project cycle.¹

Clearly defined procedures, outlined and widely disseminated, help to avoid confusion and minimize administrative complexity. To maintain the credibility of the system, these rules should be monitored and transparently enforced.² Clear and simple rules also empower the community by giving them a sense of ownership.

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**TOOL 1**  
**Establishing Clear Community-Defined Rules for Project Governance**

| What | Clear, non-negotiable principles for project governance must be agreed upon upfront and understood by every person in the community. In other words, these principles are the core of the project that is embedded throughout project implementation, and that provide the foundation necessary to support all other efforts made toward achieving a successful CDD-based operation. |
| Why | Unclear or overly complex rules, and/or a lack of information, can lead to biases and/or conflicts of interest in the selection of community leaders, as well as the selection, approval and implementation of sub-projects. These situations create an opportunity for fraud and corruption to develop. This can threaten both the overall project and the objective of fostering bottom-up and empowered community level decision-making. Although World Bank projects typically have many forms of overall documentation (e.g. Project Appraisal Document or PAD, and Operational Manuals or OM) what is written and defined in these documents tends not to lend itself to both rapid dissemination and clear understanding at the local level. In addition, the formal project communication and dissemination process cannot always reach those who are at the very bottom of the community structure, while in most cases, they are the main beneficiaries. Finally, the process of developing, recounting, and ensuring adherence to these principles or rules can itself become a mechanism for social mobilization and building community solidarity. |
| How | **Step 1:** The project facilitator asks the group of beneficiaries what kind of issues or challenges they have in the community, and lists the responses in real time. This collective process enhances a sense of ownership within the community, and recording their responses in their presence publicly reaffirms that their suggestions are listened to and formally noted.  
**Step 2:** Looking at the list developed, the facilitator asks the community members what they would do to address those issues. Based on the discussion, the facilitator consolidates the information into four or five very simple rules that could form the core of the project. The facilitator is key to guiding this process and ensuring broad buy-in.  
**Step 3:** Assess the four or five rules and standardize them across the different communities in order to scale-up to a wider coverage.  
**Step 4:** Once the non-negotiable rules are developed and adopted, the project ensures their thorough dissemination, highlighting them every day, and reminding community members repeatedly about them everywhere, at every level. After the rules are fully embedded into peoples’ minds, community members should be able to explain the rules to people from outside, and they may feel full ownership of the project. |

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### Tool 1 (continued)

<table>
<thead>
<tr>
<th><strong>TIPS:</strong></th>
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<tr>
<td>• Any community-level workshop should be preceded by a strong information campaign to gather as many community members as possible.</td>
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<tr>
<td>• The information campaign should make sure that marginalized groups (including women) are involved. If it is difficult to conduct the process at once, separate meetings should be set up based on sub-groups.</td>
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<td>• It is important that the rules are developed with beneficiaries.</td>
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<th><strong>Who</strong></th>
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<tr>
<td>Everyone in the community should get involved in the process of setting up the rules and should fully understand and uphold them.</td>
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<th><strong>When</strong></th>
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<tr>
<td>The rules should be developed at the very beginning of the project, and reiterated regularly during implementation so that they are fully internalized by all members as well as by project service providers.</td>
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<tr>
<th><strong>Challenges/Lessons</strong></th>
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<td>It is important to adjust the rules according to the specific context or characteristics of the regions or villages, while staying true to the core principles.</td>
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<tr>
<td>For example, if the population density is high in one region and very low in another, “having 80% or the vulnerable groups in the region in the decision meeting” could be modified to say “in the sub-region.” In this way, the core principle of keeping vulnerable groups in the loop is maintained.</td>
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<th><strong>Resources</strong></th>
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TOOL 2  
Community Operational Manuals

| What | The Community Operational Manual (COM) is a set of booklets that introduces the project rules, implementation processes and procedures with visual illustrations (locally crafted where possible) and clear language that is understood by the project communities. The COM is distinct from the more formal “Project Operational Manual” that is used by project staff. It should be simple and easy to use, and is intended to be a “living document” that is regularly updated and improved based on feedback from the communities. Later, experienced community members who were involved in developing the booklets can also train new project field staff in subsequent phases using a training-of-trainers (TOT) model. |
| Why | It is very important that community members, in addition to partners such as the government and non-governmental organizations (NGOs), understand the rules and implementation modalities of the project well. This is especially true for areas where the CDD-based approach of community engagement has not been previously used. Nevertheless, at the outset of a project, in particular, it is common for communities as well as facilitating field-level staff to lack an understanding of project implementation procedures and processes. As a result, the need for comprehensive guidelines on various project aspects can be great. The COM aims to bridge this capacity gap. It can also aid transparency as it allows any community member to question the actions of committee members or other office bearers if an action seems contradictory to what is stated in the COM. |
| How | Step 1: In the selected pilot villages, the project staff members, together with community members, explain the overall project aims (e.g. information contained in the World Bank *Project Appraisal Document* or PAD, and *Operational Manuals* or OM), ensure that they are clearly understood, and translate this to the local level by agreeing on the project’s institutional and implementation model, rules and practices. The proceedings of these discussions are captured in writing both by the community members as well as project staff.  
Step 2: The COM is developed using many visual illustrations (often by the communities themselves), and simple, easy-to-understand language. It should be available in the local language.  
Step 3: The community members involved in developing the COM are trained in a training-of-trainers (TOT) model so that they are able to train leaders in all communities about the various aspects of the COM.  
Step 4: Every year, the community members meet in small groups to revise the COM by incorporating lessons, adaptations, and best practices emerging from the field. |

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### Tool 2 (continued)

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<th><strong>TIPS:</strong></th>
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| • The creation of the COM requires strong facilitation from the national project team or partner NGO.  
• The same people who facilitate the first session can also facilitate subsequent periodical workshops with the communities to update the COM booklets. |

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| The implementation of COM guidelines primarily is the responsibility of community institutions, including a Social Audit Committee (SAC), or other type of community level monitoring committee.  
The project district and field team can provide technical assistance and work with partners to ensure the quality of the document as well as its consistency with the overall project documents and the TOT component.  
Experienced community members are responsible for disseminating COM booklets and refreshers. |

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<td>The COM is initially developed and tested in a small number of beneficiary communities, then scaled up to the entire project area. COM booklets are reviewed and revised with the involvement of community members annually.</td>
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<th><strong>Lessons</strong></th>
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| **Length of edits:** As the number of booklets increases, the size of the COM can become a little unwieldy making it difficult for a community member to remember everything. This could be overcome by producing an abridged version containing the essential messages.  
**Geography:** With the geographic expansion of the project, the task of compiling best practices and implementation issues, and comprehensively revising the manual, becomes challenging. The project lead could overcome this by initially conducting regional-level workshops, followed later by a consolidated workshop at the national level.  
**Cost of reprint:** As the number of project villages increases, the printing and distribution of annually revised COM booklets becomes costly. This can be overcome by printing and circulating only the revisions to the booklets. Alternatively, other media (such as videos) can be used for easier reproduction and dissemination.  
**Clear roles and responsibilities:** It is important to clearly define which community members take on the responsibility of revision and dissemination upfront to ensure the accountability and sustainability of the activity. |
CASE STUDY 1
India—Community Level Non-Negotiable Principles in the Tamil Nadu Empowerment and Poverty Reduction Project: The “Uyir Moochu”

What

In India’s Tamil Nadu Empowerment and Poverty Reduction “Puthu Vazhvu” Project, before starting every community meeting (including committee meetings), the community members stand up, hold their right arm horizontally in front of them, and together recite the ten non-negotiable principles known in Tamil, the local language, as the “Uyir Moochu” or “Life Breath.”

The purpose of this exercise is to remind all community members, each time they meet, about their key agreed upon rules for guiding all decision making. Though many members have learned the principles by heart, the collective recitation helps to internalize these rules both by members, as well as by leaders of the community organization(s).

The primary test for assessing any community decision, collective action or behavior of members is whether the Uyir Moochu has been followed or violated. This tool of accountability for office bearers and ordinary members alike becomes an everyday tool signifying its importance in keeping the organization of the poor and extreme poor engaged and active.

The Seven Rules of the Uyir Moochu are:

1. We will collectively plan and implement all our activities
2. We will be transparent in all our activities
3. We will give priority to women
4. We, the poor and very poor, will come together and develop ourselves
5. We will be of support to the disabled and vulnerable
6. We will use our village fund honestly
7. We will use self-help in all our activities

Why

The project provided a structure and methodology for ensuring the inclusion of the poor and extreme poor in an institutional framework consisting of small groups, their Panchayat-level Federations and Village Poverty Reduction Committee. The small groups are the main driving force in the village general body, the Gram Sabha (GS).

The communities felt that they needed a set of beliefs, values and principles to bind together all members and the revitalized institutional structures.

In addition to ordinary members, office bearers at all levels commit themselves to these principles. They called these principles “Uyir Moochu,” meaning “Life Breath” in Tamil to reflect their belief that just as a normal living being dies when its breathing stops, the village organization will become dysfunctional if the principles are violated by any one member.
Case Study 1 (continued)

| When and Who | Reciting the “Uyir Moochu,” as well as ensuring accountability and transparency so that none of the principles are violated, is understood as a collective responsibility. A community committee, such as a Social Audit Committee (SAC), is given the mandate to investigate instances of violation of the non-negotiable principles and report its findings to a general body with recommendations to correct deficiencies. |
| Scale | This ethical framework has been embedded in all village level activities in more than 5,000 village Panchayats. |
| Impact | The “Uyir Moochu” has emerged as a continuous reminder of commonly crafted and agreed upon principles so that the same are upheld and practiced. The unity, sense of community belonging from a shared set of principles, and high ethical standards brought about by practicing and reinforcing the “Uyir Moochu” has directly contributed to the emergence of empowered communities and the lively village institutions of the poor and extreme poor. |
| Challenges | For some villages, the “Uyir Moochu” remains only a ritual in mass recitation, while office bearers violate the rules for their personal advantage. |
| Sustainability | The principles have become so much part of village life that practicing them transcends the village institutional activities and has spread to all collective activities in the village. Hence, the benefits of practicing these principles have sustained beyond the project period, becoming integrated into community life. |
| Cost | Beyond the initial costs of disseminating and inculcating the principles, this tool is perhaps the only accountability tool that needs no cost for its practice in the long term. |

Source: India—Tamil Nadu Empowerment and Poverty Reduction “Puthu Vazhva” Project.
In the Sri Lanka Community Development and Livelihood Improvement Project (locally called “Gemi Diriya”), community members created and agreed upon the “non-negotiable principles” of: participation, inclusion, transparency, accountability and cost-sharing. In addition to this, they adopted an “Ethical Framework of 10 Golden Rules,” described as a “Self-Development Wheel” meant to guide all community members during the selection of project beneficiaries, priorities, and implementation.

Source: The Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project – Phases One and Two.
Annex 1: More on Community Level Non-Negotiable Principles—The “Uyir Moochu”

Uyir Moochu-1: We will collectively plan and implement all our activities

- We will make all decisions with the peoples’ participation
- All information about the project should be known to all the people in our village
- The village development plan should be made with the peoples’ participation

Uyir Moochu-2: We will be transparent in all our activities

- All the people in our village should be informed about the project activities, ensuring transparency
- We shall share all project information including funding and procurement details during Gram Sabha meetings and also display the information on notice boards
- Everybody in our village has the authority to check the record books

Uyir Moochu-3: We will give priority to women

- Women make up half of our population. Therefore women must develop in order for our society to develop
- When woman come together, there will be holistic development in our village
- In our project, 80% of the decision-making power will be given to women
Uyir Moochu-4: We, the poor and very poor, will come together and develop ourselves

- We, the poor and very poor families in our village, will get preference in the project
- It is our responsibility to come together and work towards improving our standard of living
- We can acquire skill trainings and livelihood opportunities that will increase our incomes

Uyir Moochu-5: We will support the disabled and vulnerable

- Through this project we shall assist the disabled, building their confidence and skills and ensuring that they live with dignity
- We also have vulnerable people in our village, such as widows, the destitute, orphans, elderly people, and people with chronic diseases. We will support them in their development.

Uyir Moochu-6: We will use our village funds honestly.

- The village fund is like our fund. Hence, we will take the utmost care in spending it.
- We will ensure that funds are optimally and responsibly utilized.
- Details of expenditures made in the project must be displayed on notice boards, presented in Gram Sabha, and approved by the Social Audit Committee
- Accounting books for all project expenditures need to be properly maintained

Uyir Moochu-7: We will use self-help in all our activities.

- Though we may get help from our project staff and others, we shall not depend on outsiders forever. We need to learn new things to help ourselves solve our own problems.

Source: India—Tamil Nadu Empowerment and Poverty Reduction “Puthu Vazhvu” Project.
Annex 2: More on Community Operational Manuals—Examples from the Bangladesh Empowerment and Livelihood Improvement “Nuton Jibon” Project

What

Through well-facilitated workshops with community members, the Bangladesh Empowerment and Livelihood Improvement “Nuton Jibon” Project has developed simple, user-friendly Community Operational Manuals (COM) on various aspects of village planning, institutional structure, implementation, and community-level monitoring. Experienced community members who were involved in the development of the COM act as trainers-of-trainers (TOTs) to disseminate the contents of the COM among the village office bearers. Every year the community members meet in small groups to take stock of the COM and revise it to incorporate lessons, adaptations and best practices emerging from the field. The COM is comprised of 14 booklets, as listed below.

<table>
<thead>
<tr>
<th>Bangladesh “Nuton Jibon” Project: List of Community Operational Manual (COM) Booklets</th>
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<tbody>
<tr>
<td>Booklet 1: About our Project and Institutions</td>
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<tr>
<td>Booklet 2: Receiving and Using the Village Development Fund</td>
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<td>Booklet 3: Savings and Credit Management</td>
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<td>Booklet 4: Community Infrastructure and Social Services Fund</td>
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<td>Booklet 5: Participatory Village Development Planning for Vulnerability Reduction &amp; Disaster Mgmt.</td>
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<tr>
<td>Booklet 6: Monitoring our Progress and Conflict Resolution</td>
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<tr>
<td>Booklet 7: Accounts Management</td>
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<tr>
<td>Booklet 8: Community Procurement</td>
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<td>Booklet 9: Social Accountability and Governance Manual</td>
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<tr>
<td>Booklet 10: Livelihood Development</td>
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<td>Booklet 11: Youth Development</td>
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<tr>
<td>Booklet 12: Participatory Identification of the Poor</td>
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<tr>
<td>Booklet 13: Appraisal Guidelines</td>
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<td>Booklet 14: Community Professional Learning and Training Center</td>
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Why

Bangladesh did not have a history of directly financing the community institutions of the extreme poor and poor that rigorously followed the community-driven development principles of transparency, accountability, and participation. With village funds, community institutions are expected to procure goods, works, and services in line with community procurement principles; maintain a perpetual fund for providing loans to members; and maintain books of all accounts and other records. All institutional activities and the utilization of funds are subject to social auditing. During project preparation, the lack of capacity among communities and...
facilitating field-level staff to implement such a robust project design was noted. The initial groups of community members and non-governmental organizations (NGOs) facilitating implementation also expressed a demand for comprehensive guidelines on various aspects of the project. To bridge this gap in capacity and understanding, COM booklets were developed.

**Who and When**

The national team of the implementing agency, the Social Development Foundation, facilitated implementation in pilot villages, as well as periodic workshops with communities to document each COM booklet. Experienced community members are responsible for disseminating COM booklets. The implementation of COM guidelines primarily is the responsibility of the community at large—the Village Assembly, called Gram Parishad, with social auditing by the Social Audit Committee. The district and field teams also provide technical assistance.

COM booklets are revised annually with community members. The booklets are available in the local language (Bangla), with members of each Gram Parishad and Executive Committee (Gram Samiti) who are trained to implement the institutional and village fund activities.

**Scale**

All 14 booklets are in use, and all villages comply with the booklet guidelines. Currently approximately 3,000 villages use the COM.

**Advantages/Impact**

In many rural projects, the government staff and implementing partners (such as NGOs) are fully aware of project details and implementation rules. This may or may not be directly translated to the community level. An advantage of the COM approach is that it puts higher-level concepts and operations into practical and understandable terms at the community level. In project villages, the Executive Committee and many community members have become fully aware of the project principles, design, and rules through the COM process. This is a sign of empowerment, which has helped the community to promote self-help and local ownership. The COM booklets have improved transparency on the workings of institutions, the basis of decisions taken, and the eligibility criteria for various benefits. The COM booklets have also improved social accountability in the overall project, as information is readily available in the community for anyone to question the actions of committee members or office bearers.

**Challenges/Limitations**

As the number of COM booklets has increased, the size of the COM has made it difficult for community members to remember everything. To remedy this, an abridged version containing essential messages has been produced. Moreover, there are specialized sub-institutions that thoroughly understand the COM booklet relating to their domain of activity (e.g. the finance committee, procurement committee, savings and credit committee, etc.). With the geographic expansion of the project, compiling best practices and implementation issues and comprehensively revising the COM booklets has become difficult. The project proposed to overcome this by initially conducting regional level workshops and later consolidated
workshop at the national level. In light of the increased number of villages, printing and supplying the annually revised COM booklets also became costly. This has been overcome by printing and circulating only the changes made in the COM booklets on a separate sheet.

**Sustainability**

The revision of the COM booklets has been entrusted to community-led centers, while responsibility for dissemination rests with the federations of Village Assemblies (Gram Parishads). Community ownership and responsibility ensures the sustainability of the process.

**Cost**

The main costs are for workshops to revise the COM booklets and related printing costs.

*Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.*
Module 1.1: Foundations of CDD-based Project Accountability

Topic 2. Inclusion, Social Mobilization, and Participatory Targeting

Effective social mobilization is carried out to make sure that all members of the community understand what the project entails, its purpose and activities, and who will be targeted as beneficiaries or otherwise directly involved, and why. Methods for communication based on local socio-cultural characteristics are essential because they are easy for community members to understand, making it easier for messages to reach the various groups that exist in the community. Music, plays, and cultural events can all be utilized to disseminate information to the community members in a more attractive way. Using these methods can also help to reduce or avoid the possibility of creating an unfamiliar atmosphere that makes people without much past exposure to development projects hesitate to participate in the future.

FIGURE 1
The Flow of Social Mobilization Activities

<table>
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<tr>
<th>Crucial preparation</th>
<th>Implementation with various techniques</th>
<th>Follow-up activities</th>
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<tr>
<td>Endorsement/Support/Partnership</td>
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</table>
- Local/community informal authorities
- Line ministries |
- Cultural programs/Street theater
- Inspirational films
- Music events
- Rallies
- Wall paintings/Notice boards
- Hand bills
- Simplified, modular, and periodic, in step with the phase of the project cycle |
| Partnership |
- Line ministries
- Technical agencies
- NGOs & Private sector
- Financial sector |
- Meetings
- Community-to-Community interactions
- Exposure and field visits |
| Preparation |
- Choice of the time and the venue
- Prior notification |
| Get continuous feedback from the participants
| Monitor the effectiveness |
The tools presented in this section have been created to ensure that people in the project area—regardless of their education level, societal class or gender—have access to information and feel encouraged to participate in the project from the very beginning. It is important that the scheduling and types of events/methods are carefully chosen for both efficiency and cost-effectiveness.

Prior to an event, it is important to get endorsements from all local informal or formal authorities. If possible, it is recommended to get formal buy-in support from them and implement the selected activity in partnership. The project team could come up with ideas on how to best attract people’s attention, and then contract those cultural groups or NGOs to actually implement them. This social mobilization process could be repeated at important events or as policy changes are made to assist with the flow of communication and ensure a shared understanding as the project evolves.

**Women and Vulnerable Groups**

Based on project implementation experience, active and sustained participation tends to be more difficult for particular groups of people including women, people of lower castes or societal perception, the disabled, the extreme poor, the less educated, and minority ethnic groups. Hence, appropriate tools need to be employed in order to effectively mobilize women and other vulnerable groups to create the space within the whole community to welcome broad participation.

Typically, it is very difficult for these groups to have a natural entry into the project processes, unless facilitated through a concrete participation tool. As a result, more often than not, they fail to participate. In many CDD-based projects, empowerment of the community through decision making and resource control is a critical project outcome. When that opportunity to enhance empowerment is not fully realized through broad community participation, most likely those who already have control over decisions and resources are enabled to influence the discussion and action. In most cases this reinforces the status quo, and in doing so, it typically fails to translate into poverty reduction, shared prosperity or inclusive growth aims.
## CASE STUDY 1
Brazil—Rural Poverty Reduction Project, Rio Grande do Norte: Utilizing a Music Band for Social Mobilization and Information Dissemination

| **What** | The Brazil Rural Poverty Reduction Project in the State of Rio Grande do Norte used a music band to invite community members to upcoming meetings, to inform them about what was happening in the project, and to disseminate useful project related information and updates. |
| **Why** | By using familiar music, and working in partnership with local musicians, community members forged a closer identification with the project. In many cases, music bands served as a local “incubator” for project activities, planting the seeds for activities that would grow into larger cultural programs in the municipalities. This served to bring cultural activities closer and offer opportunities to engage young people living in distant communities. |
| **When and Who** | Municipal associations carried out the social mobilization and information dissemination activities. The music bands were created by community members, particularly young people with an interest in, and commitment to, music. To support information dissemination and social mobilization objectives, music bands should be identified at the very beginning of the project, and should clearly understand their role and functions in the project. |
| **How** | When music bands are created through sub-project activities, the funding requests from these groups follow the same steps as other types of sub-projects. When the groups are selected or prioritized by the municipal associations, projects can set up the selection criteria as appropriate to each project objective, (for instance, targeting poor rural young people, or regular students). Some typical activities include:  

- **Musical initiation classes.** These can be an entry point for young people with no musical background. They take classes on music theory and instruction and form the music groups. At this stage, classes are held twice a week (morning or night). This helps to instill teamwork and a sense of respect for colleagues.  

- **Musical aptitude tests.** Band members must pass a test for the instrument they want to play. Each student is responsible for his instrument, which belongs to the band. Each group has a ‘boss’, who oversees and coordinates the group’s work.  

- **Musical study and practice.** At all stages, studying is important. In general, students spend one or two hours a day studying music. Regular rehearsals occur three times per week, usually at night. Though, this is flexible. Studying helps to instill a sense of discipline, which can have spillover effects on other parts of their education. As the bands mature, other sub-groups tend to emerge: trios, quartets, or quintets of various instruments, choirs, etc. In turn, the more experienced members serve as mentors and trainers for beginners in different instruments. |
| **Challenges/ Lessons** | Funding (e.g. for instruments and teacher salaries, etc.): In some cases, access to additional public funding to keep the work going is largely dependent on the music group’s ability to link in with larger state and federal cultural programs.  

- **Scale:** federating the band activities at a higher level and scaling up the funding and activities.  

- **Space:** both for practice and performances. |

Source: Brazil Rural Poverty Reduction Project—Rio Grande do Norte.
BOX 1
People, Poverty, and Pipes: Community Mobilization in Brazil’s PROSANEAR Program

PROSANEAR (a Portuguese acronym for the Water Supply and Sanitation Project for Low-Income Areas) was a pilot program in Brazil that developed a new approach to delivering water and sanitation services to the urban poor—and enjoyed a whole new level of success. PROSANEAR provided 900,000 poor people with fresh water piped directly into their homes, and one million people were also connected to sewerage systems. This is more than four times the number of new connections that project planners hoped for when PROSANEAR began, and all for a cost below original estimates: less than US$98 per person for water connections and less than US$140 for sewerage (1988 dollars).

PROSANEAR achieved success by combining two novel approaches to delivering urban services: (i) cost-effective, appropriate technologies and (ii) community participation. PROSANEAR projects began by informing local water agencies that funds were available for water projects in favelas, and that the participating agencies would be required to include the communities in the planning and building of the projects.

Community specialists went into neighborhood to identify the groups that could help. Women’s groups were often the most effective allies for working in the community, and the women themselves were frequently key to getting the projects underway. (In the favelas, women are more likely to be the head of the household and a permanent part of the community). A variety of educational, cultural, and recreational activities—such as sporting events, street theater, songs, and essay/poster contests—were also used to support sanitary and environmental education. This form of community mobilization was critical in facilitating the success of the program.


Intra-Community Targeting

Targeting is about how to effectively, inclusively, and efficiently allocate limited resources. A transparent and robust targeting methodology is critical for ensuring the inclusion of the most vulnerable and socially marginalized community members. There are many levels of targeting, including: (a) at the macro-level, i.e. deciding where regionally or geographically the CDD-based project will operate; (b) inter-community—that is, deciding how resources and project activities will be distributed across communities within that geography; and (c) intra-community, which refers to targeting specific groups within communities. This section explains the methodology of intra-community targeting. Project level macro targeting or inter-community targeting will be discussed in subsequent chapters.

For intra-community targeting, it is important to keep in mind that:

- Inequality within communities is sometimes greater than between communities.
- Political economy issues can seriously hinder project activities and outcomes.
- Existing political power structures and bureaucracies can pose important challenges and can exclude the poor and vulnerable from project benefits.
In such an environment, targeting must be clear and transparent. If sound targeting measures are not in place, the project is prone to ‘leakage’ or ‘elite capture’—making the usage of the limited funds inefficient, and the projects much more costly to achieve their goals. Elite capture is one of the biggest governance risks a CDD-based project faces. Targeting therefore should be carefully designed to correspond with the specific project development objectives.

The rules around targeting need to be well articulated and understood by all involved in the project. The project team should be cautious about sensitivities regarding community level politics and culture, with a strong understanding of existing power structures, economic relationships, social hierarchies, and entrenched practices. A lack of transparency may increase the risk of community conflict.

**FIGURE 2**

An Examination of Intra-Community Targeting in Fragile and Conflict Affected States Using a CDD-Based Approach

- **Macro Level**
  - Political economy considerations will determine whether project will cover whole country or regions vs. a pilot

- **Inter-community**
  - Use available simple indicators, such as poverty, conflict, damage access to services from many sources, and triangulate
  - Requires complex formulae that pull indicators together
  - Include as component the improvement of data systems

- **Intra-community**
  - Community itself targets, using tools such as participatory wealth ranking
  - Separate component or funding for pre-identified groups
  - Ear-marked funding within community grant for pre-identified group

There are multiple ways of targeting. Examples include the review of official documents that are centrally consolidated to identify where the most vulnerable are, and household visits by local non-governmental organizations (NGOs) to collect information in order to determine who in the community is regarded as poor. However, these methodologies tend to have challenges. These include, but are not limited to:

- Unintentionally excluding the extreme poor (or those who may lack public knowledge or ownership, and therefore acceptance) from the selection process and criteria.
- Manipulation of data at the central level to benefit the more powerful in the community
- Lack of capacity on the part of local NGOs to collect and analyze the necessary data, and to differentiate among various levels and dimensions of poverty.

With these challenges in mind, a participatory process is recommended for the targeting exercise. The tools in this section explain this in greater detail.
### TOOL 1
**Participatory Identification of the Poor (PIP)**

| **What** | The PIP is a powerful and transparent targeting methodology that not only involves community members, but also enhances their sense of ownership in a project. Through the PIP process, a list of the most vulnerable, poor, and extreme poor households in a community is created. Because the process is locally driven, and not imposed from the outside, it is widely accepted as credible. This enhances awareness in the community on the status and needs of these groups. The PIP includes traditional targeting methods, such as social mapping and wealth ranking. It also lays the groundwork for the continued participation of community members throughout the project cycle. |
| **Why** | Clear rules and methods for targeting can help everyone in the community—beneficiaries and non-beneficiaries alike—to agree on the decision making process for a project, while also reducing the likelihood of conflicts, confusion and duplication. A clear list identifying the most vulnerable, poor, and extreme poor households also helps for monitoring beneficiary progress against objectives throughout the project. Moreover, one positive spillover effect is that this information could attract funding from other programs that are also targeting the same groups in the community. |
| **How** | **Step 1:** Let community members know that a PIP targeting exercise will be undertaken soon through the initial project communication campaign. Without announcing the event, it is difficult to achieve full participation, and as such, successful targeting.  
**Step 2:** Conduct a straightforward social mapping and wealth ranking exercise. For example, with the community gathered, one can draw circles on the ground, and use seeds or differently sized stones to demonstrate the wealth status of the members, intuitively letting them comprehend what is happening. Community members can also use the stone size to respond to questions. The targeting should clarify upfront that the project aims to support the extreme poor and vulnerable so that there are explicit expectations.  
**Step 3:** Carry out one round of the targeting exercise with more than one focus group. This is followed by a project validation period. The project should display the PIP lists for at least a week in the most visible places in the community. Next, the list is ratified by the general assembly (or other general body). **Note:** There should also be a clear process for grievance redress if/when some community members feel excluded or there is a misunderstanding. After the list is confirmed, then other village level organization members should be selected from the PIP list. |
| **Who** | The project facilitation team supported by experienced external resource persons and community members proficient in undertaking the PIP in the community. |
| **When** | The exercise is done as an entry-level activity in new villages immediately after the social mobilization/ awareness campaign. Once the list is finalized, there is an annual review and updating of the list at the general body meeting. |

(Continued next page)
### Tool 1 (continued)

| Challenges/Lessons | One key challenge in the beginning is to convince the government officials and policy makers to adopt the PIP as the main targeting methodology, since most countries already have their established targeting methodologies and may fear that these ‘unofficial’ lists will create unnecessary conflict in the villages. However, once the methodology has been tested, the government officials/bureaucrats become champions and easily adopt this methodology for other government programs.  

Another challenge is that some community households—especially those who fear that they may lose benefits—may not agree with the list, and continue to dispute it (which is also a challenge for traditional targeting models). This is why it is recommended to have a robust feedback mechanism that can take on and clarify misunderstandings.  

All decisions on the selection criteria, listing, and approval of lists are the responsibility of the community. The exercise builds capacity and helps them to have a guide for performing this work in the future.  

The cost and time required to conduct a PIP are also a challenge, particularly when dealing with fragile or post-conflict settings where the need to move quickly with the project is greater. |
| Resources | An example of a Community Operational Manual Booklet on PIP from Tamil Nadu, India, is available on video: http://youtu.be/fd5F0ByjJq0 |
### TOOL 2
### Social Mapping

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<thead>
<tr>
<th>What</th>
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<tr>
<td>Social mapping is a visual and participatory method of categorizing households using locally defined criteria. It gives the project team a locally owned overview of community structure, the socioeconomic situation, the differences in households by social factors (e.g. caste, tribe, ethnicity, religion, etc.) and who lives where in the community. Social mapping becomes particularly relevant: (i) when dealing with communities where geographic divisions across socio-economic groups are likely, and (ii) when the project involves management of common property resources (e.g. forests, water, etc.).</td>
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| Why                                                                  |                                                                                                                                                                                                 |
|                                                                     | Social mapping can be used for:                                                                                                                                                                   |
|                                                                     | • Showing data on a community’s layout, infrastructure, demography, ethno-linguistic groups, health patterns, wealth, etc.                                                                                                                                     |
|                                                                     | • Identifying different social groups using locally defined criteria, and assessing the distribution of assets across social groups and their geographic distribution                                                                                             |
|                                                                     | • Learning about social institutions and the different views local people might have regarding those institutions                                                                                                                                         |
|                                                                     | • Identifying access and management norms for common property resources                                                                                                                         |

All of this information is useful when targeting for projects where geographic variation in socio-economic groups is expected or where community-based natural/common property resource management is facilitated.

| How                                                                  |                                                                                                                                                                                                 |
|                                                                     | The following is a general example of an approach that can be adapted to suit the local context based on the project objective.                                                                                                                                  |
|                                                                     | **Step 1: Bring People Together**                                                                                                                                                                    |
|                                                                     | Gather community members to talk about their perceptions of social difference in the community. Separate groups (5-10 people per group) of men and women as outputs differ consistently if generated by women, men, or children. It may be necessary to break down the population into further categories (such as by ethnicity, well-being category, or caste) depending upon context. This exercise can take a few hours. |
|                                                                     | **Step 2: Provide Introductions and Explanations**                                                                                                                                                  |
|                                                                     | When working with each group, the facilitator and observer/note-taker should begin by introducing themselves and explaining carefully and clearly the objectives of the discussion. Check that the participants understand and feel comfortable with what will be discussed. Allow for questions and answers. |
|                                                                     | **Step 3: Produce a Social Map**                                                                                                                                                                   |
|                                                                     | First decide what type of area the map will show or any limitations such as a village, an indigenous ancestral domain, a watershed, and so on. Social maps begin as physical maps of the residential area of a community. (It might even be possible and useful to combine both and produce one map showing social and resource aspects of the community.) |

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### Tool 2 (continued)

<table>
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<th>How</th>
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<tr>
<td>With the help of participants, select a suitable place and medium for the exercise, such as on the ground using objects such as stones, seeds, sticks, leaves, and colored powder; on the floor using chalk; or directly onto a large sheet of paper, using pencils and pens. Materials collected locally such as seeds are especially useful in enabling people to map distributions quickly and effectively. Ask the participants to start by preparing the outline or boundary of the map. It might be helpful for them to start by placing a rock or leaf to represent a central and important landmark. Another option is to ask them to draw a simple village map showing some features such as roads, paths, and watercourses for orientation. Although it might take some time to get going, the process should not be rushed. Ask the participants to identify and draw on the map other institutions and landmarks that are important to them. Ask also about services or facilities such as irrigation, electricity, water, gas, telephones, and so on and mark these on the map. Absolute accuracy is not the goal. The goal is to get useful information about local perceptions of resources. Then ask for the location of all houses in the community and ask them to mark each as a small empty square. They can then mark the houses in different colors to indicate which belong to households of different well-being categories (such as rich, better-off, poor, and extreme poor). Ensure that the criteria used by local analysts to distinguish different well-being criteria are noted on the map and that they all have the same understanding of the criteria and characteristics. Once the map is underway, the facilitator should sit back and watch; only interrupt when absolutely necessary or if they stop drawing. Alternatively, it might be helpful to go away for a time and come back later. If the map is being drawn on the ground, ask the participants to start making a copy onto paper (indicating which direction is north) once the broad outline has been established, making necessary amendments and additions as they go along. This process is important because extra information and corrections can often arise as a result. Also ensure that a copy or permanent record of the map is available if they want it. Once the participants stop, ask whether anything else of importance should be added. When the map is completed, facilitators should ask the community members to describe it. Ask questions about anything that is unclear.</td>
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Tool 2 (continued)

<table>
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<tr>
<th>How</th>
<th>Step 4: Analyze the Social Map</th>
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<tr>
<td></td>
<td>Once the map has been completed, use it as a basis for enabling community members to conduct their own discussions. These discussions should be noted or recorded. It might be useful to have a list of key questions to guide a discussion about community resources. For example:</td>
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<tr>
<td></td>
<td>• What are the religious groups and where do they live?</td>
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<td></td>
<td>• What are the ethnic groups and where do they live?</td>
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<td></td>
<td>• How many households are in the community and where are they located?</td>
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<td></td>
<td>• Which households are headed by females and where are they located?</td>
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<tr>
<td></td>
<td>• How is land distributed for housing?</td>
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<td>• Is the number of households growing or shrinking?</td>
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<td></td>
<td>The social map produced will only be a snapshot of the current situation. If there are several different groups, ask each group to present its map to the others for their reactions and comments. Are there serious disagreements? If so, note these and whether a consensus is reached.</td>
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<tr>
<td></td>
<td>Step 5: Conclude the Activity</td>
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<td>Check again that the participants know and understand how the information will be used and if this exercise will be repeated or not. Thank the participants for their time and effort.</td>
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| Lessons   | Social mapping is easier when communities are small. It is necessary to adapt the tool in larger contexts where sub-groups may need to be developed and the activity conducted with each group. |

### TOOL 3
#### Wealth Ranking

<table>
<thead>
<tr>
<th>What</th>
<th>Wealth ranking is a method for identifying and collecting data on perceptions of wealth differences and inequalities within a community. The data is used for developing locally-defined criteria of wealth and well-being.</th>
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<tbody>
<tr>
<td>Why</td>
<td>The tool helps to build a shared understanding of local concepts on wealth, well-being, and inequality. It also identifies differences in ownership rights to productive assets. This builds community-level ownership in the targeting process.</td>
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<tr>
<td>How</td>
<td>If a social map has not been produced, then a method using cards can be used. An alternative that might be more suitable in some circumstances is to move straight from social mapping into wealth ranking.</td>
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**Step 1: Gather community members**

Call community members to conduct the exercise. Groups of five to ten participants should reflect any relevant and important social divisions. The information they provide will also allow for cross-checking with different groups at different locations.

**Step 2: Provide Introductions and Explanations**

When working with each group, the facilitator and observer/note-taker should begin by introducing themselves and explaining carefully and clearly the objectives of the discussion.

**Step 3: Produce a Wealth Ranking**

A. Without a social map:

Ask the participants to write the names of all the households living in the community on a card\(^1\) (one name per card) together with any other information that might be significant to a particular enquiry. An official list of all the households in the community might be available; if it is used, make sure that it is double-checked by community members because official lists or registers might be incomplete or out of date.

Ask the members to discuss the criteria that they use in distinguishing between the better-off and less well-off members of their community. What makes them think that a household is better-off or less well-off? Next, ask them to sort the cards into as many piles as there are wealth categories in the community (using their own criteria), re-sorting as they go, if necessary. This will usually lead to the cards being sorted into about four or five categories.

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\(^1\) Alternative methods for distinguishing wealth groupings include the use of Venn Diagrams, seeds, or stones. The references include links to some of these examples.
Tool 3 (continued)

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<td><strong>How</strong></td>
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<td><strong>B. After a social map:</strong></td>
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<tr>
<td><strong>Step 4: Analyze a Wealth Ranking</strong></td>
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<tr>
<td><strong>Step 5: Conclude the Activity</strong></td>
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### Tool 3 (continued)

| **Who** | The discussion group will include a facilitator, observer/note-taker, and community members. Knowledge of the social structure of the community is required by the facilitator because community members might consider wealth or poverty to be sensitive issues, which might affect the discussion and analysis. |
| **When** | Varies depending on size of community. About one hour should be allowed to conduct a wealth-ranking exercise and to ensure that a full discussion occurs. |
| **Challenges/Lessons** | Wealth ranking exercises produce a static picture and do not easily convey poverty dynamics. A narrow focus on ranking households does not address the distribution of well-being within households (such as by gender or age). Wealth ranking might be a sensitive issue and some might see a participatory or “public” exercise as overly intrusive. Good participatory facilitation skills and social analytical skills are needed and can be challenging to find. The approach outlined above is a general guide; be flexible and adapt the tool and approach to local contexts and needs. |
| **Resources** | Jayakaran, Ravi: *The Ten Seed Technique*, World Vision China, 2002 |

Annex 1: Using an Information Campaign for Social Mobilization

What
Information campaigns provide community members with information about project plans, activities, services, rules, etc. They can be a valuable part of a social mobilization strategy. Communities should be well informed about the project content, conditions, and terms. Mass communication campaigns that provide wide public dissemination of this material help to place control in the hands of communities, thereby mitigating the risks of manipulation by politicians, government officials, contracting agencies, and local elites (PRSP Sourcebook). A variety of methods can be used, such as public meetings, mass media, printed materials, public performances, and information kiosks.

Why
The main purpose of an information campaign is to disclose and disseminate project or sector related information such as the project objectives, components, benefits, target beneficiaries, costs, timeline, financial management and procurement requirements, progress reports, grievance mechanisms, and contacts. Building a base of common understanding is critical to social mobilization.

How
To prepare an information campaign, task teams should consider the following questions:

- What are the objectives of the information campaign? What are the key messages?
- Who is the target audience for the information campaign?
- Which communication mechanisms would be effective to reach the audience? Consider literacy rates, infrastructure, location, control of/restrictions on print resources and media, etc.
- What are the potential challenges for communicating key messages about the project?
- How will progress/impact/success be defined and measured?
- How will different actors in the information campaign (e.g., governments, media, civil society organizations, etc.) be engaged?

Who
The information campaign is coordinated by the project team, but implemented at the community level. It should target all community members, especially vulnerable groups.

When
The timing of the first information campaign is usually at the very beginning of the project, with a secondary follow-up phase for clarification and to gather continuous feedback from the participants as the project evolves.
Challenges/Lessons

- It is important to have an information campaign professional in the Project Management Unit (or its equivalent). The notion that “anyone can do an information campaign as a matter of common sense” is completely unfounded. The professional needs to undertake extensive field trips and not act as a desk-bound information broker. This helps him/her to understand the operational aspects of the project and to be regarded by the operational staff as “one of them” (i.e. to be regarded as a participant in the operational process rather than as a reporter).
- Training in the purpose and tactics of the information campaign needs to be provided to the project’s first line of contact with communities, as they play a vital role in disseminating and collecting information.
- The success of an information campaign should not be measured by the number of pamphlets and documentaries produced, but by surveys of beneficiary feedback (recommended every 6 months) to assess whether every beneficiary understands the project rules, objectives, benefits, and implementation processes.

Resources


This practical guide provides experiences and ideas on how to best use communication tools and effectively integrate a comprehensive communication program into CDD-based operations.
Annex 2: Information, Education, and Communication Campaigns in the Malawi Social Action Fund Project

What
The Malawi Social Action Fund (MASAF) and the subsequent MASAF II aimed to enhance and sustain the provision and use of resource endowments by beneficiary communities. Both programs were designed to promote a change in the way all development actors would work with other stakeholders. Community participation was considered a key issue in project design. Public awareness-raising, and information, education and communication (IEC) were the vehicles used to increase such participation and to ensure that communities and other key stakeholders understood their roles under the MASAF approach.

How
The IEC strategy was designed through a process known as Systematic Client Consultations (SCC). Through this process, the MASAF Development Communication Unit (DCU) and a local IEC expert designed an overall strategy for the project, involving non-governmental organizations (NGOs), beneficiary communities, government officials, members of the donor community, and lessons learned from study tours to other social funds.

At the beginning of the project, a public awareness campaign using radio, bus advertisements, and posters was launched. In addition, visits by MASAF staff to key village and regional leaders were used to spread the word. A project launch event presided over by the President of the Republic of Malawi was also held at one of the rural sub-project pilot sites. The various waves of IEC initiatives (e.g. radio messages, posters, bus advertisements, interpersonal exchanges) aimed to inform the prospective stakeholders about the project, and their roles and responsibilities in it.

Within the sub-project cycle, the MASAF IEC involved a two-way form of communication. Facilitators worked intensively with the communities on “sensitization” throughout the sub-project cycle, visiting villages many times to see the sub-project to completion. In turn, villages and local authorities gave feedback to the facilitators on identifying IEC needs and gaps, the design of public awareness messages, and advertising materials that the MASAF considered using. The main vehicle for the collection and dissemination of information was radio. Follow-up programs through radio and other media reinforced the message that MASAF sub-projects are for the whole community, not just the elite, and that implementation committees must remain accountable to the community.

Who and When
The MASAF DCU coordinated all activities and was responsible for developing the IEC strategy, disseminating messages, managing IEC consultants and monitoring the effectiveness of the IEC program. The DCU head conducted quarterly field visits to speak with beneficiaries. MASAF zone managers were also trained in their IEC role by the Head of the DCU and their...
respective Directors. The IEC was reviewed by management during quarterly MASAF meetings. Because local capacity proved to be up for the task, international technical assistance was not used except for evaluations at the end of the project. Virtually all print and media materials were produced by Malawi’s emerging private sector.

An IEC campaign should precede project implementation to inform and shape opinion on project features. The first wave of messages must be clear and simple, and open to as little misinterpretation as possible. For example, while MASAF sub-project eligibility was explained clearly, the messages did not specify the kinds of sub-projects that the Fund would support. A communication initiative needs to follow up its first information campaign with a second phase of clarification. This is necessary because the first phase of information about the arrival of a project, especially a Social Fund, is almost immediately distorted by power players trying to maximize their roles as the intermediaries and purveyors of funds.

**Challenges and Lessons**

- Most of the Project Management Unit (PMU) staff in the early years came from the government, where information was seen as a commodity to be guarded and used strategically. Despite the key influence exerted by the MASAF Executive Director and WB Task Team Leader, when the project was being designed, the government team tended to view the Information, Education and Communication (IEC) component as basically a public relations initiative.
- Never advertise if there is no confidence in delivering the product. Community faith in MASAF was high because, unlike most other donor-financed projects in Malawi, very little time elapsed between hearing about the project on the radio and being contacted by it.
- Regular dissemination of project experiences helps to reinforce the politically non-partisan nature of the project, as it becomes clear that the sub-projects have responded to community demand and have followed publicly stated norms.
- Documenting and disseminating the experiences of communities, in print and on the radio, tends to restore faith in one’s capacity to contribute to a solution, and to reinforce a sense of community among people across a country.

**Scale**

Country-wide

**Cost**

The budget for IEC activities was high: the MASAF I Capacity Enhancement Component (including IEC, training, and studies) was US$2.8 million, while in MASAF II it was budgeted at US$3.7 million.
Impacts/Results

- The IEC component helped to move from an asymmetrical information environment to a symmetrical one. The most significant impacts of this free flow of information have been better working relationships between stakeholders, and a new trust formed between these various actors.

- Within the community, where the elites had been generally unchallenged, free access to information about rights and responsibilities (for example, regarding the role of the project sub-committee) gave rise to pointed questions about the use of funds, the quality of materials purchased, the manner in which a contractor had been selected, and so on. Members of Parliament who attempted to influence procurement or contracting issues were, for the most part, kept at bay by the communities.

- This more equitable access to information also changed the attitude of poor communities towards both NGOs and the government’s district extension staff. The communities made it clear that they knew that NGOs were only one of the options they could utilize to help them to select, design and implement their project—they would make the decision. Regarding district administration, the communities became more active in demanding, however politely, that the administration’s extension staff delivered better.

- Relevant staff played a key role in the positive impact of the IEC. The Executive Director of MASAF and the World Bank Task Manager had seen the value of IEC in population/family planning initiatives in Zimbabwe and were aware of its distinctive features when compared with public relations. Furthermore, an IEC officer trained in participatory techniques was appointed to the PMU.

- The fact that the project encouraged a gender focus was communicated widely, helping women to insist that they should be part of project sub-committees, and encouraging their active participation in influencing decisions regarding the community’s priority needs.

- Anecdotally, it was also reported that the country-wide awareness of MASAF prompted other donor-assisted programs to implement IEC initiatives to promote and report on their activities.

Source: Malawi Social Action Fund (MASAF)-First and Second Phases.
## Annex 3: Use of the Participatory Identification of the Poor (PIP) Methodology in the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project

| **What** | Instead of a survey method using questionnaires and household census data to identify and list the target beneficiaries of the project (the most vulnerable, extreme poor and poor households) the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project utilizes a methodology known as “Participatory Identification of the Poor” (PIP). The targeting methodology consists of a 15-step participatory process includes the identification and capacity building of a team of community members from the same village who carry out the exercise with the facilitation and technical guidance of project staff and community professionals. The participatory exercise (which takes approximately 5-7 days to complete) utilizes a combination of methodologies like awareness building, transect work, social mapping, completion of household information cards, selection of village specific indicators, wealth ranking, data validation, and addressing grievances on the draft list, before final approval of the list in the general village body. |
| **Why** | The project targets all of its direct benefits to the most vulnerable, the extreme poor, and poor households. However, prior to using the PIP methodology, criteria for classifying households into income strata and poverty levels had failed to reconcile village specific parameters and had produced incorrect results. Moreover, the list prepared by government agencies also suffered from various deficiencies such as the inclusion of the ineligible and exclusion of the eligible. There was also an insufficient system to address complaints and grievances. Furthermore, disputes and ownership issues about the list prepared by outsiders were frequent. In contrast, the PIP methodology worked to mitigate all of these deficiencies. |
| **When** | The exercise is done as an entry-level activity in new villages immediately after a village awareness campaign. Once the list is finalized, there is an annual review and fine-tuning of the list at a general body meeting. |
| **Who** | The project facilitation team, supported by community professionals proficient in undertaking the PIP, helps the community. They build the capacity of a central team from the village who lead the exercise. |
| **Scale** | The project introduced the methodology in 2009. By 2013, over 3,000 villages had used this methodology to finalize the list of the target poor. Over 3,000,000 beneficiaries have been identified and included. |
### Advantages and Impacts

The quality of the lists of target beneficiaries has substantially improved, reducing errors to less than 1%. The community organizations of the poor have become exclusive bodies for the correct beneficiaries. The reduction in the number of days taken to finalize the list compared to other methods has accelerated project implementation while at the same time reducing costs many times over. Village level corruption to influence the inclusion of names in the list has been completely eliminated. The problems of elite capture of village institutions and benefits have been successfully solved. 95% of the complaints about incorrect inclusion or willing exclusion have been resolved.

The exercise has given an upfront visibility for the project and its principles in addition to a strong kick start for project initiation including the identification of potential village leaders.

Other government agencies have started recognizing the methodology and use the same list for identifying beneficiaries for other programs.

### Sustainability

The entire decision on selecting the criteria, developing the list, and approval of the list is the responsibility of the community. The exercise has built their capacity and has helped them to have a guide for performing this work in the future.

### Cost

The cost of the exercise includes:

- Fees and allowances of community professionals (approximately 2 members for five days)
- Cost of materials for conducting participatory exercises like social mapping
- Stationary and materials for training the community
FIGURE 3
List of the 15 PIP Steps in the Bangladesh “Nuton Jibon” Project

<table>
<thead>
<tr>
<th>STEP</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Informing community about PIP</td>
</tr>
<tr>
<td>2</td>
<td>Selection of team for conducting PIP</td>
</tr>
<tr>
<td>3</td>
<td>Training of PIP team</td>
</tr>
<tr>
<td>4</td>
<td>Village level meeting</td>
</tr>
<tr>
<td>5</td>
<td>Transect walk</td>
</tr>
<tr>
<td>6</td>
<td>Social mapping</td>
</tr>
<tr>
<td>7</td>
<td>Wealth Ranking</td>
</tr>
<tr>
<td>8</td>
<td>Identification of vulnerable, disabled</td>
</tr>
<tr>
<td>9</td>
<td>Data validation for ensuring quality</td>
</tr>
<tr>
<td>10</td>
<td>Documentation of Data</td>
</tr>
<tr>
<td>11</td>
<td>Display of list of target poor</td>
</tr>
<tr>
<td>12</td>
<td>Resolving complaints</td>
</tr>
<tr>
<td>13</td>
<td>Approval of the list in Gram Parishad</td>
</tr>
<tr>
<td>14</td>
<td>Concurring the list by SDF</td>
</tr>
<tr>
<td>15</td>
<td>Handing over PIP list to Gram Samiti</td>
</tr>
</tbody>
</table>

Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.
Module 1.2: Effective Participation in Institutions and Planning Processes

Topic 1. Participatory Planning

Participation is a fundamental value as well as an essential process of the CDD-based approach, where all members of the community have ownership of every step of the project’s procedures (e.g. development planning, selection and prioritization of sub-projects, approvals, implementation, monitoring and evaluation, and building institutions). Achieving effective, committed, and informed participation is perhaps also the biggest insurance against governance risks in a CDD-based project.

In the core steps of the project involving policy change and decision-making, everyone in the community should participate through such means as developing non-negotiable rules, deciding on development priorities, and approving beneficiaries through targeting exercises and sub-projects. However, day-to-day assignments could be carried out by leaders or representatives who usually form elected (or otherwise community-legitimized) sub-committees.¹

Even for the steps where everyone is supposed to participate, in the real world, constraints exist, and 100% participation in all meetings is usually impossible. Therefore, having an agreed definition of “effective participation” upfront is critical.² In addition to the core conditions, it is important to also set additional conditions to ensure that the definition of “effective participation” meets the project’s objectives (e.g. percentage of women in attendance, percentage of vulnerable groups participating in discussion, etc.). When these rules around participation are well established and followed, this can help to ensure that voices from traditionally disadvantaged groups are heard.

¹ For example, for a village with 200 people, everyone participates in selecting priorities. If the decision is related to a water project, the village would collectively select 8-10 people as members of the water management association. The association would gather and develop a proposal, deciding on where tanks are to be located, calculating the cost, analyzing types of tanks, etc. Once the proposal is prepared, then everyone in the community will again participate in the approval of the plan to move forward.

² An example of this may be that at least 70 or 80% of the members need to be present for the meeting to be considered effective. If this is not the case, participants could still have discussions, but no formal agreement on next steps can be made.
FIGURE 1
Core Phases of Effective Community-Level Participation

- Non-negotiable rules
- Selecting priorities
- Participatory planning

Representatives
Sub-committees
- Gather and assess proposals
- Calculate costs
- Decide on initial plans

Approval of the plan developed by the sub-committee

All community members

Agreed definition of “effective participation”
For example:
- At least 70-80% members are present
- Of which 50% are women

BOX 1
Key Characteristics of Participatory Planning

- Tapping into local knowledge: Participatory planning does not rely solely on the knowledge available from experts and extensive survey reports (such as the census, district gazettes, national sample survey, economic surveys, etc.). Rather, it draws upon the knowledge available within the community.
- Direct involvement at various stages: The involvement of communities is not restricted to the early stages of data collection and decision-making. Communities are also actively involved in implementation, monitoring, and the maintenance of services and installations.
- Individuals develop their views through social interaction: Conventional planning approaches tend to attach singular static interests and opinions to individuals and groups. In contrast, participatory planning is an exercise in mutual learning through the exchange of ideas, experiences, expertise, and interests. It recognizes that views and interests can change.
- Multiplicity of interests: It is important to remember that people have diverse interests and expectations, which are rooted in social constructs (such as family structures, gender roles, and status) and that these can be symbolic as well as material.

Source: Towards Mainstreaming Social Accountability: Mapping of Participatory Planning in East Asia, 2010, PRIA Global Partnership and ANSA-SEA.
For sub-projects, participatory planning is a process that convenes a broad base of key stakeholders, on an interactive basis, in order to generate a diagnosis of the existing situation and develop appropriate strategies to solve jointly identified problems. Project components, objectives and strategies are all designed in collaboration with stakeholders.

This process allows project stakeholders (including direct beneficiaries at the community-level) to analyze and discuss their local situation in a systematic manner, identifying critical problems and priorities, and leading to the development of a proposal or strategy based on consensus and participation. It also empowers communities by promoting greater participation and ownership by the local people. Participatory planning is known to be effective in identifying genuine development priorities for target groups. It also allows for local data collection and analysis by community members aided by experienced facilitators.

Participatory planning encourages the participation of different social and ethnic groups within a given community, including women and the most vulnerable groups. When successful, it facilitates social accountability through the enhanced flow of information. The involvement of key stakeholders in identifying problems and prioritizing development needs can also lead to more sustainable development activities.

**BOX 2**

**Challenges in Participatory Planning**

- May require a significant investment in community capacity building and a significant time commitment from participants.
- If not carefully managed, the participatory process can be dominated or captured by influential groups.
- Therefore, it requires facilitation by external agents who draw from Participatory Rapid Appraisal (PRA) techniques and other participatory tools to assist project stakeholders in the planning and decision-making process.
- Positive energy generated among stakeholders will also quickly subside if the process is not translated into actual projects or activities. To avoid, detailed procedures on sub-project proposal preparation, submission, and approval need to be prepared by the project with World Bank advice and input, and elaborated fully in the project’s operational manual.
BOX 3
Philippines KALAHI-CIDSS Project: Participatory Situation Analysis (PSA)

Participatory Situation Analysis (PSA) is a process in the Philippines KALAHI-CIDSS Project where community volunteers undertake community-level research, identify the key factors in the community that cause poverty, and identify a range of possible solutions to address these problems.

Generally, the PSA involves three steps:

- Planning and preparations to undertake the PSA, including attention paid to facilitation support and community mobilization to participate
- Research and Analysis
- Community Consultation (on the results of the Research and Analysis)

EXAMPLE: Community Empowerment Activity Cycle (CEAC)

The KALAHI-CIDSS Project follows a CDD model implemented through a five-stage, multi-activity process referred to as the “KALAHI-CIDSS Community Empowerment Activity Cycle” or the CEAC (see figure below). The CEAC is the primary community development process and intervention of the KALAHI-CIDSS project.

(Continued next page)
The first stage is called the **Social Preparation** stage. The most critical feature of the social preparation stage is the conduct of the Participatory Situation Analysis wherein the community volunteers collectively gather data on conditions existing in the community, analyze these conditions, and define appropriate development interventions to address identified needs. These are then validated through a designated assembly.

The Social Preparation stage is followed by the **Project Identification stage** where the communities begin to develop identified interventions. The most critical feature of this stage is the criteria setting workshop which is essentially a collective exercise of identifying the parameters by which development projects will be prioritized.

The next stage is the **Project Preparation, Selection, and Approval** stage, where the people begin the arduous but rewarding task of preparing project proposals, and finalizing plans for development projects identified during social preparation.

Once the projects are selected, the cycle moves into the **implementation** of sub-projects.

Before beginning the second cycle, a period of “**transition**” is undertaken. Part of this transition involves a community-based evaluation process where community residents assess their participation in the project and the changes that have been brought about because of this participation.

**Sources:** For more information, please see the following resources:

- *About the Philippines KALAHI-CIDSS Project*
- *Does CDD Work? Emerging Evidence from the KALAHI-CIDSS Project in the Philippines (from the World Bank website).*

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**FIGURE 2**

*Steps to Successful Project Facilitation*

1. **Diagnosis and identification of local or community-level needs and priorities:** Using Participatory Rural Appraisal (PRA) tools such as village mapping, Venn diagramming, focus groups and semi-structured interviews.

2. **Assessment of local resources and problems:** Based on the needs emanating from the local-level stakeholders, along with the local resources available, the problems are analyzed with reference to available data, and priorities are selected by the project stakeholders for further development.

3. **Elaboration of action plans and preparation of project proposals:** Using procedures outlined in the project’s operational manual, local-level stakeholders and/or communities elect representative members (including women) who participate in working groups which usually include technical experts (e.g. engineers, small-scale infrastructure specialists, etc.) and local government and project implementation staff, to prepare and submit project proposals based on the priorities that were decided upon.

4. **Review and approval of the projects:** The process of reviewing and approving proposals is usually carried out by the Approving Authority or Group established in accordance with the project’s operational procedures.

**Additional Resources:** *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners, by Karen Schoonmaker Freudenberger.*
## TOOL 1
### Participatory Vulnerability Analysis

| What | The Participatory Vulnerability Analysis (PVA) is a tool for the community to identify obvious vulnerabilities in order to make decisions on the allocation of funds based on established priorities. It works as an entry point activity for mobilizing vulnerable and poor communities and can be particularly useful in communities that are exposed to natural disasters. The PVA can serve as the standardized methodology to prepare and prioritize community level activities that are included in village development plans. All investments under the village development plans are centered on removing the identified and prioritized vulnerabilities. |
| Why | In many projects, natural disasters are a common phenomenon and the poorest and most vulnerable are often the worst affected. Accordingly, projects aimed at empowerment, institution building, livelihood development or infrastructure support to poor communities that are vulnerable to natural disasters must: (i) mitigate vulnerabilities and (ii) work to build resiliency to withstand internal and external shocks. The PVA approach helps these efforts by building:  
  • The accountability of each community member to provide equitable benefits to the most vulnerable  
  • The broad participation of everyone in the village for making critical resource allocation decisions  
  • An overall increased resilience capacity within the communities |
| How | The PVA follows a 5 step process:  
1. **Conducting a vulnerability analysis** at the individual, family, community, and environmental level.  
2. **Prioritizing the vulnerabilities**, as identified in Step 1, based on the extent of damage and number of people affected.  
3. **Conducting a participatory social mapping exercise** including damage from natural disaster(s) and future vulnerabilities (e.g. physical, agricultural, water shortages etc.).  
   For an example, please see the map from the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project below.  
4. **Identifying and planning mitigation measures** to reduce the vulnerabilities identified. The end product is an overall mitigation plan including prioritized vulnerabilities, mitigation options, fund requirements and other sources of funding in times of need (beyond the project itself).  
5. **Preparing an overall village development plan**. This complements the disaster map, showing prioritized vulnerabilities and the mitigation plan. |

(Continued next page)
### Tool 1 (continued)

| **Who** | All 5 steps are undertaken with the full involvement of the communities and project staff. Well-facilitated focus group discussions are held for analyzing vulnerabilities at different levels and also for prioritizing them. |
| **When** | The first exercise is undertaken at the planning stage of the village development cycle, immediately after selection and capacity building of the community institution. The vulnerability maps are updated every year and refined to reflect the emerging changes. |
| **Challenges/Lessons** | Maintaining the quality of the exercise when scaling up to other villages is the biggest challenge. The success of the exercise depends upon a high quality facilitation process. Understanding the source(s) of funding as a part of this preparation process is important. As a part of the facilitated process, villagers should understand the link between funds available and vulnerabilities identified. Often times, resources will not meet all concerns and vulnerabilities may need to be prioritized. When practiced well, many community-level professionals become experienced in the PVA process, training the next generation to carry forward the activities beyond the project period. |
| **Case Example** | In the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project, the project team worked with the community to mainstream participatory vulnerability analysis as the entry point activity for mobilizing the extreme poor and poor. As a result, all investments under the village development plans were centered on removing the identified and prioritized vulnerabilities. The village development cycle was renamed as the “resilience cycle,” and its stages and activities are shown below. The map opposite is the result of a community mapping process where the village identified areas as a part of a vulnerability analysis. |

"Participatory Damage and Risk Assessment Map" from the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project

(Continued next page)
The following is an example of the Village Development and Disaster Management Resilience Cycle from the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.

<table>
<thead>
<tr>
<th>Case Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>The following is an example of the Village Development and Disaster Management Resilience Cycle from the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.</td>
</tr>
</tbody>
</table>

*VDRRF stands for “Village Development and Risk-Reduction Framework”

Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.
# TOOL 2
## Participatory Village Development Planning (VDP)

| What | Village development plans reflect the collective decisions of the whole community. As these plans serve as a compass for the village’s development moving forward, they should be developed through a participatory process to ensure greater buy-in and ownership from community members. Beyond the plan itself, the participatory process is critical for ensuring accountability. |
| Why | Without using this approach, there are significant community level risks for elite capture, inefficient use of funds and the exclusion of vulnerable and/or disadvantaged members. |
| How | **Step 1: Create a Problem Tree**  
A problem tree is used to identify main problems, underlying factors, and solutions. The aim of the exercise is to facilitate deeper reflection and analysis on the root causes of community issues, and in doing so, move the community toward greater consensus on the issues and potential actions to address them.  
**Step 2: Discuss the Root Causes of Poverty**  
Following the decision tree exercise, the community should discuss the findings of the analysis. This is done in an effort to build and reinforce a collective sense of underlying factors.  
**Step 3: Create a Collective Vision for the Village**  
Through guided facilitation and building on the common understanding established in Step 2, work with the community to create a longer-term (3-5 year) vision for the village. What will be the same? Different? How will the community members get there together?  
**Step 4: Develop an Action Plan for Village Development**  
The community should be organized into representative and manageable committees. Ask them to plan in a participatory manner how they will achieve their goals and list out activities under each vision articulated.  
**Step 5: Define the Project Activities**  
This exercise may result in a large number of plans. The facilitator should guide the group to go through each plan and state whether it can be undertaken with the project funds available. Projects should be prioritized.  
**Step 6: Create a Timeline of Activities**  
The facilitator works with the community to develop an acceptable timeline for delivering the project activities. |

(Continued next page)
Tool 2 (continued)

<table>
<thead>
<tr>
<th><strong>How</strong></th>
<th><strong>Step 7: Continuous Information Gathering and Communication</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>At each stage in the process, as implementation begins and continues, transparency on financial data, decisions, and steps in the process should be disclosed for community awareness.</td>
</tr>
<tr>
<td></td>
<td><strong>Step 8: Ongoing Compliance Checks</strong></td>
</tr>
<tr>
<td></td>
<td>These are conducted to ensure work is being carried out to the standards and protocols required by the project.</td>
</tr>
</tbody>
</table>

| **Who** | A skilled facilitator should work with the community as a neutral and trusted party to lead the creation of the problem tree, discussion of core poverty areas, development of a collective vision and prioritization of activities (action plan and timeline included). While the process should be participatory, depending upon the community structure, a set of committees and sub-committees can be established to deliver on discrete tasks and also work on continuous information flow and public awareness on the process. |

| **When** | It is recommended that the village development plans are created early in the project cycle so as to inform project design and the sequencing of community-level activities in implementation. |

| **Challenges/Lessons** | **Timing:** If conducted too late in the process, the village may feel as though the exercise is “for show only” and does not influence project design and implementation. |
|                        | **Inclusion:** It is important to know the context of the community well in order to work towards broad representation (including from marginalized or disadvantaged groups) in each step so that all opinions and realities are taken into account in the planning process. |
|                        | **Clear process rules:** Good facilitation in part signifies that the process for identifying and prioritizing problems is clear to the whole group. |
|                        | **Clear compliance rules:** The community should have a strong understanding of fiduciary and other responsibilities related to project implementation and monitoring so as to avoid surprises during compliance checks. |
|                        | **Multi-step:** For various reasons, the planning process might not be completed within one meeting. In this case, it should be made clear that the planning process will span a few sessions and that all participants are to be present to complete the full process. |
## Annex 1: More on Participatory Vulnerability Analysis—Sample Formats Used in Bangladesh

### Format 1: Participatory Vulnerability Mapping

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Name of Risk</th>
<th>Vulnerability at Different levels</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Individual</td>
</tr>
</tbody>
</table>

### Format 2: Vulnerability Mapping for Different Community Segments

<table>
<thead>
<tr>
<th>Segment</th>
<th>Extreme Poor</th>
<th>Poor</th>
<th>Women</th>
<th>Pregnant and lactating mothers</th>
<th>Youth</th>
<th>Elderly</th>
<th>Disabled</th>
<th>Children</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

### Format 3: Participatory Livelihood Risks and Vulnerability Analysis

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Major Livelihoods</th>
<th>Common Risks</th>
<th>Main Vulnerabilities</th>
<th>Possible Measures for Mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Format 4: Participatory Vulnerability Analysis for Physical Infrastructure

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Main Infrastructure</th>
<th>Reason for Vulnerability</th>
<th>Main Damage</th>
<th>Level of Vulnerability</th>
<th>Possible Measures for Mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

### Format 5: Participatory Risk Reduction Plan

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Level Mitigation Measure</th>
<th>No. of Families Benefited</th>
<th>Responsibility</th>
<th>Investment Amount</th>
<th>Source of Funds</th>
<th>Implementation Schedule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project
Community-level organizations generally consist of a number of individual members who organize around a common interest or need. They vary greatly in size and in purpose. Some are women’s associations and self-help groups organized to gain access to credit and other services. Others are user groups (e.g. water use and land management associations) organized to manage a common property resource. Producer organizations carry out activities and pool resources around the production of crops, livestock, fish, or forest products and post-harvest processing and marketing. Community-based committees are commonly engaged in projects using social funds to enable communities to finance their own development. Village and municipal development committees organize planning and community priority setting activities across sectors. They also interact with the local government agencies that assume expanded roles in the context of decentralization.

Village institutions should be legitimately representative of all community members. Typically not everyone can participate in every process of the project given limited resources and time. To the extent possible, however, communities should work to ensure broad-based and representative participation of all groups in the identification, selection, and prioritization of issues in the community. Subsequently, community representatives selected to lead the work forward can carry out initial preparatory tasks such as developing proposals or concrete action plans. Once this process is complete, everyone in the community should participate, through village assemblies and other large meetings, in the approval of the plans developed by the representatives. Therefore, selecting trustworthy, capable and honest leaders becomes vital to a successful process overall.

Whenever there are meetings, it is important to keep minutes or records that could be shared and re-visited afterward for greater transparency and accountability. Agendas of the meetings, summaries of main discussions, voting results, participant lists, and the statements of official agreement and decisions should be clearly kept on the record. Should disagreements arise, people should be able to go back to the minutes to verify or cross-check concerns. Third parties should also visit the records and check activities to ensure compliance with proper processes and inclusion. This can also be seen as a social audit function.
This commitment to transparency is the core rule at any level of meetings – whether it is a large general assembly meeting that is held only two or three times a year, or a small, weekly meeting of a self-help group with five members. Minutes will help small groups to report their activities within a larger meeting.
### CASE STUDY 1  
**Macedonia—Community Implementation Committees in the Community Development Project (CDP)**

| **What** | The CDP Project Implementation Unit (PIU) delegated to the Community Investment Committees (CICs) the responsibility of outreach and promotion at the community level. The Committee’s responsibilities included:  
- Electing an executive board with a President, Secretary, and Accountant to liaise with the PIU.  
- Planning the nature and size of the community contribution (monetary or in-kind) and collecting it.  
- Discussing and selecting eligible priority micro-projects.  
- Identifying and legally recognizing the entity (represented by a legal association at the CIC) that will sign the framework agreement with the CDP and open a bank account on the micro-project’s behalf.  
- Ensuring compliance with the technical norms and standards of the line ministry for the type of infrastructure/service involved. |
| **Why** | There are three key factors that stand out in the Macedonia CDP:  
- Project design directly supported the Government’s decentralization program  
- Poverty targeting strategy provided the basis for responding to social needs  
- Project concentrated on promotion and outreach to bring about local self-management and empowerment. |
| **How** | The scale was at the municipal level. The CDP initially focused local capacity-building activities on the CICs as an integral part of the community outreach and promotion program. Training focused on:  
- Information dissemination of the CDP project  
- Raising awareness for collective action, organization, and responsibilities of CICs  
- Identification and development of project proposals, procurement processes for community works projects  
- Supervision of micro-projects, operations and maintenance of facilities, plus environmental issues |
| **Who and When** | The CIC was comprised of members of the Municipal Council, representatives from local public enterprises, representatives from local branches of relevant ministries, leaders of NGOs active in the community, established business leaders and civil servants from local government. Members of the CIC included staff from the local media who played a key role in assisting the municipality in launching an information campaign about the status of the bridge construction. |

(Continued next page)
### Lessons

- The CIC served as an important link for communication on project activities between the PIU and the local communities, as well as between the municipality and local communities. This was important for conducting effective outreach with the communities.
- CIC meetings at the municipal level provided an opportunity for the PIU to present critical information, such as CDP goals and objectives, the project typology, and stages of the micro-project cycle and selection criteria.
- CICs supported an important process at the local level, enhancing community empowerment by creating meaningful opportunities for citizen participation. As a result, for the first time, communities were able to put forth their priority project proposals through a selected representative of the community.
- The CIC worked with the mayor for accountability on community proposals. Since mayors are elected locally, communities feel empowered to have a mechanism for working effectively with local governments and ensure that they are accountable and responsive to their demands.

### Challenges:

- Training programs differed in content and their coverage depended on the local context.
- The CDP promotion team observed that the municipalities initially targeted for pilot projects were quite experienced as they had worked with different international and national donor agencies over several years. For those municipalities with little exposure to the donor community, and thus little experience with community projects, the CDP devoted more time and effort to inform and train community members.

### Resources


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*Source: Interview with Caroline Mascarell, Task Team Leader for Macedonia CFP, 2012.*
Module 1.2: Effective Participation in Institutions and Planning Processes

Topic 3. Incentives and Rewards

Incentives and rewards act as an effective tool to motivate community members and their organizations to improve their governance by becoming transparent and accountable to their communities. They also motivate communities to utilize the Village Development Fund (VDF) effectively, efficiently, in accordance with the agreed rules and procedures, and in a timely manner. How incentives are designed, aligned with project goals, and presented to the community is critical to the success of the delivery of CDD-based projects.

Use of an Incentive Fund

This is an untied fund that the village can utilize for any shared priority of the village community that benefits the majority of the community members. It is especially used to improve the lives of the poorest households, the poorest youth and women, and vulnerable communities, and/or to improve the functioning and governance of the village organization and its federation.

The operationalization of the Incentive Fund is the responsibility of the village organization and its Executive Committee. Alternatively, it may delegate it to a sub-committee of the village organization with the consent/approval of the General Assembly. The Incentive Fund is given to those village organizations that have achieved high marks in the following five areas: (i) transparency and accountability; (ii) participation of all; (iii) inclusion and equity; (iv) efficiency of the village organization, and (v) sustainability and viability of the institutions and assets created.

The following is the general process of grading village organizations and releasing incentives:

Step 1: Hub and District teams are responsible to disseminate the village organization grading criteria and guidelines for releasing incentive funds well in advance of the process.

Step 2: Board of Directors and members of all committees conduct an initial screening based on the criteria for the particular year with the assistance of the Community Development Facilitator.
**Step 3:** District Team arranges the Grading team and confirms the date to the village organizations.

**Step 4:** The Grading team verifies the criteria through field visits, relevant data, records and focus group discussions with the Board of Directors and committee members and beneficiaries. The village organizations submit to the grading team additional records, photographs, video clippings, etc. (if any). After completing the review of all sources of verification in light of the criteria for that year, the grading team members have a discussion on the findings and decide on the grade for the village organization based on the scores given by each member.

**Step 5:** Grading team communicates the grades to the Governance and Accountability Unit within two weeks after grading each village organization.

**Step 6:** All the village organizations graded receive certificates with the grade obtained and the signature of the Project Director. Those that receive a grade “A” are informed of the reward/incentive and the amount for that year through a letter from the Project Director.

**Step 7:** Members of the village organization are informed of the reward/incentive to be received from the project.

**Step 8:** The reward/incentive is given in June and December of each year.
CASE STUDY 1
Prize for Best Practices of Municipal Councils in the Rural Poverty Reduction Project (RPRP)—Rio Grande do Norte

<table>
<thead>
<tr>
<th>What</th>
<th>In line with the goals of the original RPRP, additional funding aimed to enhance local governance by increasing citizen participation and transparency in decision-making, through the creation and strengthening of community associations and Municipal Councils (MCs). MCs are autonomous and financially independent of the government. They include representatives of beneficiaries and civil society (80% of the membership), as well as local government (20% of membership). To recognize the work of the Municipal Councils, the Government of the State of Rio Grande do Norte launched a competition on best practices for promoting participation, transparency, social accountability, and capacity building for community organizations, and their impact on sustainable local development. The award was launched in 2010.</th>
</tr>
</thead>
</table>
| How | The competition was launched through the project website, social media, and other online websites. To ensure that the conditions of participation were balanced in light of local contexts, each MC competed within their own area of focus. In total, the competition awarded 33 awards as follows:  
- 30 awards in “Best Practices for Thematic Categories”, with 10 prizes for each focal area. Each awarded MC received the prize of one computer hardware package (including PC, 19” monitor, laser printer).  
- 3 awards under the category of “Best State Practices,” with 1 prize for each focal area. Each awarded MC received the prize of one computer hardware package (including PC, 22” monitor, laser printer, multimedia projector, and digital camera).  
In addition, all participating MCs received a participation certificate. Enrollment in the competition was free. Any applicant MC had to be formally established and operational for at least one year, with a formally constituted and established Board. Validation of the enrollment was contingent on submitting the enrollment form and the relevant write-up (including any multimedia material) as per the protocols. Participating MCs could submit their proposals either directly at the Project offices, via email or via post mail.  
The evaluation criteria for the selection of the experiences followed general criteria (50 points): Duties performance by the Municipal Councils; and Thematic criteria (50 points): 10 points for each of the above-mentioned 5 thematic categories. From the submissions, the best state practices were selected based on the relevance of the achieved results, the quantitative and qualitative extent to which the standards of living had improved and the experiences were scaled-up and replicated in other municipalities. Additional assessment criteria included the quality, originality, innovation, and relevance of the discussion, as well as the execution parameters of the PRPR. |

(Continued next page)
### Case Study 1 (continued)

| **Who** | The competition was launched by the *Secretaria de Estado de Trabalho* of the Government of the Rio Grande do Norte State. The funding was provided through the *Programa de Desenvolvimento Solidario*, funded through the PRPR.  

The selection committee was formed by: 3 members of the *Programa*, 1 member of the *Servico de Apoio aos Projetos Alternativos Comunitarios– SEAPAC*, and 1 member of the *Federação dos Trabalhadores na Agricultura do Estado do Rio Grande do Norte– FETARN*.  

The scale was statewide. |
| **When** | The submission period was open for 2 months (from mid-August to mid-October 2010). |

Source: *Brazil Rural Poverty Reduction Project – Rio Grande do Norte.*
Module 1.3: Implementation Arrangements

Topic 1. Appraisal, Selection, and Implementation of Sub-projects

Once communities identify and prioritize community needs, develop a sub-project proposal, and select it for funding, the project design should have an internal and external system for checking the sub-project proposal’s compliance with the agreed rules, norms and objectives of the overall project.

Community Management

Community management is a process whereby services, local development activities, or natural resources are managed by communities, who are represented through community-based organizations (CBOs, e.g. associations, cooperatives, user management committees, etc.), comprised primarily of community members.

Community management is used to:

- Allow communities to have a direct stake in a local project as they are actively involved in the processes of planning, decision making, and managing development activities
- Improve operations, the maintenance of assets, and sustainable development activities
- Empower communities by promoting greater participation and a sense of ownership by local people

Community management can take several forms. These include, but are not limited to:

- **Public Goods**: For local public goods (e.g. health clinics, schools, water supply, electricity), communities are involved in their initiation, implementation, and management with assistance from—or in partnership with—outside agents (e.g. funding agencies, local governments or NGOs).
- **Community-Owned Goods or Services**: In some cases, such as in local development projects that support income generation or livelihood activities, communities own goods or services through the formation of self-help or cooperative groups. This allows them to achieve economies of scale and to reach markets in order to get better prices.
- **Natural Resource Management**: In this context, communities are responsible for managing natural resources (e.g. water, forests, land, biodiversity) within a designated area. Communities (often assisted and monitored by outside technical specialists), utilize and
protect natural resources within established guidelines or according to a detailed, mutually agreed plan.

In addition, the advantages of community management include, but are not limited to the opportunities to:

- Build local capacity, ensuring greater participation and ownership by local communities and individuals.
- Improve decision-making skills of community members involved in project management.
- Be applied widely in both rural and urban contexts (e.g. farmers associations, education cooperatives, water user associations, natural resource management projects).
- Empower citizens’ involvement in the management of local public goods such as water supply, sanitation, forests, roads, schools, and health clinics.

However, there are also notable challenges. These include but are not limited to:

- Risk of elite capture by special interest groups
- Risk of exclusion from community-based organizations of the poorest and other marginalized sub-populations
- Conflict over natural resources, since natural resources can be the basis of production and wealth

Devolving control to community groups can lead to conflicts between local or traditional authorities and communities as roles and responsibilities change. Without adequate traditional or formal mechanisms for conflict prevention, management, and resolution, conflicts among different interest groups can often result in inequitable sharing of economic benefits and unsustainable practices in the use of natural resources.

**BOX 1**

**Snapshot on Planning for Community-Level Management**

**Step 1:** Assess and understand the community structure, power relations, and priorities for development using available sources, or commissioning additional research as needed.

**Step 2:** Mobilize the community. Identify and nominate core leaders in the community and discuss with community the need for cooperative or community-based organization.

**Step 3:** Develop an organizational structure for the community-based organization in consultation with stakeholders and government, and a corresponding action plan. Provide training to community members to equip them with the range of functional, entrepreneurial, administrative, technical and social skills needed to manage their groups and investments, develop their products, participate in planning, monitoring and decision-making forums, etc.

**Step 4** Implement the project using the procedures in the community developed handbook.
CASE STUDY 1
Sri Lanka—Community Led Implementation in the Second Community Development and Livelihood Improvement Project

What
In Sri Lanka’s Second Community Development and Livelihood Improvement Project, the systematic and step-by-step implementation of small and medium-sized intra-village infrastructure sub-projects are led by communities through transparent processes.

Why
The goal is to empower communities to plan and implement projects, be involved in the procurement process, and maintain the quality of the work.

How
Community-led infrastructure development is considered a sub-project of the overall project.

**Step 1: Participatory problem identification and prioritization.** The community uses a transparent set of criteria to prioritize and allocate resources to sub-projects for ownership. The community also agrees on costs, community contributions, fund management, and record-keeping arrangements.

**Step 2: Committee Creation.** The community creates a sub-project committee primarily responsible for planning and overseeing implementation, including maintenance, with complete transparency. In collaboration with the procurement committee of the village organization, all materials, services, and machinery required for implementation are procured by the sub-project committee.

**Step 3: Payment and Recordkeeping.** As the sub-project progresses, and with the help of the finance commission of the village organization, the sub-project committee receives funds and makes all payments. Books of accounts and all other records are responsibly maintained by the sub-project committee. The sub-project committee oversees project implementation, and is converted to an operational maintenance committee once implementation is complete.

**Step 4: Communication and Accountability.** Complete information about the sub-project, including financials and procurement details, are displayed and updated in the village. A social audit committee also audits each stage of project implementation, as well as the project completion reports.

Who and When
The core project team provides institutional and technical facilitation support. Though responsibility for the identification of sub-projects and the allocation of funds rests with the Board of Directors of the village organization, responsibility for implementation rests with sub-project committee. A social audit committee is responsible for the social audit. The project’s appraisal and monitoring team conducts the participatory appraisal and checking of project milestones. The process of community-led implementation is kicked off through the village level planning process.

(Continued next page)
### Case Study 1 (continued)

<table>
<thead>
<tr>
<th>Advantages and Impacts</th>
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<tbody>
<tr>
<td>Cost effectiveness and substantial improvements in the quality of construction compared to other Government projects are the most striking features of community-led implementation of infrastructure development in this project. Transparency: In all of the communities, the total project outlay, cost of completion, procurement details, etc. are fully known to the entire village. There has been increased mobilization of local resources, including over 30% of the costs contributed by the community. In all completed infrastructure sub-projects, the upkeep and maintenance are undertaken by the community. The accountability of the sub-project committee members has been well recognized as many of them became community professionals helping new communities to plan and implement sub-projects. Reach: the inclusion of the extreme poor and poor in the sub-project committee has been notable, as well as the benefits from sub-projects flowing to everyone in the village irrespective of economic status. Over 150 experienced sub-project committee members have obtained certification from technical colleges in recognition of their experience and commitment. About 4,500 sub-projects have been initiated in about 1500 villages during the project’s first phase, and over 1000 sub-projects initiated in nearly 1000 villages in the second phase. As of April 2011, 3,500 sub-projects have been completed and maintained by communities.</td>
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<table>
<thead>
<tr>
<th>Challenges</th>
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<tbody>
<tr>
<td>Initially, the availability of experienced technical facilitators was a major hurdle especially for the design and estimation of sub-projects. Cartels of contractors and corrupt officers initially created issues by spreading rumors, blocking the availability of materials, etc. Building the capacity of sub-project committee members on construction accounting was a problem in the beginning.</td>
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<tr>
<th>Costs</th>
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<tbody>
<tr>
<td>Five percent of the sub-project investment cost was earmarked for implementation expenses. The cost savings from overall implementation was over 15%.</td>
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</tbody>
</table>

Source: Second Community Development and Livelihood Improvement Project
Annex 1: More on the Appraisal of Village Fund Proposals, Examples from the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project

What

For an appraisal, a multi-functional team of project staff and some experienced community members from outside of the village conducts a visit to a village and interacts with office bearers, committee members, and general body members in order to understand the extent to which the village has fulfilled its obligations to complete project milestones. The appraisal is carried out when a project village submits a proposal for accessing sub-funds of the village fund. Appraisals are also carried out each time the village organization submits an application for a subsequent installment of funds.

Why

The project design allows for the direct funding of village communities in installments upon demonstration of their readiness to receive funds, as evidenced by the achievement of project milestones. Project field teams have a tendency to bypass implementation steps and push for the release of funds to village communities to report better progress. Hence it is important that a team (independent from the project’s operations) evaluates the village’s readiness and recommends the release of funds based on agreed milestones. The greatest risk in directly funding village organizations arises from a lack of community capacity to plan and judiciously use funds in accordance with guidelines. The appraisal will help the project to ascertain the readiness of villages to receive funds.

Who and When

The project established regional appraisal teams consisting of Social Mobilization and Institution Specialists, Community Finance Specialists and Engineering Technical Specialists. The appraisal teams trained a cadre of Community Professionals (CPs) who joined the appraisal team on an on-call basis. The appraisal reports are directly sent to the Managing Director who orders the release of funds to the villages.

As there are three sub-funds that are released in 2-3 installments, each village undergoes an appraisal at least 8 times during the project implementation period in the village (known as the Village Development Cycle). In addition there is more than one sub-project for implementing local infrastructure and services, and the first and last installments are released after a successful appraisal. The appraisal tool has been implemented from 2008 onwards.

Scale

All the 1,000 villages in phase 1 and about 500 villages in phase II have undergone appraisals.
Advantages/Impact

Misappropriation and misuse of funds have been significantly reduced. Participatory discussions at the village level have brought about greater transparency and better understanding of guidelines not only among office bearers but also within the community. During the appraisal process, if the appraisal team finds major deficiencies and the non-attainment of key milestones, the request for funds is rejected. The rejection rate is a clear indicator of the implementation effectiveness and quality of field teams. The rejection of proposals by the appraisal team badly affects the reputation of office bearers and committee members before the target community. Hence, they work hard to achieve the milestones, which in turn improves the quality of project implementation and compliance with rules. As the appraisal teams move among all villages and look at the quality of implementation of all village funds they have become a knowledge bank covering all project functional areas.

The appraisal team members attend monthly review meetings on implementation at District and Regional levels and share their findings from the field. This has helped project management to build up field teams focusing on areas of deficiencies and to organize need-based capacity building programs. As the key deficiencies and areas for improvement are recorded in the village log book, others visiting the village are able to follow up with the village community to improve performance.

Challenges

- The operations team may influence the appraisal team, which then recommends the release of funds to ineligible villages
- The appraisers need to be well versed in project design, principles, processes and guidelines. This takes time and training.
- As there are several appraisals to be carried out in a village, this may delay the release of funds and extend the village development cycle.

Sustainability

So long as the project management is committed to the project principles and rules, the appraisal process will continue.

Costs

The main costs are for the salaries of the appraisal team, fees and allowances for the Community Professionals, and transportation. When done effectively, the process can add substantial value to the quality of implementation for a minimal cost relative to the overall project expenses.
SAMPLE APPRAISAL FLOW CHART (Bangladesh “Nuton Jibon” Project)

- Submitting the VDF proposal to Cluster Team.
- Pre-verification of the proposals
- Receiving proposal and registration putting a date and signature.
- Checking the information in the VDF proposal in line with the checklist.
- Field Verification of information of 25% villages on sample basis.
- Sending the proposal to the AMT.
- In case of major anomalies, the VDF proposals will be sent back to GS for necessary correction.
- Receive application and register by the AMT.
- Perform Desk Appraisal
- Preparation of Appraisal Schedule and inform GS regarding the date and time of field appraisal 5 days ahead through DT
- Conducting field appraisal using the checklist.
- Recommending disbursement of VDF if the total score is 75 and minimum 7 is received for each item.
- Recommending disbursement of Initiation Fund if the score is at least 60.
- Returning the proposal with suggestions for re-submission or re-appraisal after rectifying to GS through district team/CFT.
- Submission of AMT report to MD
- Approval of Initiation Fund and Installment of VDF as recommended by AMT.
- Preparation of agreement and sending the approval letter to the GS.
- Signing the financing agreement.
- Disbursement of VDF/Initiation Fund
- Received Fund

Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.
Most countries face a shortage of human capital to deliver services on the ground. The challenge of human capital development on a large scale and the institutionalization of skills at the grassroots level for delivering quality services has persisted over time. While some CDD-based projects have been able to deliver impressive results at the local level, scaling up and achieving sustainability has proved to be an enormous challenge. Managing such projects requires close, continuous, and quality support with capable human resources. Secondly, the rural poor have very limited access to, and understanding of, the information that is generated for their benefit. External agencies have limited capacity to reach out to the poor in remote areas, resulting in limited access for the poor to quality services. Moreover, there is no one institution at the last mile to be the repository of knowledge and information to serve the communities and act as a watch-dog to ensure the quality and effectiveness of various interventions.

As a result of the above, many CDD-based projects resort to the use of community/village resource persons and facilitators to enable the implementation of the project. These community-to-community service providers and networks (known in some cases as Community Professional Centers or CPCs) provide an institutional structure at the grassroots level (i.e. a one-stop shop) to the poor for delivering services, the latest information, innovations and technology, and a platform for networking, peer-to-peer learning and knowledge exchange.

Ideally, the Community Professional Centers (CPCs) are comprised of skilled and experienced community members from various villages. The backbone of the grassroots centers is the Community Professional (CP). These community members have a wealth of field experience and insights on “how to” do development, but would otherwise have no structure to share their experiences with their fellow community members or to benefit from numerous pieces of global knowledge generated for their benefit. These rural centers function as a demonstration and showcase for ideas and technologies, both virtually via networked capabilities, and in person through visiting programs. This helps to reach scale at a lower cost, with high quality.

However, if not selected carefully and trained appropriately, CPs can pose a governance risk. Therefore, a bottom-up decentralized governance structure is needed to ensure that CPs are accountable to the village communities and that the network is effectively used.
BOX 1
Community Professional Centers in the Sri Lanka Community Development and Livelihood Improvement (“Gemi Diriya”) Project

In the Sri Lanka Community Development and Livelihood Improvement (“Gemi Diriya”) Project, Community Professional Learning and Training Centers (CPCs) have proven to be a driving force in institutionalizing the provision of community-to-community or grassroots services.

As of 2011, there were seven CPCs and about 20,000 Community Professionals (CPs) in Sri Lanka providing services to project villages and other programs. Creating a cadre of such professionals at the grassroots level has been instrumental in scaling up project activities in a low cost way, and will contribute to sustainability in the future. These centers have produced impressive results at the local level by building the capacity of talented and committed community members in delivering services outside their own villages, often outside their home districts. Once having gained acceptance, CPCs are able to help the state run service delivery systems, thus reaching remote rural communities and proving to be a national resource.

As the project scaled up, intensive support was needed for the technical team, as well as capable human resources in large numbers at the field level in order to ensure the achievement of outcomes at the last mile.

The project team considered various institutional options to fill this gap, such as NGOs, private agencies, or local government bodies. However, they did not have a strong institutional base at the ground level, and the cost of hiring and training a large number of professional staff was high. The idea of setting up Community Professional Learning and Training Centers at the district level was tested, and has since evolved in practice over time. Initially three district centers were set up, and after two years of being functional, the national center was established. However, it soon became clear that the institutional structure and governance aspects needed to be re-tooled, as the district and national centers were too far away from the communities. In 2008-2009, based on this experience, the institutional structure was changed to ensure downward accountability and a bottom-up representative structure.

Source: The Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project – Phases One and Two
CASE STUDY 1
Community Information Network in Macedonia: Community Development Project (CDP)

| What | As part of the project’s community outreach, information dissemination and promotion activities, three existing Community Information Centers (CICs) located in three municipalities were selected as “information hubs” around which networks would be designed so that links would radiate from them to smaller municipalities. |
| Why | Community Information Networks (CINs) were set up to help citizens to access information from local authorities, strengthen their contacts with local government, and enhance public participation in local government decision-making, thereby improving local service delivery. |
| Who | Each of the CINs was staffed by one assistant, who participated in a 15-day training program carried out jointly between the staff in the Community Information Centers and a firm hired by the CDP. The training program covered the basics of local self-government, local development, team work, strategic planning, communications, the writing of project proposals, and administrative work relating to the CINs. |
| How and Impact | Three CINs were set up and linked to nine smaller centers, each set up with office furniture, equipment, information pamphlets, forms, and trained office staff. The CIN-CICs raised awareness of the role of local government institutions. The Mayors perceived the CINs as a useful bridge between them and the public. Accordingly, some Mayors authorized the CIN-CICs to transmit their plans and ideas to the general public. These centers acted as a mechanism for obtaining public opinion on local needs and how to cooperate with NGOs and other private institutions. The CIN-CICs helped revitalize self-government in small rural communities by actively engaging citizens in activities for the common good of the community, strengthening communication, and building partnerships with local government officials. The CIN-CIC assistants performed a key role in receiving proposals from citizens, improving the quality of submissions, and quickly forwarding them to the municipalities. As a result, the incidence of erroneous documentation has greatly declined and time spent on reviewing proposals has been minimized. This has improved significantly the overall efficiency of municipalities served by the CIN-CICs. |
| Cost | The CINs, all of which are located in municipal buildings, cost on average about US$4,000 each. The municipality provided the office space, including utilities and staff to run the CIN. Each of the CINs was staffed by one assistant. |

Source: Macedonia Community Development Project.
## CASE STUDY 2

### Beneficiaries Networks in the Moldova Social Investment Fund Project (MSIF)

<table>
<thead>
<tr>
<th><strong>What</strong></th>
<th>The Moldova Social Investment Fund Project (MSIF) aimed to help empower rural communities by strengthening their capacities in decision-making, organization and management. The building of Beneficiary Networks has been one of the most important mechanisms through which MSIF have developed the social capital of the beneficiaries in the communities.</th>
</tr>
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<tbody>
<tr>
<td><strong>Why</strong></td>
<td>The Beneficiary Networks mechanism was designed to complement the delivery of basic services by providing a platform for solving problems in the community and ensuring the sustainability of rehabilitated facilities. Network activities supported by the MSIF are oriented towards capacity development in member communities, exchange of information, dissemination of experiences, and development of inter-community partnerships.</td>
</tr>
</tbody>
</table>
| **How** | The MSIF promoted and supported the following methods of participation and dissemination of experience, used within the networks:  
- Seminars and discussions at the network level  
- Participation of network members in various work groups created at national level for national strategy development  
- Dissemination through the journal “Alternative Rurale” and other national and local journals, TV and radio programs  
- Study tours  
- Community centers for development and information  
- National conferences  
- Booklets for dissemination of recommendations at the level of the Government and the district public administration |
| **Who and Scale** | Beneficiary networks were created in the Northern, Central and Southern regions of the Republic of Moldova. The MSIF supported 3 to 4 MSIF Beneficiaries Networks, covering over 300 villages as associated members. All the villages that implemented micro-projects created Users Associations, of which 393 Associations were registered as NGOs. Associations and NGOs used the Beneficiaries Network to collaborate and exchange experiences. |
| **Lessons** | The Moldovan Ministry of Regional Development and Construction has replicated this approach for working with community-based organizations and building networks at the national level. One of the lessons learned is that building community-based organizations and their networks is key to sustainable institutional development at the community level. MSIF has supported the provision of information. Network exchanges helped bridge knowledge and experience gaps between project representatives. |

Source: [Moldova Second Social Investment Fund Project Documents](#)

Description
A bottom-up decentralized governance structure was established to ensure that community professionals (CPs) were made accountable to the village organizations and federations and that the CP network was used effectively. Clusters of villages were formed, with each cluster having 8 villages. On average there were five clusters in a division. Each cluster nominated its three best CPs to the division, and each division nominated its three best CPs to the district federation, of which the district CP center is a part. The district CP center nominated two CPs to the national center. Figure 1 illustrates this process.

Management Structure of District CP Center
The General Assembly elected a Management Committee (MC) consisting of 11 members, which in turn appointed members to three committees, namely: the Finance and Procurement Committee, Executive Committee, and Social Audit Committee. The MC in turn recruited management staff including a general manager, and four managers responsible for business, capacity building, communication, and accounting, etc. (See Figure 2 below).
The management staff supported activities such as the: (i) enrollment of village adults suitable for the CP service, their training and deployment, and evaluation of their performance; (ii) forecast of the demand for services and estimation of supply capacity; (iii) annual planning and budgeting to deliver CP services, and accounting and auditing of expenditures; and (iv) documentation of experiences and reporting. The MC met once a month. It approved the business plan, budgets, and program of activities, and arranged for internal and external audits.

A national center was established after two years (See Figure 3 below). It played the important role of:

(a) Developing and executing a uniform HR policy
(b) Maintaining quality standards, facilitating communication between districts, and coordinating inter-district services
(c) Mobilizing resources
FIGURE 3
Institutional Setup of National CP Center

MAHASABHA NCPLTC

BOARD OF DIRECTORS
Formed by two representatives from each District VO Federation

Management staff

Social Audit Committee
Finance committee
Procurement Committee

Source: The Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project – Phases One and Two.
Module 1.3: Implementation Arrangements

Topic 3. Transparency and Information Disclosure

Transparency is the foundation upon which both accountability and participation are built. Establishing transparency and access to information is a first step towards enabling community members and key stakeholders to engage in dialogue, independent monitoring, public oversight, and more meaningful co-management arrangements. The World Bank has been placing an increasing emphasis on transparency within World Bank-supported projects as a way to improve the development effectiveness of its operations. Various new reforms, lending instruments and policies—such as the access to information policy and the open data initiatives—underscore this emphasis at all levels.

Transparency in CDD-based projects is critical for various reasons, including:

- Informed community members are better positioned to take advantage of opportunities; access services; negotiate better deals for themselves vis-à-vis government and the private sector; exercise their rights; and hold state and non-state actors accountable.
- Disclosure of information on institutional performance promotes better performance by all stakeholders, including government, public service providers, and the private sector.
- Transparency serves as a check to stop limited groups of people from possessing certain benefits, cheating others for their own private benefit. Instead, it ensures that everyone has an equal opportunity to participate.
- Information is necessary for empowerment. People are not empowered to claim their rights when they do not know to what they are entitled. Project updates are also important for ensuring accountability to both beneficiaries and non-beneficiaries.

Information disclosure practices must take into consideration the needs of those who cannot read, and/or people who do not usually have access to formal institutions, coming up with suitable ways to ensure that everyone is informed. Information and communication technologies (ICT) offer increasingly effective ways to share and gather information, especially in post-conflict or disaster situations, remote areas, and/or states with weak capacities or conditions for implementation.

Targeted communication strategies are critical for enhancing project effectiveness and for ensuring transparency. Information needs to be made accessible using various formats, languages (if necessary), and media outlets to reach different stakeholders.
Communities need to be encouraged to insist on accountability at all times and media channels (radio interviews, etc.) should be made available to them to discuss their experiences and develop solutions. While popularly-elected community project committees initially act as democratic intermediaries, overtime, many have shown a tendency to claim power for themselves and demonstrate less transparency in areas such as the use of funds.¹

BOX 1

This trainer’s guide focuses on the role of communication techniques and approaches for generating genuine citizen demand for accountability. The guide also provides details on how to plan and design an effective communication strategy. A conceptual framework for communication and accountability provides trainers with an understanding of the role of communication, while several case studies exemplify communication for accountability in developing countries.

The four dimensions of promoting transparency & information include:

- **Disclosure of information**: The act of disclosing information and the level of government transparency regarding public budgets, expenditures, programs, etc.
- **Demystification of information**: Strengthening the level of awareness and understanding of citizens by simplifying information (for example, about laws, rights, budgets, policies, etc.)
- **Dissemination of information**: Spreading information to the public related to governance issues, processes, finances, laws, etc.
- **Discussion of information and feedback**: Engaging in discussions of information and providing feedback to government.


¹ See also: [World Bank Social Accountability E-guide](http://www.worldbank.org)
### TOOL 1
**Public Displays of Information: Community Display Boards**

<table>
<thead>
<tr>
<th><strong>What</strong></th>
<th>Publicly displaying information supports transparency and accountability. It typically involves the posting of government information—usually regarding projects or services—in public spaces, such as on billboards and in government offices, schools, health centers, community centers, project sites, etc.</th>
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<tbody>
<tr>
<td><strong>Why</strong></td>
<td>To share information and ensure that the majority of community members have access to the information.</td>
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<tr>
<td><strong>How</strong></td>
<td>The project team should consider from the outset what kind of information should be posted, how often, and in which way for maximum reach and effectiveness. Points to consider include:</td>
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<tr>
<td></td>
<td>• What is the literacy level of the community members?</td>
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<td></td>
<td>• In what language should the information be posted?</td>
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<tr>
<td></td>
<td>• How often should the information be updated?</td>
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<tr>
<td></td>
<td>• Who is responsible for updating the information?</td>
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<td></td>
<td>• When information is updated, are other tools/channels necessary to inform the community that updates have been made?</td>
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<tr>
<td></td>
<td>• Is the information presented in a format that is easy enough for the community members to understand? Should it be presented in different ways (such as in pictures)?</td>
</tr>
<tr>
<td><strong>Who</strong></td>
<td>While it depends on the project, typically a community-level sub-committee will be in charge (for example, the Executive Committee or Social Audit Committee). Clarifying this responsibility is important for ensuring that information is accurate and regularly updated.</td>
</tr>
<tr>
<td><strong>When</strong></td>
<td>Information should be constantly updated from the beginning of the project and always displayed on the board during and after the sub-project cycle.</td>
</tr>
<tr>
<td><strong>Challenges/Lessons</strong></td>
<td>• Literacy rates: In many cases, the extreme poor will need assistance accessing information through pictures or other means of communication.</td>
</tr>
<tr>
<td></td>
<td>• Updating information: Making sure responsible parties are posting the latest information accurately</td>
</tr>
<tr>
<td></td>
<td>• Misuse of information (and project branding): If not properly monitored and updated, the information posted may be used for other purposes</td>
</tr>
</tbody>
</table>
Standardizing and displaying the information in this project, community members were able to track the implementation of the village development plans in line with the vision for the village through key indicators selected by the community. In addition, the display board featured important announcements.

In order to strengthen communication, communities started writing up notices in each self-help group. This practice slowly developed into putting up permanent display boards in prominent places in the villages.

The Executive Committee of the village organization was directly responsible for maintaining and updating information on the display boards. The Social Audit Committee monitored updates of the display boards.

Updating information on the village vision and sub-project tracking was done on a monthly basis. The benefit tracking matrix was updated every three months. The announcements are written up as and when important announcements are made.

Each village set up a main display board and three-to-four smaller boards in different parts of the village. Display boards were erected in all project villages.

The display boards, in addition to promoting inclusion and equity, served as a community monitoring tool to track progress. Display boards have raised a sense of pride among the poor and the extreme poor who could watch their progress.

In many villages, local government institutions assisted with maintenance.

Source: India - Tamil Nadu Empowerment and Poverty Reduction “Pudhu Vazhvu” Project.
BOX 3
Public Displays of Information in the Indonesia Kecamatan Development Project

The Kecamatan Development Project (KDP) began in 1997 in Indonesia as a pilot in 26 villages. Ten years later, it operates in every province and covers almost half the villages in Indonesia, approximately 35,000 villages. However, this large scale of operations raises extreme challenges. For instance, ensuring the regular and accurate flow of information both vertically and horizontally in the reporting chain has been extremely difficult but important to the project’s success.

Information regarding the project activities and budgets is posted on information boards and project sites, and all project financial records are available for inspection. This has made project information always available and accessible to verify.

To advance this work and increase local control over funds, key information (including on funding levels) has been made publicly available, either by postings on village information boards, on the project websites, and in some cases, in the local press.

In actual operations, at each administrative level of the project, the Department of Community Development has worked with the local government to form a coordination working group whose functions are to provide information to villagers about planned development programs, to provide technical support as requested and/or required by project technical criteria, and to solve administrative bottlenecks and problems.

Project-level facilitators check if the information on the board is up-to date, and whether the contents are clear enough for villagers to understand.

Facilitators are responsible for monitoring the use of the village information board.

Keeping the board updated and accurate has remained an ongoing issue. Using a terms of reference to bring clarity around roles and responsibilities has helped to keep the work moving forward.

Source: Indonesia Kecamatan Development Project (KDP)—Phases One, Two, and Three.
Information on sub-projects should be accessible to everyone in the community. If no information is available, but activities are happening in the area, community members may have doubts or feel excluded from the project. Beyond display or information boards, here are some examples of branding at the sub-project site.

In Nigeria’s Third National Fadama Development Project, a youth group implements a fish production sub-project, using the outside of the fish tanks (above), to convey information on the project and the group names.

In the Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project, information at the sub-project site includes financial aspects for the particular sub-project. This practice ensures that sub-project members are accountable to each other and to other members of the community who are not involved in the sub-project. The example above shows a drinking water project.
TOOL 2
Using Picture Books for Sharing Technical Information at the Community Level

<table>
<thead>
<tr>
<th>What</th>
<th>Picture books use photos to clearly explain project rules, processes, and systems, as well as technical aspects, in a community-friendly way. In some projects, picture books provide a complement to more formal training.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why</td>
<td>Community members typically do not have easy access to information and clear examples of correct and incorrect practices, particularly on technical aspects of project implementation. Without having this information on correct practices and good quality in project implementation, it is difficult for beneficiaries to make claims when things go wrong.</td>
</tr>
<tr>
<td>How</td>
<td>To share technical information (for example, related to infrastructure), the project technical support team collects pictures that show the correct and incorrect ways that community infrastructure is built. Using brief explanations, the picture books convey information in a way that is easier for community members to grasp key concepts. The books are printed and distributed (preferably in the local language).</td>
</tr>
<tr>
<td>Who</td>
<td>The project team works with the community to understand possible sources of misunderstanding and questions. A first draft of the picture book is created by the project team and shared with the community to cross-check understanding of the information. Books are updated as needed.</td>
</tr>
<tr>
<td>When</td>
<td>The process should start at the beginning of a project, with the information updated throughout.</td>
</tr>
<tr>
<td>Lessons</td>
<td>It can be challenging to update the information in a timely fashion and to ensure local understanding of the contents.</td>
</tr>
<tr>
<td>Resources</td>
<td>Some positive examples of how picture books help to communicate what is good quality in project implementation and potential challenges are found in the resources below (again, highlighting the usefulness of this tool in infrastructure and related projects).</td>
</tr>
</tbody>
</table>

| **TOOL 3**  
Using Radio to Share Information |
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<tbody>
<tr>
<td><strong>What</strong></td>
</tr>
<tr>
<td><strong>Why</strong></td>
</tr>
</tbody>
</table>
| **How** | • If the country context does not support the existence of community radio stations, communities can still get their stories into local and national news by working with the project team to:  
  • Send a core information packet (or media release) to a radio station’s news editor or department  
  • Record an interview or 15-second short piece to better ensure the likelihood of the station picking up the story  
  • Encourage a journalist to interview the project team and beneficiaries on site  
  • Identify popular talk shows and get the community on those shows  

It is important to recognize that working with the national media may be politically sensitive. Therefore, one must consider when the community needs greater visibility, and when it may make their work more challenging. |
| **Who** | The project team should work with the community and local leadership, broadly considering any political sensitivity before engaging with national media. |
| **When** | This depends on the purpose of the radio spot. In a large project, a radio spot may be run in the beginning to raise awareness and support participatory processes. During implementation, radio can bring greater attention and recognition to the work the community is doing. Regardless, the timing and planning should be deliberate to understand the pros and cons of visibility and information sharing at a large scale. |
| **Lessons** | • Coverage may depend on timing and frequency of broadcasts (multiple airings, at different times of the day) to reach the wider public.  
  • If the timing of the information conveyed and political sensitivities are not taken into account, misunderstandings may arise, thereby increasing community tensions or jealousy from non-target areas. |
| **Resources** | Particularly for community radio:  

Source: *World Bank Social Accountability E-guide on Radio Broadcasts*.  

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**CASE STUDY 1**  
**Timor-Leste—Community Radio in the Second Community Empowerment and Local Governance Project (CEP II)**

<table>
<thead>
<tr>
<th>What</th>
<th>The first <a href="#">Community Empowerment and Local Governance Project</a> (CEP) in Timor-Leste supported and scaled up community broadcasting in the context of community-driven development. Aside from small grants for community infrastructure and economic activities, this multi-sector CDD-based project also funded cultural and social reconciliation efforts, and supported the establishment of community radios (CRs) in selected districts. This was then eventually scaled up in the <a href="#">Second Community Empowerment and Local Governance Project (CEP II)</a>.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why</td>
<td>Support for expanding coverage of the national radio station and for establishing community radio stations (including the provision of training and equipment) in the districts was expected to promote the establishment of professional and sustainable radio and other systems in the country. It also aimed to strengthen local social capital while providing an important communication tool for under-resourced rural communities.</td>
</tr>
<tr>
<td>How</td>
<td>CEP’s support for radio began with the provision of small equipment and training for district reporters, who are a vital source of local stories for the national broadcaster. After this initial phase, the project component helped to establish district media and culture boards, which requested assistance with establishing community radios. CEP responded with broadcasting equipment; training for reporters, managers and technicians; and some small initial operating costs. These independent entities, owned by the community and directed by community-based boards, are all on the air.</td>
</tr>
<tr>
<td>Who</td>
<td>The community radio (CR) component has consulted and collaborated with the national broadcaster, the local journalists association, and other stakeholders involved in media development in Timor-Leste.</td>
</tr>
<tr>
<td>Scale</td>
<td>The CR component that was added under CEP II in Timor-Leste established eight CR stations in selected districts. A Community Radio Center (CRC) was set up in 2002 to administer and provide technical support to the eight CEP radio stations. The CRC functioned as the hub for a number of supportive services for CRs throughout the country.</td>
</tr>
</tbody>
</table>
| Lessons | Challenges include:  
- Establishing local ownership of the community radio station at the beginning of the project. Because ownership of the CR involves many actors (CSOs, local government, broadcast media, etc.) participating in a wide range of activities (training, procurement, etc.), substantial time should be allotted to this stage of the process. |

(Continued next page)
### Lessons

- Recognizing the impact of World Bank procurement policies. These policies were not written with small equipment purchases in mind, so they can delay project progression.
- Establishing credibility with grassroots media, especially CR, among local and international experts and practitioners.
- Developing content and building capacity in objective, but diverse, reporting. As donors have focused in the past on funding equipment purchases, technical capacity building has quickly surfaced as the number one priority for CR stations.

**Sustainability challenges:**

- The Culture Center has already begun deteriorating. Doors, windows, walls, and floors have been damaged.
- Funding for the CRC ceased in September 2004 and all CRC assets are now owned by the Ministry of the Interior; additional support was secured through July 2006.
- The community radios have not yet developed a revenue stream sufficient to support day-to-day operations. The need for training is also high, but resources for it are scarce. The mission visited the community radio station in one district and found that much of the equipment was not working. Workers at the station noted the challenge of continuing to run the station using volunteers.

### Resources


Module 1.3: Implementation Arrangements

Topic 4. Financial Management, Procurement, and Social Audits

Financial Management and Procurement (FM) are at the heart of CDD-based projects as most funds are managed by the communities. Communities need to know “how to spend” funds properly, otherwise a project risks not achieving its expected outcomes. A lack of clear rules, information and training for everyone in the community on how to effectively carry out FM leads to elite capture as well as other major FM risks such as:

- Unreliable financial accounts, meaning there is no basis for project disbursements
- The possibility of fraud and corruption by Local Government Agency (LGA) officials and/or Community Development Committee (CDC) members in the disbursement and use of program funds
- Poor use of funds, such as overpaying or paying for inferior goods and services that are induced by poor record keeping and tracking of funds
- A lack of “value-for-money,” such as sub-projects that: (i) have been implemented but are not being used; (ii) are incomplete/abandoned; (iii) are implemented only once but accounted for several times; or (iv) have never been implemented, but have been funded and accounted for in the project.

There are five important elements in FM at the community level:

- Good manuals are developed with the communities
- A robust set of community members who are committed to be trained and to become “trainers of trainers”
- Robust institutions such as procurement- and social audit committees are established
- Accountability rules and exercises are followed
- Yearly updates (at a minimum) are made, with good examples and innovations fed into the updated version. The showcasing of good examples is also important.

Also keep in mind the following tips:

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2 See also the CDD website on Direct Financing and Contracting.
Deciding on good practices and rules for FM is important, but the process is more important. FM should be managed in a transparent and accountable way, with a sense of ownership developed within the community. Community members should be able to explain the whole system to other community members. Surface core questions around “who, what, when, where, why and how” early.

It is important to have a checks-and-balances system (loop) at the community level: detecting corrupt people/practices, and addressing/correcting them. When such a system exists at the community level, a sound FM system will be established.

Trainings should be provided to both the Board of Directors and the procurement committees, as the Board checks the function of the procurement committee on a regular basis. Basic training is given to the Board of Directors, and more detailed training is given to the committee members. However, do not do long-duration trainings (e.g. for a week) from the project’s beginning. Hold a 2–3 day orientation to inform them about what FM is about, with more training later. Also, a monthly check and update is important—keep it alive!

It is also important to have a separate module for livelihood-type sub-projects as those should include different innovative processes. Repeating the process and keeping it updated, rather than static, is important. After the sensitization or awareness step, the project team, along with the communities, prepares manuals, over 5-6 days. With such manuals, pilot communities will get trained, before scaling up occurs. There should be an emphasis on including tribal groups and minority ethnicities.

Make sure that there is both clear and collective responsibility. If things go wrong, and there is misuse in the FM, it is not the individuals who worked on the particular project, but the community which is responsible for the misuse, and for addressing the problem and preventing future errors.

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**BOX 1**

**The Importance of a Community Financial Management System**

- In some cases, communities may be unfamiliar with sound financial management (FM) and disbursement practices, or the dangers of managing funds without sufficient transparency and accountability.
- Community ownership and decision making over resources is a fundamental part of the CDD approach. Training the community in sound FM practices is part of community level capacity development.
- Because community level engagement with resources is relatively unique to the CDD approach, it is important to be familiar with the specific procedures for FM and disbursement that maximize accountability and transparency, as well as to ensure training on accounting and FM procedures when necessary.
- A dedicated finance committee—headed by the treasurer of the village institution—should be responsible for FM, accounting, and the financial audit of the village institution. The social audit committee should audit the financial records as well.
- FM tools are used for all daily financial transactions. Whenever new finance committee members are selected they should be immediately trained on the system by outgoing members and project teams.

CASE STUDY 1
Uganda—Social Accountability Initiatives for Financial Transparency and Monitoring in the Northern Uganda Social Action Fund (NUSAF) Project

What
The community safety-net systems and the traditional social and economic fabric of the people of Northern Uganda were greatly disrupted and weakened by the armed conflict. In response to these factors, the government of Uganda initiated the implementation of the Northern Uganda Social Action Fund (NUSAF) Project, with the aim of empowering communities in 18 districts of Northern Uganda by enhancing their capacity to systematically identify, prioritize, and plan for their needs through sub-projects; implementing sustainable development initiatives to improve socioeconomic services and opportunities; and by placing money in the hands of communities, contributing to improved livelihoods. The Second phase of this project (NUSAF 2) further strengthened bottom-up accountability with support provided as part of a Transparency, Accountability, and Anti-Corruption Program.

How
NUSAF 1 made efforts to build the capacity of community project management committees and community procurement committees in their core duties, including conducting executive committee and general community meetings; selecting and undertaking viable procurement options; monitoring the progress of sub-project implementation; and managing contractors. These efforts were all geared toward ensuring high sub-project completion rates and promoting the use and sustainability of community investments or their spin-off benefits.

In a bid to enhance the involvement of communities in monitoring their sub-projects, the project held trainings with sub-county technical staff. In turn, the trained staff mentored local community members in basic monitoring.

NUSAF 2 instituted social accountability committees with the primary responsibility of handling grievances at the grassroots level. These committees are also trained to use community scorecards—a qualitative tool used for local-level monitoring of how inputs and expenditures match with entitlements and budget allocations.

Results
**Improved utilization of community funds.** The direct involvement of communities in monitoring enhanced sub-project completion rates and promoted the utilization and sustainability of the investments.

**Reduced leakage of funds.** The strengthened capacity of communities to perform oversight functions helped to minimize some forms of malpractice at the community level, such as corruption, elite capture, and waste of community resources.

**Increased responsiveness of local governments.** Despite variations in capacities across and within districts, local governments at the district and sub-county level have been responsive about appraising sub-projects, providing technical support during implementation, and supporting the certification and commissioning of funded community investments.

(Continued next page)
### Case Study 1 (continued)

| Results | Enhanced capacity for grievance redress. A total of 3,695 social accountability committees have already been instituted and trained in sub-project implementation and grievance-handling; 31 percent of the committee members were women. The SMS Corruption Reporting System (Report2IG), which will enable citizens to send SMS text messages to report cases of corruption, has been developed and tested. |

*Source: Northern Uganda Social Action Fund (NUSAF) Project; NUSAF 2.*
### TOOL 1
The Fundamentals of Community-Level Procurement and Contracting

| What | Community procurement is a methodology and practice in which works, goods and services are directly procured by community based organizations, upholding the key principles of procurement within the context of community-driven development. While there are many different models of this, they all share certain key characteristics and goals. Community members are involved in identifying needs and selecting a sub-project; participation is encouraged throughout the sub-project cycle; and communities provide contributions in the form of labor, cash, and/or materials, so as to promote ownership and sustainability. |
| Why | The World Bank’s current policy allows for adapting procurement arrangements in CDD-based projects to actual conditions on the ground. It is critical that teams take full advantage of the existing flexibility and look beyond “shopping” as the default method for community based procurement. Shopping requires three quotations, which is not realistic in areas where only one supplier is present. Other methods, summarized below, have proven to be more effective and transparent, and more suited to match local capacity and conditions. Using this methodology typically results in: |
|     | - *Better value for money* when communities have responsibility for managing the implementation of subprojects. |
|     | - *Improved quality* of construction of infrastructure or the provision of goods and services. |
|     | - *Empowerment* of communities and promotion of community ownership by giving them responsibility for implementation of local development activities. |
|     | - *Decreased project costs* as local shopping enables greater savings at the community level. |
|     | - *Reduced corruption and misuse of resources* in the procurement process if designed and implemented with good transparency and accountability systems. |
| How | The World Bank’s procurement procedures were originally designed for large investment projects rather than for projects financing many community-level sub-projects. They have since evolved to include rules for small-scale projects that meet Bank audit requirements while retaining the flexibility required for demand-driven interventions (Small Works and Community Participation in Procurement; Procurement Guideline 3.15 Community Participation in Procurement). Special procedures for “Community Participation in Procurement” include the following five procurement methods: |
How

<table>
<thead>
<tr>
<th>Tool 1 (continued)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Shopping for Goods, Works, and Non-Consulting Services:</strong> This procedure requires that quotations be obtained from at least three qualified suppliers, service providers or contractors.</td>
</tr>
<tr>
<td>2. <strong>Local Bidding for Goods and Works:</strong> To enhance economy, fairness and equal opportunity for suppliers and contractors, communities may wish to use open tendering procedures, with advertising limited to local media, posting of notices in strategic locations, and circulating notices and/or reading them in community meetings or other public gatherings. The request for bids spells out the works or goods required, criteria for selection, and deadline for bid submission. Bids are opened in a public ceremony and then examined to determine whether they meet the qualifications. Those that do are further evaluated, and the one that meets the requirements and offers the lowest bid is selected. The winning bidder and the amount of the contract are then announced to all bidders.</td>
</tr>
<tr>
<td>3. <strong>Direct Contracting:</strong> Direct contracting allows for a supplier or contractor to be selected without applying the competitive methods described above, but with the advance approval by the Community Development Committee. This method may be used when there is only one source available – a not-uncommon phenomenon in remote areas. Other possible justifications include urgency, the need to adopt a certain technology, or a repeat order. Prices should be in line with local market rates or established estimates provided under a “unit cost database” maintained by the project management unit.</td>
</tr>
<tr>
<td>4. <strong>Off-the-Shelf Purchases:</strong> Off-the-shelf purchases are another form of direct contracting, which is used when very low quantities and low overall value of goods or supplies are required. Provisions for this method should be spelled out in the Operations Manual, including monetary thresholds.</td>
</tr>
<tr>
<td>5. <strong>Community Force Account:</strong> Under this method, the community implements the sub-project using its own resources, such as skilled and unskilled labor, materials, equipment, etc. It may also sub-contract part of the project. The main advantages to this approach include the creation of employment opportunities for members of the community, the likelihood of greater efficiencies (including the possibility of voluntary contributions or the provision of inputs below market costs), and greater community ownership of the resulting investment – which may be important for sustainability.</td>
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</table>
### Tool 1 (continued)

<table>
<thead>
<tr>
<th>Steps</th>
<th>Details</th>
</tr>
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<tbody>
<tr>
<td>If communities will be responsible for the contracting of goods and</td>
<td>Contracting procedures should be simple, fair, transparent and efficient, and should include setting prior and post-review procurement thresholds, and ensuring legalization of the community group in accordance with local laws and regulations so they can enter into contracts, take legal action, open bank accounts and own assets created by the project.</td>
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<tr>
<td>services for local sub-projects, procurement procedures are generally</td>
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<tr>
<td>governed by Paragraph 3.15 of the World Bank’s Procurement Guidelines,</td>
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<td>which allows for flexible procurement arrangements.</td>
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<tr>
<td>Contracting procedures should be simple, fair, transparent and</td>
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<tr>
<td>efficient, and should include setting prior and post-review</td>
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<tr>
<td>procurement thresholds, and ensuring legalization of the community</td>
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<tr>
<td>group in accordance with local laws and regulations so they can</td>
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<tr>
<td>enter into contracts, take legal action, open bank accounts and own</td>
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<tr>
<td>assets created by the project.</td>
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</tr>
<tr>
<td><strong>When a sub-project is approved and launched:</strong></td>
<td></td>
</tr>
<tr>
<td>• Train the project management committee in procurement methods</td>
<td>• Train the project management committee in procurement methods and rules, contracting issues, bookkeeping, reporting, transparency issues, etc.</td>
</tr>
<tr>
<td>and rules, contracting issues, bookkeeping, reporting, transparency</td>
<td>• Open a community bank account, which should be operated with at least three signatories from the project management committee.</td>
</tr>
<tr>
<td>issues, etc.</td>
<td>• Mobilize and account for community contributions (in-kind, cash or labor).</td>
</tr>
<tr>
<td>• Open a community bank account, which should be operated with</td>
<td>• Prepare the sub-project financing agreement, which is the contract between the funding agency and community.</td>
</tr>
<tr>
<td>at least three signatories from the project management committee.</td>
<td>• Hold the launch ceremony in the community, where the financing agreement is signed and implementation arrangements are reviewed.</td>
</tr>
<tr>
<td>• Mobilize and account for community contributions (in-kind, cash or</td>
<td></td>
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<tr>
<td>labor).</td>
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</tr>
<tr>
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<td>between the funding agency and community.</td>
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<tr>
<td>• Hold the launch ceremony in the community, where the financing</td>
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<tr>
<td>agreement is signed and implementation arrangements are reviewed.</td>
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<tr>
<td><strong>For the implementation of community sub-projects:</strong></td>
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<tr>
<td>• Finance community sub-projects: disburse an initial transfer of</td>
<td>• Finance community sub-projects: disburse an initial transfer of funds to the community, with further disbursements usually made in tranches based on physical progress, using either a lump-sum method or actual cost method, in accordance with the financing agreement.</td>
</tr>
<tr>
<td>funds to the community, with further disbursements usually made in</td>
<td>• Procurement at the community level: the project management committee is responsible for procuring materials, transport and labor, for amounts below the threshold level established in the Project Appraisal Document (PAD) and operational manual in accordance with procurement guidelines. Procurement is usually carried out through direct purchase or local shopping by the communities themselves.</td>
</tr>
<tr>
<td>tranches based on physical progress, using either a lump-sum method</td>
<td>• Financial management at the community level: follow procurement and disbursement procedures laid out by the funding agency. This includes keeping complete documentation on all financial transactions and presenting financial and physical progress reports to community members on a regular basis.</td>
</tr>
<tr>
<td>or actual cost method, in accordance with the financing agreement.</td>
<td>• Address maintenance issues and include them in the sub-project proposal, including a financial plan for the next 3–5 years which demonstrates the capacity of the community to collect funds and maintain the asset which has been created.</td>
</tr>
<tr>
<td>• Procurement at the community level: the project management committee is responsible for procuring materials, transport and labor, for amounts below the threshold level established in the Project Appraisal Document (PAD) and operational manual in accordance with procurement guidelines. Procurement is usually carried out through direct purchase or local shopping by the communities themselves.</td>
<td></td>
</tr>
<tr>
<td>• Financial management at the community level: follow procurement and disbursement procedures laid out by the funding agency. This includes keeping complete documentation on all financial transactions and presenting financial and physical progress reports to community members on a regular basis.</td>
<td></td>
</tr>
<tr>
<td>• Address maintenance issues and include them in the sub-project proposal, including a financial plan for the next 3–5 years which demonstrates the capacity of the community to collect funds and maintain the asset which has been created.</td>
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</tbody>
</table>

**Monitoring and Evaluation (M&E):** M&E includes financial and technical monitoring to compare the community’s expenditure against the targets. The project management committee is accountable not only to the funding agency, but also to the community and their local leaders and appropriate M&E mechanisms and indicators should be put in place.

*(Continued next page)*
### Tool 1 (continued)

<table>
<thead>
<tr>
<th><strong>Who</strong></th>
<th>The community is usually represented by some form of community-based organization or local project committee that enters into a contract with the funding agency and handles the procurement. The procurement function is entrusted to a specialized committee of the village organization, the procurement committee. The Social Audit Committee is responsible for social auditing of the procurement process and presenting the audit reports to the village assembly.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>When</strong></td>
<td>The procurement committee should be appointed by the community organization at the planning stage so that there is full understanding of the procurement rules and procedures, and sub-project procurement requirements. The procurement committee swings into action whenever requests for purchases are made by other committees. The procurement manual should be reviewed every year and revised to include lessons from experience to remove further bottlenecks.</td>
</tr>
</tbody>
</table>
| **Challenges/Lessons** | - The limited number, or non-availability, of suppliers in rural areas forces procurement committee members to go to distant urban markets for procuring items. Though this adds to transportation costs, the benefit from quality improvements and better prices more than compensates for such increases. Sometimes contractors and suppliers act as a cartel to defeat community initiatives, rigging prices and creating artificial shortage of items.  
- Limited numeracy and financial skills of community groups can require extensive capacity building and support by other actors (e.g. funding agency, district-level teams, NGOs).  
- Entrusting procurement to the community might result in poor technical execution and manipulation by contractors. This can occur when committee members lack experience, or when communities do not have access to relevant technical skills. |
BOX 2
Malawi Social Action Fund: Community Sub-projects Component

The Community Sub-projects Component (CSP) is the largest component of the Malawi Social Action Fund. Its design is based largely on information gathered during a Systematic Client Consultation undertaken during preparation of the project.

The consultation was undertaken primarily to assess the potential at community level to implement sub-projects under a direct community financing arrangement. As such, the CSP component is a community-driven program which funds community-initiated projects. Communities are responsible for implementing the sub-projects as well as operating and maintaining the sub-project asset/output. Financing of sub-projects is done by channeling funds directly into project committee bank accounts.

Disbursement of funds is made in tranches of 30, 40, 20, and 10 percent. An elected project management committee manages the implementation of the sub-project. Communities provide counterpart funding in the form of labor, cash, or materials.

While the MASAF provides funding for sub-projects, other actors such as local government, NGOs, and private sector organizations all play a role in the sub-project cycle, as facilitators, appraisers, supervisors, contractors, and partners in co-financing arrangements.

See also: The Malawi Social Action Fund (MASAF) Project - Phases One, Two, Three and Four.

BOX 3
The Northeast Brazil Poverty Alleviation Project: Community Managed Sub-projects

The project provides matching grants to rural community associations to finance small-scale sub-projects identified as priority investments that improve community well-being and generate employment opportunities.

Beneficiaries provide a minimum of 10 percent of the total costs of community-managed sub-projects in labor, in-kind or cash. The identification, preparation, contracting, implementation and maintenance of all sub-project investments are the responsibility of the beneficiary rural communities.

In order to receive funds, these communities must be legally organized into civil associations. Sub-project selection is demand-driven and based on community preferences elected in the community assembly.

Source: World Bank Social Accountability E-Guide
### TOOL 2
#### Social Audits

<table>
<thead>
<tr>
<th><strong>What</strong></th>
<th>Social Auditing (SA) is a method to help village communities check whether village funds are spent as per approved plans and agreed rules and guidelines.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Why</strong></td>
<td>The purpose of SA is to ensure that benefits are reaching the most deserving community members, and that village development activities are carried out in a participatory manner without violating key non-negotiable principles.</td>
</tr>
</tbody>
</table>
| **How** | The Social Audit Committee (SAC) collects information about project processes and implementation on a monthly basis, and checks compliance by community level institutions. All information gathered is cross-checked and reviewed by the SAC members, and logged into a minutes/record book. SAC members then have a meeting with the Management Committee (MC) and other committees, as needed, based on the findings to clarify observations and issues. If responses from the MC do not satisfy the SAC team, the issues are discussed in the General Assembly.  
In the monthly General Assembly (GA), all the findings and issues from that month’s Social Audit, as well as the related details from discussions with the MC are reported and explained to the village members. SAC members also explain action plans for specific issues. If some issues remain unresolved from a prior meeting between the SAC and MC, then the village members have a discussion during the GA to resolve the problem. Action plans or next steps such as additional rules are also recorded. If misbehavior is detected and repeated, the offending individuals or commercial entities are placed on a black list and their access to other project facilities is taken away.  
(Note that during supervision missions, the project team and World Bank team check the Social Audit minutes to see if the process is working well or not.) |
| **Who** | Every village needs to establish a SAC, which usually consists of 4-5 members, in order to receive funds from the project. Members of the SAC are selected by the GA which is composed of all the village members. SAC members should be respected by other village members for their honesty and transparency. |
| **When** | The SAC conducts an audit every month. The findings are discussed and action plans are developed in a monthly General Assembly. SAC members meet every month and visit all the sub-project sites to conduct: (i) a financial audit, including books of accounts, procurement and usage of the money; and (ii) a social audit, which includes compliance with rules, who was excluded, etc. Committee members take several trainings on how to conduct audits, bookkeeping, etc. Trainings organized and provided by the project every 2-3 months. |

(Continued next page)
Tool 2 (continued)

| Challenges/Lessons | Elected SAC members must be representative of the village.  
SAC members must be well regarded in the community, and should understand the community-level dynamics well.  
Being an “independent” body, the system could create risk-aversion for both the SAC and MC. It is important to tell both committees that the role of SA is to check compliance; it does not conflict with the community’s autonomy and active participation. |
|---|---|
National Rural Employment Guarantee Project (NREGA): Social Audit Guidelines for Kerala (WB Intranet)  
World Bank Social Accountability E-guide on Social Audits |
### CASE STUDY 2
**Social Audit in the Afghanistan National Solidarity Program (NSP)**

| **What** | One of the key guiding principles of the Afghanistan National Solidarity Program (NSP) is transparency and accountability in the use of program funds. Facilitating Partners (mainly contracted NGOs) are asked to instill these values at all stages of program implementation. Elected Community Development Councils (CDCs) are to maintain proper accounts of project expenses and these expenses are to be clearly indicated in a public place for all to see. In First and Second phases of (NSP I and II), CDCs would post to a public notice board where both men and women can easily see the information, providing a detailed account of the project status, proposed budget, and actual expenditures. Additionally, social audits (SA) allow communities to openly discuss project expenses and allow community members to raise questions or issues and have them addressed. |
| **Steps** | While the NSP III’s mainstreamed social audit process is still being developed, it will be based on the practice already being used by some of the NSP Facilitating Partners (FPs) (e.g. UNHABITAT and Aga Khan Foundation). The process followed by existing FP’s is described below. There are three key tools used to conduct social audits:  

1. **Village Development Books**  
The Village Development Book is kept within the community and contains all key information related to the community including the community profile, village map, community development plan, names of the CDC members, roles and responsibilities of the CDC members, names of the sub-committees formed for various purposes, and the roles and responsibilities and of these various sub-committees. The information in the Village Development Book is the basis for discussions during the Social Audit meeting.  

2. **Information Boards**  
Information boards are erected in places of public gathering to provide the wider community with access to important information related to community projects.  

3. **Social Audit Meetings**  
Social audit meetings involve a public review of project progress with the wider community in a public gathering. The social audit meetings are usually held on Fridays after the jumma prayers. This is a moderated questions & answers event with minutes. |

(Continued next page)
Case Study 2 (continued)

<table>
<thead>
<tr>
<th><strong>Who</strong></th>
<th>The first few social audits are facilitated by FP social organizers but the aim is for communities to facilitate such meetings themselves in the future once the process is internalized. Experience shows that peer oversight has proven much more effective than external oversight. FPs require that more than 50% of households in the community be present for the meeting including all CDC representatives, all sub-committee members, and FP staff.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>When</strong></td>
<td>The number of social audit meetings organized in a community varies depending on the size and type of project, but the FPs aim to hold at least three social audit meetings per community.</td>
</tr>
<tr>
<td><strong>Advantage/Impact</strong></td>
<td>The benefits of social audits transcend any one project. If the first social audit is facilitated well and handled in a transparent manner, it bodes well for future development projects implemented in the community. Once corruption is allowed to set in, however, it will become a pattern for future projects. Communities have largely seen the advantage of social audits and are now demanding it themselves for other development projects other than the NSP as a means of resolving conflict.</td>
</tr>
<tr>
<td><strong>Challenges/Limitations</strong></td>
<td>FP staff faced great resistance from communities in the beginning as CDC members were deeply concerned that the audits would increase conflict in a community which was already fragmented by years of war. CDC members were also anxious that open questioning of their expenses would weaken their credibility in the public eye. Great efforts were made by FPs to explain the benefits of social audits to CDCs, for example, it would actually increase their chances of being re-elected if they were able to adequately explain and justify all project expenses.</td>
</tr>
<tr>
<td><strong>Costs</strong></td>
<td>Costs are low as the social audit takes place within the community so transportation costs are limited. Only the salary of the Facilitating Partner’s social mobilizer is required.</td>
</tr>
</tbody>
</table>

Source: Task team of the Afghanistan National Solidarity Program (NSP) – Phases One, Two, and Three.
BOX 4
The Social Audit Committee’s Role in the Sri Lanka Second Community Development and Livelihood Improvement Project (“Gemi Diriya”)

The Social Audit Committee (SAC) meets every month to audit all actions performed during the month by verifying records, through interacting with the communities as well as through field level verification. The audit findings are recorded in a minutes/record book and presented to the general body along with suggested measures to rectify issues.

The general body of the village organization directly appoints the SAC. The 5–7 member committee conducts the social audits and reports its findings to the general body. The general body approves the recommendations and directs the Executive Committees to rectify any identified shortcomings.

The village organizations have emerged as strong self-regulated entities for identifying and rectifying implementation deficiencies themselves through the social audits. Villages with strong and well-functioning SACs have obtained grades of A and B (per the project’s ratings system) and have accessed incentive funds indicating the better quality and sustainability of institutions, investments, and results.

Photos of Women Conducting Audits.
Source: Sri Lanka Second Community Development and Livelihood Improvement Project.
Annex 1: More on Financial Management at the Community-Level in the Sri Lanka Second Community Development and Livelihood Improvement “Gemi Diryia” Project

Description

The project developed well-illustrated and easy-to-follow financial management and accounting guidelines with the participation of experienced and knowledgeable finance committee members from the pilot villages. The project community finance staff along with experienced community members trained the finance committee members from the new villages on the basics of financial management and details of how the village level accounts have to be kept.

At the core of the community financial management system is a simple flow of funds to the community institution and within the village as depicted in the figure above.

Flow of Village Funds

The project funds are released to the village institution in installments subject to the satisfactory achievement of project milestones. Such a results-based fund flow arrangement includes appraisals and milestone checking by an independent appraisal and monitoring team outside of implementation.

The accounting and record keeping happens (i) at the village institution level showing the overall funds; (ii) at the village savings and credit organization level with respect to the funds (savings as well as credit) for livelihood support and (iii) at the sub-project committee level for community infrastructure and social service sub-projects. There are standardized formats for receipts and payments of money. The community themselves have developed a unique vouching system for accounting for community contributions as shown below.
Accounting for Community Contribution

Using this approach, the community can monetize all contributions by its members, be they in labor or materials. The Community Finance Manual illustrates how transactions are entered into vouchers and ultimately how simple books of accounts are written. Some examples are below.

### Preparing Voucher for a Transaction Completing Accounting Using Ledger

The community financing also involves opening a bank account and maintaining it by exercising various internal control mechanisms. The finance committee also undertakes bank account reconciliation every month without fail. The community finance system also includes the monthly financial reporting with a template as shown below.
### Community Finance Progress Reporting

#### Sample Format: Financial Report for the Month of ________________

<table>
<thead>
<tr>
<th>RECEIPTS</th>
<th>Rs</th>
<th>PAYMENTS</th>
<th>Rs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opening Balances</td>
<td></td>
<td>Capacity Building Fund</td>
<td></td>
</tr>
<tr>
<td>- Cash in hand</td>
<td></td>
<td>Community Infrastructure Fund Sub-project 1</td>
<td></td>
</tr>
<tr>
<td>- Cash at bank</td>
<td></td>
<td>Community Infrastructure Fund Sub-project 2</td>
<td></td>
</tr>
<tr>
<td>Bank A/c1</td>
<td></td>
<td>Community Infrastructure Fund Sub-project 3</td>
<td></td>
</tr>
<tr>
<td>Bank A/c 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contributions received</td>
<td></td>
<td>Livelihood Support Fund</td>
<td></td>
</tr>
<tr>
<td>- Cash</td>
<td></td>
<td>Other Expenditures (Incentive Funds)</td>
<td></td>
</tr>
<tr>
<td>- Labor</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GDF Contribution Received</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Capacity Building Fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Infrastructure Sub-project 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Infrastructure Sub-project 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Infrastructure Sub-project 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Livelihood Support Fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Incentive Fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advances</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Receipts</td>
<td></td>
<td>Closing Balance</td>
<td></td>
</tr>
<tr>
<td>- Donations</td>
<td></td>
<td>- Cash in hand</td>
<td></td>
</tr>
<tr>
<td>Refund of Loans</td>
<td></td>
<td>- Cash at bank</td>
<td></td>
</tr>
<tr>
<td>Adjustments of Advances</td>
<td></td>
<td>Bank A/c1</td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>TOTAL</td>
<td></td>
</tr>
</tbody>
</table>

Source: *Sri Lanka Second Community Development and Livelihood Improvement “Gemi Diriya” Project*.
Annex 2: More on Financial Management, Direct Funding at the Community-Level: Example from the Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project

Why
Oftentimes in development activities—whether they are led by NGOs or government agencies—the funds are not passed on to the communities for fear of mismanagement. The targeted village communities quite often have no organizations of their own, and even if they do, nobody dares to vouch for the community’s capacity to maintain books of accounts and keep records. The Gemi Diriya Project in Sri Lanka proved this pretext wrong. In this experience, community institutions directly access funds from the Project and meticulously manage the funds with transparency, accountability, and prudence. They judiciously keep records and maintain books in a way that would satisfy any auditor in terms of compliance with guidelines and accounting standards.

Who and When
A dedicated finance committee is headed by the treasurer of the village institution, and is responsible for financial management, accounting, and the financial audit of the village institution. The social audit committee audits the financial records as well.

How Often
The tool is used for all day-to-day financial transactions. Whenever new finance committee members are selected they are immediately trained on the system by outgoing members as well as project teams.

Scale
The tool is being used in about 3,000 village organization throughout the project. The entire financial transaction at the village level is captured in the system. There are instances of village institutions managing over 10 million SLR (US$0.1 million) using the community finance system, without any misuse of funds.

Advantages/Impacts
The community finance books and records are the single reason for cohesive functioning of the village institution. As each and every rupee is received and spent in a transparent and accountable manner there is no reason for any misuse, confusion, or conflict in the village. The village funds are treated as the community’s own money and the system helps them to use it with transparency, efficiency, and prudence.
Cost
The main costs are for the capacity building of finance committee members and to provide standardized forms and formats.

Challenges/Lessons
The most important challenge has been to gain acceptance of the idea of communities managing funds and maintaining accounts by the project staff and policy makers. Once the pilot community demonstrated their capability to judiciously spent funds and keep current and correct records of transaction details in their books, the system was accepted across the country.

Sustainability
Not only is the system sustainable, but it makes the funds sustainable as well.

Source: The Sri Lanka Community Development and Livelihood Improvement “Geni Diriya” Project – Phases One and Two.
Annex 3: More on Social Auditing, Guidelines from the Sri Lanka “Gemi Diriya” Project

Social Auditing helps village communities to check whether the village funds are spent as per approved plans and COM guidelines. The purpose of Social Auditing is to ensure that benefits are reaching the most deserving community members, and that village development activities are carried out in a participatory manner without violating key non-negotiable principles.

- **Composition of the Social Audit Committee (SAC):** The Social Audit Committee consists of 5 members, 3 of which are women and an equal number from the extreme poor and poor families. At least 2 members are youth. The members selected must represent all the inhabitants of the village.

- **Criteria for selecting the SAC Members:** Members of the SAC are selected by the General Body based on the following criteria: (i) Community members who are respected, trusted and accepted by the majority of village households, (ii) People with experience in the village development activities, (iii) People well known for their unbiased, objective actions and their consideration of the village over themselves, (iv) People who believe in and have not violated the Gemi Diriya Golden Rules, and (v) At least one member must know accounting and how to audit accounts.

- **Functions of the SAC:** The main functions are to: (i) review the functioning and monitor the compliance and/or violations of all committees, (ii) investigate violations, (iii) audit all accounts and procurement records, (iv) scrutinize the selection of beneficiaries for individual assistance to ensure better targeting, (v) review all meetings and participatory planning exercises for process compliance, (vi) examine the implementation of village funds, (vii) certify milestones and sub-funding implementation completion reports, (viii) investigate complaints and reasons for conflict as requested by the general body and (ix) convene meetings, record minutes, and present findings to the general body.

- **Social Audit Checklist:** The SAC uses a social audit checklist, which covers all activities in the village development cycle including: planning, implementation of the sub-funds of the village fund (institution development fund, livelihood support fund and infrastructure sub-fund), functioning of the village institutions, and fiduciary activities. Nonetheless, the SAC is not limited by the checklist, and retains the flexibility to include all important events and developments in the village as needed.

- **Implementation Steps:** The SAC performs its social auditing function following the steps outlined in Figure 1 below.
FIGURE 1
Steps for Implementing a Social Audit: Example from the Sri Lanka “Gemi Diriya” Project

Step I: Discuss with the Board of Directors/other committees, and community members to collect information

Step II: Verify records and books to collect facts

Step III: SAC members meet, discuss, and write the social audit report with recommendations

Step IV: Report is presented to the General Body

Step V: General Body decides how to direct the concerned parties to correct any deficiencies

Step VI: Monitor implementation of the recommendations and report compliance to General Body

Step VII: Certify milestones. Verify final accounts and certify implementation commission reports

Source: The Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project – Phases One and Two.
Module 1.4: Monitoring and Feedback

Topic 1. Participatory Community Monitoring and Learning

Participatory community monitoring and learning is a useful tool for evaluating how activities are seen and valued locally by the communities. In most projects, monitoring happens in a top-down way: the project implementation agency or the World Bank monitors the project activities, and when they find issues, they go to the community and tell them what they found wrong.

In contrast, a bottom-up participatory monitoring approach allows the community to learn how to use, read, and understand the monitoring information. This is particularly important for CDD-based projects because the geographic areas they cover tend to be dispersed and because standard monitoring approaches often cannot provide sufficient coverage and oversight in light of time and budget constraints. Insufficient monitoring can overlook the potential misuse of funds or misbehaviors. It can even induce some stakeholders to take wrong actions. Therefore, simply establishing sound internal fiduciary controls and management systems is not sufficient if there is no effective community level monitoring arrangement put in place.

Typically, the general process for participatory monitoring is as follows:

- Based on the Village Development Plans they themselves have developed, the community tracks project activities.
- Information on a stock of activities is collected at the cluster level. If issues are found, the board of directors and social audit committee office bearer check the situation.
- When the identified problems have been resolved, the cluster-level staff invite representatives from each village, and report back what have been done, follow up actions needed, etc.

It is important to note that how the information is gathered is as important as what is gathered. The monitoring process should be simple and participatory. Standardizing it through a basic template is recommended.1

1 For more resources on this topic, please see: World Bank, Andhra Pradesh Rural Poverty Reduction Project: Multi-stakeholder Project Monitoring and Community-based Procurement (WB internal site)
## TOOL 1
### Participatory Community Monitoring

| **What** | Participatory Community Monitoring (PM) is a system of collecting, recording, measuring, and analyzing information in a participatory way—and then communicating it and acting on it—to improve performance at the community level. It offers many advantages, including: holding community leaders and government institutions accountable, providing ongoing feedback, sharing control of M&E activities, encouraging the identification and taking of corrective actions, and facilitating dialogue between citizens and project authorities. |
| **Why** | In the context of CDD-based projects, participatory monitoring (PM) activities, when used effectively, can act as a valuable project management mechanism, and can also have a significant impact on results tracking and improving local governance. PM should be seen as a process whereby primary beneficiaries and stakeholders take the lead in tracking progress toward, and the achievement of, self-selected results. Thus, it is distinct from consultative monitoring and evaluation, which generates information to be used by external actors. PM allows for a continuous process of joint learning and reflection on goals and results. |
| **How** | Participatory monitoring should be conducted at each stage of the sub-project cycle. The key is to have simple forms that are regularly updated and simplified reports. For example, one way to aggregate information at the project level could be to combine information on smaller activities into a three-page summary of results and milestones, focused not on activities (outputs) but, rather, on achievements (outcomes) toward goals. |
| **Who** | Primary responsibility at the community level rests with the Executive Committee of the village organization. The Executive Committee conducts monthly or quarterly assessment of the progress made, along with the Social Audit Committee (SAC) members and other community level representatives. This information is then shared at the project management level. A cross-learning forum across clusters/communities can be an effective way of sharing information. A system of monthly reporting with updated visual information should be supported by the community. |
| **When** | Depending on the communities, every month or every two weeks. Learning and monitoring forums (for 3–4 clusters) occur on a quarterly basis. |
| **Challenges/Lessons** | Participatory monitoring is not fully understood and used by many M&E experts. Therefore, it is quite challenging to build a shared understanding of this tool at the community level and provide proper support to the communities and field staff. |
| **Resources** | Video on Community Monitoring, India—Tamil Nadu Empowerment and Poverty Reduction "Puthu Vazhvu” Project, Youtube. |
BOX 1
Community Monitoring in the Philippines KALAHI-CIDSS Program

In this Program, the communities were fully engaged in the monitoring process through a participatory system that:

- Made use of local knowledge and skills
- Allowed people to reflect on the causes of their problems and make informed decisions on what they can do about them
- Worked with the community to identify its resources and determine development directions
- Encouraged a sense of responsibility among the community members

Samples of some of the streamlined forms the community used are below:

Simple Community Poverty Reduction Results Framework: Blank Template

<table>
<thead>
<tr>
<th>Results Framework</th>
<th>Indicators</th>
<th>Status Now</th>
<th>Target by end of 3rd KC Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Simple Community Poverty Reduction Results Framework: Sample Completed Form

<table>
<thead>
<tr>
<th>Results Framework</th>
<th>Indicators</th>
<th>Status Now</th>
<th>Target by end of 3rd KC Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal</td>
<td>HH income is sufficient to meet needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose</td>
<td>Farm income is increased</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Output            | 1. Farm yield is increased  
2. Savings from reduced transport cost is increased  
3. Crop value is reduced | | |
| Activities        | 1.1 Multi-cropping is adopted  
1.2 Farms are irrigated  
2.1 Travel time to market is reduced  
2.2 Road conditions are improved  
3.1 Crops are processed at the farm  
3.2 Capital is available  
3.3 Farmer capability is improved | | |

Source: Philippines KALAHI-CIDSS Project
BOX 2
Community-Based Monitoring and Evaluation: Niger, Cameroon, and Benin

From May 2001 to June 2002, a team from the World Bank, NGOs, and government partners engaged in participatory action-research in Niger, Cameroon and Benin, with the support of the World Bank’s CDD team in the Africa region. This action-research was initiated in order to develop a locally appropriate monitoring and evaluation system to help communities sustain the results of their community development projects.

The team found that strong participatory methodologies, such as the Village Level Participatory Approach (VLPA), had enabled thousands of communities to set and achieve their own community development goals. However, the team also discovered that the VLPA and other participatory methods do not go far enough in bringing the entire community together for equitable, collective decision-making.

Generally, a community-based monitoring and evaluation system has five stages to its implementation. These include:

1. Preparation
2. Introduction of the monitoring and evaluation concept to communities
3. Development of the community’s monitoring and evaluation work program
4. Monitoring of development activities
5. Evaluation and re-appraisal of local development

Tools: A core set of tools is designed to introduce the M&E concept to communities and to help them put the community-based M&E approach into practice.

CASE STUDY 1
Participatory Community Monitoring in the Afghanistan National Solidarity Program (NSP)

| What | To involve community members in the monitoring of sub-projects implemented in their own communities, the Community Participatory Monitoring (CPM) system was established in the Afghanistan National Solidarity Program (NSP) in both secure and insecure areas. |
| Why | The objectives of the CPM were to: |
|     | • Improve the quality of sub-projects and performance of stakeholders |
|     | • Improve the timeliness of implementation |
|     | • Ensure and increase the participation of women and men in the implementation of development activities |
|     | • Improve transparency and accountability between communities and other stakeholders |
|     | • Create a feedback mechanism at the community-level to take corrective actions and decisions; |
|     | • Enhance the capacities and skills of teams and communities in monitoring the sub-projects |
|     | • Empower the communities to raise their voices, opinions, expectations and aspirations |
|     | Community Participatory Monitoring was conducted to analyze and understand: |
|     | • The quality, process and progress of the ongoing sub-project/s within the community; |
|     | • Stakeholder performance in supporting and facilitating the implementation of the sub-projects; |
|     | • Problems, needs, gaps, delays, and potential cases of fraud |
| Who | CPM teams consisted of four members (two males and two females). |
|     | Criteria for eligibility was defined in advance (e.g. length of membership) |
| How | Monitoring plans were prepared by the community in advance to create a shared and clear understanding of what data was to be gathered and how. Checklists were found to be useful. Monthly meetings allowed the community to have a better sense of the full picture, ask questions, and collectively troubleshoot issues. |
| When | On a weekly basis or as needed; monthly meetings with the community |

Source: Task team of the Afghanistan National Solidarity Program (NSP) – Phases One, Two, and Three
BOX 3
Using a Village Monitoring Matrix in the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project

Initially, the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project used a standard monitoring and information gathering system. As part of this system, the village level project staff prepared and submitted monthly progress reports to the next higher level, and the reports were then aggregated at the project level. However, this system suffered from three main deficiencies:

(i) There were many deviations between the figures reported and the actual situation on the ground

(ii) Village communities did not know the figures being reported, and hence were not fully aware of their own status and progress

(iii) There were no built-in mechanisms to validate the figures being reported

As the village level community institutions built their capacity and started managing their own responsibilities, the Social Development Foundation (SDF) introduced a community monitoring tool, the “Village Matrix,” in an attempt to resolve the above issues.

In terms of responsibility, the Monitoring and Evaluation Unit of SDF led the project level implementation. Additionally, hundreds of village youth were trained on the Matrix through a training-of-trainers (TOT) model in order to train Executive Committee members. The village level facilitators validated the data when they received the village matrix from the community. The village Executive Committee was primarily responsible for filling in the data and ensuring its correctness.

In terms of timing, indicators are filled in every month. Additionally, the SDF thoroughly validates the data every three months to ensure that correct information is incorporated in the QPR about the village level situation and results. There is a broad scope: the village matrix is filled in by all the 1,500 villages in SIPP-I (phase 1 of project) and about another 1000 villages initiated under SIPP-II (phase 2 of project).

As a result of using this model, the accuracy and quality of project data feeding into various reports generated by SDF have substantially improved. There has been a cost savings on collecting data by transferring the responsibility of filling in and sending the data to the communities. Transparency has improved through the public sharing of information, record keeping, public displays, and community assessments.

The main challenges were to get 100 percent of the villages filling in and submitting the village matrix within the time limit given delays and training requirements. Refresher trainings were also important. The main costs were for printing materials (in local languages) and fees associated with training.
## TOOL 2
### Community Score Card (CSC)

<table>
<thead>
<tr>
<th>What</th>
<th>A community score card is a community-based monitoring tool that assesses services, projects, and government performance by analyzing qualitative data obtained in focus group discussions with the community. The process usually includes interface meetings between service providers and users to formulate action plans that will address identified problems and shortcomings.</th>
</tr>
</thead>
</table>
| Why | **Purpose**  
- To get feedback from service users  
- To help service providers have a better understanding about what aspects of their services and programs are working well or not very well  
- To improve communication between communities and service providers  

**For service users/beneficiaries**  
- Encourages local problem solving through the development of joint action plans among government, service providers and service users  
- Empowers service users to express their needs and opinions regarding the access and quality of services  
- Encourages accountability on the part of service providers by presenting input from service users  
- Promotes communication and cooperation between service users and providers  

**For service providers**  
- Tracks assets and/or spending (e.g., availability of water, medicines at health centers, textbooks in schools)  
- Generates benchmark performance criteria that can be used in resource allocation and budget decisions (e.g., at least 8 hours per day of potable water)  
- Monitors user perceptions regarding the quality of services (e.g., absenteeism rates among health care personnel)  
- Compares performance across facilities and districts  
- Improves service delivery performance by responding to the needs and feedback of beneficiaries  

**For task teams**  
- Mitigates implementation risks by obtaining tangible data that can be used to track performance and identify potential incidences of corruption |

(Continued next page)
Tool 2 (continued)

<table>
<thead>
<tr>
<th>How</th>
<th>Step 1: Preparation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Identify the scope of CSC coverage and partners who can help implement them</td>
</tr>
<tr>
<td></td>
<td>Clarify other logistics-related issues</td>
</tr>
<tr>
<td></td>
<td>Conduct a stratification exercise within the community</td>
</tr>
<tr>
<td></td>
<td>Initiate an advocacy/awareness campaign</td>
</tr>
</tbody>
</table>

**Step 2: Develop an input-tracking matrix** *(which lists input indicators, entitlements and the actual availability of these inputs)*
- Conduct community meetings with focus groups
- Finalize and verify indicators created jointly with the community members
- Complete the input-tracking matrix and analyze recommendations

**Step 3: Community scoring of performance**
- Administer the scorecard with the help of facilitators
- Select the performance criteria and score performance indicators

**Step 4: Self-evaluation by service providers**
- Service providers can identify their own performance indicators following the same process described in Step 3 for service users

**Step 5: Interface meeting between service users and providers**
- Encourage a productive dialogue between the service users and providers, and help them develop a list of actionable changes that can be implemented immediately

**Step 6: Post-implementation activities**
- Collect, consolidate and aggregate feedback
- Conduct monitoring and evaluation
- Publicize actions and repeat the CSC process

**Implementation tips**
- Find a champion who is committed to support the activities of the community monitoring teams, and can be an effective mobilizing figure in the community initiative (e.g., the school principal, a religious leader, a social activist, etc.)
- Select skilled facilitators with knowledge of the given community, ability to mobilize a community for participation, ability to communicate effectively with the community, calculation skills, report writing skills, and a mastery of the local dialect
- Facilitators can receive a small stipend for their work and be compensated for transportation costs
- To help increase community interest and facilitate community mobilization/participation, invest in advertising well in advance of the intervention and outline its methodology (e.g., through radio, visits to communities, posters and flyers) to ensure thorough community awareness in all the target communities.
- Publicize the monitoring results widely using various media outlets (e.g., radio, leaflets, public meetings, and community outreach activities).
- Repeat the CSC exercise at least 2 or 3 times to monitor progress over time.

*(Continued next page)*
Tool 2 (continued)

<table>
<thead>
<tr>
<th>Who</th>
<th>Facilitated by trained project officers or NGO/CSO facilitators.</th>
</tr>
</thead>
<tbody>
<tr>
<td>When</td>
<td>A CSC is generally used at the micro-level (e.g. local/village level) and mostly in rural settings. CSCs are often used in instances where important data such as user perceptions on quality and satisfaction with services, is scant or absent. A period of 3–6 weeks is needed for designing the intervention, collecting background data, and preparing the service users and providers for the CSC process and interface meeting.</td>
</tr>
<tr>
<td>Challenges/Lessons</td>
<td>The emphasis should be less on rigorous quantitative data about users’ satisfaction rates, and more on immediate communication between service users and providers, responses and joint decision-making.</td>
</tr>
</tbody>
</table>
| Cases/Good Practices | **India, Andhra Pradesh: Community Scorecards Improve Public Services (WB internal site)**  
Three main observations that emerged from this pilot study focused on i) low scores for staff behavior and working style, ii) hours of operation and the availability of doctor/staff and medicine dispensing points, and iii) poor accountability and weak responsiveness.  
**Kajumi, Murphy. 2006. Citizen oversight through social accountability: the Malawi social action fund and the comprehensive community scorecard process. Africa Region findings; no. 265. Washington, DC: World Bank. Also in French.**  
The first round of the CSC was implemented in over 500 communities countrywide. Key areas identified for improvement included: increasing the frequency of supervision by local authorities, improving transparency in beneficiary recruitment for programs executed by local authorities, improving the reporting of financial progress to communities, and improving attitudes of local authorities toward service users.  
**Sri Lanka Community Development and Livelihood Improvement "Gemi Diriya" Project—Phases One and Two**  
The project has created a Community Professional Learning and Training Center (CPLTC) to train, mentor, and monitor community professionals in the field. |
| Cost | The cost is highly dependent on the specific context, size, scope, scale, location, and number of CSCs. Additional costs may also be incurred for publicity campaigns aimed at spurring the communities’ participation in the CSC process.  
From a process standpoint, CSCs can be relatively low-cost initiatives as the financial costs in a single community can be limited mainly to salaries and logistical expenses.  
For example, a CSC initiative implemented in 178 villages in Satara, India, cost roughly US$150 per village. For more information on costs, see the Cost Data Table for Sample Social Accountability/DFGG Initiatives. Table 4 in this document includes the costs of CSC from various projects In India ($55,000) ($42,000) and ($28,000); Honduras ($15,000); and Bolivia ($15,000). |
## Tool 2 (continued)

<table>
<thead>
<tr>
<th>Resources</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Bank, Community Score Cards in World Bank Operations: Presentation</td>
<td></td>
</tr>
<tr>
<td>World Bank, Note on Methodology: Community Score Cards Process</td>
<td></td>
</tr>
<tr>
<td>World Bank, Beneficiary Assessment Manual for Social Funds (WB internal site)</td>
<td></td>
</tr>
</tbody>
</table>

*Source: Adapted from the World Bank Social Accountability E-Guide: Community Scorecard.*
CASE STUDY 2
Community Assessment Process (CAP) in the Sri Lanka Second Community Development and Livelihood Improvement Project

| What | The Community Assessment Process (CAP), similar to the Community Score Card (CSC), is an actively facilitated village level process to identify areas of disparity between the expectations and satisfaction levels of target communities and the claims of performance of the office bearers.
|      | The process consists of 6 steps:
|      | • Preparatory groundwork
|      | • Input tracking
|      | • Self-evaluation by office bearers
|      | • Community generated performance assessment
|      | • Interface meeting
|      | • Monitoring and follow up

| Why | The CAP exercise brings to the surface many implementation issues that might otherwise go unnoticed by the project facilitation team, thereby helping them to re-adjust their support to the communities focusing on real field-level issues. When done effectively, community complaints are reduced and the functioning of the Social Audit Committee improves since the action plan gives them a better agenda of items needing follow-up. Many communities are able to recover the costs of misused or saved inputs as revealed from input tracking.

| When and Who | The target communities pick indicators of performance independently and assess the committee members’ performance by assigning marks to each of the indicators. The committee members also do a self-assessment. The tracking of inputs reveals any deviations in the use of various inputs like construction materials, stationery, capacity building programs, etc. from what has been budgeted. Finally, an interface meeting allows both the parties to arrive at a shared understanding on indicators of performance, marks assigned, and reasons for poor performance, and to decide upon an action plan to correct the deficiencies identified. The independent Social Audit Committee monitors and ensures that the action plans are implemented. The CAP is an ex-post tool, completed at the end of every annual cycle of implementation of the village development plan.

| How | The decision to conduct a CAP exercise is made by the general body and the Executive Committee is responsible for making all necessary arrangements for its smooth operation. The Executive Committee identifies trained Community Professionals (CPs) and contracts them through the Community Professional Learning and Training Center (CPLTC). The exercise is facilitated by the CPs with the participation of everyone in the village. The Social Audit Committee is responsible for monitoring the action plan.

(Continued next page)
Case Study 2 (continued)

| Cost | The components of the costs are: (i) the fees and allowances for 3-5 days; (ii) cost of stationary; and (iii) cost of conducting meetings. |
| Challenges/Lessons | • The project team may ignore the outputs of the exercise and fail to adjust facilitation to meet the shortfalls identified.  
• If the process is not well facilitated, the exercise may lead to divisions and fights within the community.  
• As the exercise is done at the end of the period, some of the findings/issues identified cannot be rectified.  
• The exercise may yield similar standard responses from all villages due to standardization and may fail to capture unique issues specific to each village. |
| Scale | The whole village participates in the exercise. The village implementation processes, institutions, investments, and results are comprehensively assessed. |

*Source: Sri Lanka Second Community Development and Livelihood Improvement Project*
BOX 4
Using a Checklist for Sub-project Environmental Assessment in the Third Social Action Fund for Malawi (MASAF III)

Environmental assessments are conducted to evaluate whether or not projects are environmentally sound and sustainable, ensuring that project decision-making is improved through the appropriate analysis of actions and of their likely environmental impacts.

To contribute to this purpose, the Third Social Action Fund for Malawi (MASAF III) Project set up an Environmental Assessment and Mitigation Strategy (EAMS) with two objectives: (i) to ensure that environmental assessments were undertaken at every Project Management sub-system level; and (ii) to support and empower communities to implement and monitor mitigation measures on MASAF funded activities. The EAMS looked at the identification of activities with negative environmental effects and the measures needed to limit the undesirable effects arising from the project activities.

The EAMS was implemented through various actors at the community, district, and national level. Each level had its own key activities to contribute to the strategy.

Checklists for the assessment included:

- A detailed description of the activities to be undertaken
- The potential negative effects (environmental concerns)
- The mitigation measures to be undertaken
- The organization/person in charge of each activity

At the community level, extension workers such as Community Development Assistants (CDAs) assisted communities in the application of the sector specific checklists. Communities were informed about the importance of the environmental assessment and management, and that this aspect was one of the key criteria for deciding whether or not a sub-project would get funded. The community was also responsible for environmental monitoring once the project was approved and under implementation. This function was carried out jointly by the Project Management Committees (PMCs) and Community Based Natural Resources Management Committees (CBNRMCs).
Annex 1: More on the Community Assessment Process (CAP): Examples from the Sri Lanka Second Community Development and Livelihood Improvement Project

Examples of an input-tracking matrix, format for preparing a community assessment and self-assessment, and format for the action plan.

- **Key Guidelines for the Community Assessment Process:** The Community Assessment Process (CAP) is a periodic activity in which community members assess the performance of the Board of Directors and office bearers to track progress toward the development objectives of the village. The purpose is to assess whether the community members are getting the maximum benefits as planned. Though not widely practiced in the project, the process can be also be used as a community scorecard to assess the performance of facilitators and project staff in addition to other service providers.

- **Process Steps:** The step-by-step process for conducting the exercise is given in Figure 1.

**FIGURE 1**
Steps in the Community Assessment Process

- **Input Tracking:** Inputs are items used for carrying out activities (e.g., materials, services, cash, etc.) such as for the implementation of infrastructure sub-projects. The items and quantities estimated during the planning phase are compared to those actually used, and
are documented in the input tracking matrix. In addition to recording any deviations, the reasons for the deviations are noted. Accounts are verified to note whether savings have been accounted for. In cases of misuse, pilferage and waste, the monitory value of the losses are to be recovered from the person responsible for the loss. The format for input tracking is given below:

A. Format for Input Tracking Matrix

<table>
<thead>
<tr>
<th>Input Indicator</th>
<th>Planned Quantity</th>
<th>Actual Amount</th>
<th>Remarks/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Community Performance Scorecard:** Community members are divided into focus groups and each group assesses one set of services. The community members select a set of indicators for the performance criteria. The scoring is done either by giving grades or through a comparative assessment using symbols. In addition to criteria and scoring, justifications for the marks and suggestions for improvement are also identified. The format used for assessment is below.

B. Format for Preparing Assessment Matrix

<table>
<thead>
<tr>
<th>No</th>
<th>Criteria</th>
<th>Score 1-10</th>
<th>Reasons</th>
<th>Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Self-evaluation Score Card by Committee Members:** Similar to the scoring done by the community, the committee members grade themselves by identifying their own indicators and assigning their scores.

- **Interface Meeting:** The community and committee members interact face-to-face and argue their cases of indicators and scores. The facilitator can act as a moderator and help the assessors and those who are being assessed to agree on a common set of indicators.
The next step is to identify together improvements in areas where scores are low. The interface meeting is the most critical exercise where the facilitator’s skills are required to focus the discussions on real issues and arrive at a consensus.

- **Action Planning:** Based on the agreements reached during the interface meeting, a detailed plan of action is prepared. The action plan is prepared in the following format.

### C. Format for Preparing Action Plan

<table>
<thead>
<tr>
<th>Sl No</th>
<th>Criteria/Change Needed</th>
<th>Recommended Actions</th>
<th>Time</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Approval by the General Body:** At the end of the process, which normally takes about two to three days, a wider meeting of the community members is held as a general body. The results of the CAP exercise are presented with a request to approve the action plan. The action plan becomes binding on everyone once the general body approves it.

- **Follow up and Monitoring:** The follow up and monitoring of the action plan is the responsibility of Social Audit Committee. In each of the general body meetings thereafter the action plan will be an important agenda item for discussion.

*Source: Sri Lanka Second Community Development and Livelihood Improvement (“Gemi Diriya”) Project.*

Description

Each activity supported by the MASAF Project was required to assess its potential environmental impacts. This process was integrated within the sub-project cycle.

Sector checklists were designed to screen the impact of the sub-project activities. These checklists helped capture information in order to guide the environmental assessment and action planning for mitigation measures. The checklists include:

- Detailed descriptions of the activities to be undertaken
- Potential negative effects (environmental concerns)
- Mitigation measures to be undertaken
- Organization/person in charge of each activity

Below is an example of the checklist for agriculture-related sub-projects:

<table>
<thead>
<tr>
<th>Ser. No.</th>
<th>Type of Activity</th>
<th>Environmental Concern</th>
<th>Corrective Measure</th>
<th>Responsible Organization/Person</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Live stock production</td>
<td>• Water disposal &lt;br&gt; • Overgrazing &lt;br&gt; • Deforestation &lt;br&gt; • Soil erosion &lt;br&gt; • Breeding ground for insects and parasites</td>
<td>• Promote use of manure &lt;br&gt; • Proper drainage &lt;br&gt; • Proper housing &lt;br&gt; • Rotational grazing &lt;br&gt; • Promote stall feeding &lt;br&gt; • Use of alternative materials for construction of housing &lt;br&gt; • Aforestation &lt;br&gt; • Spraying</td>
<td>Community</td>
</tr>
<tr>
<td>2.</td>
<td>Fish farming</td>
<td>• Breeding grounds for mosquitoes &lt;br&gt; • Causes flooding &lt;br&gt; • Loss of vegetation cover &lt;br&gt; • Bihazia &lt;br&gt; • Water pollution &lt;br&gt; • Disturbance of habitats</td>
<td>• Rearing ducks &lt;br&gt; • Positioning of pond &lt;br&gt; • Planting of grass and trees &lt;br&gt; • Avoid unknown exotic fish &lt;br&gt; • Draining and use of water with irrigation &lt;br&gt; • Regular disease monitoring &lt;br&gt; • Train fish farmers</td>
<td>Community &lt;br&gt; Extension worker</td>
</tr>
</tbody>
</table>
B. ENVIRONMENTAL APPRAISAL. Use the environmental appraisal checklists CDP C1 and C2 provided. Upon satisfactory appraisal utilizing that checklist, score the criteria below:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10. To what extent has the community identified negative environmental effects? (Question 5)</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>11. Are the proposed mitigation measures feasible? (Question 5, 6, 16)</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>12. Is there a good plan for monitoring environmental effects? (Question 5, 6, 16)</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>13. Is the project likely to contribute towards geographical distribution of such facilities in the DA?</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

TOTAL SCORE (0 to 24)

**Implementation**

The checklists are implemented through various actors at the community, district, and national level. Each level had its own key activities to contribute to the strategy, as shown in the figure below.

**Figure No. 6: MASAF Environmental Assessment and Management Framework**
At the community level, extension workers such as Community Development Assistants (CDAs) helped communities to use the sector specific checklists. Communities were informed about the importance of environmental assessment and management, and that this was one of the key criteria for deciding whether or not a sub-project would receive funding. The community was also responsible for environmental monitoring once the project was approved and under implementation.

Source: Third Social Action Fund Project for Malawi (MASAF III).
Module 1.4: Monitoring and Feedback

Topic 2. Grievance Redress Systems

A grievance redress mechanism (GRM)\(^1\) is a system by which queries or clarifications about the project are responded to, problems with implementation are resolved, and complaints and grievances are efficiently and effectively addressed. The structure that the GRM ultimately takes will depend on the available resources and nuances of the operating environment such as the capacity of local government, technological constraints, and cultural attitudes toward lodging complaints. GRM is known by different names in various projects, and may be referred to as a Conflict Resolution System, Communication Tree, Community Report Card, or Community Assessment Process.

In CDD-based projects where activities are mainly taking place in remote areas, it is important to have a sound GRM to solve problems first at the community level. If the first step is to report complaints to the project head office located miles away in the capital city, community members may feel discouraged from making any complaints or queries. It is also simply difficult to address complaints from far away.

Complaints collected through a GRM are also a good source of information that allows the project management team to adjust the ongoing technical assistance. If, for example, there are multiple complaints from villagers that they are not getting sufficient information on the usage of funds provided, then the project team might have to look at the existing reporting and information system at the community level.

The purpose of the GRM is to:

- Enhance the project’s legitimacy among stakeholders
- Promote transparency and accountability
- Serve as a conduit for soliciting inquiries, inviting suggestions, and increasing community participation

\(^1\) For more resources on this topic please see the following publications:
• Collect information that can be used to improve operational performance
• Deter fraud and corruption and mitigate project risks

One thing to bear in mind is that if complaints and queries are not responded to in a timely manner, and the GRM fails to produce results, beneficiaries will not take it seriously. Also, poor and marginalized communities face numerous barriers in accessing GRMs. They may not voice grievances because they lack knowledge about their rights, mistrust government and fear retribution, or because of transaction costs and cultural constraints.

**BOX 1**

**The Complaints Handling Mechanism in the Afghanistan National Solidarity Program (NSP)**

The National Solidarity Program (NSP), a nationwide effort in Afghanistan to address the needs of rural communities, reaches 16 million people in all of the country’s 34 provinces, or 68% of the population. The program empowers citizens to make decisions about their development priorities.

Village-level elected Community Development Councils (CDCs) select priority rural infrastructure sub-projects that are then funded through block grants in a transparent manner. Since the first NSP program in 2003, 22,000 CDCs have been elected and 17 million rural people in all of Afghanistan’s provinces have benefitted from improved infrastructure. Given the vast scope and scale of the program and the fragile context, the NSP Project Management Unit realized that there was a need to establish a robust complaints handling system that would help to identify problems, raise awareness, improve service delivery, and enhance project effectiveness.

As a result, a six-person Complaints Handling Unit (CHU) was set up at NSP headquarters, reporting directly to the NSP Executive Director’s Office. At the regional level, Regional Offices and facilitating partners are responsible for receiving and resolving complaints; complaints received elsewhere are forwarded to the NSP-CHU or the Regional Offices.

At the community level, CDCs are also informally involved in complaint resolution. Complaints are investigated at different levels (e.g., headquarters, regional, provincial, and local). In most cases, complaints are resolved at the regional or local levels. Serious complaints are escalated to the next higher level for investigation. The concerned parties are either contacted individually or in coordination meetings at the provincial level. After the complaint has been amicably resolved, a certified written agreement between the concerned parties is generated, filed, and reported to the NSP-CHU.

*Source: Project Documents of the Afghanistan National Solidarity Program (NSP) – Phases One, Two, and Three.*
CASE STUDY 1
Problem Solving Communication Tree in the Sri Lanka Community Development and Livelihood Improvement Project

| What | In the Sri Lanka Community Development and Livelihood Improvement "Gemi Diriya" Project – Phases One and Two, a “Problem Solving Communication Tree” provides a step-by-step approach, with a stipulated time limit for each step, for resolving complaints and conflicts in the village among target beneficiaries. |
| Why | Often, existing social and economic divisions within a village community can lead to conflicts. If these conflicts are not addressed, dissatisfaction and grievances can lead to the erosion of unity among the poor and extreme poor in the village and can weaken their institutions. As a result, the Gemi Diriya project introduced a simple hierarchical tool called the Communication Tree to serve as a systematic conflict resolution and complaint redress mechanism. |
| Who, When, and How | The Social Audit Committee is responsible at the village level, and at each higher level, the responsibilities are defined in the Communication Tree itself. Small groups and other community members are responsible for approaching the different tiers, displacing rumors, gossip, anonymous complaints, or fighting.  
Step 1: The community tries to resolve the issue by interacting and mediating among themselves. It is expected that most routine issues are clarified, understood, and resolved by the community themselves.  
Step 2: Unresolved issues are brought to the attention of the chairperson of the village organization, who discusses the issue and facts with the appropriate committee (such as the Village Poverty Reduction Committee) and involves the Social Audit Committee to find facts. A recommendation is then made to the next level up to resolve. It is expected that 80% of issues formally taken by the village organization are resolved.  
Step 3: Unresolved issues are referred to leaders who help the community resolve them. If an issue persists, the community can take it to the next level.  
Step 4: Issues are referred to the District Project Manager who will try to find a solution within a week’s time.  
Step 5: Unresolved issues are referred to the Project Director who personally intervenes and helps solve the issue. About 99.5% of the cases are resolved by this step and only exceptional cases reach Step 6.  
Step 6: The issue can be sent to the World Bank via an email to the project’s Task Team Leader (TTL), who will try to resolve the issue within 72 hours.  
The steps of the whole cycle are graphically painted in prominent places in all project villages. The displays include names of the people responsible at each level, and their addresses, phone numbers and email addresses. |

(Continued next page)
## Case Study 1 (continued)

<table>
<thead>
<tr>
<th>Scale</th>
<th>The tool has been displayed in more than 4,000 villages. So far, most of the issues have been resolved before and by the time they reach the district level. Very rarely issues have gone up to the Project Director level.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lessons</td>
<td>The Communication Tree brought about better cooperation and unity among poor and extremely poor community members, especially in villages with ethnic divisions and inter-community conflict. The problem solving mechanism has promoted better communication of eligibility criteria and reasons for selecting beneficiaries for particular programs throughout the village. This has led to better transparency and wider acceptance of the rules. Within the Project, the number of anonymous complaints to district and state level offices from the villages was drastically reduced, and in many districts, reduced to zero.</td>
</tr>
</tbody>
</table>

*Source: The Sri Lanka Community Development and Livelihood Improvement "Gemi Diriya" Project – Phases One and Two.*
FIGURE 1
Problem Solving Communication Tree in the Sri Lanka “Gemi Diriya” Project

Gemi Diriya Problem-Solving Communication Tree

Step 1: If a problem is found – or – a dispute occurs...
If not resolved within the community, follow step 2

Step 2: Take to Maha Sabha or BOD Chair or Social Audit Committee
Allow 2 weeks for action, before step 3
85% cases expected to be resolved

Step 3: Take to HUB leader
Tel: 0**********
Address: Gemi Diriya Foundation, Which Road, Which Town, Which district, Sri Lanka
Allow 2 weeks for action, before step 4
10% of cases may go up to this level

Step 4: Take to District leader
Tel: 0**********
Email: **********@district.k
Address: Gemi Diriya Foundation, Which Road, Which Town, Which district, Sri Lanka
Allow 1 week for action, before step 5
3% of cases may go this level

Step 5: Take to Project Director
Tel: 011 268947
Email: b舌ywh@dhri.k
Address: Gemi Diriya Foundation, 7A Reid Avenue, Colombo 7, Sri Lanka
Allow 1 week for action, before final step 6
2% cases

Step 6: Take to World Bank
Email: www.midiy.net/worldk
Address: 1616 H St NW, Washington DC 20433, USA
Response will be provided within 48 hours
Exceptionally 0.5% cases

Module 1.4: Monitoring and Feedback ■ Topic 2: Grievance Redress Systems
In a village in Tamil Nadu, a “problem tree” displayed on a tree near the project office gives the designations, email addresses and phone numbers of all the responsible project functionaries on the block, district, and state levels. The tree even carries the name, telephone and email address of the project Task Team Leader from the World Bank. This facilitates an open channel through which villagers can make complaints or report malpractices in the project and seek appropriate redress or corrective actions. The redress system also spells out a maximum time frame within which the person who has made the complaint is expected to get a response. Failing this, she or he can appeal to the next higher authority. Having clear cut time frames for the escalation and resolution of problems is one of the essential cornerstones of good governance and social accountability.

Source: India—Tamil Nadu Empowerment and Poverty Reduction “Pudhu Vazhvu” Project.
# CASE STUDY 2
*Grievance Redress Mechanism in the Second Local Development Program Support Project for Chad*

## What
The First Local Development Program Support Project for Chad focused on establishing a decentralized, community-based approach to local development, including ensuring support from stakeholders and government officials. Once that was achieved, the second phase of the project was developed, with a focus on sub-projects in rural areas across the country. The World Bank committed $25 million of $77.25 million to this countrywide project. Local communities submitted plans for micro-projects (i.e. schools and health clinics) that are managed and monitored by local committees.

Since individual projects were not defined at the time of project approval, a Resettlement Policy Framework (RPF) was developed to guide future projects. It was decided that projects would rely on existing traditional structures in the villages to handle grievances.

## Why
Given the operating environment in Chad, the project identified the need to work with existing local systems for grievance redress. The emphasis on on-the-ground resolution and simple systems is appropriate, since a complicated GRM system in this instance would likely not be used, as the projects will impact rural citizens who likely have limited/no electricity and may be illiterate.

## How
The villages form committees (e.g., the procurement committee, management committee) to oversee their respective sub-project. These committees are the first point of uptake. If they cannot resolve issues, grievances are escalated to the village chiefs. There is a grievance redress hierarchy: local committees, chiefs/elders, regional project implementation team, and a central team in the government ministry.

There are no standard procedures, monitoring, or tracking, but the World Bank team has emphasized quick redress at the local level to avoid conflict escalation. They also have encouraged greater use of local citizens versus government employees to manage grievances in order to reduce corruption. Activities such as an outreach campaign, open meetings, public announcements, and public contracts help to educate citizens on the process and reduce conflicts.

## Lessons
As of 2013, the project is still in its early stages, so lessons learned are preliminary. Working directly with the local committees is likely the best option for strengthening capacity to manage issues. This could include walking through the GRM Evaluation tool, which is a short checklist of questions to get clients thinking about ways to strengthen their existing systems. Similarly, putting in place timelines for responses and a basic monitoring and evaluation system (run by the villages) could improve outcomes for users in a “light-touch” manner.

## Resources
### TOOL 1
#### Using a Hotline

| What | A local or toll-free telephone line can be set up for people to call to ask questions, make comments, and obtain information promptly about a development project or program. Some hotlines allow people to order documents. A hotline is typically used when community interest in the project, or concern, is moderate to high. Hotlines can also be used as grievance redress mechanisms for the community. |
| Why | A hotline can provide interested people with a relatively quick means of expressing their concerns directly to project authorities and to get their questions answered. It can also help reassure callers that their concerns are heard, and can help ease the process for people to participate and provide comments. |
| How | - Assign one or more staff members to handle the hotline calls  
- Consider installing more than one hotline to minimize busy signals  
- If staff is not available throughout the day, install an answering machine directing people to leave their name, number, and a brief statement of concern, and informing them that someone will return their call within a determined time  
- Announce the hotline in news releases to local newspapers, radio stations, and television stations, and in fact sheets, publications, and public notices  
- Keep a record of each question, when it was received, from whom, and how and when it was answered  
- All inquiries should be responded to promptly (ideally within 24 to 48 hours)  
- Plan on full-time remuneration for one or more staff (depending on call volume). |
| Who | The project’s local office should receive the calls. All members of the community should be aware of the number and when to call. |
| When | Throughout the project, especially during sub-project implementation |
| Challenges/Lessons | Challenges:  
- If the office or community is remote, and information and communication technology (ICT) is unreliable  
- Staff training to know how to field hotline questions (as well as staff turnover)  
- If the number of calls is large, responding quickly to each inquiry could prove burdensome to staff  
- Discussions over the telephone may not be as good as face-to-face  
- Dialing a hotline number and receiving a recorded message could irritate or alienate some members of the public |
| Resources | World Bank, Beneficiary Feedback Hotline (WB internal site)  
BOX 3
Establishing a Hotline in the Nigeria Fadama Development Project

In Nigeria, the Fadama Development Project operates nationwide and is currently in its third phase. The project is well known for its contribution to empowering local communities. Pictured below is a Fadama sub-project site with a sign clearly showing the implementing group, area, and type of sub-project. It also shows the hotline telephone number so that if any member of the community has a problem with, or questions about, the project, he or she could immediately reach the project to get clarification or resolution for the issue.

Source: Nigeria National Fadama Development Project - First, Second, and Third Phases.
Module 1.4: Monitoring and Feedback

Topic 3. Information and Communication Technology (ICT) Tools for Community-Level Accountability

When utilized appropriately, ICT can be an important and powerful tool for improving governance and social accountability in CDD-based operations in areas such as mobility, speed, and efficiency. While this is an emerging area of work for CDD-based projects, some interesting outcomes have already been achieved and the potential for community-level impact is evident. Several examples are given in this section.

BOX 1

ICT in Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project

In the project, each village has its information center with:

- Baseline data on status before the intervention
- Household data wealth rankings showing benefit distribution
- Village development plans with targets
- Office bearers of the village community’s Company, Board of Directors, Finance Committee, Procurement Committee, Social Audit Committee and various functional sub-committees
- Display of fund utilization
- Production, Income and assets

Having such information widely accessible enhances transparency and accountability, and empowers people. Below are photos from the project:

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Box 1 (continued)

Below are examples of websites from the project:

Source: The Sri Lanka Community Development and Livelihood Improvement “Gemi Diriya” Project – Phases One and Two.

BOX 2
Mapping Micro-Projects in the Western Kenya CDD and Flood Mitigation Project

The objective of the $86 million Western Kenya Community-driven development and Flood Mitigation (WKCDD) Project is to empower local communities to engage in sustainable and job creating activities and reduce their vulnerability to flooding, as well as to reduce incidence of poverty.

In the fall of 2011, the Government of Kenya, with World Bank support, geomapped all of the sub-projects in the WKCDD and featured the map on the project website. Each of the 350+ sub-projects is depicted on a web-based map. By clicking on the dot representing a sub-project, and the viewer can see the sub-project name, category, funding, and contact information. The mapping platform also has the capability to include photos and videos of each sub-project, and the project is in the process of capturing and uploading these.

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Box 2 (continued)

The mapping initiative helps to enhance governance in projects involving decentralized expenditures in communities and service facilities. The WKCDD project experience shows that mapping can be done efficiently and at high quality by the Government project team itself, even with limited resources. More than 90% of the sub-projects have been mapped.

Further work is underway to embed geo-mapping into the fabric of the WKCDD project, by linking it to the project's management information system and to project team responsibilities, and to link it with community feedback. Sensitization workshops have been held with project team members and representatives of local CSOs and communities, and a number of mechanisms will be tested to use the maps to share information and elicit community feedback.

For more information, a presentation by the project team is available here (WB internal site)


BOX 3
Geo-tagging to Enhance Transparency and Supervision of Development Projects: Example from the Philippines

In 2011, the Philippines’ Second Mindanao Rural Development Program (MRDP 2) incorporated the use of geo-tagging into its project operations in order to enhance the transparency, oversight and coordination of the program’s development activities. This marks the first time that geo-tagging has been used as a transparency tool in a development project or by a government agency in the country.

Geo-tagging is the process of attaching location-specific information, such as geographical coordinates, to various media types, including pictures, videos, and SMS messages. Geo-tagging represents a revolutionary ICT tool given that it can provide geographically precise information in a user-friendly and cost-effective manner. Google freely provides the platform to geo-tag, and the only equipment needed is a GPS-enabled android phone. In the context of the MRDP 2, geo-tagging is used to attach project information to media such as pictures from before, during and after project implementation.

The geo-tagging tool is particularly valuable in the context of the MRDP 2 given the challenges to project oversight and implementation in this setting. Several sub-projects are widely dispersed across Mindanao, and accessibility to remote or conflict-affected project sites is often limited. Geo-tagging can address these challenges by enabling implementing agents to better validate and monitor project activities without having to visit the sites that are difficult and costly to access. Moreover, geo-tagging is used by the MRDP 2 as an anti-corruption tool that enables bidders, administrators and citizens to better monitor the project procurement process by linking projects to their bidding and contract information online.

Given the demonstrated value of geo-tagging for the MRDP 2, the Philippine government is now incorporating the use of geo-tagging into the activities of other agencies and local government units. This showcases the potential for geo-tagging to be used in other settings as a resource efficient and sustainable tool to enhance transparency.

In the Nepal Poverty Alleviation Fund, the project set up a website showing project information with a visual map that can be downloaded and shared. The website, which utilizes crowd sourcing technologies, allows for citizen’s direct feedback and helps their voices to be heard.

Examples of the website are below.

Source: “Innovation in Governance: Taking the Results Agenda to the Next Level” Presentation by the Mapping for Results Team Innovation Labs, World Bank Institute.