



GUIDELINES TO STAFF FOR CAS PRODUCTS

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Table of Contents

CAS Products.....	1
Frequency	2
Joint Bank/IFC	2
Scheduling and Pipeline.....	2
Consultations.....	3
Content.....	4
Review Procedures.....	9
Final Clearance & Board Presentation.....	11
Disclosure	13
Implementation	15

Attachment: Guidance to Staff on the Country Assistance Strategy Completion Report

This note is only intended to provide general guidance to, or to set out work flow arrangements for, World Bank staff in respect to CAS products and is not official World Bank policy.

CAS PRODUCTS

The three documents that present the Bank Group's program of engagement in a member country are:

Country Assistance Strategy (CAS). The CAS is the customized Bank Group's business plan in support of a country's development strategy and poverty reduction goals. Oriented toward results, it is prepared in consultation with country authorities, development partners, and other stakeholders. Based on systematic Bank Group collaboration, the CAS is the central tool of Management and the Board for reviewing and guiding the Bank Group's country programs and a vehicle for gauging the impact of its work. The objective of the CAS is to identify the key areas in which Bank Group support can catalyze the most, and most sustainable, development and poverty reduction. A CAS is normally prepared for a single, borrowing (or grant-receiving) member country, but a regional strategy may be prepared for a group of countries as appropriate (e.g., the Eastern Caribbean sub-region, the Pacific Islands). CASs are normally prepared on a four year cycle (see the frequency section). Near the end of a CAS cycle, a CAS Completion Report (CASCR), reviewing the experience under the previous Bank strategy as an input to the design of the new CAS, is prepared.

- **CAS Completion Report.** A Completion Report, required for every CAS, evaluates CAS program performance and Bank performance under the previous Bank strategy as input to the design of the new CAS. It is attached as an annex to the new CAS. The main objective is to derive lessons from the implementation of the previous CAS program and provide an accountability framework. It is expected to be a concise document reporting (i) the main findings of a self-evaluation of the performance of the program in influencing the development outcomes as laid out in the results matrix of the previous CAS, and (ii) key lessons for input to the design of the new strategy. [IEG](#) provides a validation of the self-evaluation in the CASCR to the Board. In order to provide adequate time for validation review, a first draft of the CAS CR should be shared with IEG **at least six months in advance of the planned Board date** for the new CAS. See [Guidance to Staff on the Country Assistance Strategy Completion Report](#).

CAS Progress Report (CASPR). For countries in which a CAS is under implementation, a CASPR is prepared around the mid-point of the CAS cycle. It reviews the relevance of the strategy outlined in the CAS, reports briefly on progress toward achieving CAS objectives and outcomes, and introduces changes to the CAS program as necessary. In countries where significant changes have taken place since the CAS, the CASPR is expected to realign the strategy and the CAS program with the new realities of the country. The results framework is revisited accordingly. The CAS PR provides an opportunity for updating the choice and mix of instruments, and the modalities or criteria for engagement. In addition, the CASPR is expected to more specifically define the plan of activities for outer years, if they were not defined in the CAS. The emphasis of the CASPR should be on fine-tuning and course correction when warranted, and less on reporting on achievements. The main text of the CASPR is not expected to provide a detailed account of progress towards CAS outcomes.¹ It should not include detailed reviews or presentation of the country context, recent economic and policy developments, development challenges, or the evolution of the Bank-supported program.

¹ The team preparing the CASPR may find it useful to carry out a detailed assessment of progress towards milestones and CAS outcomes. However this exercise should be done for internal monitoring purposes only. The detailed findings of this assessment might be included as an annex to the CASPR if the team chooses to do so. They are not expected to be discussed in the main text of the CASPR, which should only highlight the main issues affecting CAS implementation.

Interim Strategy Note (ISN). An ISN is prepared when a country is not ready for a full CAS. It can be prepared, on an exceptional basis, for countries that are going through an unusually uncertain period (e.g., pre-election, social crisis, natural disaster) and are not covered by an active CAS. It is also used for countries in transition from conflict or political crisis and when the Bank re-engages in a country after a prolonged hiatus (the term Interim Strategy Note replaces the terms Transitional Support Strategy and Country Re-engagement Note). An ISN rather than a full CAS may be considered to be the more appropriate instrument for countries where (a) a high degree of uncertainty in the transition from conflict or political crisis to a normal development path prevents a longer-term engagement; (b) a medium-term development/poverty reduction program to frame the Bank's support is missing; and/or (c) the Bank has insufficient country knowledge. The ISN does not substitute for a full CAS, but bridges a gap for a period of 12 to 24 months, until a full CAS can be prepared. An ISN can be followed by another ISN if a full CAS continues to be infeasible. For countries in transition from conflict, the Bank prepares any ISN in accordance with [OP 2.30](#) and [BP 2.30](#), *Development Assistance and Conflict*. A CAS Completion Report on the preceding Bank strategy is not prepared for an ISN. However, if due to country circumstances an ISN is prepared to follow a CAS, then when the country returns to a regular CAS cycle, a Completion Report covering both the previous CAS and the ISN period is prepared for the new CAS.

FREQUENCY

- **Four-year Cycle.** To align with country context (e.g., PRSP or national development plan, election cycles), the typical frequency of CAS preparation is a [four-year cycle](#) for the majority of countries, with a mid-term CAS Progress Report. Flexibility will continue to be applied to the frequency and duration of the CAS/CASPR, to take into account relevant country developments that may affect timing.
- **Alignment with PRSP.** Since July 1, 2002, it is expected that CASs for [IDA-eligible](#) (i.e., IDA and blend) countries be preceded by—and presented to the Board following—the [Poverty Reduction Strategy Paper](#) (PRSP) on which they are based.

JOINT BANK/IFC

To better exploit synergies between the Bank and IFC (and, as relevant, MIGA) in country programs, in early FY09, the categorization of CASs/CASPRs as A, B, or C according to the relative priority of private sector development and the level of IFC activity in the country has been discontinued. IFC and Bank management agreed that joint engagement should be enhanced, building on [useful practices](#) derived from the joint CAS pilot undertaken in FY09 by the IDA-IFC Secretariat, OPCS, and IFC's Strategy Department to improve the preparation and implementation of joint CASs. In particular joint CASs are expected to identify and state anticipated gains from Bank-IFC collaboration in selected key sectors and to indicate how Bank and IFC activities contribute to expected CAS outcomes. Early experience with different modalities of collaboration is reviewed in the brochure [Models of Joint Strategy Formulation](#).

SCHEDULING AND PIPELINE

CASs and ISNs are presented to the Board for discussion.

- **Number per Board Meeting.** The Board discusses no more than three strategy documents per week, and no more than two per Board meeting. In an effort to reduce bunching, no more than two strategy documents are usually scheduled per week in December and June. “Stand-alone” strategy documents (i.e., those not presented in conjunction with a lending operation) are not usually discussed by the Board during the second half of June.
- **Pipeline.** Towards the end of each fiscal year, the Regions, in conjunction with OPCS, draw up the next fiscal year’s [pipeline](#) of CASs, CASPRs, and ISNs. The pipeline is updated on a quarterly basis. The task team leader (TTL) records the planned timing of the Board consideration, and other required preparation milestones, in SAP.
- **Change of Board Date.** Before changing a planned Board date, the Region consults with OPCS Delivery Management ([OPCPQ](#)) and the Board Policy and Operations Division, Corporate Secretariat ([SECPO](#)). For a joint CAS or CASPR with IFC and MIGA, Bank staff work with IFC and MIGA staff to set a mutually agreeable Board date.

CAS Progress Reports. CASPRs are normally circulated to the Board on an Absence of Objection (AOB)² basis. However CASPRs are circulated for discussion by the Board when there are substantial shifts compared to the original areas of engagement and lending plans.

CONSULTATIONS

The CAS/CASPR and, to the extent possible, ISN are developed in partnership with the government, usually through several ministries/agencies and at various levels. Throughout CAS preparation, the CAS team consults with the government and, with the government’s agreement, with other stakeholders in the country. Consultations for CASPRs and ISNs may be inherently less extensive than for CASs. The TTL [informs the Executive Director](#) representing the country of the status of the CAS/CASPR or ISN and provides him/her with copies of any drafts that are sent to country officials.

- **Stakeholder Consultations.** To help increase the Bank’s understanding of country conditions and concerns, and to promote ownership of the CAS program by nongovernmental stakeholders, the Bank encourages the government to involve civil society, the private sector, and other stakeholders in inclusive CAS discussions. In-country consultations (e.g., via workshops and roundtables) should be pursued with sensitivity and with the prior agreement of the government. The mechanisms used to elicit stakeholder participation in the CAS process should be reflected in the CAS. Since extensive public debate and consultations with a broad range of stakeholders should take place during preparation of PRSPs, CAS consultations for [IDA-eligible borrowers](#) should build on [PRSP consultations](#), should focus on borrowers’ and partners’ views on how IDA can best support the program of actions set out in the PRSP, and on how to increase IDA’s selectivity in line with the comparative advantage of partner agencies.
- **Client Survey.** To gain the perspective of various stakeholders in the country on the relevance, efficacy, and efficiency of recent Bank Group interventions, as well as the proficiency, responsiveness, and attitudes of Bank Group staff, it is good practice for the Bank—with the government’s prior agreement—to carry out a client survey. The TTL should contact the [Development Communications](#) Unit, External Affairs, for support in conducting a client survey.

² “Absence of Objection” means that if an Executive Director does not call for a discussion of the CASPR before the closing date, the CASPR is noted in the minutes of a subsequent Board meeting.

- **Coordination with other partners.** The Bank consults with development partners in the country to ensure greater coordination and coherence across institutions in programs and operations to support recipient countries' development efforts. The objective is to ensure alignment with country's development priorities and country-led donor coordination, reduce aid management and delivery transaction costs, and strengthen the strategic selectivity of the program, thus supporting the [aid effectiveness agenda](#) (see guidance below on [Partnerships](#)).
- **Coordination within the Bank Group.** Members of the country team are expected to actively participate throughout CAS preparation. The CAS team coordinates with colleagues in central Bank units, e.g., OPCS, CFRCR (for IBRD-eligible borrowers), CFPIR (for IDA-eligible borrowers and IDA grant recipients) and TFO (on trust fund-related matters); with IFC and MIGA, as appropriate; with IEG; and with SECPO.

CONTENT

The CAS should be concise (the main text should be no more than 30 pages), focused, selective, and as candid as possible. In organizing CAS content teams have considerable flexibility to customize the CAS to the nature of the Bank's engagement and specifics of the country. An indicative sample [table of contents](#) is provided for reference. Templates for the strategy document ([cover page and inside cover](#)) are also provided. Assessments of particularly sensitive matters may be reserved for oral statements at the Board. The CAS should begin by mentioning the timing of the Board discussion of the last strategy document. It should be structured around the four building blocks of the Bank's [country based business model](#): vision, diagnosis, results and program³.

The CASPR should be a very concise mid-point stocktaking of the implementation of the CAS program (with the main text no more than 10 pages). Its main purpose is to review the relevance or validity of the key building blocks of the strategy.

- Are the country development goals supported by the CAS program still relevant?
- Is the country still seeking Bank's support in the priority areas as set out in the CAS?
- Are the CAS outcomes still relevant and likely to contribute to country's development goals?
- Are the instruments (lending and knowledge) chosen in the CAS still the right instruments and likely to deliver the expected outcomes?
- Is the CAS financial envelope adequate?
- Are the risks identified in the CAS still valid? Are there any additional risks that have emerged since the CAS?
- Is implementation on track?

VISION. The CAS takes as its starting point the country's own vision of its development goals and its strategy for achieving them, as set out in a PRSP for [IDA-eligible borrowers](#) or a national development strategy for [IBRD-eligible borrowers](#). If such a document exists, the CAS provides a summary and refers the reader to the relevant document. If such a document does not exist, the CAS discusses country conditions and the major constraints to development, avoiding political statements, which are outside of the Bank's mandate (for IDA-eligible borrowers, a full CAS is normally not prepared until the country has completed its PRSP; see the [frequency](#) section). The CAS also takes into account the links between the country's objectives and the poverty, education, gender equality,

³ Note that CASs for IDA-eligible countries might be subject to additional requirements per IDA replenishment agreements.

health, and environmental targets of the [Millennium Development Goals](#) (MDGs), and provides an analysis of the country's status vis-à-vis the MDGs and likelihood of achieving them.

DIAGNOSIS. The diagnostic underlying the CAS should be thorough yet succinct. The CAS contains the staff's professional assessment of the government's program, building on the Bank-Fund Joint Staff Advisory Note (JSAN) of a PRSP for IDA-eligible borrowers, and drawing on relevant [Economic and Sector Work](#) (ESW) as well as [other analysis](#) by the Bank Group or partner institutions. The CAS assessment should acknowledge any differences in views between the Bank and the government and discuss how the Bank's dialogue reflects these differences. The CAS uses appropriate cross-country indicators and the findings and recommendations of relevant Sector Strategies to prioritize among the topics listed below. The CAS provides a comprehensive diagnosis of each topic that is a major development issue in the country; if the PRSP or equivalent country-owned strategy document provides a satisfactory diagnosis, the CAS need only to refer to that discussion. The diagnosis typically covers the following topics:

- **Poverty.** The CAS includes a diagnosis of the incidence, trends, and causes of poverty, including the major obstacles to poverty reduction and the set of structural and social elements essential to poverty reduction; a discussion of progress (or lack thereof) in poverty reduction since the last strategy; an analysis of the linkages between poverty reduction and the level and pattern of growth in the country; and an assessment of the country's capacity to monitor poverty indicators. This discussion is based on a [poverty assessment](#) or other available poverty analysis. See also [OP 1.00, Poverty Reduction](#).
- **Gender.** The CAS draws on and discusses the findings of a periodic gender assessment. This gender assessment may be a stand-alone assessment or it may be carried out as part of other Bank economic and sector work, such as poverty assessments, country economic memorandum, public expenditure reviews, development policy reviews, poverty and social impact assessments, or institutional analyses. Alternatively, it may be an assessment that has been carried out by the country or an organization other than the Bank. In sectors and thematic areas where the CAS has identified the need for gender-responsive interventions, and where there is country ownership and demand, the Bank's assistance incorporates measures to address this need. Staff should also refer to [OP 4.20](#) and [BP 4.20, Gender and Development](#) and the [Guidance Note](#).
- **Sociopolitical and Institutional Factors.** As relevant to the country, the CAS includes a discussion of the social, political economy, and institutional factors—including any need for capacity building—that affect the country situation and the Bank Group's strategy.
- **Macroeconomic Framework.** The CAS includes a thorough analysis of country macroeconomic and structural performance and policies. It mentions the status of the [IMF](#) relationship and the IMF program (as relevant), and discusses the division of labor between the Bank and Fund.
- **Debt Sustainability.** All CASs include a discussion of debt sustainability, building on the latest available [debt sustainability analysis](#). In countries where debt sustainability is not an issue, this should be noted explicitly.
- **External Environment.** As relevant, the CAS includes a discussion of the external environment, underlining any relevant issues related to trade and/or regional integration, and its effects on the country's economic performance.

- **Governance.** The CAS reflects the key findings of systematic diagnosis of governance conditions, including fraud and corruption and public financial accountability issues. It also discusses how these issues impede the country's development and poverty reduction efforts. For high-risk countries, the CAS also discusses how corruption and fraud impact Bank supported activities, their implementation, and achievement of their development objectives.
- **Private Sector Development.** An analysis of the major obstacles to and Bank Group activities aimed at strengthening private sector development, as relevant to the country.
- **Other Cross-cutting Issues.** A diagnosis of other cross-cutting issues as relevant to the country is included in the CAS—e.g., education, health, nutrition, and population, infrastructure, energy, environment and climate change, financial sector—drawing on available analysis (e.g., Sector Strategies).

RESULTS AND PROGRAM. Since January 1st, 2005, the organizing framework of the CAS builds on the expected results that the Bank program expects to contribute to in support of the country's development goals. Bank's contribution would come from its lending program as well as knowledge activities and platform role.

Results framework. Building on the expected outcomes of ongoing and planned activities, the CAS results framework—expressed in the Results Matrix—specifies expected linkages between Bank interventions and the country's long-term development goals. Once the logical relationships from country development goals down to Bank programming have been determined by the Country Team, the CAS outcomes (i.e., the results to which the Bank's interventions are expected to contribute directly) can be specified. CAS outcomes should be achievable and measurable within the CAS period. The CAS Results Matrix, a [CAS annex](#), shows the relevant country development goals, development outcomes that the Bank expects to influence during the CAS period (CAS outcomes), a set of milestones for monitoring progress towards CAS outcomes, and the related Bank interventions.

Statistical systems and monitoring and evaluation. The IDA Results Measurement System now requires that all IDA CASs should include a review of *national statistical systems* and an identification of what is needed to strengthen capacity both to generate and to use statistical information. More detailed guidance is provided in the [CAS Statistical Capacity Building Guidance Note](#). As appropriate, the CAS should discuss efforts to develop statistical capacity in borrowing member countries (e.g., through the [Trust Fund for Statistical Capacity Building](#), (STATCAP) and the [Statistics for Results Facility \(SFR\)](#)). As needed, the CAS should also consider efforts to develop monitoring and evaluation capacity (e.g., through World Bank Institute (WBI) training programs), as well as efforts at the country level to harmonize monitoring and evaluation approaches and requirements among different partners. In countries where a government document, such as a [PRSP](#), exists with clear, specific targets and intermediate objectives, the CAS monitoring and evaluation framework and targets should be linked to/draw on it.

Program. Within the results framework, the CAS sets out a selective program of Bank Group assistance to achieved selected CAS outcomes in support of the country's development goals, taking into account the activities of other development partners. In discussing the program, the following issues should be addressed:

- **Track Record and Lessons Learned:** The Bank's track record and lessons learned under the previous Bank strategy are covered in detail in the [CAS Completion Report](#). As such, the CAS briefly summarizes the main findings of the CASCR, and discusses how lessons learned have

been taken into account in the design of the new CAS and the implications for the Bank's program going forward.

- **Portfolio Performance:** A thorough discussion of the portfolio performance, building on the findings of Country Portfolio Performance Reviews (CPPRs) and other relevant reports. Depending on country circumstances and the characteristics of Bank's engagement, this review discusses strategic aspects, looking at the lending strategy, institutional and sustainability issues and development effectiveness of the Bank's portfolio. The discussion may also reflect systemic issues affecting the portfolio as well as more project-specific aspects, as warranted.
- **Country Financing Parameters:** In line with OP and BP 6.00, *Country Financing*, country financing parameters are always reviewed during preparation of the Country Assistance Strategy (CAS). If country financing parameters are amended in light of changing country circumstances, the revised parameters should be annexed to the CAS. In such as case, the text of the CAS should include a brief explanation of the rationale for the change in the country financing parameters.
- **Partnerships:** As warranted, the CAS contains a customized discussion of the role of development partners (e.g., IMF, multilateral development banks, bilateral donors, private sector, nongovernmental organizations), aid coordination mechanisms, and Bank support for strengthening country-led aid management (See also the [Paris Declaration on Aid Effectiveness](#) and the [Accra Agenda for Action](#)) Moreover *for IDA-eligible countries*, all CASs are required to include a section on donor mapping. This section highlights the activities that other donors are pursuing in the country, drawing on available information from the government information systems and country's partners. Information on the roles, comparative advantages and activities of development partners may be used as one of the elements in developing the Bank strategic focus. Staff may refer to the [Good Practice Note](#). Staff may also contact the Aid Effectiveness Unit (OPCAE) in OPCS. For *IBRD-eligible borrowers*, the CAS discusses the role of private capital flows in providing overall country and sectoral finance and the implications for the magnitude and composition of Bank Group support.
- **Country Systems:** The CAS should outline strategies to strengthen and expand the use of the country's systems and institutions for (i) public financial management and procurement, (ii) social and environmental safeguards, (iii) project management and (iv) the production and use of statistics. For countries participating in the pilot programs for promoting the use of country systems in Bank operations, the CAS includes an overview of the status and main findings of the pilot. Staff may refer to [OP 4.00](#) and [BP 4.00](#) *Piloting the Use of Borrower Systems to Address Environmental and Social Safeguard Issues in Bank-Supported Projects*.
- **Lending and Knowledge Activities:** Lending and knowledge activities are chosen with the aim of achieving CAS outcomes as stated in the CAS Results Matrix. In determining the choice of lending and knowledge instruments, the Country Team takes into account country needs, policies, institutions, capacity, country systems for financial management, procurement social and environmental safeguards and the production and use of statistics, fraud and corruption, partner programs, debt sustainability, and the Bank's mandate and comparative advantage. The CAS outlines the rationale for the mix of lending (e.g., investment and development policy loans/credits/grants) and knowledge services (i.e., analytic and advisory activities, such as [economic and sector work](#), policy dialogue, technical assistance) and reflects the complementarities of IBRD/IDA, IFC, and MIGA. The choice of Bank Group activities should be those that will have the greatest development impact to achieve stated CAS outcomes.

Financial Envelope and Program Implementation. The CAS should indicate the financial resources expected to be available for the strategy period. The size of the financial envelope should be presented as indicative. The actual amount of financing would be determined by Bank's lending capacity, demand from other borrowing countries, overall economic circumstances in the country and readiness of development interventions for Bank financing.

- *For IDA-eligible countries*, in line with IDA rules, the size of financial resources available to a country (and the share of loans and grants) is determined annually by the [Performance Based Allocation \(PBA\) system](#) (firm amounts for the current fiscal year, and indicative amounts for the outer year(s) in the current IDA replenishment cycle). The PBA system determines the size of the IDA resources available to a country on the basis of the availability of IDA resources, country's size and income level, and its performance relative to the performance of other IDA eligible countries, as measured by IDA performance ratings. As IDA allocations are not entitlements, the actual amount and timing of IDA commitments will depend on the country circumstances and availability of projects and programs that are likely to contribute to the countries development and poverty reduction efforts.
- *For IBRD-eligible countries*, the CAS program of lending activities should be consistent with the exposure headroom available to the country as determined by the [IBRD Exposure Management Framework](#). If applicable, the CAS should also discuss the situation of IBRD-eligible countries which may graduate from IBRD during the CAS period. The CAS should present the size of available financing as indicative. The size and timing of actual commitments are determined as part of the management of the country program, taking into account the available headroom. The Region should consult with the **Exposure Management Group (EMG)**, composed of CFR-CR and OPC-CG, on the management of the lending program of countries recently declared IBRD-eligible or high-risk IBRD countries.

Trust Funds. A discussion of **trust-funded activities**, including, where applicable, Financial Intermediary Fund (FIF) activities implemented by the Bank in a given country, should be integrated into the relevant sections of the CAS document. Integration of TFs into the CAS framework should focus on both development objectives and operational issues of TF activities, providing (i) a clear indication, including, where appropriate, in the CAS Results Matrix, of contributions trust-funded activities are expected to make in achieving specific CAS results; (ii) a discussion of implementation issues, including, when relevant, financial, fiduciary and safeguards issues, the management framework of TFs in the country, and specific institutional/country constraints, and discussion of risks specific to the TF portfolio; and (iii) a discussion of the role of TFs in the Bank's partnership with other development partners of the country. All categories of TFs (Bank-executed, Recipient-executed, and financial intermediation), including Network-managed TFs, should be covered where contributing significantly to CAS outcomes. In countries where trust-funded contributions to the country program and their likely impact are significant (as a general rule, where the ratio of TF to IDA/IBRD disbursement $\geq 15\%$), it is recommended to include a brief overview of the main trust funds in an annex⁴. CAS Completion Reports should, to the extent possible, integrate TF activities into the evaluation of the previous CAS program, the performance of the Bank in delivering the program, and lessons learned. CAS Progress Reports should include a very brief

⁴ The CAS Annex should include the cumulative amount of commitments and disbursements for the active recipient-executed and bank-executed trust fund grants that are country specific.

stocktaking of TF activities and outstanding implementation issues that are specific to the trust fund portfolio. For more detailed guidance, staff may refer to the [Guidance Note on the Integration of Trust Funds in CAS Products](#).

- **Managing Program Implementation.** The CAS should lay out modalities of the Bank's response to changing country circumstances and policy performance during the implementation of the program. To modulate the size of the financial envelope, rigid lending scenarios with benchmarks in the CAS are not generally recommended. Nevertheless, the CAS should lay out a framework for responding to country circumstances to ensure development effectiveness, determining the instrument mix, engaging in a particular area and modulating the lending envelope.
- **Risks.** The CAS contains a candid and thorough discussion of external and internal risks that may affect implementation of the Bank Group strategy. It highlights the most significant risks—including development effectiveness, governance, safeguards, and fiduciary risks—and proposes measures to mitigate them. CASs for large borrowers and others where appropriate should discuss exposure risks and CASs for IBRD-eligible borrowers should discuss creditworthiness and the risks associated with changes in the country's access to capital markets.

RECOMMENDED AND STANDARD CAS ANNEXES. CAS annexes include the CAS Results Matrix, CAS Completion Report and a set of standard [CAS annexes](#) which are accessible in SAP's Business Warehouse (BW). CAS teams should contact their SAP coordinator or the ISG Help Desk (ext. 32121) for assistance in accessing the annexes in BW. While in some cases selected data is pulled from SAP and loaded into the CAS annex templates in BW, Country Teams are responsible for checking this information for accuracy and for fully populating the annexes with the correct information. Additional [annexes](#) are recommended.

REVIEW PROCEDURES

CASs, ISNs, CASPRs. The standard review process for all CAS products (CASs, ISNs, CASPRs) includes one corporate review of CASs by the Regional Operations Committee (ROC) or the Operations Committee (OC) during the strategy preparation process⁵. During the corporate review, the ROC/OC may decide that a second ROC/OC Review will be required before the CAS is finalized, although this is neither required nor expected to be commonly the case⁶. In such a case, the ROC/OC will also decide whether the second (final) review will be conducted on a virtual or actual basis and the level of the review (OC versus ROC).

Process (CASs, ISNs). After the strategy concept is clearly defined, but before detailed preparation of the CAS begins, the task team prepares a CAS Concept Document and holds Country Team/Regional concept discussions (as determined by regional procedures and guidelines). The concept documentation is intended to provide a clear sense of the country context/the country's development vision, major development and poverty reduction issues, and the envisaged thrust of the Bank Group's strategy and expected results. If available, a draft of the CAS Completion Report is

⁵ In some specific circumstances, the review process may be abbreviated – in consultation with OPCS - when required for the Bank engagement to keep pace with urgent rapidly evolving developments in a country's political and security situation (for example when re-engaging in a post-conflict situation).

⁶ The requirement that all CASs be subject to two Bank-group wide corporate reviews (upstream and downstream) is discontinued. The decision to carry out a second review is taken at the first (main) review meeting on a case-by-case basis.

also circulated as part of the concept review documentation and discussed at the review meeting. Teams are requested to copy the **Concept Review Bank-wide CC: list** when circulating the concept review documentation, with a distribution period of at least five working days. Networks and the other Regions are not required to send formal comments or to attend any concept review meeting, but are encouraged to flag issues and engage with the team where appropriate.

The corporate review occurs following Country Team/Regional concept discussions. The corporate review documentation comprises the final draft of the CAS, including the [CAS annexes](#), and the decision note of any prior review meeting of the CAS. **The CAS Completion Report should be circulated as part of the corporate review documentation and discussed at the corporate review meeting.** Network Anchors and other Bank Group stakeholders are expected to participate and provide comments on the CAS. Any issues surrounding the CAS that are outstanding at the time of the review should be highlighted in the meeting agenda. **The final version of the CASCR (no further changes to be made) should then be sent to the Director, IEG, under cover of a transmittal memo from the Regional Vice President within 10 days following the corporate review meeting.**

The CASPR is also subject to one Bank Group-wide review which is normally conducted at the level of a Regional Operations Committee. The Region may decide that a concept review is also necessary.

Steps to follow in preparing for the corporate review include (CASs, ISNs, CASPRs):

- **Determine the Level of Review.** Decide whether the OC (chaired by the Managing Director) or ROC (chaired by the Regional Vice President) will review the strategy. The level of the review is proposed by the Region, in consultation with OPCS where appropriate, and based on discussions at the concept stage—see [Guidelines and Procedures for Corporate Reviews of Operations and Country Strategies](#).
- **Schedule Review.** In the case of an *OC review*, work with OPCS to schedule the meeting; in the case of an *ROC review*, schedule the meeting according to Regional procedures (the TTL should consult the Regional front office). In some instances, the optional final review may be conducted virtually.
- **Issue Review Meeting Invitation and Circulate Documentation.** For an *OC review*, OPCS, working with the Region, issues the meeting invitation and prepares the agenda—see [Guidelines and Procedures for Corporate Reviews of Operations and Country Strategies](#). The Region, in consultation with the [Secretary of the OC](#) circulates the documentation at least five working days before the meeting. After the meeting, OPCS drafts a decision note, clears it with the Managing Director, and distributes it. For a *ROC review*, the Region, using a standard Bank Group distribution list maintained by OPCS, issues the meeting invitation, prepares the agenda, and circulates the documentation at least five working days before the meeting.

Documentation of ROC Decisions. The ROC decisions are documented in a Decision Note cleared by the ROC Chair. Following the ROC meeting, the Region prepares a Decision Note that spells out the decisions arrived at the ROC review and identifies next steps to be taken by the task team. The final ROC Decision Note is cleared by the ROC Chair and circulated using standard ROC Bank-wide distribution list maintained by OPCS within five business days after the ROC meeting.

Standard Distribution List. OPCS maintains standard distribution lists for CAS reviews, which can be typed into Lotus Notes. These lists include Network Anchors as well as other Bank Group stakeholders (e.g., LEG, IEG, CFR, CFP, WBI, IFC, MIGA). **For ROC reviews**, Regions should always include “**ROC Bank-wide TO: list**” in the To: line of the email, and “**ROC Bank-wide CC: list**” in the cc: line of the email when issuing invitations, or circulating documentation and minutes.

Regions should add relevant Regional staff (e.g., Country Team members, other Regional colleagues, etc) as well as a representative of the IMF to this standard distribution list. *For OC reviews*, OPCS handles the distribution of meeting invitations, agendas, and decision notes; the Region, in consultation with the [Secretary of the OC](#), circulates the documentation using the standard distribution list (**OC Members To: List** and **OC cc: list**). As is customary, for OC and ROC reviews the To: list or their representatives are expected to attend and comment; the cc: list may choose to do so.

FINAL CLEARANCE & BOARD PRESENTATION

Final Clearance. No less than 32 working days before the scheduled Board date, the Country Director sends the final draft CAS, CASPR, or ISN to the Regional Vice President for review and clearance according to Regional procedures (the TTL should consult the Regional front office), with a copy to OPCS, Country Economics ([OPCPQ](#)) for information. Lead times for the clearance of ISNs for Fragile States may be shorter than for other strategy documents. The Regional Vice President's (RVP) office should thoroughly review the strategy to ensure high quality standards, including editorial and formatting issues, of the document. The TTL (on behalf of the Country Director) prepares a [transmittal memorandum](#) that covers the following points:

- **Clearance by CFR/CFP and consultation with LEG.**⁷ It indicates that the final strategy document has been reviewed by CFR for IBRD-eligible borrowers (contact [CFRCR](#)) and/or by CFP for IDA-eligible borrowers (contact [CFPIR](#)), and discussed with LEG (contact the Regional Chief Counsel).⁸
- **Fully Costed.** It indicates that the strategy, including preparation and supervision of proposed operations, nonlending activities, etc., is fully costed and consistent with the available country program budget (contact the Chief Administrative Officer/Regional Resource Management Team for further guidance)⁹.
- **Disclosure Status.** It states that the Region has consulted with the government and indicates whether or not the Bank has the government's written consent to disclose the CAS, CASPR, or ISN upon its distribution to the EDs. If the government has not given its written consent to simultaneous disclosure or if government consent is pending, the cover memo states this (see the [disclosure](#) section).

At least 25 working days before Board presentation, the TTL forwards the RVP-cleared final draft strategy to the Managing Director (MD) for review and clearance ahead of consideration by the Board, under cover of the [transmittal memorandum](#), copied *inter alia* to [OPCPQ](#). When the MD agrees that the strategy is ready for Board consideration, he/she signs off by initialing cover page. When appropriate, OPCS works with the TTL to finalize the document and/or resolve any remaining

⁷ OPCS does not clear CAS products. If requested by the MD, OPCS reviews the document on behalf of the MD, consulting with relevant Bank units as appropriate, and advises the MD on final clearance.

⁸ If there are outstanding issues with the Credit Risk Department and/or the IDA Resource Mobilization Department, the Region succinctly highlights outstanding issues in the memo seeking MD guidance and clearance. For countries affected by conflict, the ISN is cleared by the Legal Department and others, according to Regional procedures, as set out in BP 2.30.

⁹ Budget –related information should not be included in the document.

issues. If necessary, the TTL and OPCS work with [SECPO](#)) to arrange for another Board date if additional time is needed to finalize the strategy.

For a [joint CAS or CASPR](#) with IFC and/or MIGA, Bank staff work with IFC/MIGA counterparts to prepare the final draft of the strategy for clearance. IFC and/or MIGA’s Executive Vice President(s) (or designate) clear(s) the final document at the same time as the Bank Managing Director, and IFC/MIGA staff return a signed copy of the IFC/MIGA clearance memo to the Bank TTL, who attaches the IFC/MIGA clearance to the Bank’s clearance, and uses the twice-cleared document for further processing.

Board Distribution. At least 20 working days before the scheduled Board date, the TTL sends the MD-cleared strategy document electronically to SECPO through eSubmission. The TTL indicates in the eSubmission form if the strategy will be disclosed upon circulation to the EDs (see the [disclosure](#) section). SECPO/the Print Shop distributes the strategy to Executive Directors at least 16 working days before the Board meeting.

Note that CAS Progress Reports are generally circulated to the Board on an Absence of Objection (AOB) basis. Since any ED may call for discussion of the CASPR, a notional Board date should be entered in SAP and the procedures outlined below followed. If no Board discussion of the CASPR takes place, the closing date of Absence-of-Objection period should then be recorded as the Board date in SAP. Furthermore, as noted above, CASPRs are circulated for regular Board discussion when there are substantial shifts in the program.

STEPS FOR CAS, CASPR, & ISN CLEARANCE AND DISTRIBUTION TO THE BOARD			
Step	<u>Minimum # of working days before Board*</u>	Resp.	Description
CAS, CASPR, or ISN submitted to RVP for clearance	<u>32</u>	TTL/CD	Strategy cleared by RVP according to Regional procedures, with copy to OPCS, Country Economics (OPCPQ), under cover of transmittal memo .
CAS, CASPR, or ISN submitted to MD for clearance	<u>25</u>	TTL and OPCS	RVP-cleared strategy sent to MD, with copy to OPCS, Country Economics (OPCPQ), under cover of transmittal memo .
CAS, CASPR, or ISN submitted to SECPO, IDU, and the Print Shop	<u>20</u>	TTL	TTL submits MD-cleared strategy to SECPO electronically with eSubmission form indicating whether government agrees to simultaneous disclosure (government’s written consent to simultaneous disclosure attached to the package).
CAS, CASPR, or ISN distributed to EDs	<u>16</u>	SECPO	SECPO/Print Shop distributes strategy to EDs.
<i>*Lead times for ISNs may be shorter.</i>			

Board Discussion. SECPO coordinates with the TTL in preparation for any Board discussion of the strategy. The Country Director is expected to attend the Board discussion (physically or via video conference); the RVP may choose to do so. Regional staff request SECPO to invite key IMF staff to attend the Board meeting. During the Board discussion, the Country Director and/or other members of the CAS team respond to any questions about the strategy from Executive Directors.

- **Link with Lending Operations.** If a lending operation is presented in conjunction with the CAS, the TTLs coordinate on a single brief speech that focuses on responding to written questions received from Executive Directors and that describes any relevant developments since the documents were circulated.
- **Link with PRSP Discussion.** For [IDA-eligible borrowers](#), the CAS should be based on the country's [PRSP](#). The Board has stipulated that a CAS for an IDA-eligible borrower be presented to the Board for discussion only *after* the Board has discussed the PRSP on which it is based. This is to ensure that the CAS takes into account relevant comments from the Board's discussion of the PRSP. (See the frequency section.)
- **Link with CPE Discussions.** IEG and SECPO work together to schedule presentation of a certain number of [IEG Country Performance Evaluations](#) (CPEs) to the Board's [Committee on Development Effectiveness](#) (CODE) so that CODE's discussion of the CPE will precede the Board's discussion of the CAS for the same country.

Chairman's Summings Up. At least three business days before the strategy document is discussed by the Board, SECPO requests from staff for a draft "Chairman's Summing Up." Once finalized, the "Chairman's Summings Up" are made publicly available.

Preparation of Chairman's Summings Up. To assist staff in preparing the draft, samples of Chairman Summings Up from previous Board discussions are attached in the request. The draft should reflect the issues and concerns expressed during staff's bilateral meetings with Executive Directors' offices, and likely to be raised during the Board meeting. The draft is provided to SECPO one business day prior to the Board meeting. SECPO updates and revises this draft by incorporating additional comments drawn from EDs' statements issued before the meeting as well as those expressed during the Board discussion. The final "Chairman's Summings Up" are no more than one page, single-spaced. They highlight the main conclusions of the Board discussion (but do not imply that the Board has approved or rejected the strategy), particularly whether Executive Directors found the strategy's focus appropriate, which elements were stressed, and any major concerns expressed. The summing up is not an attempt at summarizing the entire discussion or providing the views of individual Executive Directors. SECPO clears the "Chairman's Summings Up" with the Regional Vice President for distribution to Executive Directors.

DISCLOSURE¹⁰:

New policy. As stated in the Bank's [Access to Information Policy](#), effective July 1st, 2010, CASs, CASPRs and ISNs are subject to the "simultaneous disclosure" provision of the Policy – i.e., a CAS product may be disclosed upon its distribution to the Board (before the Board discussion) if the country client concerned grants its written consent to such early disclosure. If the country does not consent to simultaneous disclosure, the CAS product is disclosed at the end of the Board deliberative process. Client's written consent is not required to disclose the CAS at the end of the Board deliberative process. CAS Completion Reports are disclosed as an annex to the follow-on CAS. The following outlines the policy and procedures for disclosure of strategy documents; staff should also refer to the [Access to Information \(AI\) Staff Handbook](#) and [Attachment A – Routinely Available Documents](#).

¹⁰ At any time, a country government may request in writing that the Bank disclose a CAS or CASPR discussed before August 1, 1998.

Process (CASs, CASPRs, ISNs). Early during the preparation of a CAS, the **Country Director** informs the country in writing that: (a) the Bank’s policy is to make all CASs publicly available; (b) the Bank will share the draft CAS with country authorities before it is distributed to the Board so that they have an opportunity to identify whether it contains any confidential information relating to the country; and, (c) the CAS *may* be disclosed before the Board discussion if the country consents to such early disclosure. Before the CAS is distributed to the Board, the **TTL**: (a) requests the country authorities to identify whether it contains any confidential information relating to the country; and (b) reminds the country authorities of the option to disclose the CAS before the Board discussion and seeks the country’s written consent to such early disclosure (see Attachment C for a sample language). The **CAS team**, as it considers appropriate, makes adjustments to the CAS to address the matters of concern to the country before transmitting it to SECPO

STEPS FOR DISCLOSURE OF A CAS, CASPR, & ISN

CASs subject to Simultaneous Disclosure (CAS, CASPR, ISN)

- The **originating unit** transmits the CAS to SECPO, indicating in the Board eSubmission Form that (a) the CAS is to be disclosed upon its distribution to the Board, and (b) the country has granted its written consent to such early disclosure (in the “Disclosure Comment” field of the eSubmission form). A copy of the country’s letter is included in the CAS package. The cover of the document should contain the following language: *“This document is being made publicly available prior to Board discussion. This does not imply a presumed outcome. This document may be updated following Board consideration and the updated document will be made publicly available unless otherwise decided by the Board.”*
- **SECPO** distributes the CAS to EDs and notifies IDU that the CAS should now be disclosed. **IDU** then changes the classification to “Public” and posts the CAS on the Bank’s external website.
- If the CAS is subsequently revised to reflect the Board discussion, the **originating unit** sends the final CAS to SECPO by the agreed date, indicating in the Board eSubmission Form that it is to be disclosed. The **originating unit** should remove the language on simultaneous disclosure, if applicable, from the front cover. **SECPO** distributes the final CAS to EDs and notifies IDU that it should now be disclosed. **IDU** then changes the classification to “Public” and posts it on the external website.

CASs not subject to Simultaneous Disclosure (CASs, CASPRs, ISNs)

- The **originating unit** transmits the CAS to SECPO, indicating in the Board eSubmission Form that: (a) the country has not granted its consent to simultaneous disclosure (to be indicated in the “Disclosure Comment” field of the eSubmission Form); and (b) the final CAS is to be disclosed at the end of the Board deliberative process.
- If the CAS does not need revisions, **SECPO** notifies IDU immediately following the Board meeting that the CAS should now be disclosed. **IDU** then changes the classification to “Public” and posts it on the Bank’s external website.
- If the CAS is revised, the **originating unit** sends the final CAS to SECPO by the agreed date, indicating in the Board eSubmission Form that it is to be disclosed. **SECPO** distributes the final CAS to EDs and notifies IDU that it should now be disclosed. **IDU** then changes the classification to “Public” and posts it on the Bank’s external website.

CASs, CASPRs and ISNs prepared jointly with other development partners: For a **CAS prepared jointly with partners**, the CD should advise the partner that it is the Bank’s policy to make all CASs available to the public and that the CAS may be disclosed before the Board discussion if the country consents to such early disclosure. The **CAS team** should obtain the potential partners’ agreement to the disclosure of the joint product. Before being made public, the **CAS team** should make any adjustments to the CAS if necessary regarding any information given in confidence by the partner.

IMPLEMENTATION

The Bank and the government monitor CAS implementation and assess progress toward the targets and indicators to monitor Bank Group and country performance in achieving stated outcomes. The Bank collaborates with the government and external partners to ensure coordination and, to the extent possible, harmonization of activities during implementation. As necessary, the Bank and government work together to fine-tune the strategic approach to adapt to changing circumstances. During implementation, additional capacity building activities and risk management and mitigation measures are undertaken as appropriate.