



COALITION BUILDING AND CHANGE MANAGEMENT TOOLKIT

Coalitions for Reforms Global Program

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ACRONYMS AND ABBREVIATIONS

AI	Artificial Intelligence
C4R	Coalitions for Reforms
CB&CM	Coalition Building and Change Management
CL4D	Collaborative Leadership for Development
CoG	Center of Government
CommGAP	Communication for Governance and Accountability Program
CoP	Community of Practice
DFID	Department for International Development
ESRF	Energy Subsidy Reform Facility
FCDO	Foreign, Commonwealth & Development Office
FLL	Field-Level Leadership
ICR	Implementation Completion and Results Report
IEG	World Bank Independent Evaluation Group
IPAC	Anti-Corruption Participatory Initiative
LIP	Leadership and Innovation Program
M&E	Monitoring and Evaluation
NGO	Nongovernmental Organization
OPCS	Operations Policy and Country Services
PACRC	Community Action Project for Climate Resilience
PDIA	Problem-Driven Iterative Adaptation
PEA	Political Economy Analysis
RRI	Rapid Results Initiative
SOE	State-Owned Enterprises
WDR	World Development Report

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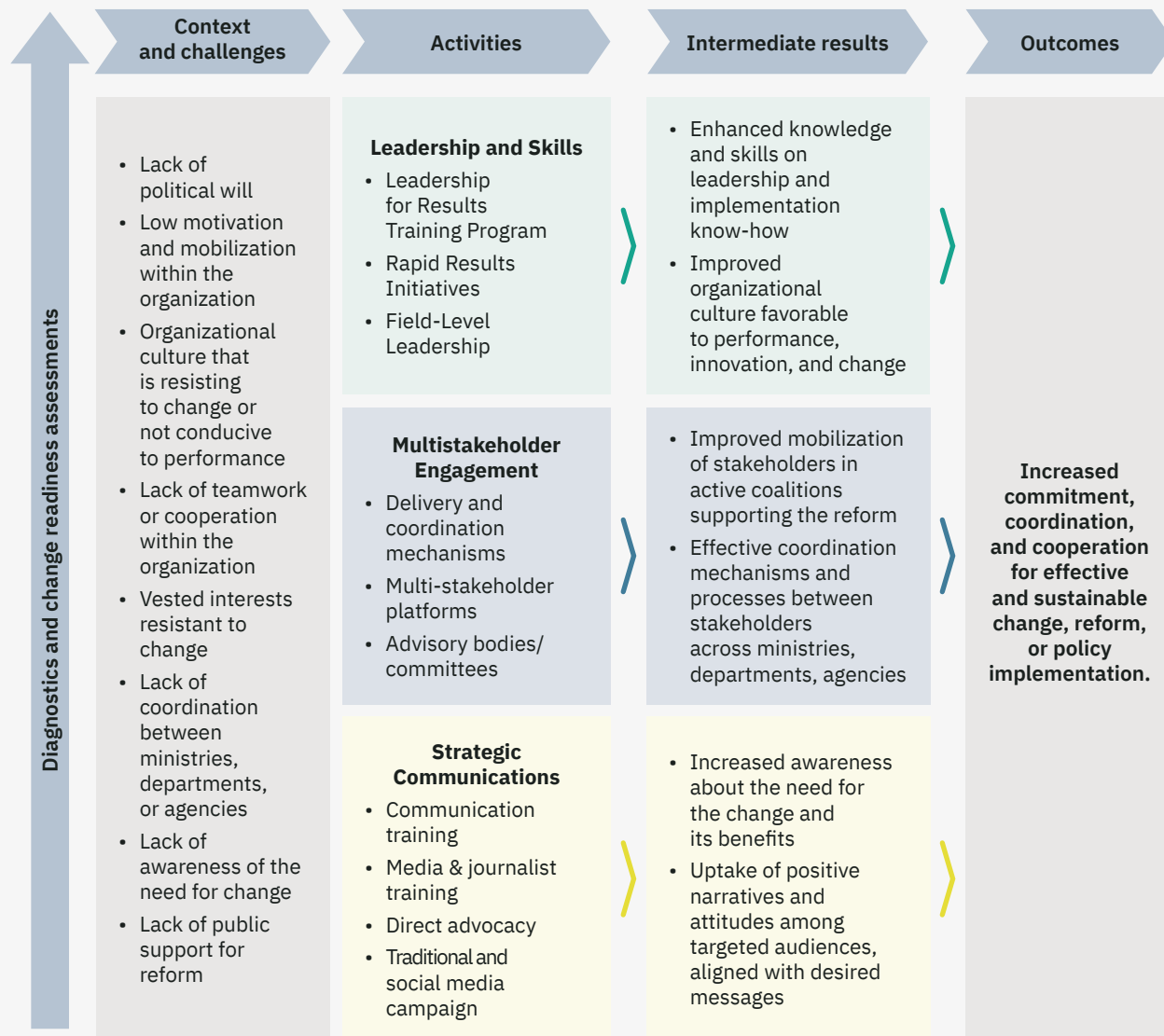
1-PAGE SUMMARY

The success of reforms and policy implementation often hinges more on their human aspects than on their technical designs. Reform and implementation challenges appear when there is a persistent gap between the current state of things and the desired state. The persistence of this gap can often be explained by interpersonal dynamics, attitudes and norms, lack of coordination, vested interests, and resistance to change from individuals, groups, or the public.

The objective of this toolkit is to support the implementation of development reforms and policies through an integrated and evidence-based approach to coalition building and change management (CB&CM). It provides guidance and a collection of tools to support the preparation of a plan to support change that fits the context. Coalition building is the process through which a group of stakeholders are mobilized and organized to work together on a common purpose in a deliberate and sustained manner. Coalitions can help build political support for a reform, bring in broader perspectives from marginalized communities, and address resistances from stakeholders with vested interests. Change management is the process of helping people understand the need for change and to motivate them to take actions, resulting in sustained behavior changes. The toolkit consolidates tools from various fields including political economy, change management, stakeholder engagement, and communication. The tools that are included have been shown through experience and rigorous research to help address the complex challenges identified.

The toolkit is organized as follows: Chapter 1 describes resistances to change and political economy challenges that affect reform and policy implementation and introduces key concepts. Chapter 2 presents the history of political economy, change management, coalition-building, the body of evidence underpinning the approach, and some practical examples from the World Bank. Chapter 3 introduces key tools used for diagnostics and change readiness assessments. Chapters 4, 5, and 6 cover the main tools for leadership and skills development, multistakeholder engagement, and strategic communication. Chapter 7 offers guidance on building a results framework to monitor progress and evaluate impact. Chapter 8 highlights conclusions and proposes a way forward to systematically measure the impact on reforms and policy implementation effectiveness of the approach.

PDO: To support the implementation of development reforms and policies through an integrated and evidence-based approach to coalition building and change management



EXECUTIVE SUMMARY

The implementation of public policy and administration reforms, including deployment of systems, is more complex than generally assumed. For a long time, the predominant view in the field of development was that the right technical solution was all that was needed to improve policies. However, this view omits the human and socio-political aspect of change which can often determine the success or failure of a reform. Reform and implementation challenges appear when there is a lasting gap between the current state and a desired state. To move towards the desired state, leaders and stakeholders' assumptions, mental models, and behaviors will all have to be reviewed and modified. Reducing this gap is therefore a unique change management and coalition-building challenge.

Coalition building and change management mobilize and motivate leaders and stakeholders to think and behave differently, to coordinate, and to work together in new ways. Coalition building is the process through which a group of stakeholders are mobilized and organized to work together on a common purpose in a deliberate and sustained manner. Coalitions can help build political support for a reform, bring in broader perspectives from marginalized communities, increase ownership from supporting interest groups while managing potential resistance from vested interests. Change management is broadly defined as “the process of helping people understand the need for change and to motivate them to take actions, which result in sustained changes in behavior” (DFID 2010).

The objective of this toolkit is to support the implementation of development reforms and policies through an integrated and evidence-based approach to coalition building and change management (CB&CM). The target audience for this toolkit includes policy makers, reformers, development practitioners, and nongovernmental organizations (NGOs). The toolkit can be used to develop a standalone strategy to support a reform or policy or be integrated alongside the technical elements into a broader program or development project. The approaches and tools proposed in this toolkit are supported by a large and growing body of evidence derived from learning from many years of practice, institutional reviews of World Bank operations, and academic literature.

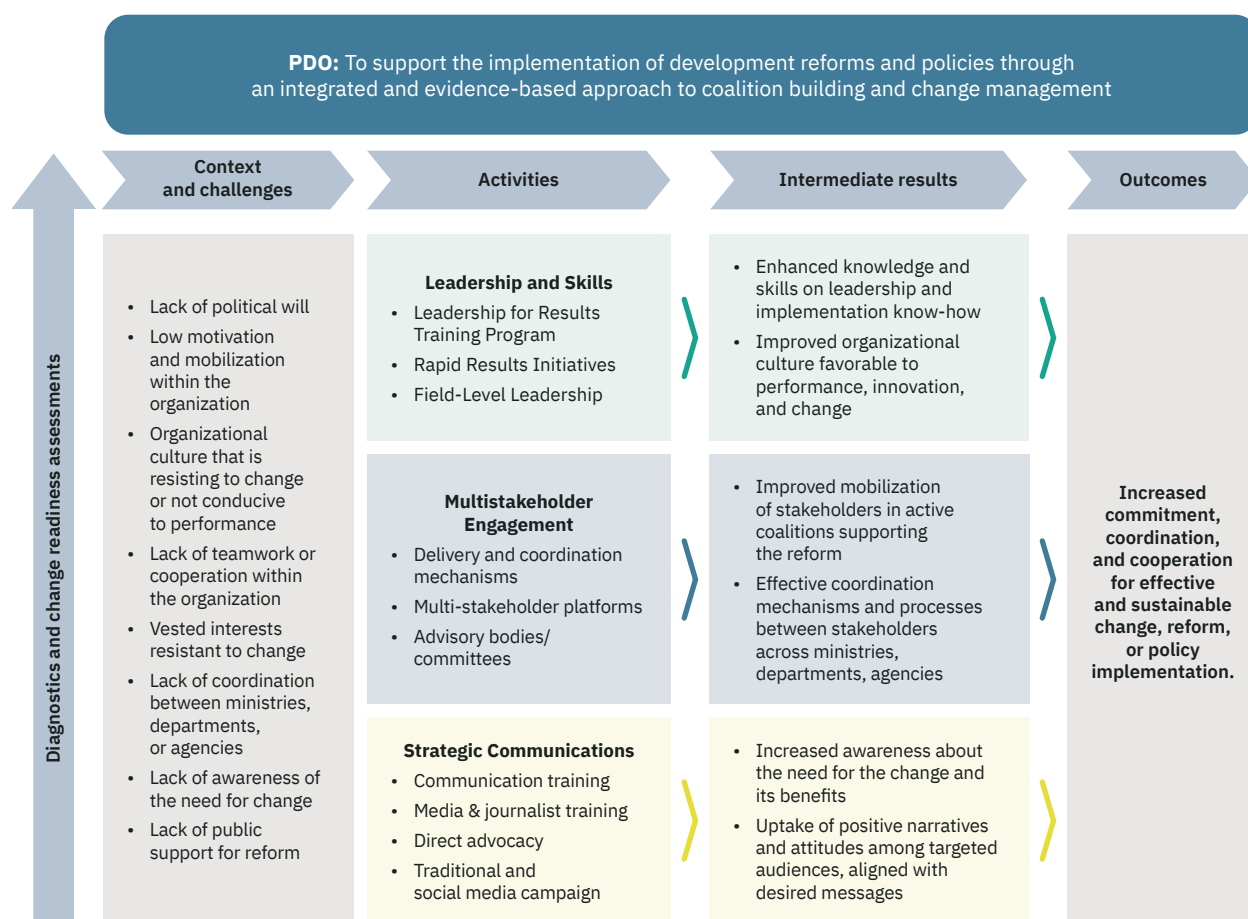
The toolkit presents an integrated approach that consolidates tools from various fields including political economy, change management, stakeholder engagement, and communication. This approach guides the reader to prepare a coalition building and change management plan consisting of three steps. The first step is gathering detailed knowledge on the development problem, context, potential resistance to, and sources of support for a reform or the implementation of a policy. The second step is the elaboration and implementation of

a coalition-building and change management plan that has three pillars: (1) leadership and skills; (2) multistakeholder engagement; and (3) strategic communication. The third step is the monitoring and evaluation of that plan. Structured across eight chapters, the toolkit provides practical examples and support material through boxes and additional material in annexes.

This toolkit is meant to be a broad introduction to the field and to curate existing tools. It therefore takes stock of the existing tools and evidence supporting their efficiency, and provides general guidance to a reformer or a project team for the development of a strategy. The goal is to give the reader general knowledge of concepts and to help them understand what tools are available and where they can be used. Not all the tools presented in the following chapters will be required for every reform.

Chapter 1 outlines the reform and implementation challenges that can lead to programs and projects not reaching their objectives. These challenges are related to collective action such as a lack of commitment, coordination, and cooperation. The chapter provides general definitions of the key terms of change management and coalition building. It also introduces a broad outline of the general approach that will be covered in the tools of the following chapters, and the overall results framework underpinning the CB&CM approaches.

Figure ES.1 The Coalition Building and Change Management Results Framework



Source: Authors.

Chapter 2 provides a rationale for the toolkit and reviews the academic and experiential evidence for the tools proposed. The tools proposed are grounded in recent evidence and research from fields related to change management and coalition building. The academic literature contains a growing body of evidence of the effectiveness and impact of the core tools presented in the methodology, primarily derived from three branches of the social science literature: management sciences, behavioral economics, and the political economy of development. Within behavioral economics and social science, there is a rapidly growing and large body of literature on the impact of communications campaigns to change behaviors, norms, and attitudes of large groups of citizens and public servants. Meta-studies and large-scale reviews on the use of stakeholder engagement and coalition-building interventions show their long-term impact. The World Bank has also documented the impact of implementing these approaches in policy programs, with promising results.

Chapter 3 presents the main process and tools used as part of scoping and diagnostics to establish the foundational knowledge and contextual awareness for CB&CM plans. The objective of the scoping phase is to define the reform challenge and the potential needs and resources that will be required, discuss and preliminarily review available information, and plan a timeline for the engagement. During the scoping process, the change expert and the team should conduct a desk review to gather available data related to the reform. They should also arrange internal consultations and discussions with key stakeholders to understand the proposed reform, level of readiness for reform implementation, any potential constraints or resistance to change, and knowledge gaps. Team composition should also be determined.

The objective of the diagnostic phase is to provide contextual awareness of the bottlenecks and pathways to change that will underpin the rest of the CB&CM strategy. Change management needs to be informed by a flexible and real-time approach to diagnosing the context in which the reform will occur and the nature of potential implementation challenges. Political economy analysis and attitude and behavioral models can help reform teams and CB&CM experts understand the political factors as well as mental models and attitudes of stakeholders that are respectively targeted by a reform. The outputs of the diagnostic process will vary depending on the knowledge gaps to be filled and will likely include one or more reports or notes addressing various angles of the change process.

Chapter 4 provides guidance on the design and implementation of the Leadership and Skills pillar of the Coalition Building and Change Management Plan. Leadership interventions can provide skills and improve the work environment to increase motivation, coordination, and cooperation in a public organization leading to more successful reforms and more effective policy implementation. The collaborative leadership approach addresses institutional bottlenecks and individual's resistance to change that may delay or derail reforms. The tools presented in the chapter can be selected based on the results of the diagnostic and an evaluation of the reformers' capabilities. These tools build leadership, strengthen professional skills, and improve organizational culture in support of development reforms resulting in increased ownership, changes in mindset, openness to experimentation and learning, improved diagnostic abilities, strengthened persistence, and iterative progress towards the reform objective.

Chapter 5 provides guidance on the Multistakeholder Engagement pillar and introduces several practical tools for multistakeholder engagement. Successful reforms often require coordination, commitment, and mobilization of stakeholders beyond the organization undertaking

the reform. Thus, the objective of stakeholder engagement is to ensure alignment, gather diverse inputs, foster ownership, and build collaborative solutions for implementation of reforms. It can help garner support for a reform, counteract indifference, or address bottlenecks and resistance to change that appear at the level of key stakeholders of a reform. Developing and implementing a stakeholder engagement plan begins with identifying the relevant stakeholders and mapping them onto an interest-influence matrix. Based on the results of the mapping, the reform team can define clear objectives and establish a vision for engaging the stakeholders. Preparation of the stakeholder engagement plan and selection of tools should stem from the reform objectives and vision. Once the stakeholder engagement activities are decided – such as creating a reform steering committee or a citizen assembly – closing feedback loops by telling stakeholders how their views were incorporated in the reform is critical.

Chapter 6 provides guidance on the Strategic Communication pillar. The success of reforms and projects often depends on raising awareness and sensitizing large groups of stakeholders such as champions, implementors, opponents, and beneficiaries. It is important to keep stakeholders informed, engaged, and to build a shared understanding of changes introduced by a reform, to achieve the necessary support from key stakeholders for recent changes. Given that different stakeholder groups will naturally have varying objectives, it is vital for the reform team to agree on overarching and subsidiary objectives of the strategic communication plan before deciding on key messages and the channels by which to reach the stakeholders. Once objectives for the strategic communications process are established, a narrative and key messages can be developed. Strategic communicators can take advantage of a variety of tools to create a comprehensive approach to strengthening coalitions and advancing reforms. Not all messages need to be delivered by the reform sponsor. Often, it is better that they are not. After all, there is a clear bias from the reform team toward the reform.

Chapter 7 provides guidance on Monitoring and Evaluation for CB&CM plans. This chapter draws on methods used both inside Bank operations and in academia to illustrate how to design interventions that can be monitored, measured, and evaluated using a results framework. Using a results framework along classic parameters poses several challenges in CB&CM work. The steps for building a successful results framework include identifying the following: results information required; institutional constraints, objectives, and outcomes; measurable indicators for the results framework; and progress markers and monitoring information. Selecting the right method to use is highly context-specific and contingent on factors such as available resources, time, and an ability to collect relevant data before and during implementation.

Chapter 8 provides final reflections and discusses future directions of CB&CM work under the Coalitions for Reforms (C4R) program. It also proposes a way forward to systematically measure the impact of reforms and policy implementation effectiveness of the approach. To keep growing the body of evidence and promote rigorous evaluation of the approach proposed, the implementation and deployment of the approach will include the collection of baseline data on projects using the approach which can be potentially compared to a control group of projects that do not integrate CB&CM, using methodologies for sensible inference in very small samples. By investing in research and continued use of CB&CM approaches, the World Bank and other development partners can significantly enhance the effectiveness of development reforms, contributing to more sustainable and equitable development outcomes.

1

INTRODUCTION

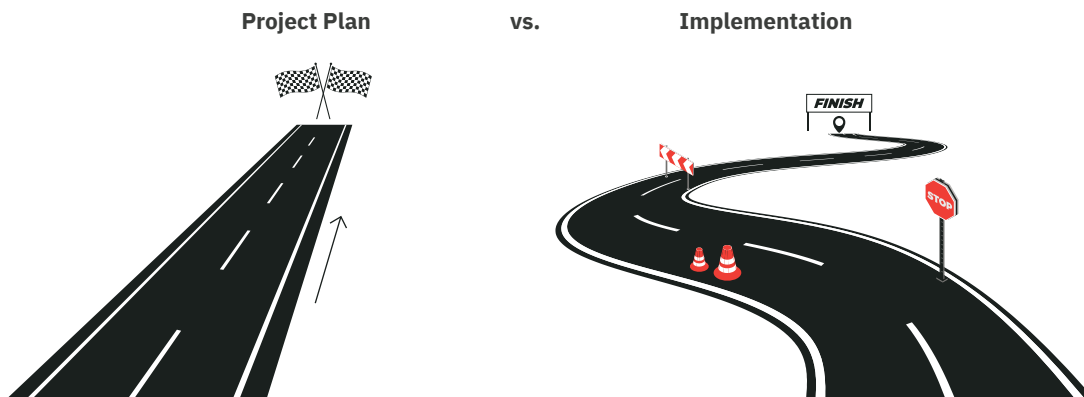
This chapter first outlines the challenges that can lead to reforms and policies not being effectively implemented. These challenges often consist of limited commitment, cooperation, and coordination among stakeholders. The objective of the toolkit is to provide practitioners and reformers with an integrated approach to coalition-building and change management, composed of a collection of evidence-based tools that can be deployed to support change, either through a coalition-building and change management plan or as part of a broader program or project. This chapter provides general definitions to key terms such as “change management” and “coalition building.” It also presents a broad outline of the general approach covered in the tools discussed in the chapters that follow. The three-step approach consists first of scoping and diagnostics to gather detailed knowledge on the context and readiness to change for a reform or the implementation of a policy. Second, the elaboration and implementation of a coalition-building and change management plan to deliver effective change. Third, the monitoring and evaluation of that plan to track progress, adapt the strategy, and measure impact. The chapter concludes with a discussion on the evidence underpinning the approach and outlines the results framework.

WHY MANY REFORMS AND POLICIES FAIL

The success of reforms and policy implementation often hinges more on the human aspects than on the technical ones. For a long time, the predominant view in the field of development was that the right technical design was all that was needed when designing policies to improve the lives of people. However, this view omits the behavioral and socio-political aspects of change which can often determine the success or failure of a reform (Kleinfeld 2015 and Figure 1.1). As noted in World Development Report 2017: “Policy making and policy implementation do not occur in a vacuum. Rather, they take place in complex political and social settings, in which individuals and groups with unequal power interact within changing rules as they pursue conflicting interests. The capacity of actors to commit, and their willingness to cooperate and coordinate to achieve socially desirable goals is what matter for effectiveness.” This fact was also recognized by the United

Kingdom’s Foreign, Commonwealth & Development Office (FCDO) (formerly the Department for International Development [DFID]) in 2010, when the organization coined the term “policy implementation gap”¹ following a review of ten years of engagements on the politics of poverty, and the intersections between elite, citizens, and government effectiveness (Box 1.1).

Figure 1.1 Change Is Often More Complicated than Planned



Source: Authors.

World Bank programs and projects have not been immune to reform and implementation challenges. Political economy and governance risks are some of the most common causes of delays and underachievement of objectives in World Bank engagements. This is documented in a recent World Bank’s Independent Evaluation Group (IEG)² review of systematic country diagnostics, which identified political economy as the most important knowledge gap reported. The prevalence of these two risks also appears in the World Bank’s risk measuring framework for operations (called the SORT) where political and governance risks are often rated as high (16 percent) or substantial (31 percent), the highest among all types of risks. Additionally, the department responsible for providing guidance to projects, the Operations Policy and Country Services (OPCS),³ also documented these risks in a recent review of Implementation Completion and Results Reports (ICRs) which affirmed the important relationship that exists between quality at entry and achieving the desired outcomes.⁴ The OPCS paper also pointed out that the impact of political and governance risks on quality at entry and final outcomes of a project are more significant than technical design risks.

1. DFID (Department for International Development). 2010. *The Politics of Poverty: Elites, Citizens and States: Findings from Ten Years of DFID-Funded Research on Governance and Fragile States, 2001–2010*. London: DFID. <http://www.dfid.gov.uk/Documents/publications1/evaluation/plcy-pltcs-dfid-rsch-synth-ppr.pdf>.
2. World Bank. 2017. World Bank Group Country Engagement: An Early-Stage Assessment of the Systematic Country Diagnostic and Country Partnership Framework Process and Implementation.
3. OPCS at the World Bank is responsible for developing and deploying policies and procedures to improve the lending and knowledge work of the institution.
4. Ashton et al 2021, <https://openknowledge.worldbank.org/server/api/core/bitstreams/850f92df-01bf-51f4-b01b-e467d7815295/content>.

Box 1.1 Lessons Learned from 20 Years of United Kingdom Support to Nigeria

A 2021 report by the Overseas Development Institute (Piron et al 2021) analyzes 20 years of governance programs in Nigeria funded by the United Kingdom's DFID (later FCDO) in the North-western states of Jigawa (2001–2021), Kano (since 2005–2021) and Kaduna (since 2006–2021), as well as the North-eastern state of Yobe (since 2011–2021). The report's main research question was whether, how, under what conditions and for whom UK-funded state-level governance programs in Nigeria had contributed to sustained changes in governance, and related changes in health and education.

The report found that political economy contextual factors, and the ability of programs to understand and make use of them through “causal mechanisms” to support change, were the most important determinants of whether and how external governance programs were likely to influence core governance or service delivery processes. The level of political competition emerged as the main factor to understand reform prospects.

The United Kingdom-sponsored governance program contributed to institutional transformation, which explains sustained improvements, by creating new dynamics among citizens' representatives, the bureaucracy, and politicians. The most progress on outcome indicators occurred when there were elements of empowerment and accountability: participation, transparency, and accountability. The successful programs avoided confrontational advocacy strategies, and instead developed coalitions involving politicians, government officials, sector professionals, citizens groups, and media. The report's main lesson was to never focus solely on reform internal to government systems without considering how participation, transparency and accountability will also be promoted.

Reform and policy implementation gaps appear when there is persistent discrepancy between a current state of things and the desired state. The current situation is the result of a particular context and way of doing things. Existing mindsets, organizational structures, interest groups, and vested interests,⁵ as well as incentives account for the status quo and outcomes. Moving toward the desired state requires change. Assumptions, mental models, and behaviors have to be reviewed and modified. Reducing the gap is a unique coalition-building and change management (CB&CM) challenge. Stakeholders within complex networks have to update their attitudes, modify their behaviors, and collaborate with a focus on reaching the desired state. They also need to be mobilized, motivated, and coordinate to work together in new ways. Stakeholders need to see, think, and behave differently.

WHAT TO EXPECT IN THIS TOOLKIT

This toolkit aims to support the implementation of development reforms and policies through an integrated and evidence-based approach to coalition building and change management (CB&CM)—Box 1.2 provides definitions of these concepts. It therefore assembles tools that experienced change experts currently use and provides general guidance to help reformers

5. For the purpose of this toolkit, interest groups are any group of people who could be affected or looking to influence a reform or policy. Vested interests are individuals or groups who are invested in the status quo and who would be affected by changing this status quo. Either groups can have good reasons to support or oppose a reform and some interventions presented in this toolkit will look to foster ownership to be with supporters but also have to manage the “vested interests” who may oppose it (initially at least).

and practitioners in designing a coalition-building and change management strategy that fits their context. The tools presented are from various fields including political economy, change management, stakeholder engagement, and communication. They have been shown through experience and rigorous research to help in addressing the complex challenges identified. Together, the tools aim to:

- Familiarize reformers and practitioners with the experiences and research underlying CB&CM approaches and demonstrate their impact on complex reforms and public policies.
- Provide practical guidance on structuring and deploying the many tools that exist for CB&CM. The toolkit outlines a systematic process for design, implementation, and closing of a CB&CM plan
- Help mitigate change challenges and identify opportunities for reforms and development programs such as a lack of mobilization and coordination of actors on one hand and scaling impactful locally led initiatives on the other.
- Ensure the consolidation of changes through strong leadership, stakeholder engagement, communication, and by measuring and sustaining impact.

Box 1.2 Defining Key Concepts

Coalition Building

- Coalition building is the process through which a group of stakeholders are mobilized and organized to work together on a common purpose in a deliberate and sustained manner. Coalitions can help build political support for a reform, bring in broader perspectives from marginalized communities, and counteract the influence of vested interests.⁶
- A coalition is a group of people and/or organizations that agree to share resources (human, financial, and other) that can be tangible, such as technical expertise, or nontangible – for example, group and network representation, convening power – and to work together to achieve shared goals while retaining their separate identities.
- Coalitions are different from organizations because a coalition’s constituent parts typically maintain their separate identities. Coalitions are not movements because coalition members have the agility to navigate complex contexts and do not primarily create impact through their size, which movements do. Coalitions are not networks because coalition members share goals and are committed to joint action while networks often share knowledge or information as much as they promote collective action; when networks involve action in the interests of shared goals, they overlap with coalitions.
- In Cabañero-Verzosa et al. (2011), building a coalition consists of the following steps: Issue Identification and Specification, Relationship/Stakeholder Mapping, Forming Core Membership, Demonstrating Credibility, Purposeful Expansion, Sustainable Transformation.

6. Nicola Nixon et. al. On the right track: reflections on coalition building initiatives across The Asia Foundation, The Asia Foundation, February 2023.

Change Management

- Change management is broadly defined as “the process of helping people understand the need for change and to motivate them to take actions, which result in sustained changes in behavior.”⁷
- Effective change management helps minimize resistance, improve engagement, and ensure a smoother transition. It involves planning, communication, training, and continuous monitoring to ensure a smooth transition. Change management tools can help organizations manage change effectively by providing structure, clarity, and support throughout the process.

The toolkit is designed to support changemakers and reformers to identify and leverage opportunities to improve the uptake and sustainability of the proposed reform. The toolkit takes stock of the existing CB&CM tools and of the evidence supporting their efficiency to present a curated list to the reader. It is meant to provide general guidance and broadly cover the existing landscape of knowledge to a reformer or a project team for the development of a strategy and an action plan. The goal is to give them the general knowledge of concepts and tools necessary to help them understand what exists, identify opportunities to strengthen reform implementation with CB&CM approaches, and commission the right expertise to integrate these approaches. The tools presented in the following chapters can be selected based on the requirements for a particular reform. The reformer or project team should mix and match the various steps and tools into a tailored plan.

It is important to note that this toolkit is not meant to turn the reader into a change management expert, provide an in-depth training of every tool, be prescriptive, or to introduce new frameworks or tools. In this way, the toolkit stands on the shoulders of many great thought leaders, researchers, and groups, including within the World Bank such as the Political Economy Community of Practice, the Collaborative Leadership for Development (CL4D), and the Communication for Governance and Accountability Program (CommGAP).

The target audience for this toolkit includes policy makers, reformers, development practitioners, and NGOs. This may include dedicated managers and leaders of government reforms or development projects. The toolkit can prove useful to a dedicated *change expert or reform team* that will serve as change management focal points advising a reform unit or the project team. Users can also include partners and stakeholders looking to support the success of reforms. Each of these potential readers can use the toolkit in different ways. Managers and policy makers can use the toolkit to train their own teams or recruit experts to support them in building coalitions and managing the change needed to advance their development reforms. *Change Experts* can use the toolkit as a reference to guide them through the steps of preparing and implementing a CB&CM plan. Development practitioners and project leaders can use the toolkit to inform how they discuss the planned activities during project preparation or to guide consultations with governments and partners.

7. Hughes, Caroline, Sokbunthoeun So, Erwin Ariadharma, and Leah April. 2017. “Change Management That Works: Making Impacts in Challenging Environments.” Policy Research Working Paper No. 8265. Washington, DC: World Bank Group. <https://openknowledge.worldbank.org/server/api/core/bitstreams/83ccc437-e107-53c1-95ce-b4911cb171c1/content>.

INTRODUCING THE CB&CM APPROACH

The process of preparing a CB&CM plan consists of the following three steps.

Step 1: Scoping and Diagnostic. This step builds on key principles and diagnostic tools to ensure proper contextual awareness underlying the CB&CM strategy and how it will be integrated into the broader reform action plan or the development project. It consists of defining the development problem, assessing readiness to change, anticipating potential resistance as well as sources of support, and identifying what resources will need to be included in the plan to build on the identified opportunities for change.

Step 2: Preparing the CB&CM plan. This step is the core of this toolkit and usually consists of developing a strategy covering the three main pillars of a CB&CM plan: Leadership and Skills, Multistakeholder Engagement, and Strategic Communication. The strategy can be a standalone one or be integrated as part of a broader reform plan which would include both the technical and human aspects. In the World Bank's case, this could mean including the CB&CM activities as a change management component alongside the technical components.

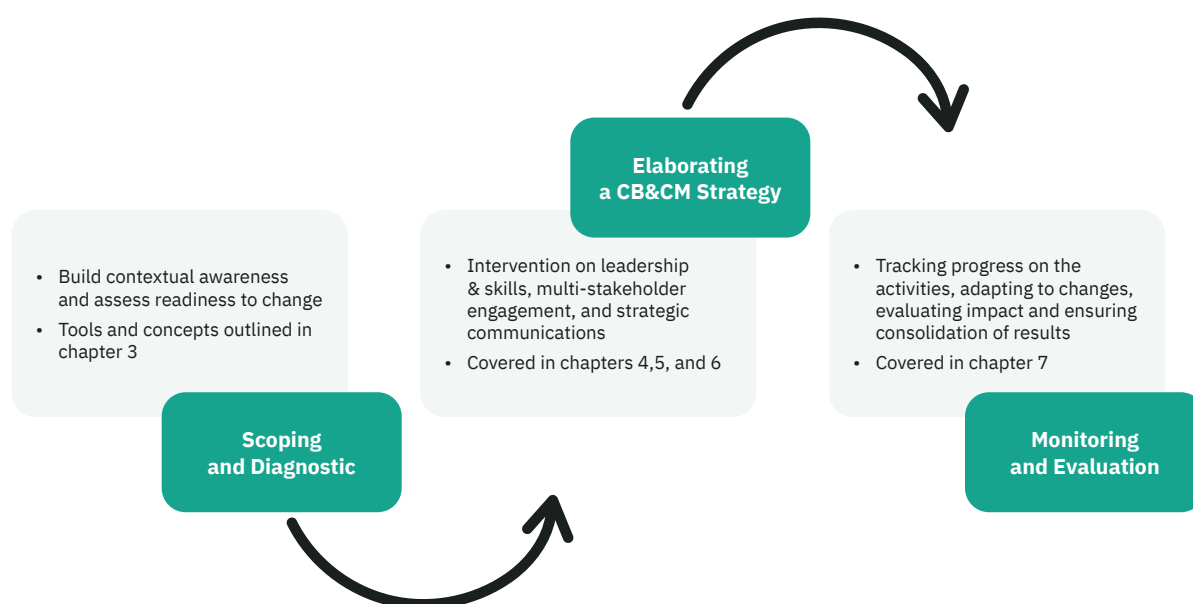
Step 3: Monitoring and Evaluation. This step involves the design of a results framework and monitoring plan to track implementation and measure the impact of the CB&CM activities. It should also include reflections for consolidating the change that was supported by the activities after the closure of the CB&CM plan and on the gathering of lessons learned from the engagement.

These steps can be done once sequentially or repeated in multiple iterative cycles such as through an adaptive project management approach (Figure 1.2). Several activities may be incorporated into these steps at various stages, and steps may need to be adjusted or repeated if contextual shifts occur – for example, in elections, change in management or priorities, shifts in public opinion, unforeseen crises, disasters, and so on.



Nugroho Nurdikiawan Sunjoyo / World Bank

Figure 1.2 A Three-Step Approach to Coalition Building and Change Management



Source: Authors.

Ideally, the three steps should be aligned with the policy or project cycle it is meant to support, but it can also be deployed during implementation to help advance a blocked process.

Often, the greatest positive impact on development outcomes occurs when CB&CM activities are incorporated at the design stage of the reform or project when they can also support the design of the reform or policy. They can then be monitored and updated. This allows the CB&CM plans to prepare the way for the reform or project to anticipate and mitigate key challenges before they block any reform process. However, this is not the only scenario. Many reforms or projects do not include such a plan at the design phase and shifts in the authorization environment may mean that blockages only appear during implementation. In these cases, CB&CM plans become an approach to address bottlenecks in project performance. The various activities and tools included in this toolkit are designed to address different CB&CM challenges. Some of these are diagnostic in nature, while others only become useful when the project becomes stuck or when unforeseen bottlenecks appear.

A CB&CM plan typically consists of three key pillars.

Pillar 1: Leadership and Skills. The tools under this pillar provide skills and improve the work environment to increase motivation, coordination, and cooperation within a given public organization.

Pillar 2: Multistakeholder Engagement. The tools under this pillar help enhance coordination, prioritization, and accountability across public organizations and between government and civil society. Delivery approaches are structured processes within the government that aim to rapidly improve bureaucratic functioning and policy delivery. Civil society platforms have proven essential

in fostering inclusive decision-making processes, ensuring reforms address societal needs while building broad-based support for implementation.

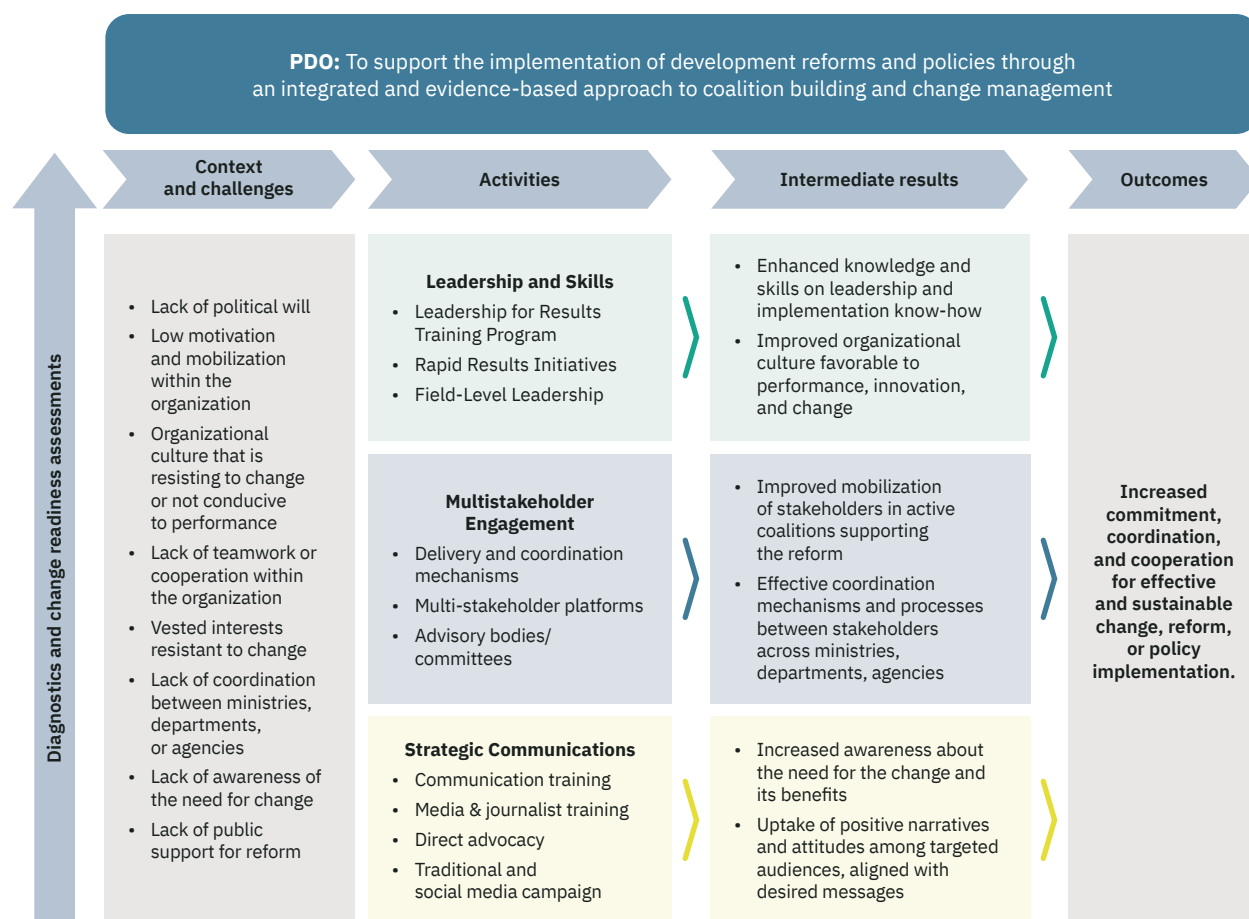
Pillar 3: Strategic Communication. Tools under this pillar help raise awareness and sensitize large groups of stakeholders such as champions, implementors, and beneficiaries. The objective of strategic communication is to achieve the necessary support for recent changes from key groups by keeping them informed, engaged, and by developing a shared understanding of changes introduced by a reform.

These three pillars are outlined to facilitate the design of the CB&CM plan while acknowledging that there is a symbiotic relationship among the approaches, frameworks, and tools included in the pillars. Thus, while the elements and tools from these three pillars are presented separately in this toolkit, they may be interdependent once designed in the CB&CM plan. Annex 1 presents a detailed checklist to guide the reader through the process of designing a CB&CM plan and where to find the relevant resources in this toolkit. For example, an activity under Pillar 2 could consist of setting up a reform secretariat under a steering committee, which could then be strengthened through leadership training to the secretariat's team under Pillar 1. This introduces the fact that the sequencing of when specific tools will be introduced to the different stakeholders will likely need to be intentional and tailored to the country context. Further, tools do not always fit neatly in only one pillar. For example, rapid results initiatives often combine multistakeholder engagement with leadership elements, and a communication campaign can touch broad groups of stakeholders as well as more defined ones.

EVIDENCE UNDERPINNING THE APPROACH AND THE TOOLS

The approaches and tools proposed in this toolkit are supported by a large and growing body of evidence from previous applications, institutional reviews, and academic literature. This evidence is detailed in Chapter 2 and comes from a variety of sources, including reviews of applications from extensive experience within the World Bank, and a growing body of evidence from academic literature. The World Bank has a long history of applying many of these tools as part of its effort to integrate political economy and change management within its programs and projects. The toolkit builds on the lessons learned from more than 20 years of work at the World Bank through a series of initiatives such as the Political Economy Community of Practice, CommGAP, CL4D, and many others. Impactful examples and lessons learned from these initiatives are included throughout this toolkit to illustrate applications of the tools. The evidence and experiences also support the development of the results framework for the toolkit, as shown in Figure 1.3.

Figure 1.3 The Coalition Building and Change Management Results Framework



Source: Authors.

Institutional reviews covering large numbers of World Bank projects have repeatedly highlighted the importance of change management and coalition-building aspects. Many reports from the World Bank’s Independent Evaluation Group (IEG) – such as the 2016 review, *The Role of Political Economy Analysis in Development Policy Operations*, the 2023 IEG Evaluation Insight Note, *Elements That Enhance Institutional Capacity Development in World Bank Projects and Country Partnerships in Sub-Saharan Africa*, and the 2017 Systematic Country Diagnostic stocktaking – advocate for more political economy and change management to support effectiveness and outcomes. Many World Development Reports (WDRs) have highlighted the role of these approaches, with two key ones being WDR 2017 on *Governance and the Law*, and WDR 2015 on *Mind, Society, and Development*.

Researchers in academia are increasingly using rigorous empirical methodologies to validate the impact of the tools presented in this toolkit. The most convincing evidence to support the approach and tools described in this toolkit come from meta-studies and randomly controlled trials published in peer reviewed journals covering the fields of management sciences, political economy, development economics, and behavioral sciences. These papers cover the importance of managerial skills, organizational culture, delivery mechanisms, state-society synergy coalitions, and communication campaigns.

STRUCTURE OF THE TOOLKIT

The remainder of this toolkit is structured as follows. Chapter 2 presents a detailed review of the literature, including previous iterations of World Bank programs aimed at supporting change in operations, institutional reports detailing the use of tools and frameworks for change management, and academic literature related to the three pillars of CB&CM plans. Chapter 3 presents the main process and tools used as part of scoping and diagnostics to establish the foundational knowledge and contextual awareness for CB&CM plans. Chapter 4 provides guidance on the Leadership and Skills pillar of CB&CM; chapter 5 on the multistakeholder pillar; chapter 6 on the Strategic Communication pillar; and chapter 7 on Monitoring and Evaluation for CB&CM plans. Finally, Chapter 8 offers concluding thoughts and proposes a research program to further develop the approach proposed in the toolkit.

2

BACKGROUND AND EVIDENCE REVIEW

This chapter consolidates the evidence from the literature and from a long history of applying related interventions to World Bank projects. First, it presents a brief review of the evidence for the use of political economy, change management and coalition building in development and documents what we know of the impact and effectiveness of the tools proposed in the later sections of the toolkit. Next, the chapter provides background on past and current World Bank programs and initiatives that have supported the use of these interventions through the years. Many of these programs have developed tools and frameworks which this toolkit builds on, including the Political Economy Community of Practice, the Communications for Governance and Accountability Program, and the Collaborative Leadership for Development program.

An indication of the usefulness of change management and coalition-building elements is their increasing inclusion in development programs and projects. Implementation challenges have always affected development programs. To address them, development institutions and governments have increasingly integrated various elements from CB&CM as part of project design and implementation. For example, there are three clear ways in which approaches originating in CB&CM have been incorporated in World Bank operational standards. First, all investment projects must include a theory of change, a results framework, and make explicit the assumptions underlying both—tools which originate from the field of change management. Second, the use of implementation arrangements such as project implementation or coordination units is grounded in change management practices (see Chapter 5). Third, stakeholder consultation and engagement, now mandatory for all projects, is a way to build coalitions during project preparation.

EVIDENCE OF COALITION BUILDING AND CHANGE MANAGEMENT EFFICACY FROM ACADEMIC AND EMPIRICAL LITERATURE

Academic literature contains a growing body of evidence of the effectiveness and impact of the core tools presented in this toolkit. This evidence can be gathered mainly from three branches of social science literature: management sciences,⁸ behavioral economics, and political economy of development. The evidence presented here highlights information from randomized controlled trials—the gold standard in terms of testing causal relations between treatment and effects—supplemented with other types of empirical evidence and meta-studies.

IMPACT OF LEADERSHIP, SOFT SKILLS, AND ORGANIZATIONAL CULTURE INTERVENTIONS

There is growing evidence of the importance of leadership skills and the quality of the work environment as drivers of productivity for workers. While much of this literature is concerned with the productivity of private sector workers and managers, most of their results are likely transferable to public sector workers, something corroborated by a few public sector papers.

Leadership and manager skills matter for the productivity of their teams. In her 2022 *Econometrica* paper (Fenizia 2022), the author uses Italian administrative data containing an output-based measure of productivity and the rotation of managers across sites to show that a one standard deviation increase in managerial talent raises office productivity by 10 percent. Andrews et al. (2010) explore what it takes to make change happen in the context of fourteen interventions in eight different developing countries—Afghanistan, Burundi, Central African Republic, Kenya, Kosovo, Rwanda, Sierra Leone, and Uganda—and particularly the role leadership plays in bringing about change. They find the characteristics of plurality, functionality, problem orientation, and change space creation are likely to be common to all successful leadership-led change events. Similarly, adopting improved management practices raises productivity and can result in lasting gains. Rasul and Rogger (2018) considered the completion rates of 4,700 projects from the Nigerian Civil Service and found evidence that management practices mattered: increasing bureaucrats' autonomy is positively associated with completion rates, yet practices related to incentives/monitoring of bureaucrats are negatively associated with completion rates. Rasul, Rogger, and Williams (2021) surveyed Ghanaian civil servants across 45 organizations and novel administrative data on over 3,600 tasks, and found that management quality is positively related to task completion.

Management and soft skills training have been shown to increase performance and motivation. Banerjee et al. (2012) report that for an experiment in the public sector of the State of Rajasthan in India, the authors designed and implemented four interventions to improve police performance and the public's perception of the police in 162 police stations – covering over one-fifth of the State's police stations and personnel. The results showed that soft-skills training improved police

8. To a limited extent, this also includes financial or corporate economics, which has increasingly been looking at the importance of skills beyond the direct production line and to the quality of the work environment itself as important drivers of productivity for workers.

effectiveness and public and crime victims' satisfaction more significantly than other treatments such as community-observers and weekly duty rotation with paid time off. Bloom et al (2013) ran a management field experiment on large Indian textile firms where they provided free consulting on management practices to randomly chosen treatment plants and compared their performance to a set of control plants. They found that adopting these management practices raised productivity by 17 percent. They also showed that these gains persisted in a further paper, Bloom et al. (2020), and that nine years later, there remained a significant performance gap between treatment and control plants, suggesting lasting impacts of effective management interventions.

Improvements in organizational culture have been shown to also impact performance and work motivation. Akan et al. (2023) evaluated the impact of a training program aimed at improving the relational atmosphere in the workplace. The program encourages prosocial behavior and the use of professional language, focusing primarily on leaders' behavior and leader-subordinate interactions. They used a clustered randomized design involving over 3,000 headquarters employees of 20 large corporations in Türkiye and found that treated firms had a lower likelihood of employee separation at the leadership level, fewer employees lacking professional and personal help, and denser, less segregated support networks. They also found that employees in treated corporations were less inclined to engage in toxic competition, exhibited higher reciprocity toward each other, and reported higher workplace satisfaction and a more collegial environment. Grindle (1997) analyzed data from 29 organizations in six countries to conclude that the concept of organizational culture provides a useful hypothesis to explain why some of them performed better than others. Also, Martinez et al (2015) studied both the effect of management on organizational culture⁹ and the effect of organizational culture on performance. They describe an intervention that dramatically improved organizational performance. This intervention conspicuously included a culture-change component. For an excellent review of the literature, see Zingales 2024. Another study, based on a survey of 23,000 civil servants across countries in Africa, Asia, Europe, and Latin America, found that higher levels of self-reported performance orientation in public administration—civil servants reporting that performance mattered for promotion and rewards—were correlated with higher levels of self-reported satisfaction and work motivation (Meyer-Sahling et al. 2018).

Leadership and culture matter for innovation. The two interrelated and complementary concepts of “leadership” and “culture” have been emphasized in a growing body of literature as driving technological innovation in the public sector (Van Wart 2003; De Vries, Beckers, and Tummers 2016). The academic literature on innovation in public and private sector organizations has emphasized the role of leadership in innovation (Orazi, Turrini, and Valotti 2013). Transformational leaders understand that technological innovation requires changes in the implementation of existing tasks and play a proactive role in ensuring that organizations adjust their ways of doing things to the requirements of the new technology (Ebrahim and Irani 2005).

9. Which the authors define as: “a pattern of basic assumptions—invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration—that has worked well enough to be considered ... the correct way to perceive, think, and feel in relation to those problems.” (Martinez et al. 2015)

IMPACT OF STAKEHOLDER ENGAGEMENT AND COORDINATION MECHANISMS FOR REFORMS

There is an abundance of anecdotal and qualitative evidence supporting the use of stakeholder engagement and coalition-building intervention to support reforms and change, but experiments and large-scale empirical evidence are harder to find. Nonetheless, a few large reviews strongly support these approaches.

Coordinating among stakeholders within the government has been critical for the success of reforms. Many reforms require coordination among multiple stakeholders within the government either across multiple agencies and departments within one ministry and even across multiple ministries. Delivery approaches have been developed and implemented across the world to support this work, and many reviews of their effectiveness are starting to be published. In Mansoor et al. 2021, the authors identified 152 instances of delivery approach adoption from 80 different countries, ranging from the center of government down to provincial and local levels, with an accelerating trend of adoption since 2010. In Inter-American Development Bank (2018), the researchers asked whether the delivery units delivered the highest government priorities in the Latin America and Caribbean region. The study analyzed 14 country cases that have taken place in the areas of citizen security, education, health, infrastructure, and citizen services, among others. The report found that delivery units contributed to achieving intermediate results, and the delivery units' value added appears to be greater when faced with challenges that require multisectoral interventions.

Many reforms have also been shown to benefit from building coalitions between public sector reformers and civil society through multistakeholder engagement. A large body of work in the fields of comparative politics and sociology studies the role of state-society synergy for reforms which originated with a seminal paper by Evans 1996. In their literature review, the Developmental Leadership Program at the University of Birmingham (Pfeiffer 2012) found strong evidence for “reform coalitions”—coalitions between policy makers and members of the business community that work together for the intended purpose of achieving economic reforms—as being central to the development paths of many countries. In Fox (2023), the author used process tracing, combined with qualitative comparative analysis, to identify patterns of mutually reinforcing interaction between reformist government actors and socially excluded citizens across 19 cases in the global South for a wide range of contexts and sectors. The paper documented how the dynamic of broad-based collective action they produced could overcome obstacles, and when mutual empowerment led to inclusionary power shifts. The role and impact of institutionalized coproduction of public service delivery by coalitions of citizens and the state is further explored in Joshi and Moore (2004). From their review, the authors conclude that these coalitions are widely found, and may constitute the best available alternatives, especially in environments where public authority is unusually weak.

Involving civil society through transparency and participation measures has been shown to increase effectiveness of reforms and policy implementation. In his review which informed the WDR 2017, and Fox (2015) showed through a meta-analysis of 25 quantitative evaluations that “sandwich strategies” of mutually empowering coalitions of pro-accountability actors in both state and society can have substantial positive impact on policy implementation. Gaventa and Barrett (2011) report on a meta-case study analysis of a ten-year research program on

citizenship, participation, and accountability which analyzed a non-randomized sample of 100 research studies of four types of citizen engagement interventions in 20 countries. By mapping the observable effects of citizen participation through a close reading of these studies, the authors find that these interventions can contribute to improved governance and development outcomes. The IEG Note (2023), *Evaluation Insights Note: Elements That Enhance Institutional Capacity Development in World Bank Projects and Country Partnerships in Sub-Saharan Africa*, sought to answer the question: “How can the World Bank help address institutional capacity development needs in Sub-Saharan Africa?” Based on the body of work of the Independent Evaluation Group from 2008 to 2022, they find that strengthening the ownership of interest groups arises as the most important dimension of institutional change in World Bank projects and country programs signifying that its prioritization can help enhance results.

IMPACT OF COMMUNICATION AND BEHAVIORAL MESSAGING

Behavioral economics and social science literature is rapidly growing the body of evidence on the impact of communication campaigns to change behaviors, norms, and attitudes of large groups of citizens and public servants. Hallsworth et al. (2017) present results from two large-scale natural field experiments that tested the effect of social norm messages on tax compliance. Using administrative data from more than 200,000 individuals in the United Kingdom, the authors show that including social norm messages in standard reminder letters increases payment rates for overdue tax with one treatment effect of 5.1 percent, which represented a £2.367 million increase in taxes paid within 23 days. In Alesina et al. (2018), the authors show that their experimental treatment—communication and messages meant to make the treated group more pessimistic about mobility across income ranges¹¹—has a large and significant first stage effect on mobility perceptions and preferences for redistribution, and that the effect persists one week later during a follow-up survey. De Neve et al. (2021) ran four natural field experiments varying the communication of the tax administration with the universe of income taxpayers in Belgium throughout the tax process. A consistent picture of the effect of communication on outcomes emerged across experiments: (1) simplifying communication substantially increases compliance, (2) deterrence messages have an additional positive effect, (3) invoking tax morale (defined as the intrinsic motivation for paying taxes as a moral good) is not effective and often backfires.

The impact of communication on compliance with public health policy and policy preferences for climate change are also well documented. Bavel et al. (2020) demonstrated the importance of effective science communication during the COVID-19 pandemic. On climate change, a recent paper by Dechezlepretre et al. (2022) showed through experiments that information specifically addressing key concerns of respondents can substantially increase the support for climate policies in many countries. In Linos et al (2023), the authors show the effect of government communication and the importance of the design of the campaign. They show that formal government communication is more effective at influencing resident behavior than informal one and that the formality operates as a heuristic for credibility and importance. In Dimant et al. (2022), the authors review the behavioral science literature on encouraging adherence to public health guidelines and reducing vaccination hesitancy. They also report the variation in effectiveness of seven different messages compared to a baseline message which strongly depends on their design.

11. See also Kuziemko et al 2015.

Communication and nudging¹² campaigns have been shown to have cost-efficient impact both for large scale campaigns and to support performance and well-being in the public sector.

In their piece in *Econometrica*, DellaVigna and Linos (2022) present a meta-study on the work of two major “Nudge Units”: the Behavioral Insights Team (BIT) North America, which conducts projects with multiple US local governments, and the Office of Evaluation Sciences (OES), which collaborates with multiple US Federal agencies. In the paper, the authors confirm the large and statistically robust impact of the interventions from these units. Examples include a letter encouraging servicemembers to re-enroll in their Roth Thrift Savings Plans, and a postcard from a city encouraging people to fix up their homes to meet code regulations. Linos et al (2021) reported on a multicity field experiment (n=536) in the United States aimed at increasing perceived social support and affirming belonging among 911 dispatchers. They find that a six-week intervention that prompts dispatchers to share advice anonymously and asynchronously with their peers in other cities reduces burnout by 8 points (0.4 SD) and cuts resignations by more than half (3.6 percentage points) four months after the intervention ended. They provide supporting evidence that the intervention operates by increasing perceived social support and belonging in an online laboratory experiment (n=497).

IMPACT OF CB&CM ACTIVITIES IN WORLD BANK PROJECTS

The World Bank has had multiple internal programs tasked with supporting the adoption and use of these tools in operations. Key examples include the current Political Economy Community of Practice (PE CoP) and the sunset CommGAP and CL4D programs. Today, the Coalitions for Reforms (C4R) Global Program is combining the tools and lessons from these programs to revitalize a structured programmatic approach for CB&CM within the World Bank Group and for use of a range of development partners and governments. The key elements of these programs are highlighted below, and Annex 2 contains longer descriptions of their achievements and underlying theories.

POLITICAL ECONOMY COMMUNITY OF PRACTICE (PE COP)

The World Bank’s Political Economy CoP emerged in the early 2000s and is still active today. As outlined in an early guidance framework,¹³ it has the objective of systematizing approaches to governance and political economy analysis and to provide readily available orientation for World Bank task team leaders and country management teams. Since its early years, the PE CoP has promoted the use of problem-driven political economy analysis to support innovative approaches to operations.¹⁴ Its official resources documents include several recent evaluations that underline

12. This toolkit will not be covering in depth behavioral types of campaigns and the reader is invited to consult the work and resources offered by the World Bank’s EMBED group. However, there is a sizeable overlap between communications and awareness campaigns presented in this toolkit and the more light-touch types of nudging campaigns that rely on sending well-designed messages and prompts.

13. *Problem-Driven Political Economy Analysis: Good Practice Framework 2009.*

14. The problem-driven approach to political economy analysis comprises working through three layers. The first layer is identifying the problem, opportunity or vulnerability to be addressed. The second is mapping out the institutional and governance arrangements as well as their strengths and weaknesses. The third is drilling down to the political economy drivers, both to identify obstacles to progressive change and to understand where a ‘drive’ for positive change could emerge from.

the need for understanding the political economy context of reforms more systematically and for considering this when designing and implementing reforms—for example, IEG 2006, 2008. With more than 300 members, the PE CoP has had a significant influence on World Bank programs and analytical work. The ideas it introduced have been greatly influential and featured considerably in the World Development Report 2017 on Governance and the Law.

COMMUNICATION FOR GOVERNANCE & ACCOUNTABILITY PROGRAM

The Communication for Governance & Accountability Program (CommGAP) was established as a global program under the External Affairs Department of the World Bank. It was created in 2006 through a 5-year multi-donor trust fund¹⁵ with the goals of developing approaches for utilizing strategic communications to support governance reform, influencing policy design and implementation, sharing lessons learned to strengthen the discipline of communication, and building a community of practice. CommGAP sought to form frameworks for national dialogue using communication approaches and techniques that link engaged citizenries, vibrant civil societies, plural and independent media systems, and open government institutions. CommGAP's core program was divided into three interrelated and mutually reinforcing areas of work: research and advocacy; training and capacity building; and operational support to development programs and projects. By the time it closed in 2011, CommGAP had published an array of new materials, and hosted the first “Executive Course in Communication and Governance Reform,” which is still being offered at the Annenberg Institute.

COLLABORATIVE LEADERSHIP FOR DEVELOPMENT PROGRAM

The Collaborative Leadership for Development (CL4D) program was conceptualized in September 2009 and hosted under the World Bank Institute. This program, built on Heifetz' Adaptive Leadership Framework,¹⁶ aimed to accelerate the implementation of development projects by addressing the “human” element that often impeded the pace of technically well-designed projects. CL4D focused on behavioral and leadership challenges that underlie these implementation gaps by equipping teams to build coalitions, engage stakeholders, and deliver results. It also adopted a multistakeholder approach to fostering collaboration and innovation, which helps address local challenges and achieve tangible outcomes. CL4D built teams' capacity to navigate complexity by mobilizing key stakeholders, building coalitions, and delivering results. At the time of its closure in 2016, CL4D had supported more than 100 project teams in over 420 countries and over 435 coalitions across sectors, including health and education (by addressing systemic barriers and improving service delivery), civil service reform (by promoting accountability, efficiency, and addressing entrenched bureaucratic challenges) and water, sanitation, and solid waste management (by fostering innovative and collaborative solutions to local challenges).

15. The founding donor of this trust fund was the UK's Department for International Development (DFID).

16. Heifetz, R., Linsky, M., 2002, *Leadership on the Line: Staying Alive through the Dangers of Leading*, Harvard Business Review Press.

COALITIONS FOR REFORMS GLOBAL PROGRAM

The Coalitions for Reforms (C4R) Global Program is the most recent and ongoing initiative working on mainstreaming this knowledge in World Bank engagements. It was launched in 2023 with the objective to address reform and policy implementation challenges by deploying an integrated approach to CB&CM. At its core, C4R combines tools to build leadership skills, establish coalitions, manage change, engage stakeholders, and deploy strategic communication. The C4R seeks to address limited uptake of political economy insights into World Bank engagement despite the amount of knowledge that has been gained. To tackle collective action challenges effectively, C4R focuses on an integrated and comprehensive approach to CB&CM focused on leadership skills, organizational culture, stakeholder engagement and coordination, strategic communication, and citizen-state relations. In addition to these elements, there are other ongoing initiatives at the World Bank, including GovEnable and Strengthening Client Capacity for Impact, which also aim to address delivery and implementation bottlenecks. Despite its recent creation, C4R has supported numerous World Bank operations and built a global partnership. In its first year of activity, C4R engaged on projects in 10 countries around the world by contributing to project design, addressing implementation challenges, facilitating standalone activities to help unblock specific issues, and supporting government dialogue. On the partnership side, C4R built internal and external partnerships—involving 32 external partners, including FCDO, The Asia Foundation, Stanford Center for Democracy and the Rule of Law, Global Affairs Canada, and the Organisation for Economic Co-operation and Development (OECD).

WORLD BANK REVIEWS OF THE IMPACT OF CB&CM INTERVENTIONS

Recent institutional reviews provide further evidence indicating positive impacts of change management and coalition-building within the World Bank portfolio. There is much anecdotal evidence of the impact of the approaches presented in this toolkit. Box 2.1 highlights one example and many others are spread throughout the other chapters to show practical applications of certain tools. There is no overarching review of these approaches but a few related reviews from the Independent Evaluation Group (IEG) present strong indicative evidence.

The 2016 IEG review, *The Role of Political Economy Analysis in Development Policy Operations*,¹⁷ highlighted the impact of political economy and contextual awareness. It found that one in six Implementation Completion and Results Reports (ICRRs)¹⁸ mentioned political economy analysis (PEA) either as a contributor to success or as a gap in cases of failure although there are no requirements in results reporting methodologies to reflect on political economy. The review also found that PEA can improve the design of World Bank projects that are specifically focused on policies—Development Policy Operations—by identifying implementation risks and mitigating actions.

17. It drew on the following sources: i) Independent Evaluation Group (IEG) reviews of implementation completion and results reports (ICRRs) of DPOs; ii) project performance assessment reports (PPARs); iii) program documents of 40 randomly selected DPOs and analytical products; iv) case studies on the use of PEA in DPOs from IEG evaluations and other World Bank studies; and v) interviews with task team leaders and managers.

18. Implementation Completion and Results Reports are formal WBG project results reports that have been evaluated by the Independent Evaluation Group.

Similarly, the 2023 IEG Evaluation Insight Note, *Elements That Enhance Institutional Capacity Development in World Bank Projects and Country Partnerships in Sub-Saharan Africa*, found that projects and programs with better institutional capacity development, tended to have higher outcome ratings.¹⁹ Of the projects rated as moderately satisfactory and above, 66 percent had reported measures showing institutional capacity development. In contrast, among cases rated as moderately unsatisfactory and below, only 10 percent reported positive institutional capacity development. In terms of institutional capacity development, the elements that the review found were the most significant were the ones related to CB&CM such as “the increasing of ownership of interest groups and the enhancement of organizational arrangements.”

Box 2.1 Example of Change Management for Local Agricultural Service-Delivery in Rural Niger

In Niger, climate change and food insecurity have long impacted agricultural livelihoods and local development. The agricultural sector – upon which most of the Niger’s population depends – was struggling to cope with erratic weather patterns, resource shortages, and underdeveloped infrastructure. To address this, the government launched the Strategic Climate Resilience Program. Among its flagship projects was the Maison du Paysan – “Farmer’s House” – communal hubs designed as multifunctional centers providing farmers with access to agricultural inputs, tools, and community services like food safety stock stores and even local radio stations for agricultural information dissemination.

By 2019, the government had constructed 32 Maisons du Paysan, but the rollout faced significant challenges. Local authorities grappled with resource mobilization and governance gaps. Many of these centers were underutilized, leaving critical agricultural services out of reach for the communities they were meant to serve. This underperformance highlighted a collective action bottleneck: without effective local leadership and systems to operationalize the centers, the ambitious project risked failing its purpose.

The turning point came when the Community Action Project for Climate Resilience (PACRC) implemented a results-driven, bottom-up approach. PACRC trained and deployed coaches to guide local leadership teams composed of mayors, municipal staff, and community members. The Rapid Results Initiative (presented in chapter 4) was deployed, and “results teams” were tasked with making eight newly constructed Maisons du Paysans operational within 100 days. Weekly WhatsApp meetings fostered accountability, and tailored roadmaps helped teams navigate milestones.

This approach redefined how local governments and communities collaborated. For instance, municipalities began developing annual budgets and plans to ensure the hubs’ sustainability. Standardized administrative procedures were introduced, enabling streamlined operations. Partnerships with private sector actors were mobilized, and women and youth were actively included in these processes, creating opportunities for broader community engagement.

The results were remarkable. By the end of PACRC’s tenure, the eight Maisons du Paysans were fully operational, delivering critical services such as agricultural input provision, equipment rentals, and financial microservices. These centers revitalized rural economies by enhancing access to vital resources. Communities reported improved agricultural yields, greater food security, and strengthened resilience to climate shocks. Farmers, especially women, benefitted from expanded access to tools and support systems, and municipal governments improved governance and financial accountability.

The success of this model underscored the importance of coaching, local ownership, and strategic leadership. Lessons from PACRC’s implementation showed that sustainability requires ongoing investment in human capital and adaptive systems. The story of the Maison du Paysan offers a blueprint for other nations striving to strengthen rural livelihoods amid climate challenges.

19. The analysis was based on the body of work of the Independent Evaluation Group (IEG) from 2008 to 2022.

3

SCOPING AND DIAGNOSTICS

This chapter introduces the scoping and diagnostics elements of the CB&CM process. It presents the main concepts, questions, frameworks, and tools that are used in these two phases to enable a practitioner to plan the implementation of these activities and to recruit the right expertise to undertake them. The objective of the **scoping** phase is to define the reform challenge and the potential needs and resources that will be required; discuss and preliminarily review available information; and plan a timeline for the engagement. The objective of the **diagnostic** phase is to provide a contextual awareness of the bottlenecks and pathways to change that will underpin the rest of the CB&CM strategy. This chapter also presents the most commonly used analytical frameworks and diagnostic tools for change readiness assessments. The frameworks include problem-driven political economy, the change management ADKAR framework, and COM-B, a behavioral model. Tools include systems change methods, stakeholder mapping, perceptions surveys, and media monitoring and sentiment analysis methods.

Developing a CB&CM plan requires a clear definition of the development problem as well as a detailed understanding of the challenges, resistances, opportunities, and constraints that a reform might face and of its social and institutional context. Two important phases that often precede the elaboration of a CB&CM plan are:

- The scoping phase, in which the team tasked with developing the plan will gather baseline information on the development problem, the reform or change proposed to address the problem, the resources available, the expertise needed, and whether there are remaining knowledge gaps which will require further diagnostics. Where the team is based in a partner organization and not directly in the government, then this phase should explore whether there are existing locally led changes that the team can build on to support the reform process, since reforms that are purely externally driven have a mixed track record of results.
- The diagnostic phase where, if needed, the team will conduct a change readiness assessment or a political economy analysis of the dynamics influencing the proposed change; a mapping of relevant stakeholders who may implement or be directly or indirectly

impacted by the change; or an assessment of the behavior and attitudes that will need to be modified. Diagnostics should be revisited iteratively throughout the implementation process to remain up to date and adapt to changes in the context on the ground. While the team will likely begin the CB&CM process with a broad idea of the development challenge the reform needs to address, insights from the diagnostic phase could contribute to nuance the development challenge—based on the perspectives of key stakeholders and beneficiaries—and inform the design of the reform.

SCOPING PHASE

The objective of the scoping phase is to gather the basic logistical and foundational information to start planning the CB&CM engagement. This begins with establishing a clear characterization of the reform or change desired. Next, the team can start outlining the expected challenges, opportunities, constraints, and resistances that could affect that reform. Finally, the team has to identify the potential needs and resources that will be required to prepare the elaboration of the CB&CM plan; review the state of knowledge from a preliminary review of available information; and plan a timeline for the engagement that allows for iteration and quick feedback loops on progress. Based on this information, future activities can be planned and programmed. Then, if knowledge gaps on the readiness for change or the context of the reforms remain, a change expert can plan for diagnostic activities to address them. In the scoping phase, dialogue needs to be formal and informal, allowing for conversations about behavioral motivations for change. Many methodologies and frameworks can be used to gather this information, and this chapter introduces some of the main ones. Annex 3 contains the “Coalition-Building and Change Management Scoping Note Template,” which provides detailed guidance on information that can be gathered during scoping.

During the scoping process, the team should arrange internal consultation and discuss with key stakeholders to respond to the following questions.

- **What is the targeted change or reform?** Identify the specific reform that is facing or expected to face bottlenecks, where there is public pressure for reform to take place, or where there is a reform issue with some common ground among key government stakeholders—and therefore potential momentum towards development objectives that are relevant to local conditions.
- **What is the overall readiness or resistance to change?** Assess the government or organization team’s readiness and willingness to undertake a CB&CM process to overcome bottlenecks and work in support of local interests and circumstances. This process should include government leadership driving the change as well as administrative stakeholders that will be expected to implement the policy or reform, because attitudes and readiness can differ within the government. The process should also identify nongovernment stakeholders relevant to the reform and their readiness and/or resistance.
- **What are the internal constraints and incentives?** Understand the institutional constraints and incentives of the reformers, their partners, and actors potentially blocking the reform—which may vary depending on political or institutional timelines, priorities, and strategies—and the potential synergies or tensions with other parts of the government’s development program.

- **Are there knowledge gaps?** Take stock of the existing knowledge related to the reform, such as technical reports, political economy diagnostics, surveys, and so on, including local research and data resources.
- **Who will be part of the team focused on the coalition-building and change management aspects?** Determine what expertise and diverse perspectives should be included in the team to fully embrace local conditions and challenges. Qualitative analyses of political economy are technically demanding. While this toolkit aims to provide the basic tools and concepts for practitioners and policy makers, it cannot replace on the ground experience and expertise.
- **What are the available resources and timeline?** Agree on a timeframe and resources that allow for an adaptive and flexible approach to the required CB&CM activities.

Prior to undertaking any reform or CB&CM process, it is important for the team to reflect on their preconceived views of the reform and any biases – personal, technical, organizational – that may limit their perspectives. For example, experienced project managers from development institutions are often well-versed in international good practices in their technical area. However, as discussed at length in Chapter 1, the “best practice” reform may not be the “best fit” reform for the context. Thus, the team must remain open to updating their understanding of the development problem based on stakeholder input as well as following the advice of client government counterparts when determining what tools and approaches will be most impactful. When a team is external to the government or organization it looks to support, it is also important that it is aware of how they may be perceived when discussing reform options with the stakeholders undergoing the reform, especially if there is a track record of broken trust or unsuccessful interventions. The team may need to take specific measures to ensure that dialogue with stakeholders and beneficiaries of the reform is open and authentic – eliciting as much as possible their honest inputs for the design of the coalition-building and change management process.

ACTIVITIES DURING SCOPING

A thorough scoping process will include a set of activities tailored around the team’s CB&CM objectives and the proposed reform. The following are key activities that are common in scoping—this is an indicative list, not an exhaustive one.

Team composition. The team doing the CB&CM scoping should be formed early in the process as their role will be crucial for the next step and they should be well integrated within the broader reform team to ensure a good alignment between the output of the analysis and the broader activity. In addition to the members responsible for the technical or sectoral aspects of the reform or project, the team should also include change experts. To the extent possible, these experts should include individuals with expertise on political economy, coalition-building, and change management. Priority should be given to people who are from the area being studied or who have lived experience of the local context. The team should also have a diversity of gender and cultural backgrounds to reduce the possibility of biases.

Desk Reviews. Desk reviews consist of gathering, reviewing, and analyzing available literature from academia, development partner publications, and unpublished documents provided by counterparts. The purpose of the desk review is to consolidate available information, develop

hypotheses regarding the C4R challenge, highlight opportunities, and identify knowledge gaps to be addressed in subsequent phases of the C4R engagement.

Individual or group interviews. Interviews with the government, partners, and other stakeholders are a critical tool for understanding the CB&CM problem. The interview should be viewed as part of an iterative data-collection process. There is no single way to conduct a qualitative interview, and the interview design should be based on a review of any available program documents and include an approach to managing data yielded from the discussions. Important steps for preparing and conducting interviews include:

- **Confidentiality and ethics:** The interviewer and team should emphasize confidentiality for the interviewees, assuring that all data will be stored securely and anonymized in accordance with applicable data protocols.
- **Setting expectations:** To this end, the interviewer should include questions related to who or what else might serve as a valuable information resource and set the expectation that there may be follow-up questions.
- **Recording data and permissions:** If recording, it is important to obtain permission beforehand to do so. Taking notes during the conversation is still helpful even if the conversation is recorded.
- **Identifying actors to consult:** They may comprise of academics, government officials, civil society organizations, interest or political groups, affected citizens (especially women, youth, marginalized persons, internally displaced persons), diaspora members, technical and financial partners, international donors, and many more. Including a diverse selection of interlocutors facilitates collecting exhaustive information and triangulating its accuracy.²⁰
- **Selecting interview format:** Using semi-structured interviews is highly recommended. A flexible, facilitated conversation is likely to yield richer data than a more controlled question and answer session.
- **Finalizing questions:** The interviewer should develop questions or probes beforehand to ensure that key topics are covered. Questions should focus first on gaining basic descriptive information. Program officers or other key informants could feel uncomfortable if early questions are challenging. Follow-up questions are often needed to gain more specific details and evidence related to outcomes.

Individual and group interviews may be used as part of the scoping and diagnostic processes. However, the depth of inquiry and range of stakeholders included may be expanded at the diagnostic phase.

Workshops. Workshops are an effective tool for mobilizing broader groups. Collaborative workshops and processes usually gather large groups of people – more than 20 – into a structured discussion over multiple hours and sometimes days. During these workshops, facilitators guide group discussions to produce, in a collaborative way, answers to questions. The change experts can organize workshops or similar types of stakeholder discussions around the following discussion topics:

20. Triangulating information refers to the act of validating its accuracy by receiving confirming evidence from multiple sources.

- Developing a shared understanding of the desired change helps improve cohesion between the key stakeholder groups and those impacted by the proposed reform. By enhancing the degree to which these groups see the development challenge similarly and clarifying where differing views remain, the design of the reform process and CB&CM approaches can be better tailored.
- Readiness and Resistance discussions identify the extent to which reform teams are ready, receptive, and capable of implementing and sustaining the reforms and resulting changes. Through this discussion the team can encourage participants to elaborate on what can be done to stimulate performance and positive collaboration. Structured discussions can be held to start anticipating sources of resistance and potential future actions or strategies to mitigate them.
- Governance and Monitoring discussions identify how accountability and governance structures can best be established for implementation and for decisions on course correction. Such discussions also define the boundaries of the reform program, define what success looks like, and identify the extent to which monitoring and learning systems are in place to enable operational learning.
- Stakeholders and Communication discussions identify whether stakeholder influence is clearly understood and managed. The discussions would also identify the people who will implement the reform and change behavior activities as well as potential winners and losers. Furthermore, they would determine if leadership communication of the reform vision can be strengthened and underpinned by a communication plan.

Workshops may be used as part of both the scoping and diagnostic processes. However, the depth of inquiry and range of stakeholders included may be expanded at the diagnostic phase.

Scoping Tools	
C4R Scoping Note Template	• The template offers a structure and lists of sections to guide a change expert in refining the problem definition, the reform the change process is supporting, and identifying key aspects to cover in the following phases of the process.

Annex 3 includes a template for a scoping note to guide practitioners.

RECOMMENDED OUTPUTS FROM SCOPING ACTIVITIES

The following are the recommended outputs of the scoping phase. These will be agreed on by the change expert and reform team, taking into consideration stakeholder input.

- A short note identifying the scope of the desired change, key bottlenecks and actors, and the engagement timeline.
- A list of diagnostic activities necessary to inform the future CB&CM strategy.
- A calendar and a tentative budget for the elaboration of the CB&CM strategy.

DIAGNOSTIC PHASE

The objective of the diagnostic phase is to provide contextual awareness of the human or nontechnical aspects that will influence the success or failure of the reform. This includes aspects taken from the social, political economy, institutional, behavioral, and overall human dimensions of change processes.

Table 3.1 below presents examples of constraints that can prevent a reform from being adopted or implemented effectively. Reform teams may benefit from recording the relevant constraints in a table that shows the key problem areas and links them to the specific constraints to and opportunities for reform implementation.

Table 3.1 Example of Constraints to Reforms

Problem Area	Constraints
Weak multistakeholder ownership	• Lack of commitment from social and political leaders • Incompatibility of social norms and values • Lack of stakeholder participation in setting priorities • Lack of information transparency • Insufficient stakeholder demand for accountability Examples: • Failure of government leaders to allocate needed resources for supporting key economic policies • Communities do not believe girls need formal education, despite increased number and accessibility of local school facilities • Limited participation of local communities in overseeing health services • Weak information to citizens on mining and natural resource activities • Weak citizen oversight to demand improvements in public spending, transparency, and accountability
Weak organizational capacity	Ambiguity of mission • Failure to achieve outcomes • Operational inefficiency • Lack of financial viability and probity • Weak stakeholder communication and responsiveness • Lack of adaptability to anticipate and respond to change Examples: • Youth organizations have conflicting mandates and weak strategies • Weak community coverage of basic health service package • Lack of effective management processes and skilled personnel • Rates set by electricity provider do not cover costs of operation • Weak networks and processes to respond to community needs • No established system for school improvement based on new knowledge, practices, and technology.

Source: Gold 2013.

This section presents the most commonly used analytical frameworks and diagnostic tools for change readiness assessments. Instead of being a tool in and of itself, analytical frameworks are rather ways of structuring information and guiding analysts in their work of organizing evidence for a particular dynamic. Two key analytical frameworks can be useful when doing diagnostics for CB&CM plans: Problem-Driven Political Economy Analysis and Behavioral Models, especially related to change readiness. Diagnostic tools are more practical and direct ways of gathering information qualitatively or quantitatively. They are also useful for periodically evaluating progress during the reform process and determining whether the CB&CM plan requires adaptation or updates. Some tools introduced in the scoping phase also could be integrated into the diagnostic phase, such as desk reviews, individual and group interviews, and collaborative workshops.

ANALYTICAL FRAMEWORKS SUPPORTING THE DIAGNOSTIC

Change management needs to be informed by a flexible and real-time approach to diagnosing the context in which the reform will occur, and the nature of potential implementation challenges. Political economy analysis and attitude and behavioral models can help teams and change experts understand the political factors and the mental models and attitudes of stakeholders targeted by a reform. Political economy analysis is also helpful for understanding why a particular challenge has not yet been effectively addressed. The awareness, desire, knowledge, ability, and reinforcement (ADKAR) model²¹ and COM-B model are two well-regarded approaches for developing mental models for behavioral change. These frameworks are addressed in turn.

C4R Diagnostic Frameworks	
Problem-driven Political Economy Analysis	Approach focused on (i) identifying the problem, opportunity or vulnerability to be addressed, (ii) mapping out the institutional and governance arrangements and weaknesses, and (iii) drilling down to the political economy drivers, both to identify obstacles to progressive change and to understand where a ‘drive’ for positive change could emerge from.
ADKAR	The awareness, desire, knowledge, ability, and reinforcement (ADKAR) framework helps to understand stakeholders and organizations’ readiness for change and plan how a change/reform would be best sequenced.
COM-B	The COM-B framework offers a structure way of understanding how individual behaviors are produced. It proposes that capability (C), opportunity (O), and motivation (M) are the necessary components for any behavior (B). The framework can provide insights to act on C, O, and M to modify a behavior in line with the desired change of the reform.

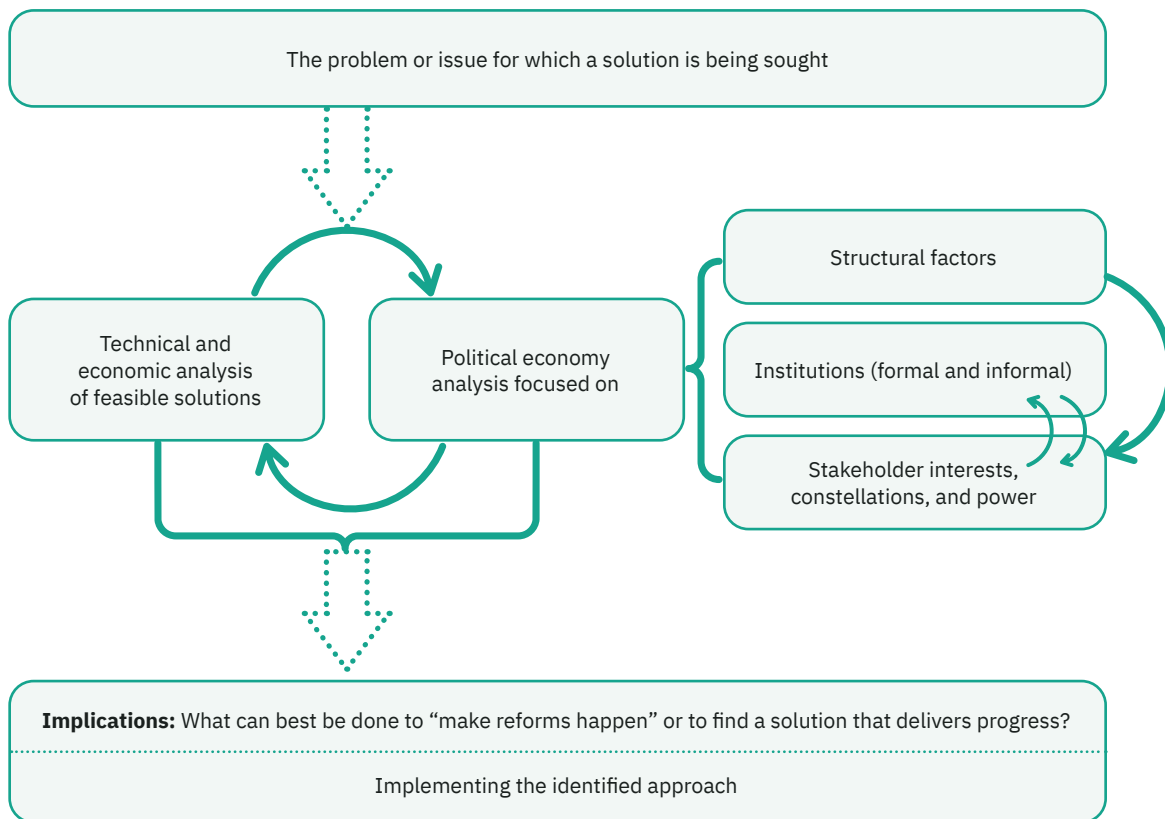
21. ADKAR is an acronym for five outcomes an individual needs for change to be successful: Awareness, Desire, Knowledge, Ability, and Reinforcement.

Political Economy Analysis

Problem-driven Political Economy Analysis (PEA) assesses challenges to the change processes that may arise as reformers engage with relations of power in dynamic processes.

This includes the distribution of power in the policy arena and how this impacts broad-based development. The key findings of the PEA should focus on the real challenges—how to improve institutions, shift relations of power, and mediate structural inequalities to meet development objectives—and recognizing that PEA is an integral part of that process (Figure 3.1). PEA should be completed in a conscientious and systematic manner, with data triangulation where possible, to avoid biased findings.

Figure 3.1 Problem-Driven Political Economy Framework



Source: Fritz et al. 2014.

The objective of Problem-Driven Political Economy Analysis is to provide an analysis that has specific findings and actionable recommendations, which are derived from a specific problem—“a specific unresolved development challenge or an opportunity that a team seeks to seize.”²² Problem-driven PEA can also assist with knowledge of the incentives of constituencies within a particular public sector organization, and in designing change management tools to mobilize and promote the influence of the most likely advocates for change. It also identifies possible bottlenecks caused by ambivalence or outright resistance. It aims to:

- Specify the development problem, in this case the desired change targeted by the reform or policy.
- Understand the “rules of the game” or institutional environment in which the target reform will be designed and implemented.
- Map stakeholders according to their interests (such as motivation, awareness, and preferences) and capabilities (for example influence or institutional capacity). It may also show where powerful sections of either the political elite, or public institutions, or both have enough interest in reform to make significant change possible.
- Describe the political economy drivers for the proposed reform, including obstacles to progressive change and potential incentives for positive change; and
- Identify relevant and significant windows of opportunity for reform.

Orienting PEA around a clearly-constructed problem – also known as problem-driven – is often recommended when the intention is to lay the foundation for a CB&CM plan (Box 3.1). In addition to problem identification, a change expert should consider issues that already have traction within government institutions, civil society, or the private sector, and offer process-oriented solutions to complex development challenges. These issues provide entry points where there is momentum to shift politics, bottlenecks, and spoilers that lead to poor development outcomes.



22. Fritz et al. 2014, pp. 4.

Box 3.1 Tips for Constructing a Political Economy Problem for a CB&CM Process

Accurately determining the problem or development challenge that the reform aims to solve is critical to crafting an impactful political economy analysis. In the case of a CB&CM process, the problem will often take the form of finding “*how to best ensure the effective adoption and implementation of a desired change.*” Finding the right formulation and specificity for this problem statement may require some iteration back and forth during the analysis. It is important to give this serious thought upfront and also be open to returning to the issue during the analysis. Therefore:

- Do not assume a solution or conclusion preemptively and craft the problem statement around that solution.
- Choose the right level of generality/specificity and the right scale at which to situate the problem (for example, national, regional, or local). Some political economy dynamics are national by nature, but others can be sectoral (for example around an education reform) or local (for example social accountability within municipal level service delivery).
- Be specific about the targeting of the problem or desired change.

For example, if “citizen-state bargaining around urban water and sanitation” is the problem, then different actors will emphasize different dimensions of that problem. Men, for instance, may describe how local political party leaders prioritize certain areas for infrastructure upgrades. Adolescent girls could highlight concerns over the safety and privacy of public latrines. Women might have more concern about the location/design of shared water collection points. Renters and landlords would have different descriptions of what is wrong with urban infrastructure. These potentially different responses make it imperative to consider how important the issue of inclusion is in the question/problem definition.

The ADKAR Model

The Prosci ADKAR²³ Model is recommended to help teams and change experts conceptualize change management strategies when adaptability to different contexts and a focus on individual behavior change are required. ADKAR is goal-oriented and can work with projects, large and small. The model is relatively flexible in that it allows a broad strategy to be cascaded through key stakeholder groups and to be adjusted, as necessary. The ADKAR Model proposes that change can be achieved and sustained when implemented in the right sequential order. As a diagnostic framework, this model helps the change expert to explore which of the following steps or dimensions of change could be a limiting factor for the effectiveness of the change or reform:

1. **Awareness:** Are stakeholders aware of why the change is necessary and the risks of not changing? If awareness is a bottleneck, recommendations would include using clear, compelling messages to ensure everyone understands the importance of the change.
2. **Desire:** Are stakeholders mobilized and onboard for the coming change? If not, change management plans should foster a desire to participate and support the change. Engage employees by involving them in the change process, addressing their concerns, and highlighting the benefits of the change for them personally.
3. **Knowledge:** Are stakeholders provided the necessary knowledge on how to change? This includes training on new processes, tools, or systems, and ensuring everyone understands their new roles and responsibilities.

23. Prosci (n.d.) “The Prosci ADKAR Change Model Overview.”

4. **Ability:** Do stakeholders and organizations have the ability to implement the change? Offer practical opportunities to apply new skills and behaviors and provide support to overcome any barriers.
5. **Reinforcement:** Are the right incentives and norms in place to sustain the change following implementation? Recognize and reward successful adoption of the change and address any remaining resistance. Continuous feedback and support are crucial to maintaining the change.

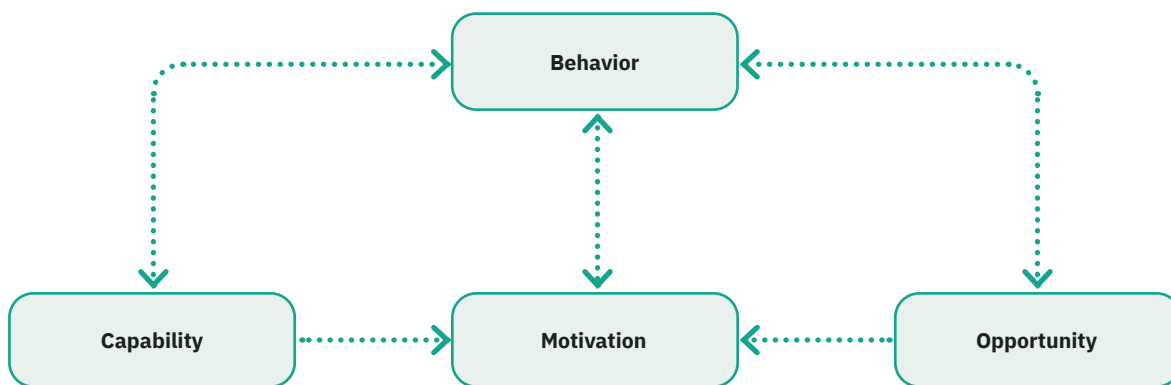
An overview guide on the ADKAR tool is freely available on the [Prosci website](#).

The COM-B Model

The **COM-B model**²⁴ is a behavior change framework which proposes that **capability (C), opportunity (O), and motivation (M) are the necessary components for any behavior (B)**. The COM-B model is a comprehensive system for understanding behavior that has been applied to a wide range of policy challenges (Figure 3.2). Under this model:

- **Capability** refers to an individual's psychological and physical ability to participate in an activity.
- **Opportunity** refers to external factors that make a behavior possible.
- **Motivation** refers to the conscious and unconscious cognitive processes that direct and inspire behavior. There are two types of motivation: (1) reflective motivation, the reflective process involved in making plans; and (2) automatic motivation, processes such as impulses and inhibition.

Figure 3.2 The COM-B Model



Source: Social Change United Kingdom n.d.

24. The Decision Lab. n.d. "The COM-B Model for Behavior Change." Accessed June 17, 2026. <https://thedecisionlab.com/reference-guide/organizational-behavior/the-com-b-model-for-behavior-change>. Social Change UK. 2019. "A Guide on the COM-B Model of Behaviour." https://social-change.co.uk/files/12.01.23_A_guide_on_the_COM-B_model_of_behaviour_.pdf.

The COM-B model provides a flexible framework for understanding the factors that influence behaviors related to controversial policies. Three factors determine people’s behavior in response, which map well onto the three components of the COM-B model: (1) awareness or knowledge of the arguments for and against the reform (capability); (2) people’s perceptions of the benefits or harms of the reform (motivation); and (3) how the choice architecture, social norms, and governmental policies shape people’s room to respond (opportunity) to the reform. For more information consult the Decision Lab’s 2024 Reference Guide: The COM-B Model for Behavior Change.

TOOLS FOR THE DIAGNOSTIC PROCESS

In addition to the interviews and consultative workshops already introduced, the following tools can provide the data necessary to apply the previous frameworks to a reform.

Tools Summary	
Systems Change Analysis Tools	To identify the many individual causes of the problem and/or what factors are preventing its resolution – for example, Ishikawa tree)
Stakeholder and Network Mapping	To identify the persons/ groups that are instrumental to implementing this change/ reform – for example, Netmap
Perceptions Surveys	Often using perception surveys – for example, Bureaucracy Lab’s Global Survey of Public Servants.
Media Monitoring and Sentiment Analysis	Continuous systematic aggregation and analysis of digital [social] media networks and social communities.

Systems Change Analysis Tools

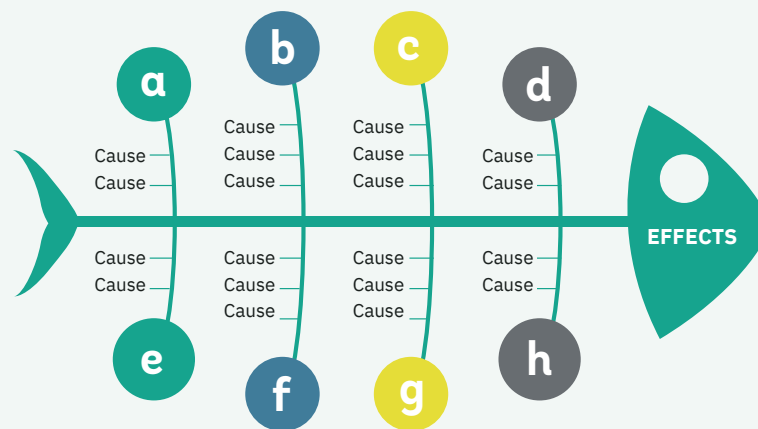
Systems change tools can guide a practitioner to understand all the drivers underlying an issue. The objective of developing systems-thinking and cause trees is to help teams organize their knowledge about how the different causes and effects related to the change challenge are connected and influence each other (Box 3.2). Systems change tools can be used in reform programs when there is a need to understand where and how a proposed reform fits into the larger social and governance system; to help clarify and improve the reform approach and strengthen the underlying theory of change; and to better understand the chosen approaches to piloting, implementing, and scaling the reform and how to identify leverage points.²⁵

25. This list is adapted from the IMAGO systems change model, see Guerrero et al. 2024.

Box 3.2 Fishbone Diagram and Force Field Analysis as Systems Change Tools

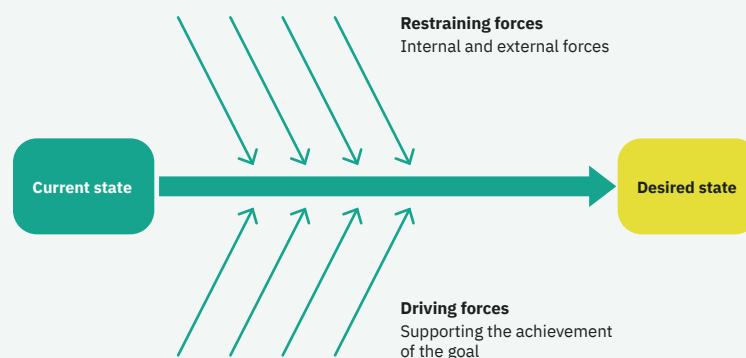
The Fishbone Diagram identifies many possible causes and secondary causes of a problem. It is also referred to as the 5-Whys Approach and the Ishikawa Tree. The Fishbone Diagram is generated in four steps:

1. Define the problem/effect
2. Categorize the main causes
3. List the individual sub-causes
4. Plan the way forward



Force Field Analysis assesses the forces for and against a change while allowing adherence to objectives and the sharing of different points of view. Force Field Analysis consists of five steps:

1. Describe plan or proposal for change
2. Identify internal/external driving forces
3. Identify internal/external restraining forces
4. Assess weaknesses or strengths of forces
5. Analyze and decide a path forward

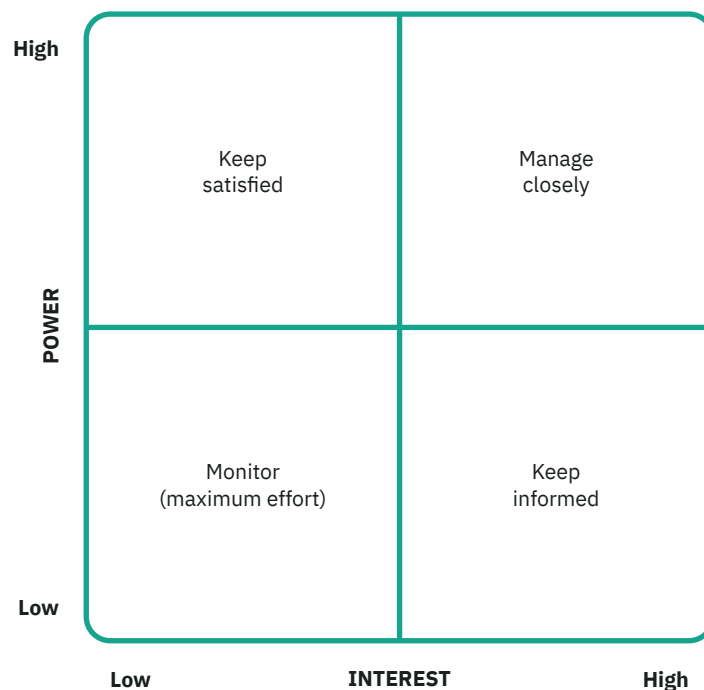


Source: CL4D documentation.

Stakeholder Mapping

Stakeholder mapping identifies the key persons, organizations, and groups impacted by or contributing to the reform challenge and gathers the opinions of influential stakeholders to refine the practitioner’s understanding of the CB&CM challenge. Stakeholder mapping helps the change expert and reform team ensure all relevant stakeholders for their reform program have been identified, that their perspectives on the reform are broadly understood, and that there is a plan for involving or consulting the stakeholders during the reform’s rollout (Figure 3.3).

Figure 3.3 Stakeholder Matrix



Source: Authors.

Stakeholder mapping includes the following steps:

Step 1. Define the purpose of the mapping for the reform challenge. This should be shared with the stakeholders as part of the mapping exercise.

Step 2. Identify the stakeholders to be included in the exercise. Consultation of key counterparts/informants may be required to ensure all relevant actors, including civil society, are included. Answer the following key questions:

- Who needs to know about the changes in the project/reform?
- Who can influence the success or failure of the reform?

- Who would be directly or indirectly impacted by the reform if it were to proceed?
- Who is required to take direct action for the reform to be successfully implemented?
- Who would be the collaborating or cooperating actors that will help the reform proceed smoothly?

Step 3. Collect the data and characterize the individual stakeholders or stakeholder groups by answering these key questions:

- Is the stakeholder a potential ally and/or implementor of the reform?
- Is the stakeholder potentially in opposition and/or might they actively resist the reform?
- Are there stakeholders that have been previously overlooked or that lack sufficient information about the reform?
- Are there stakeholders that may be neutral to the reform, and could their position potentially shift during implementation?
- How interested in the reform is each stakeholder?
- How much power does each stakeholder have with respect to other stakeholders relevant to the reform?
- How much influence does each stakeholder have with respect to implementing or opposing the reform?
- Which stakeholder should or will become involved at what stage of reform implementation?
- What are the anticipated roles – consult/inform, approve, perform activities, connect?

Step 4. Analyze observations, categorize stakeholders (Box 3.3), and draft possible actions based on data gathered during the consultation.

Step 5. Validate the findings with the stakeholders.

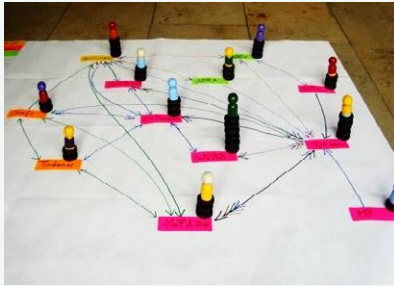
Box 3.3 Net-Map as a Stakeholder and Network Mapping Tool

Net-Map is a specific stakeholder mapping tool that allows teams to better understand the networks of actors that influence their success. The exercise maps stakeholders' attitudes and level of influence, renders social network graphs, and fosters discussions among participants about the target reform. Net-Maps are made using the following six steps:

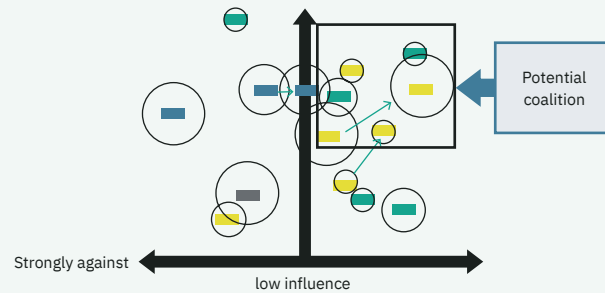
1. Frame the right question, usually phrased as "Who influences the success/failure of X."
2. Identify the actors involved by writing/contacting all individuals, organizations, or groups that impact the outcome.
3. Work through their interconnections to build the network by drawing the formal and informal connections between actors – for example, formal hierarchy, distribution of funds, friendship, conflict, collaboration, political pressure.
4. Determine alignment of motivations by writing down who will have a positive or negative impact on the outcome.
5. Discuss levels of influence by using wooden discs to build towers next to each actor indicating their power to influence the outcome. The height of the tower should reflect their actual impact on the specific project.
6. Harvest observations and possible actions by asking, "What have we learned about the situation and what can we do to achieve our goals?"

Additional guidance can be found here:

- [Main Webpage](#)
- [English Manual](#)
- [Portuguese Manual](#)



Source: Authors work.



Perception Surveys

Surveys and opinion research collect self-reported information on individuals' knowledge, attitudes, opinions, experiences, and behavior from a sample of the population or targeted group. A well-designed survey administered on a carefully selected sample can produce representative information about the population at large²⁶ (Box 3.4). Surveys are useful for collecting information on unobservable or intangible internal attitudes and beliefs; assessing institutional changes; and measuring intermediate outcomes of an intervention. Conducting surveys and opinion research consists of four main steps:

Step 1. Initial design, wherein the draft questions would be developed, and preliminary data collection methods would be considered, including

- Need for local or firm staffing: Conducting a survey for evaluation in developing countries often entails hiring a local consultant or firm to administer the survey.
- Training requirements for survey administrators: Surveys administered face-to-face require that the interviewer receive adequate training on the content and survey instrument.
- Adaptations to contextual constraints: The choice of administration method should take into consideration the infrastructure and capacity of the country and the target population of the survey.
- Incorporating techniques to improve responsiveness and data quality: There are additional techniques to address issues of nonresponse, noncoverage, and maximizing response rates.

26. Source: WBI (2012). *Guide to Evaluating Capacity Development Results: A collection of guidance notes to help development practitioners and evaluators assess capacity development efforts.*

Step 2. Pretesting, which gathers and incorporates input from members of the targeted population through focus group discussions and then conducts follow-up pre-testing.

Step 3. Data collection, which determines sampling methods (for example, random or non-random) and sample size requirements, and administers the survey in one of the following ways: face-to-face, internet, email, telephone, and mail.

Step 4. Data analysis, which includes data cleaning and analysis.

Box 3.4 The World Bank's Global Survey of Public Servants

The Global Survey of Public Servants is an initiative to generate survey data from public servants in government institutions around the world. The initiative aims to increase the volume, quality, and coherence of survey data on public administration. Understanding the motivations, behaviors, management practices, and organizational environments of public servants through surveys is central to: (1) better understand how public services and states around the world work; and (2) help governments manage public services better.

A 2022 Civil Servants survey in Ethiopia informed the preparation of the US\$ 70 million Governance Modernization to Enable Efficient Service Delivery Project, which includes many activities related to CB&CM. The survey showed low levels of civil servant motivation, driven by low salary satisfaction, inadequate resources, lack of professional development opportunities, and low prestige of the civil service. To address these issues, the project begun in 2024 will support, among other things, institutionalizing training, capacity building, and change management in the civil service.

Links to supplementary materials on World Bank's Bureaucracy Lab Civil Servant Surveys:

- [Main Webpage](#)
- [Conceptual Framework](#)
- [Core Questionnaire](#)
- [Survey Handbook](#)
- [Country Background Questionnaires](#)

Media Monitoring and Sentiment Analysis

Media monitoring, including social media monitoring, is the continuous systematic aggregation and analysis of digital (social) media networks and social communities. The perception of internet users on different aspects of a reform—costs, distribution, equity, effectiveness, side effects, safety, and so on—provides important information regarding the public's potential attitude toward a reform and the level of information they are accessing about it (Figure 3.4). These insights become crucial when crafting a narrative and specific messages that directly speak to the needs and concerns of the public. Attitudes can be measured through a semantic analysis of online publications including articles, posts, comments, and reactions (emoji and likes). This analysis is often assisted by natural language analysis. Examples of the steps for media monitoring include:

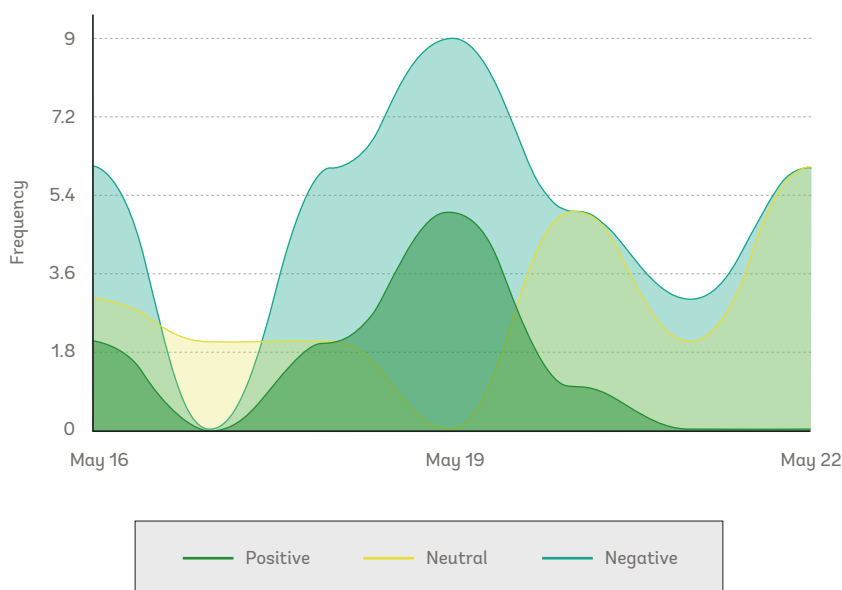
Step 1. Data retrieval according to the chosen keywords appearing in the public sources – for example, social media posts, public articles, and news aggregation headlines.

Step 2. Transformation of data into data frames.

Step 3. Algorithm that filters the data frames to keep relevant and high engagement “post” narratives for each week.

Step 4. Aggregating the cleaned data per week and generating a trend curve of the average total interaction dynamics and sentiment analysis. Identify and extract key narratives.

Figure 3.4 Example of Sentiment Analysis Results



Source: An example from the World Bank’s [social media monitoring during the COVID-19 pandemic in Morocco](#) which demonstrated the utility of this tool.

OUTPUTS OF THE DIAGNOSTIC PROCESS

The outputs of the diagnostic process will vary depending on the knowledge gaps to be filled. They will likely include one or more reports or notes addressing various angles of the change process. At the end of this phase, the change expert should have all the knowledge and contextual awareness necessary to design and plan the CB&CM plan, including an approach for periodically assessing whether the chosen tools and activities are impactfully supporting the reform.

4

LEADERSHIP AND SKILLS

In this chapter, the toolkit moves from the more analytical and preliminary phase discussed in Chapter 3 to activities that can be included in a change strategy or a CB&CM plan. The success of reforms and projects often depends on the motivation, openness to change, and willingness to work together of civil servants and other individuals involved. These outcomes are linked to the skills of managers, the soft skills of team members, and the norms and attitudes that compose the organizational culture of a work environment. This chapter shows how to deploy training programs and organizational interventions to address these issues—highlighting the Leadership for Results approach to building soft skills and improved organizational culture within an organization in support of development reforms. Leadership interventions can provide skills and improve the work environment to increase motivation, coordination, and cooperation in a public organization, leading to more successful reforms or better productivity. The Leadership for Results approach addresses institutional bottlenecks and individuals’ resistance to change that may delay or derail reforms.

The ability of public organizations to deliver on their mission or to implement a reform depends on more than the technical skills and the systems they can deploy. In addition to sectoral or thematic expertise, successful implementation of development reforms requires getting various individuals, groups, and organizations to work collaboratively toward achieving a complex set of objectives.²⁷ This process requires acceptance of new ways of doing things. Success therefore depends on managing reform processes skillfully and fostering a favorable organizational environment. Leadership, shifting organizational culture, and strengthening professional skills are central to impactful and sustainable reforms—these are embedded in the collaborative leadership model discussed in the chapter.

27. World Bank 2016.

Soft skills are essential in the context of public sector reforms, as they facilitate clear and effective communication within teams and alignment behind a shared vision. Soft skills are important for managers, team leaders, and civil servants at all levels. They include communication, empathy, emotional intelligence, problem-solving, adaptability, and teamwork. Professional skills go beyond technical skills and refer to the set of personal attributes and interpersonal abilities that enable individuals to interact effectively and harmoniously with others. Professional skills also help foster a collaborative environment where the needs and concerns of diverse groups are understood and addressed and where different perspectives are valued and integrated into decision-making processes.

Organizational culture is important to foster an environment that is conducive to every person delivering at their full potential (Box 4.1). Elements of organizational culture include a shared vision and norms and attitudes that promote respect, integrity, and teamwork. A positive organizational culture provides mission-driven orientation, and creates a culture of performance, accountability, and openness to change, as discussed in Chapter 2. It manifests in how people within an organization interact and make decisions based on deeply ingrained beliefs, behaviors, and unwritten rules.

Box 4.1 Evidence of Organizational Culture’s Impact from Academic Literature

In 1997, Grindle reviewed 29 organizations in six developing countries and found that organizational mystique, management style, and performance expectations contributed to positive organizational cultures in better performing organizations while some autonomy in personnel management provided a facilitating context for these characteristics to be developed.

Alan et al. (2023) documented the impact of a training program aimed at improving the relational atmosphere in the workplace. The program encouraged prosocial behavior and the use of professional language, focusing primarily on leaders’ behavior and leader-subordinate interactions. They found that treated firms had a lower likelihood of employee separation, denser and less segregated support networks, higher workplace satisfaction, and a more collegial environment.

Mission Driven Bureaucrats, by Dan Honig (2024), argues that the key to better government lies not in stricter controls and more rigorous oversight but in empowerment and trust. Honig offers a roadmap for how governments can break from the status quo and cultivate a workforce of dedicated, empowered public servants. When bureaucrats are empowered to act on their mission-driven impulses, the results can be extraordinary. Managing more for empowerment—allowing autonomy, cultivating competence, and creating connection to peers and purpose—is often the path to better public performance and citizens’ welfare.



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LEADERSHIP AND SKILLS FOR DEVELOPMENT REFORMS

Leadership is a process and an activity; it does not have to be restricted to a formal title or a position in an organization’s hierarchy. Leadership is “the process of mobilizing people to tackle tough challenges, achieve shared objectives,”²⁸ and building collective action to overcome the challenges that managers and frontline civil servants often face. Leaders are often understood as individuals who occupy formal leadership roles in organizations delivering or being the subject of the desired change, namely being a senior government official or having the lead organizational mandate. However, the approach advocated in this toolkit is to see every individual as a potential leader. Everyone, from the front-line service provider to the highest level of government, can play a role in the success of a reform or policy by their initiative, teamwork, and contribution to the collective work ethos.

The key characteristics associated with impactful leadership may vary based on contextual factors and readiness. Commonly, these characteristics will include a mix of the following:

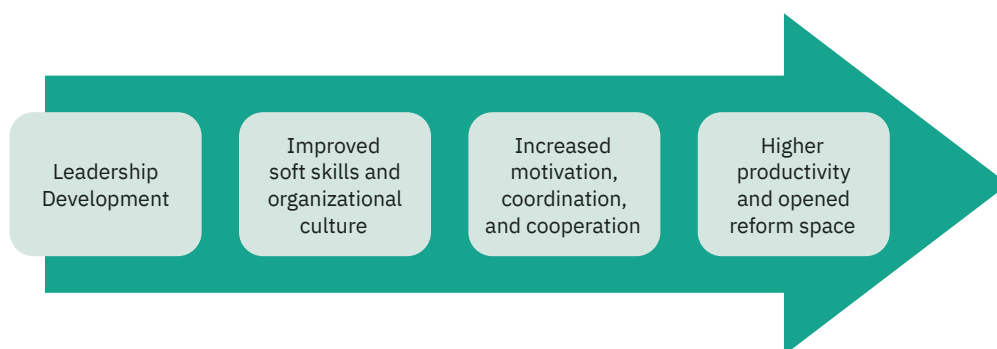
- Plurality of leadership roles that people may take on a change process, regardless of their level within a formal hierarchy.
- Functionality that these leaders offer, such as coordinator, fixer, authorizer, idea generator, connector.
- Problem orientation, which frames reform as the result of and response to an emerging problem.
- Change space creation, which fosters acceptance for change, grants authority, creates accountability for change, and introduces or frees the abilities necessary to achieve it.²⁹

28. Definition adapted from World Bank 2016; Here mobilization implies the ability to motivate, organize, orient, and focus attention. It is an activity that everyone can exercise, rather than a heroic role or position that a single individual plays (generally when that individual has formal authority).

29. Andrews 2010; Change space is especially enhanced where leadership facilitates open-access societies and learning organizations in which members are empowered—in groups—to pursue change through problem solving.

Leadership interventions can provide skills and improve a work environment to improve motivation, coordination, and cooperation in a public organization leading to more successful reforms and better productivity (Figure 4.1).

Figure 4.1 Stylized Leadership Results Chain



Source: Author.

Leadership training programs, such as presented in Box 4.2, improve reform implementation and strengthen organizational functions through:

- Acquisition of new skills, with participants trained in skills that promote better team cohesion, motivation, and performance.
- Increased ownership, with participants taking responsibility for their part of the challenge and becoming part of the solution.
- Changes in mindset, demonstrated by a shift in participants' deeply held priorities, beliefs, habits, and loyalties.
- Openness to experimentation and learning, with participants being willing to do something in a new way and to improvise along the way, learn from the outcomes, and recalibrate as needed.
- Improved diagnostic abilities, understanding the complexities of problems while simplifying and making it actionable.
- Strengthened persistence, indicated by a determination to stay in the game, even under difficult and strenuous circumstances.
- Iterative progress attained by observing events and patterns, interpreting the observations, and designing accordingly.

Box 4.2 Leadership Program for Cambodia Public Sector Reforms

Cambodia was experiencing systemic bottlenecks in public sector reforms stemming from siloed operations, limited capacity for adaptive leadership, and resistance to change. Recognizing these barriers, the Cambodian government, in collaboration with the World Bank's Governance team launched the Leadership and Innovation Program (LIP) in 2020 to address adaptive challenges and foster leadership among senior officials to modernize governance and enhance service delivery.

LIP was designed to empower senior officials with the knowledge, skills, and networks needed to lead reforms effectively. The program's innovative approach began with a consultative workshop, engaging senior officials to co-design the curriculum of two e-courses: "Leading the Vision and Strategy for Development Reform," and "Leading and Implementing Development Reform." The program focused on breaking silos within the government by fostering collaboration among participants. It enabled officials from different ministries and provinces to share experiences and work collectively on solving workspace challenges, which was particularly impactful during the COVID-19 pandemic. The program achieved a remarkable completion rate of 98 percent across its six cohorts, highlighting the high level of engagement among participants.

To date, more than 1,000 senior officials have completed LIP since its inception, more than quadrupling the initial target of 230 participants. The online courses attracted over 5,000 participants worldwide. By equipping senior officials with the tools to navigate complexity, the program has not only transformed individual participants but also laid the groundwork for systematic change. For example, LIP emphasized local solutions for local problems. Participants' Problem Driven Iterative Adaptation approaches enhanced their capacity to manage reforms and cultivated a culture of continuous learning and improvement. The Cambodian government has committed to expanding LIP to include school principals and health facility directors, broadening its impact on service delivery.

TOOLS FOR LEADERSHIP & SKILLS

This section covers tools for strengthening leadership capabilities and improving organizational culture within the reformer's organization. The tools presented in this chapter build on those of the Collaborative Leadership for Development program.³⁰ The CL4D stems from the body of work on adaptive leadership,³¹ which focuses on developing skills to address non-technical adaptive barriers to reforms; it necessitates reexamination of social paradigms, mindsets, values, and behaviors. These tools are flexible and can be adapted to target those in formal leadership roles or front-line civil servants. The World Bank has found success using these tools working with the public sector.

30. Implementing adaptive solutions to reforms requires a willingness to change systems, a spirit of experimentation, an ability to take risks and make honest appraisals of their effects, and to accept new, unexpected discoveries. See World Bank 2016.

31. Heifetz and Linsky 2002.

Tools Summary	
Leadership for Results Training Program	• To increase leadership skills, strengthen project organization, and accelerate results.
Rapid Results Initiatives	• An organizational set-up that sets clear short-term objectives owned by participants, provides organizational momentum, and trains leaders to rapidly jump-start major change efforts and enhance implementation capacity.
Field Level Leadership	• A peer-learning based approach to mobilizing and motivating civil servants to become leaders in the ranks of public agencies.

Leadership for Results Training Program

The key objectives of Leadership for Results training programs are to increase leadership capacity, build soft skills, and accelerate results. Usually a one-year program, a Leadership for Results Training program enables participants to boost their leadership and project execution skills through in-person and virtual workshops and results team coaching in-country. The program builds on the adaptive leadership theory from Heifetz and Linsky (2002), which was then further developed by the CL4D. It is designed to build the capacity of a cadre of reform-minded local, regional, and national-level government officials to better identify the complexity of reform challenges, build coalitions, use modern implementation tools, and move forward in their change process. It also seeks to help new and existing reform teams and coalitions accelerate the pace of change in a way that builds leadership capabilities while exposing these teams to good practice in other countries. The desired result is for teams to have a sharper vision of their reform process, clearer goals, and a work plan to move policies and/or programs forward to achieve their specific reform. The expected outcome is improved public service delivery conditions in the participating countries of the region (Box 4.3).

The program uses the following modalities to create results:

Workshops and virtual modules. Workshops and virtual modules employ an innovative approach to adult learning and consist of face-to-face and/or virtual modules delivered through intensive workshops over multiple days. Between each face-to-face workshop, coaching sessions are provided to the group to ensure they apply the concepts and tools learned during the sessions. Annex 4 contains a template for a Leadership for Results training workshop.

Results team coaching. Coaching conducted by leadership experts helps participants practice new skills and builds upon the lessons in the virtual training and in-person workshops. The role of coaches is to facilitate teamwork and maintain their focus on results. Results team coaching provides ongoing expert support to reform stakeholders and government teams during the engagement process, particularly when developing operational plans and implementing reform activities. Coaching usually has the following objectives.

- **Objective 1.** Help participants progress in their projects through coaching.
- **Objective 2.** Review project progress and discuss the challenges faced, particularly in the areas of leadership, and encourage peer-to-peer discussion on how to address these challenges.
- **Objective 3.** Accelerate the learning of the topics covered during the training modules; and

- **Objective 4.** Build management capacity and teamwork.

Coaching sessions are a half-day or one-day and take place every two weeks. Access to dedicated coaching resources may be particularly useful for executive leadership driving large or controversial changes as well as change agents/champions seeking to scale their impact.

Box 4.3 presents examples of the Learning for Results training program. Annex 4 provides a template for a Leadership for Results Program.

Box 4.3 Leadership for Results in the Water Sector for Coastal Management in West Africa

Launched in 2018, the West Africa Coastal Areas Management Program was designed to address the phenomenon of coastal erosion, caused by poor management of coastal infrastructure, inadequate spatial planning, and an overall paralysis because the solutions were costly, complex, regional, and required leadership. This \$650M IDA-financed regional program supported the capacity of national institutions, regional integration, and international expertise to stabilize the coastline. The partners involved on the project quickly realized that coastal resilience for West Africa required more than technical solutions; it required strong, adaptive leadership from all stakeholders.

Through the Leadership for Results initiative, the project sought to empower project leaders and stakeholders with the skills, mindset, and tools to drive transformational change towards a more resilient coastline. The cases of Mauritania and Togo highlight the impact of the approach.

Mauritania – Strengthening Project Delivery & Building Coalitions for the Blue Economy

- The Leadership for Results Initiative provided targeted support to Mauritania’s Project Implementation Unit to enhance planning, procurement, and financial management capacities
- The goal was to ensure timely completion of critical infrastructure investments before December 2025 (project closing date).
- A detailed and actionable project plan was developed, featuring a clear distribution of responsibilities across the team and a visual collaboration map to enhance coordination.
- Mauritania was one of the first countries to join West Africa Coastal Areas Management Program +, the IDA-financed Multi-Phased Approach Program with regional collaboration.
- Leadership for Results played a pivotal role in building a new national coalition and securing high-level government support for the blue economy agenda.
- A foundation was laid for inter-institutional dialogue, engaging key stakeholders such as the Ministry of Environment, Ministry of Fisheries, academia, civil society, and the private sector—facilitating alignment around shared goals for sustainable coastal development.

Togo – Laying the Foundation for Marine Spatial Planning

- The Leadership for Results Initiative supported Togo’s High Council of the Sea in their development of a national Marine Spatial Planning strategy, a very complex undertaking.
- The focus was on engaging the diverse groups of stakeholders—government officials, civil society, academia, and technical experts—to co-develop an inclusive and sustainable Marine Spatial Planning.
- Through facilitated sessions, participants were guided through the foundational questions: (1) Why is Marine Spatial Planning essential? (2) What needs to be done? (3) Who should be involved? (4) When and how should action be taken? This activity contributed to elaborating and validating their roadmap.

- Implementing the engagement according to the jointly developed roadmap fostered a deeper understanding of the success factors, buy-in from key stakeholders, and constraints to effective Marine Spatial Planning development.
- Crucially, it also built the leadership and problem-solving capacity of national stakeholders—transforming them into champions for sustainable ocean governance.

Rapid Results Initiatives

Rapid Results Initiatives (RRIs) are structured processes for identifying challenges and finding innovative solutions throughout the lifetime of a reform. The RRI approach was developed by Robert Schaffer³² and subsequently adopted by the Collaborative Leadership for Development program to help reform implementation teams achieve measurable progress toward the desired state in a timely fashion. The approach targets meaningful results that are challenging to achieve and may not be successful. RRIs can be used to disrupt the established norms and attitudes within an organization and lay the ground for new ones. Governments often need to show the results of a reform – like a proof of concept - in a timely manner to increase credibility or earn the public’s trust. RRIs can provide a clear procedure on how to experiment towards their desired results and achieve system-wide change. They can also reduce the stakes of experimenting by clearly outlining the scope of each initiative. If implemented effectively, an RRI produces tangible results that a decision maker can point to (and claim credit for) and demonstrates how tangible results can be achieved systematically on a wider scale. Therefore, RRIs achieve four results: they enable early results that indicate potential for scale-up, they build implementation capacity and leadership skills, they offer a manufactured sense of urgency that can promote new behaviors and norms, and they identify solutions to adaptive challenges.

There are many cases of impactful deployment of the RRI approach by the World Bank, but also certain limitations to acknowledge. Box 4.4 on the Niger Health initiative relates such an example. Teams complete RRIs having achieved progress towards their goal, understanding on how to deliver tangible results, understanding on how to deal with known and unknown implementation risks, and insight on what it takes to sustain and build on their results. Despite their impact when deployed appropriately to support a reform, the RRI approach can be expensive for a government and difficult to sustain given its need for specialized expertise and the intensive engagement required. These risks can be mitigated if expectations are established early about the scope of the interventions and the need to have a clear closing down phase which is covered in Chapter 7.

32. Schaffer, Robert; Ashkenas, Ron (2005). *Rapid Results! How 100-Day Projects Build the Capacity for Large-Scale Change*. San Francisco: Jossey-Bass.

Box 4.4 Rapid Results Initiatives for Health in Niger

Healthcare in Niger was facing serious challenges with addressing the country's high fertility rates and difficulties in providing services in rural areas. The Population and Health Support Project, launched in 2015 by Niger's Ministry of Public Health, aimed to improve healthcare through 32 Rapid Results Initiatives (RRIs). These 100-day projects brought together health workers and community members to create and test new solutions, such as arranging transportation for pregnant women and involving traditional birth attendants in the healthcare system.

Health centers in Dosso and Tillabéri started offering family planning services at times that would help ensure privacy for women and adolescents. Mobile health teams visited remote villages to ensure everyone received care. Religious leaders and village chiefs helped promote family planning and discourage home births. These community efforts led to significant improvements in healthcare access and outcomes, including increased use of modern contraceptives, better child nutrition, and higher measles vaccination rates.³³

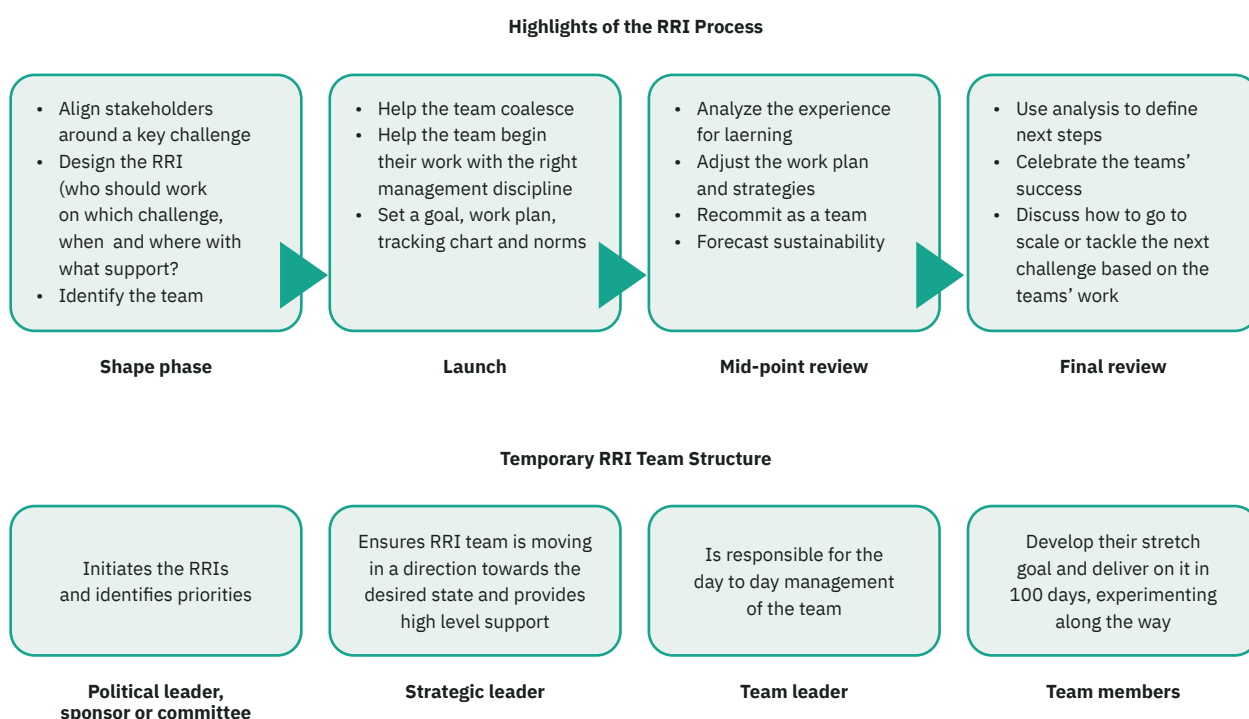
The success of these initiatives was due to continuous effort, inclusivity, and innovation. Weekly RRI team meetings encouraged problem-solving and adaptation, while community involvement ensured a sense of ownership and responsibility. Although there are challenges in expanding these innovations nationwide, Niger's experience provides a model for other countries facing similar issues. It demonstrates the effectiveness of community-driven solutions, the importance of respecting cultural practices, and the impact of focusing on measurable results.

The IEG evaluation of the project reported that the RRIs were impactful. Both subcomponents using RRI were rated substantial while several other components that did not were rated modest. One RRI's intermediate results target was not met, but IEG stated that this was because the target was too ambitious for the context, not because there were shortcomings with the RRI.

To deploy an RRI, the team needs to select short-term objectives and create the necessary temporary support structure. The RRI approach works by breaking a large development objective into a series of smaller sized projects (or a sequence of Rapid Results Initiatives) that teams strive to achieve within 100 days (Figure 4.2). The whole approach typically takes place over a year and each initiative builds on the lessons and capacities of the previous one. Rapid Results Initiatives require the creation of temporary governance and support structures, reinforce basic management skills, and manage the scale-up of the initiative's programs beyond the first 100 days. The RRI projects can be launched one at a time or in waves of projects to bring about large-scale change.

33. See the Implementation Completion Report Review for the Population and Health Support Project.

Figure 4.2 Elements of a Rapid Results Process



Source: Putting Leadership at the Center of Development (World Bank 2016).

Rapid Results Initiatives roll out in four phases:

Phase 1: Shaping. This phase includes leadership group prioritization, strategic leader work, and team leader orientation. The goal should be challenging or stretching yet achievable, sharply defined, measurable, and visible, using existing resources and capacities. The shaping process includes helping teams:

- Create the right context for change.
- Identify a viable challenge to make progress on.
- Identify the right individuals for an RRI team.

Phase 2: Implementation. The implementation phase begins with a launch workshop. The workshop frequently integrates an implementation retreat within the RRI, so that learning can be shared in a structured way and achievements celebrated. The approach is particularly useful when bringing together disparate stakeholders that need to perform as high functioning teams. Progress is managed throughout the 100 days of implementation along with reviews at mid-point and wrap-up, respectively.

Phase 3: Scale-up. If the government judges the initial set of pilot initiatives as valuable, the process can be scaled up within a sector, across sectors, or subnationally, whichever is relevant. If scaling up is to succeed, top-level engagement is a necessary condition. In some countries, this takes the form of a formal endorsement of the approach from the head of state as a demonstration of his (and the government's) commitment to achieving results on national priorities. In other countries, it takes the form of a decree from the council of ministers, or even the setting up of a special cross-ministerial unit, sometimes in the presidency.

Additional information can be found here:

- [Results Brief](#)
- [Institutionalization of Rapid Results in Kenya](#)

Field Level Leadership

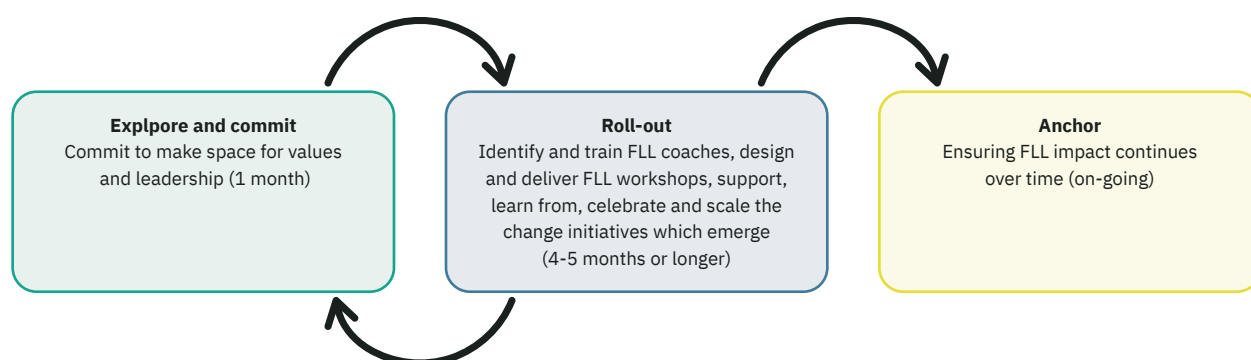
Field Level Leadership (FLL) is a values-driven change management approach that mobilizes peer-to-peer learning to develop leaders in the ranks of public agencies.³⁴ The objective of FLL is to reorient behavior within an organization or an organization's team towards higher quality service and customer engagement, which will translate into tangible performance improvements. FLL identifies and supports groups of champions – called “early adopters” – to set off a series of positive changes in public agencies.

FLL demonstrates that some of the hardest challenges in public service delivery are about motivation and behaviors. It is based on the premise that champions may be a minority but are not rare, that they exist at all levels in the organization, and that they can be identified systematically. Getting to high performance is not only about infrastructure investments, policies, or regulations; it depends just as much on the personal behaviors of those at the customer interface, the “edge” of the bureaucracy. When staff in a public service organization are demotivated, service delivery suffers, no matter what the quality of senior management, the skills training given, the organization's infrastructure investments, or its strategy. Conversely, when an organization engages its staff, it can deliver not only on the performance indicators but also positively transform the work culture and quality of public service delivery.

FLL processes create peer-to-peer networks of early adopters, use specially crafted workshops to reconnect staff with their values, identify how their daily tasks link to serving the citizens, and implement self-designed improvement initiatives to spread the message that change is desirable and possible. As more staff join this dynamic, the social norms within the organization change from apathy to engagement, with resultant shifts in performance. FFL programs are implemented in three main steps: (1) explore and commit, (2) roll-out, (3) and anchor (Figure 4.3).

34. Field level leadership is built on the leadership approach and applied it to the Water Sector. See Pahuja, S., H. Johnson and M. Weber-Fahr, 2022. Field Level Leadership: Transforming Service Delivery. Washington, DC: World Bank.

Figure 4.3 Steps to Implementing a Field Level Leadership Program



Source: Pahuja, S., H. Johnson and M. Weber-Fahr, 2022. Field Level Leadership: Transforming Service.

Step 1: Explore and Commit. In this step, senior management explores the idea of applying FLL with key stakeholders, then commits the organization to applying it. Management also decides on the modalities of how to apply FLL. Effectively, senior management is promising to create the space for values and leadership at every level of the organization.

Step 2: Roll-Out. At the beginning of the roll-out, senior management selects a team from among the Early Adopters to be trained as FLL Coaches. The FLL coaches will manage and facilitate the process and run the FLL workshops. To start the roll-out, a round of 4-day off-site workshops will provide space for the organization’s staff to work in intensive group-work sessions. They reflect on their personal values—the inner drivers of behavior—and contrast these with their actual behaviors at work. About 90 days into the FFL program, review workshops allow the staff to share their experiences of trying to achieve these goals. As the FFL program progresses, there is a rapid expansion in the number of peer-to-peer networks in the organization and a boom in the number of staff starting self-driven Change Initiatives to solve problems. Finally, when the organization (or the part of it involved in a phased approach) has “tipped” into a new culture, the process is evaluated, and lessons learned are gathered. If FLL is being implemented in a phased approach, it is expanded to the other parts of the organization that have not yet applied it. When all parts of the organization have experienced the “tip” towards the new culture, this step is concluded, and the results celebrated.

Step 3: Anchor. Anchoring happens after the FLL process has been concluded. Its purpose is to sustain and nurture the outcomes. Anchoring may require ongoing communication efforts, as well as related changes in policy, strategy, and work processes which reflect and incentivize the positive behaviors and other changes. Moreover, there will be new expectations for performance – focused on citizens and their needs – that need to be discussed and understood. Anchoring is about “walking the talk” and, occasionally, may involve re-visiting the need for an “FLL booster” in the shape of a new round of workshops.

See Box 4.5 for an example of how the application of FFL in Tanzania improved water supply and sanitation services provision. More information can be found in the complete FLL guide [here](#).

Box 4.5 Application of Field Level Leadership for Water Services Provision in Tanzania

By 2022, the World Bank had been supporting the Government of Tanzania in improving water supply and sanitation services in Dar es Salaam for more than a decade, through financing of infrastructure investments and institutional development, including knowledge and capacity-building measures. In late 2016, officials from the Ministry of Water, the Dar es Salaam Water and Sewerage Company (DAWASCO) and the Dar es Salaam Water and Sanitation Authority (DAWASA) who were amid a reform to merge into one institution, embraced the idea of introducing Field Level Leadership (FLL) programs to enhance service quality and customer engagement. To be successful, such a merger would need to be owned by the two agencies' frontline staff and management, and the organizations' leadership believed that FLL could further support this outcome.

Therefore, it was decided to pilot FLL as one integrated program for the two agencies. The response to FLL training and roll-out was very positive. Some senior managers participated in the process and one of them even became an FLL Coach. Moreover, all rank-and-file staff from DAWASA and selected branches of DAWASCO joined, including those on the front lines. This innovative approach anchored the desired institutional and service delivery changes in many hearts across the organization, and not just in the heads of a few senior managers. A safe space was created where the staff could support each other in self-reflection and explore solutions to long-standing problems.

Many inspiring stories of positive change resulted from this initiative: meter-readers pledging that they would actually read the water meters; staff setting up WhatsApp groups with customers in each neighborhood to discuss and respond quickly to problems; and a concerted effort to reduce water losses and collect outstanding bills that led to significant reductions in non-revenue water. Community surveys showed a 34% improvement in complaint redressals and 55 percent improvement in reliability of water delivery schedules. These results did not come from FLL alone, but it was a catalytic intervention that multiplied the impact of other investments.

Source: Adapted from Pahuja, S., H. Johnson, and M. Weber-Fahr, 2022. Field Level Leadership: Transforming Service Delivery. Washington, DC: World Bank.

5

MULTISTAKEHOLDER ENGAGEMENT

Global reports highlight how multistakeholder engagement can drive results by enhancing coordination, prioritization, and accountability beyond the department or agency that is directly leading it. This chapter introduces several practical tools for multistakeholder engagement. In this chapter, multistakeholder engagement refers to the engagement of a relatively small group of stakeholders with direct influence on the reform. These stakeholders can be either organizations and individuals within the government—other ministries, departments, or agencies—or stakeholders outside of government such as civil society organizations or the private sector. Broader engagement will be covered in the next chapter on strategic communication. Direct stakeholder engagement is important for understanding positions towards a reform and incorporating broader perspectives in the process. It can help garner support for a reform, counteract vested interests, or address bottlenecks and resistance to change that can appear at the level of key stakeholders of a reform. This chapter will (1) provide key concepts relating to stakeholder engagement; (2) introduce select stakeholder engagement tools for coalition building and change management; and (3) offer some tips for implementation.

STAKEHOLDER ENGAGEMENT FOR DEVELOPMENT REFORMS

Stakeholders play vital roles in shaping and implementing reform processes. Reforms often require cooperation, coordination, and commitment from stakeholders beyond the organizations that are leading them. These other stakeholders can be from other ministries or government agencies or from outside the government, such as civil society organizations,³⁵ the private sector,

35. In this context, citizens and civil society is understood in the broad sense - referring to all people in the society or country in an inclusive and non-discriminatory manner. Citizens can act as individuals, organize themselves (e.g., community-based organizations, women's groups, indigenous peoples' groups), or be represented by groups and organizations (e.g., civil society organizations, NGOs, academia, foundations, associations, trade unions, policy development and research institutes, social movements).

and development partners. This chapter is focused on engaging stakeholders that are more directly involved or active on a reform, either from within the government or from civil society. Stakeholder engagement refers to the systematic process of involving individuals, groups, and organizations who are directly or indirectly impacted by a reform, policy, or project. Stakeholder engagement can also be considered as induced participation where reform actors request other public organizations and staff or citizens and civil society³⁶ actors to proactively participate in the change process.

Reviews suggest that key characteristics for impactful multistakeholder engagement include being context specific, informative, participative, sustained, transparent, and inclusive.

The concept of “stakeholder engagement” emerged in management and corporate governance literature. This literature and past public-sector reforms emphasize the benefits of robust stakeholder engagement tools for promoting collaboration, accountability, and inclusivity. In public sector reform processes. Multistakeholder engagement with the following characteristics has been shown to have more impact.³⁷

- **Context specific.** Suitable stakeholder engagement approaches should be identified strategically. They should be based on well-identified objectives and planning of how the stakeholder input and feedback will be used.
- **Informative.** Balanced and objective information that assists stakeholders in understanding problems, alternatives, opportunities, and solutions is a prerequisite for meaningful stakeholder engagement.
- **Two-way participation.** Encouraging two-way communication and fostering stakeholders’ active participation by prioritizing listening as much as sharing information in the reform processes improves outcomes. Closing feedback loops by proactively reporting back on the actual outcomes of public participation is critical.
- **Long-term and continuous.** Stakeholder engagement is not a one-time activity but an ongoing process that ensures stakeholders remain informed, engaged, and committed throughout the reform journey. Thus, long-term commitment is critical, as successful reforms often require sustained engagement beyond the initial planning and implementation phases of the reform.
- **Transparent.** Sponsors of reform should provide full information about the objectives, scope, constraints, intended outcomes, timeline, and expected results. They should also be transparent about the views and inputs received during the stakeholder engagement process. Stakeholders should know and understand how and at which stage their inputs will be solicited, how much time commitment is required on their part, the limits of what can and cannot be changed or incorporated, and the expected results of their participation. These steps help avoid unrealistic expectations.

36. Stakeholder engagement gained significant traction with a book titled *Strategic Management: A Stakeholder Approach* (Freeman, 2018). Author is widely credited with formalizing the concept of stakeholders as anyone who affects or is affected by an organization. This included not just shareholders but also employees, customers, suppliers, communities, and more.

37. Kumagai, Saki; Bandyopadhyay, Sruti; Grandvoinnet, Helene. 2020. *Mainstreaming Citizen Engagement in Public Financial Management for Better Results*. Washington, D.C.: World Bank Group.

- **Inclusive and representative.** Efforts need to be made to engage diverse actors and avoid discrimination on any basis, including nationality, race, ethnicity, religion, gender, sexual orientation, disability, age, class, and level of education. Where a small group of stakeholders are selected as representatives of larger segments of society—to serve as advisory committee members or for citizen membership of decision-making bodies—the reform sponsor needs to ensure that they are trustworthy and legitimate representatives of citizens by conducting transparent selection processes buttressed by a thorough background check.
- **Flexible and adaptive.** An impactful stakeholder engagement process allows strategies to evolve as stakeholder dynamics shift over time. Monitoring and evaluation of engagement processes ensure their effectiveness by tracking participation, gathering feedback, and adjusting, as necessary.

When designed and implemented well, the use of digital technologies can further promote transparency, universal accessibility, and inclusive participation in stakeholder engagement.

The advent and availability of innovative technologies provide new opportunities to reach citizens, aggregate their “voice” and demands, help governments respond, and partner with citizens to find and implement solutions collectively and in a timelier manner. With the right approach, CivicTech, for example, enables citizens to overcome income, social, and geographical barriers to interact with governments and participate in decision-making at the local, regional, or national level.

The objective of stakeholder engagement is to ensure alignment, gather diverse inputs, foster ownership, and build collaborative solutions for implementation of reforms. Thus, stakeholder engagement is frequently utilized to obtain citizens and civil society actors’ inputs and feedback on analysis, alternatives, and decisions at different stages of public deliberation, implementation, and evaluation. For CB&CM, some approaches focus on engaging stakeholders within government, while others focus on nonstate actors – for example, citizens, civil society, and the private sector. Both approaches should be developed based on a stakeholder engagement plan that has a clear objective and incorporates targeted tools to support the reform process.

The following steps are recommended to develop and implement a stakeholder engagement plan:

Step 1: Identification of stakeholders. Stakeholders can be individuals or groups in government, like ministries and agencies, and external stakeholders, such as civil society organizations and the private sector (World Bank 2018). Identify, list, and categorize key stakeholders who may affect or are affected by the proposed project or the policy reform.

Step 2: Mapping of stakeholders onto a matrix. Tools such as stakeholder mapping and power-interest matrices help categorize stakeholders based on their influence, interest, and role in the reform process. Assessment tools such as stakeholder analysis and political economy analysis (as described in Chapter 3) can help identify the target stakeholder groups, and improve understanding of context and dynamics, risks, and opportunities.

Step 3: Defining clear objectives and vision. Reform sponsors need to plan for a fit-for-purpose strategic stakeholder engagement. They also need strong leadership and a vision to provide direction and help align stakeholders toward common goals. Objectives may include gathering input, building consensus, securing partnerships, or mitigating resistance. These objectives inform

the design of the stakeholder engagement plan and drive the selection of suitable approaches/ tools for stakeholders and the target audience.

Step 4: Formulating a stakeholder engagement plan and selecting tools. Stakeholder engagement requires dedicated mechanisms and platforms to ensure alignment, coordination, and active participation. Using platforms and tools, such as delivery units, advisory boards, or digital dashboards can facilitate collaboration, track progress, and address challenges in real time. Governments should also consider whether capacity-building initiatives are needed to complement these tools and ensure stakeholders have the skills and knowledge needed to engage effectively.

Step 5: Closing feedback loops. Summaries of input provided by stakeholders should be made public, accompanied by an explanation of how or if their contributions have been considered, and if not, the reasons why.

Engaging stakeholders in reform processes can be expected to generate the following outcomes:

- **Reduced resistance and future costs.** The cost of not engaging with nonstate actors can include a less informed public, erosion of public trust in government, public frustration, or opposition to policies, all of which may lead to protests and legal challenges, poor development outcomes and results.
- **Inclusive reforms and projects.** Engaging a range of stakeholders, particularly nonstate actors, in decision-making can help design and implement reforms and projects in a way.
- **Improved results and sustainability.** Growing evidence suggests that engagement with nonstate actors can contribute to achieving better results, measured by intermediate and final development outcomes.³⁸ Engagement with nonstate actors can help in building sustainable national systems for policy deliberation and decision-making.
- **Strengthened trust and legitimacy.** Stakeholder engagement has the potential to harness further trust and legitimacy in government and its decision-making. This is especially true when such interventions are well-designed and implemented, and citizens and civil society actors can see the feedback loop is closed. Key findings of a recent OECD Survey on Drivers of Trust in Public Institutions (2024) reveal that citizens who feel they have a voice in government decisions are three times more likely to trust their national government (69 percent) compared to those who do not feel heard (22 percent). However, it should be noted that poorly planned and implemented stakeholder engagement has the potential to cause frustration and reduce trust in government.

An example of how stakeholder engagement processes can address government-wide reform and implementation challenges is provided in Box 5.1.

38. An extensive summary is provided in Kumagai, Saki; Ilorio, Federica. *Building Trust in Government through Citizen Engagement (English)*. Washington, D.C.: World Bank Group. OECD. 2024. *OECD Survey on Drivers of Trust in Public Institutions – 2024 Results: Building Trust in a Complex Policy Environment*. World Bank Group. 2014. *Strategic framework for mainstreaming citizen engagement in World Bank Group operations: engaging with citizens for improved results (English)*. Washington, D.C.: World Bank Group. World Bank Group. 2018. *Guidance Note for Borrowers - ESS10: Stakeholder Engagement and Information Disclosure*. Washington, D.C.: World Bank Group.

Box 5.1 Lebanon Reform, Recovery and Reconstruction (3RF) Framework

Launched in December 2020, the 3RF Framework in Lebanon was established as an emergency response mechanism to address the urgent needs of the population affected by the 4th of August Port of Beirut explosion. The Framework aimed at implementing reforms to support reconstruction and helping restore people's trust in government by improving governance.

To respond to the needs, the Framework established a partnership comprised of the Government of Lebanon, civil society including the private sector, and the international community. Two notable participatory mechanisms were embedded into the governance of the 3RF Framework: Consultative Group and Independent Oversight Board.

- **Consultative Group:** A multistakeholder group represented by the Government of Lebanon, donors, and civil society organizations including the private sector. It enabled coordination across sectors and financial instruments and facilitated linkages between the political context and the humanitarian and development activities needed for reconstruction.
- **Independent Oversight Board (IOB):** An advisory board consisting of six civil society representatives. These term-based pro bono representatives were appointed through calls for expression of interest. The IOB's main task is to provide an independent oversight function on 3RF implementation progress and use of financing, and to aggregate citizen perspectives and voices.

In addition to the 3RF's Framework level reports, the Consultative Group's statements, and meeting minutes in addition to the IOB's calls for expressions of interest, their Terms of Reference, and any releases including policy briefs are available on the 3RF website. It also publishes the monitoring of 3RF commitments and policy reform implementation.

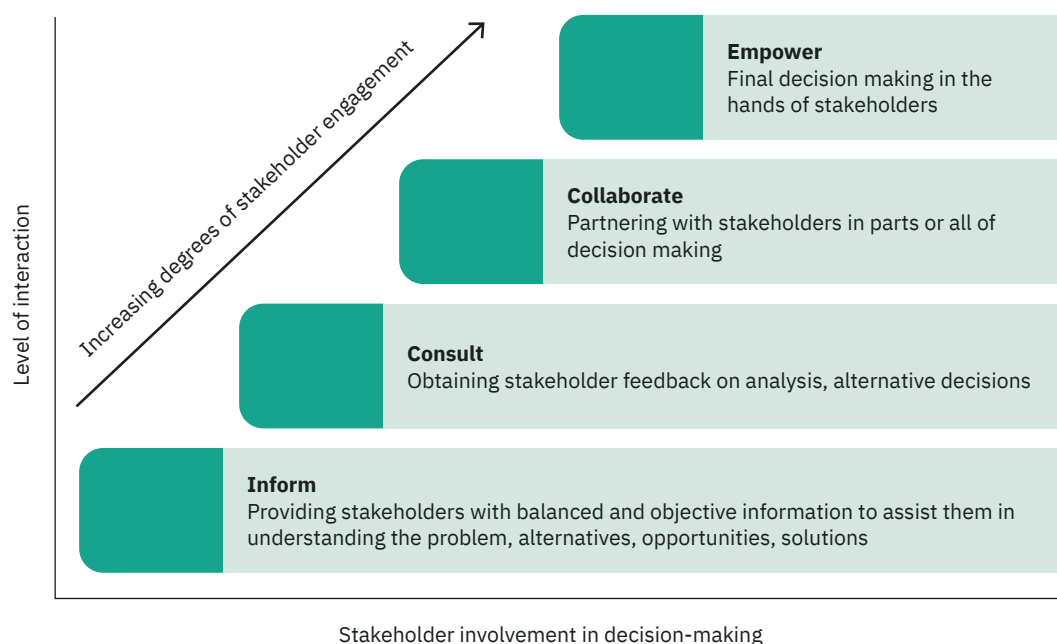
Over the years, 3RF has displayed the values of participatory approaches for policy reforms that support reconstruction. It has become an inclusive platform for policy dialogues beyond addressing the immediate needs for recovery and reconstruction.

Source: Lebanon Reform, Recovery and Reconstruction Framework." <https://www.lebanon3rf.org/>.

TOOLS FOR STAKEHOLDER ENGAGEMENT AND COALITIONS

The tools introduced in this chapter address the above-mentioned challenges by providing tested approaches for coordination and engagement. They aim to ensure that reforms are implemented effectively, that progress is monitored, and that stakeholders can play an active role in shaping outcomes. These mechanisms ensure that concerns and ideas are captured and addressed in a structured manner. The tools are not just designed for engagement but can be foundational elements for the success of public sector reforms, as highlighted by global reports such as OECD (2019) and World Bank (2017, 2018b). The tools can broadly be grouped into four levels of engagement (Figure 5.1).

Figure 5.1 Levels of Stakeholder Engagement



Source: Adapted from Opening the black box: the contextual drivers of social accountability (Aslam et al. 2015).

Inform: Engagement relies on transparent, timely, and tailored communication³⁹ to keep stakeholders informed and aligned. For instance, this communication could be achieved through meetings, workshops, newsletters, and digital platforms including social media accounts. Reformers can share regular updates through town halls and public dashboards to demonstrate accountability and show stakeholders how their input has influenced reform outcomes.

Consult: To further strengthen stakeholder engagement, it is important to deploy consultation mechanisms such as public consultations, focus group discussions, and roundtable meetings is essential. Tools such as scorecards, progress reports, and performance dashboards can help track engagement effectiveness, stakeholder satisfaction, and the impact of participation.⁴⁰ Grievance redress mechanisms are another instrument that enables stakeholders to share ongoing input and concerns through channels like surveys, text messaging, and grievance hotlines.⁴¹

Collaborate. To enable collaboration, governments often establish platforms, such as advisory groups or working groups, to ensure that stakeholders move beyond passive consultation to active participation. Fostering inclusive decision-making processes through participatory mechanisms

39. Tailored communication strategies—such as briefings, newsletters, or public reports—ensure transparency and keep stakeholders informed about the reform’s goals, benefits, and progress (OECD, 2020; World Bank, 2017).

40. OECD, 2019.

41. World Bank, 2017.

like citizen juries, policy labs, and co-creation workshops ensures that underrepresented groups are included in the reform journey.⁴²

Empower. This means that citizens and other nonstate actors have the opportunity to make the final decision on policy, for example in the case of participative budgeting and citizen juries. Creating new institutions and channels for accountability—such as an ombudsman or an institutionalized participative budget—can strengthen the relations between public organizations and their stakeholders’⁴³ process.⁴⁴

A select set of these tools is discussed below based on what additional insights can be offered by World Bank Group practitioners. The whole-of-government [citizen engagement handbook from British Colombia, Canada](#) is an example of how these elements can come together in a discrete strategy.

Tools Summary	
Delivery and Coordination Mechanisms	• Institutionalized unit or structured process (such as a steering committee) within a government bureaucracy that aims to rapidly improve bureaucratic functioning, reform, and policy implementation.
Multistakeholder engagement platforms	• To achieve greater social accountability and citizen engagement through participation of citizens and other nonstate actors.
Advisory Committees	• To create a consultative group that provides public input on the project/program/ reform policy.
Citizens Assembly	• To create a body of citizens who review and provide recommendations and guidance on a reform.
Citizen surveys and Scorecards	• To provide a quantitative assessment of government performance and service delivery based on the citizen’s perception and experience.

Delivery and Coordination Mechanisms

Delivery and Coordination Mechanisms provide structure and direction by coordinating reform implementation within a ministry’s directorates and agencies or across multiple ministries to align efforts and achieve the reform’s objectives. Williams et al. (2021) define delivery mechanisms as “institutionalized unit or structured process within a government bureaucracy that aims to rapidly improve bureaucratic functioning and policy delivery by combining a set of managerial functions in a novel way to shift attention from inputs and processes to outputs and outcomes.” Delivery mechanisms can also be established to drive and coordinate target reform. However, some delivery mechanisms run the risk of being overly centered on the technical aspects of the reform and do not automatically ensure collaboration among stakeholders (Gold 2017). Therefore, the objectives of these mechanisms should incorporate nontechnical aspects of the reform.

42. OECD, 2020.

43. World Bank. 2018a. Engaging Citizens for Better Development. Independent Evaluation Group, Washington, DC: World Bank.

44. World Bank, 2018a.

Many delivery and coordination mechanisms have been associated with reform and policy implementation successes. For example, following the establishment of the Performance Management and Delivery Unit (PEMANDU) in Malaysia, street crime dropped by 35 percent. The percentage of Malaysians reporting high levels of satisfaction with the government's efforts in reducing corruption increased by 20 percentage points, and an additional 2 million Malaysian citizens benefited from improved public services such as water sanitation, electricity, roads, and housing (CPI 2016b)—see Box 5.2 for an example of strengthening whole-of-government delivery. The creation of delivery units contributed to policy successes in other countries such as Chile, Colombia, and Brazil. Chile witnessed a drop in crime victimization from 34 percent in 2009 to 25 percent in 2013 (Lafuente and Gonzalez 2018). In Colombia, theft of cell phones declined by 12 percent in a single year (Lafuente and Gonzalez 2018). Between 2011 and 2015, the state of Pernambuco in Brazil experienced a boost in its ranking on the standardized high school achievement test, going from 16th place out of 27 states to first place; this Brazilian state also ranked first in lowest high school dropout rates, an improvement from being ranked the 11th out of 27 (Lafuente and Gonzalez 2018).

Box 5.2 Strengthening Whole-of-Government Delivery in Saudi Arabia

As part of its Vision 2030 reform program, the Government of Saudi Arabia sought to institutionalize a results-oriented performance culture across its public sector. However, it faced hurdles in aligning performance data collection and use across over 250 public entities. These challenges were rooted in the difficulty of engaging with MDAs and other stakeholders to align measurement standards, build analytical capacity, and clarify accountability lines. Many agencies had limited capacity to produce reliable performance reports or interpret performance trends to inform decision-making, leading to delays in reporting, gaps in implementation follow-up, and minimal use of data for high-level oversight.

To address these gaps, the government relied on the Adaa team – Saudi Arabia's National Center for Performance Measurement – to play a key role in coordinating with the MDAs for reform implementation to achieve KSA's reform objectives. A structured delivery and coordination model was developed, involving a performance reporting cycle managed by sector-specific “front office” teams and an analytical “back office” unit. These teams produced quarterly performance reports for ministries and Vision Realization Programs, which were consolidated into high-level reports and presentations submitted to other government instances. The government established standardized reporting templates, trained over 2,800 civil servants, and enhanced digital platforms such as the Adaa Integrated Platform used to capture and visualize performance data.

The intervention led to a substantial improvement in the coordination and reporting of timely and strategic performance information across government entities. By 2019, Adaa had produced over 250 customized dashboards and 200 automated performance reports, covering more than 70 government entities and all 12 Vision Realization Programs. The timeliness and quality of reporting enabled more frequent and informed performance dialogues at the ministerial and cabinet levels. For example, the Council of Economic and Development Affairs quarterly presentation evolved into a critical decision-support tool for national leadership, highlighting bottlenecks and triggering corrective action. The consistency in reporting also contributed to increased alignment of entity-level targets with national priorities and fostered a shift from compliance-based monitoring to active performance management.

While challenges remain, the approach helped lay the foundation for a more strategic and coordinated, government-wide performance management system. It also informed the design of a future National Performance Management Framework and offered lessons on how countries can integrate delivery unit principles with institutional performance measurement to drive systemic reform.

Delivery and coordination mechanisms also have their downsides and limitations. One significant concern is the potential for centralization of decision-making, which can lead to a lack of local autonomy and responsiveness. Additionally, delivery units may overemphasize short-term goals at the expense of long-term sustainability, resulting in reforms that are not deeply rooted or widely accepted. Furthermore, the focus on measurable outcomes can sometimes lead to gaming of metrics and superficial compliance rather than genuine improvement. In some cases, overuse of international consultants exacerbated these issues by introducing cultural and contextual disconnects and undermined local expertise and capacity-building efforts, leading to reforms that were less tailored to the specific needs and realities of the region. Additionally, the high costs associated with international consultants can strain budgets and divert resources from other critical areas. The experience of the World Bank offers important lessons on deploying this type of mechanisms and can be found in “Organizing for Reforms” (World Bank 2020) which covers examples for India, Malaysia, Mauritius, Rwanda, Türkiye, among others. Success of support often hinges on focusing on the functions that need to be fulfilled by the delivery unit rather than the outputs (World Bank 2018).

A special type of coordination and delivery mechanism is the center-of-government⁴⁵ delivery units which are created at the highest tiers of government, such as under the office of a Prime Minister or a President to oversee government-wide programs. These dedicated arrangements are specialized units that focus on ensuring the implementation and delivery of high-priority programs or reforms. The units are typically established to improve performance in critical areas by setting clear goals, monitoring progress, identifying bottlenecks, and facilitating solutions. The concept of delivery units was popularized by the United Kingdom’s Prime Minister’s Delivery Unit, established in 2001 under Tony Blair’s administration, to focus on achieving key government priorities. The World Bank’s 2010 report on Delivery Units underscores that reforms often falter due to a lack of structured coordination among actors, which inhibits progress and creates inefficiencies. Delivery units can play a pivotal role in supporting and operationalizing multistakeholder platforms by:

- **Facilitating coordination.** Delivery units can act as intermediaries, ensuring alignment between the platforms’ recommendations and the government’s strategic priorities.
- **Monitoring and evaluating impact.** Delivery units can provide technical expertise to monitor the implementation of decisions made by multistakeholder platforms, ensuring accountability and measuring progress.
- **Providing institutional support.** By leveraging their high-level access and operational capacity, delivery units can help institutionalize platforms, embedding their functions within government systems to ensure their sustainability.
- **Driving stakeholder engagement.** Delivery units can mobilize stakeholders, convene dialogues, and maintain regular communication to enhance trust and collaboration.

45. Center of Government (CoG) refers to the institutions and mechanisms at the apex of executive branch that support the head of government (such as the Prime Minister or President) in coordinating and monitoring government policy and reform initiatives. CoG units include the Cabinet Office, Presidential Offices, or Chancelleries, and often oversee inter-ministerial coordination, policy coherence and strategic priorities.

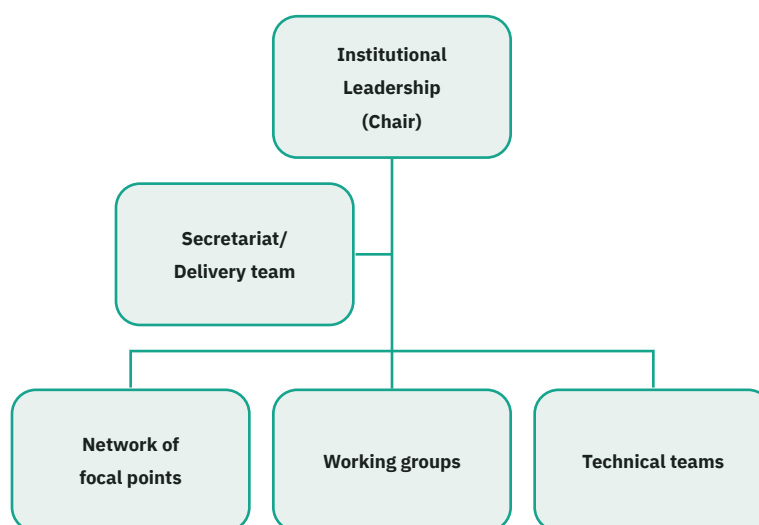
While Delivery Units are housed at the “Center of Government” and cover government wide reform programs, the delivery mechanisms promoted in this chapter are usually smaller scale ones that can be created under specific ministries or even within single agencies to deliver on specific reforms.

In characterizing different delivery and coordination mechanisms, a key consideration is what managerial tools, levers, or strategies the approach seeks to deploy. Williams et al. (2021) refer to these as functions and they include:

- **Target setting and prioritization.** The establishment of a set of key priorities, objectives, and measurable indicators to characterize progress against these objectives, and benchmark levels of performance to be achieved in a specified time.
- **Measurement and monitoring.** The establishment and execution of mechanisms to collect and report information about the performance of divisions, districts, teams, schools, and/or individuals across the organization or sector.
- **Leveraging political sponsorship.** The leveraging and communication of high-level political backing for policy and service delivery. The audience for this signaling of political sponsorship of bureaucratic initiatives can be either: (1) the bureaucracy itself to add pressure or legitimacy; or (2) external stakeholders to increase external pressure on the bureaucracy or serve as a commitment device for government to hold itself accountable. The attention and sponsorship of politicians are best understood as an input to the delivery approach, but the delivery approach’s leveraging of this sponsorship through performance review routines and communication of political support are also part of its role.
- **Accountability and incentives.** The establishment and execution of rewards and/or sanctions linked to performance—the “carrots and sticks” associated with delivery approaches. This could include a range of types of incentives: monetary, the threat of firing or other formal career incentives, reporting to high-stakes meetings that might cause strong reputational concerns, “naming and shaming,” or negative social perceptions.
- **Problem-solving.** The routinization of mechanisms of dialogue, coordination, and problem-solving across multiple individuals, divisions, or organizations that can improve performance through better sharing of information and ideas. This could include horizontal collaboration and convening across teams, sectors, or actors, as well as the facilitation of “bottom-up” approaches to catalyzing organizational learning through local problem-solving, adaptation, issue escalation, and policy feedback across the delivery chain.

Delivery and coordination mechanisms often operate alongside established government institutions with a mandate in reform areas, and they may involve overlapping membership to ensure alignment and collaboration. The organigram of the institutional structure may vary, but core elements include institutional leadership, dedicated staff, such as a committee secretariat, networks of focal points, technical teams, reporting systems, and capacity building. Effective coordination among these elements is essential to minimize duplication of efforts and enhance policy coherence. Integrated structures facilitate regular communication and robust data sharing, ensuring that all parties are aligned and working towards common reform objectives. The structures that can be combined to create a delivery approach are shown below in Figure 5.1 and discussed in turn.

Figure 5.1 Levels of Stakeholder Engagement



Source: Authors.

Institutional Leadership. Institutionalized structures often report directly to an institutional chair, or designated authority to ensure the high visibility and prioritization of reforms. The assignment of reform ownership to high-level authorities is critical to ensuring accountability and prioritization. Leaders with sufficient authority can effectively mobilize resources, align stakeholders, and drive reforms across the government, creating a strong foundation for successful implementation. Delivery and coordination mechanisms are typically chaired by high-ranking officials, such as the head of government or of the executive, ministers, senior advisors, or directors, to ensure alignment with government priorities. The institutional chair's primary responsibilities include: (1) sponsoring change management and reform initiative; (2) setting strategic direction and policy guidance; (3) overseeing progress and ensuring accountability; and (4) resolving high-level challenges and ensuring cross-ministerial coordination.

Secretariat, Implementation team, or Reform unit. The secretariat, implementation team, or reform unit acts as the operational arm of the structure. The secretariat plays a crucial role in ensuring the smooth operation and effectiveness of the structure. It is responsible for tracking implementation and reporting to the institutional leadership, organizing meetings, preparing agendas, and distributing relevant documents to the other members. Additionally, the secretariat takes minutes during meetings, tracks action items, and follows up on decisions made by the committee. It acts as a liaison between the institutional chair and other stakeholders, ensuring clear communication and coordination. Overall, the secretariat provides administrative and logistical assistance.

Network of Focal Points. Reform focal points are key actors within line ministries or agencies who sponsor the change management work and track progress and achievement. They serve as a bridge between delivery units and their respective ministry, department, or agency. These individuals are different from HR managers or communication/media focal points who might manage some

technical work. The key roles of reform focal points are to: (1) sponsor and advocate for change management within their ministry, (2) monitor progress and outcomes at the sectoral level; and (3) act as a liaison with delivery units and technical committees. Focal points can be strengthened by capacity building. Training programs on project management, stakeholder engagement, and data-driven decision-making can empower focal points to deliver reforms effectively.

Working Groups. These consist of thematic groups that meet to discuss specific aspects or elements of the reform. The groups can be technical or consultative and include technical-level staff, relevant coordinating agencies, and key stakeholders. Working groups actively develop aspects of the change management work and collaborate with committees to achieve the target reform. This includes: (1) drafting technical policies, and frameworks; (2) conducting research and consultations to inform decision-making; and (3) coordinating with steering committees to address operational challenges. Working groups collaborate with steering committees and the secretariat to ensure reforms are technically sound, feasible, and aligned with broader strategic goals. They produce actionable recommendations, detailed implementation plans, and progress reports.

Technical teams. The technical team plays a vital role in providing specialized expertise and support to achieve the committee's objectives. This team is responsible for conducting technical analyses, developing and implementing technical solutions, and ensuring that projects adhere to technical standards and best practices. They collaborate closely with the secretariat and other stakeholders to provide insights and recommendations based on their technical knowledge. Additionally, the technical team may be involved in troubleshooting issues, maintaining technical documentation, and ensuring the overall technical integrity of the committee's initiatives. Their work is essential in translating the committee's strategic goals into practical, actionable plans.

There is substantial potential for synergy and interconnection between delivery teams and the leadership approach. Building the technical and managerial capacity of delivery and coordination mechanism at the level of institutional chair, secretariat, focal points, and working groups is a cornerstone of successful reform initiatives. Strengthened capacity empowers these actors to address challenges, execute reforms efficiently, and sustain momentum over time. Finally, robust monitoring and evaluation frameworks are vital to tracking progress and ensuring the achievement of reform goals. These frameworks identify bottlenecks, measure outcomes, and provide actionable insights to adapt and refine implementation strategies, driving the success of reforms.

Annex 5 presents elements of a project supporting a Delivery Unit in Tunisia.

Multistakeholder Platforms

Multistakeholder platforms are proven approaches to mobilizing civil society, enhancing social accountability, and fostering the participation of citizens. They consist of creating a structured environment that facilitates meaningful dialogue and decision-making. Multistakeholder platforms encourage the active participation of citizens and other nonstate actors in policy decision-making and implementation. By integrating diverse perspectives, this approach aims to improve the collective knowledge base, stimulate innovative ideas, and enhance the effectiveness and quality of public service delivery. Key features of multistakeholder platforms include:

- **Composition and size.** They should seek a balanced representation of the different stakeholder groups, ensuring that all stakeholders have an opportunity to shape

decisions, be heard and contribute. This decision should be balanced with the size of the multistakeholder group in order for the dialogue to be constructive and consensus, where relevant, can be built.

- **Roles and responsibilities.** Stakeholder groups can have different functions on and of the platform depending on their level of mobilization or influence.
- **Rules.** The platforms detail the purpose, structure, representation, and decision-making processes for stakeholders to dialogue and deliberate regularly. Institutionalization can ensure sustainability and durably shape the scope and nature of policy.
- **Outputs.** These can include making recommendations for governance reform on a broader scale.
- **Capacity.** Capacity development and/or enhanced facilitation can strengthen these platforms to achieve more effective engagement and informed dialogue. Capacity building, such as for technical or leadership skills, can help empower supporters of the reform and maximize the impact of the platform.

Annex 5 introduces coalition building through stakeholder engagement.

Various aspects of multistakeholder platforms can be supported using digital technologies.

For example, the multistakeholder group itself can have a dedicated website or webpage for internal and external communication and disclosure of information, including for the disclosure of its own terms of reference. In the post-COVID world, many multistakeholder groups utilize hybrid interactions, where some are present physically in a meeting room and others are connected virtually to participate in meetings and dialogues. Meeting minutes can sometimes be generated by Artificial Intelligence (AI), when consensus and consent to do so are reached.

Web-based petition platforms or “open petitions” serve as a type of multistakeholder platform by enabling citizens to request governments to change policies or laws. Petitions have long used paper, with physical signatures. While effective, this methodology was limited by physical outreach and locations. With the emergence of digital technology solutions and sufficiently broad internet connectivity, some governments, such as the UK and US, provide online platforms to enable citizens to post and vote on petitions. In the UK, a petition submitted by a British citizen or a UK resident receives a response from the government after 10,000 signatures and is considered for debate in Parliament after 100,000 signatures.⁴⁶ In the US, a petition on the White House’s “We the People” petition site receives an official update from the White House within 60 days when it collects 100,000 signatures in 30 days.⁴⁷ In both countries, the platforms enable citizens to create petitions, monitor open petitions, and track petitions being considered.

Advisory Bodies/Committees

An advisory body/committee is a consultative group that directly informs or advises on reform.

It usually includes a limited number of stakeholders—citizens, members from academia, private sector, civil society—that provide public input on the project/program/reform/policy. It often plays

46. UK Government and Parliament: Petitions. <https://petition.parliament.uk/>.

47. We the People. <https://petitions.trumpwhitehouse.archives.gov/>.

an active role in helping the implementation agency fulfill its goals and objectives. An advisory body/committee can represent and relay stakeholders' views, needs, and priorities. It can be set up as a formal committee or as an informal consultative group of users. The following are the steps for creating an advisory committee:

Step 1. Determine the focus, objective, and size of the advisory body.

Step 2. Identify and recruit stakeholders/committee members and be mindful of inclusiveness to ensure proper representation of relevant stakeholders.

Step 3. Establish appropriate guidelines for the consultation process and communicate them to committee members.

Step 4. Clearly define scope and mandate for the advisory body, including what information, training, and support services are to be provided to them, how their advice is to be presented—in writing, in periodic meetings—and the procedures to respond to this advice.

Step 5. Collect consultation input from the advisory body systematically and communicate how their input is considered.

Step 6. Ensure that the public is aware of the function of the advisory body, the consultation process, and outcomes.

Step 7. Distribute relevant project/program information and materials to members so they can deliberate and consult.

Step 8. Engage in consultations and dialogue with members to collect their input on the project/program.

Step 9. Communicate outcomes of the consultation process widely in an accessible form.

Citizens Assembly

Citizens' assembly in the context of CB&CM is a body of citizens—usually a representative sample of the public or mini-publics—who come together to deliberate on a given issue and provide a set of recommendations, options, or priorities to the convening state actors with an aim of informing public opinion and decision-making. They may also decide on collective action to back their decisions. The exact model and purpose of citizens' assembly may vary. Citizens' assemblies are not intended to replace the elected decision-making bodies, and the conclusions and recommendations that emerge from citizens' assemblies are frequently intended to encourage more informed consideration of the issues before elected public officials make a final decision.

Citizen assemblies can be formally organized by a government to perform set functions such as investigating an issue or providing proposals as part of a reform process. For example, citizens assemblies can be given a mandate to generate a proposal on a reform issue, then such a proposal is put to a popular referendum as seen in British Columbia in Canada, Ireland, and Belgium. They can also be given a level of independence from government and mandated to provide a set of recommendations or develop community values on select issues. Experience of citizens' assemblies to date suggests that such assemblies have the potential to signal more legitimate public opinion on emerging policy issues. However, there are key risks regarding the use

of citizen assemblies. First, the process can rapidly become politicized and disconnected from the original intent or policy issue. Second, there can be attempts to capture the process by influencing participation of certain groups over others.

The following are the steps for creating a citizen assembly:

Step 1. Identification of purpose, scope, mandate of citizens' assembly.

Step 2. Identification of participants. Frequently, a quasi-random selection method is used to ensure a representative sample of the population. Participants then need to be invited to participate or be recruited.

Step 3. Learning. Participants will have varying degrees of knowledge and understanding on a given issue. It is therefore helpful to provide them with learning sessions on a given issue (and about collaborative deliberation). With emergence of Artificial Intelligence (AI), AI-based solutions can help expedite the process of generating and packaging information resources to citizen representatives—see Chapter 7 for an example on Saudi Arabia. The accuracy and adequacy of information generated by AI need to be vetted and citizen representatives also need to be informed that an AI tool was used to generate the information package they receive.

Step 4. Interaction. During this phase, open comment and discussion take place on a given issue. Various engagement modalities can be utilized, such as written, in-person, and virtual public hearings, and consultations.

Step 5. Deliberation. Facilitated dialogues and debates take place among the participants to deliver on the tasks provided.

Citizen Surveys and Scorecards

Citizen surveys provide a quantitative assessment of government performance and service delivery based on citizen's perception and experience. Citizen surveys have been used in many countries to monitor access to and quality of basic services. Depending on the objective, the surveys can collect data on a variety of topics ranging from perceptions regarding stakeholder engagement activities, policies, service delivery, and elected officials to desire for new capital projects and services.

With maturity in technology and growing ICT-enabled engagement options, citizen surveys can be done more proactively and frequently to gauge citizens' pulse in a timely manner. Traditionally, citizen surveys are conducted at the beginning and at the end of the project/program/stakeholder engagement regardless of the broader aim – for example, curbing corruption, improving availability of and access to services, and understanding citizens' perceptions on policies and policy implementation. With availability and maturity in technology-enabled solutions for surveys, it is possible to more proactively and frequently measure citizen satisfaction on service delivery access and experience and perceptions on policies and emerging events such as COVID pandemic response, including vaccinations. The choice of technology options and methodology depends on the survey's purpose and the target audience. Box 5.3 provides some examples of digital survey tools.

Box 5.3 Examples of Digital Citizen Survey Approaches and Tools

The use of **interactive voice recognition (IVR)** is one of the frequently applied mobile phone-based survey techniques in recent times. This technology uses a recording to ask the survey questions, and the survey participants respond by pressing a number on the phone dial pad. The system then records the selected number through dial tone sensing technology. IVR is a preferred technique over texts or SMS-based techniques when it comes to user friendliness (literacy level concern). It, however, can retain some cost-savings compared to using a live call center. The survey questions used for IVR surveys are usually short. For example, experience with 10 survey questions in Afghanistan, Ethiopia, Mozambique, and Zimbabwe indicates that respondents who completed the survey spent 4–5 minutes on average to complete the survey and took under 30 seconds per question to respond.

A **random number generation** system is one sampling methodology used for IVR-based surveys. Some survey operators, such as Moto Mobile, use a random number generation system to randomly generate a list of numbers that conform to the target countries' mobile number formations from a sample of mobile users. With this methodology, it is not possible to stratify the sample as survey administrators are unaware of any demographic characteristics associated with the number until data collection is complete. That said, the evidence indicates the average sampling error even in the low-feasibility countries (Ethiopia and Mozambique) was +/- 5 to 7 percent. IVR-based survey accompanied with a random number generation is a beneficial survey approach for advancing inclusiveness—reaching out to the poor, rural population, and women in some country contexts—and rapid data gathering in an accurate and cost-effective and manner.

Usage of online interface has also increased as internet connectivity and users have increased globally. For example, an online survey platform RIWI (<https://riwi.com/>) delivers anonymous opt-in surveys to random Web users who are surfing online and land on inactive domains by using the random-domain intercept or rapid cycle research survey sampling methodology. Respondents do not expect to take the survey and can choose to cancel at any point in time. Platforms such as RIWI have advantages compared to traditional survey methods in terms of cost, speed, and geographical coverage. For example, RIWI allowed administering of a global survey on tax morale in 50 countries collecting data from 65,471 respondents in three weeks. However, this methodology is prone to issues such as attrition. RIWI advises that the average respondent receives up to 12–15 questions, with a maximum of 20, recognizing the attrition challenge. While platforms such as RIWI allow for rapidly capturing and assessing the large samples of broad, truly randomized opinions and perception data in a short period, the profile of survey respondents may be limited in certain country and internet contexts. For example, when this methodology was applied in Iraq, Libya, Syria, and Yemen, the respondents' demographics reflected the gender divide of the active internet-using population. Two-thirds of respondents in Libya and Iraq as well as three-quarters in Yemen were male. It is important to note that this is not unique to RIWI. The sample of a Computer Assisted Web-based Interviewing in general is skewed towards men, youth, educated, and the wealthier.

Surveys on social media platforms have also gained popularity. For example, surveys can be administered via Facebook Messenger based on the sample of Facebook accounts in the country, targeting users above 18 years old. The World Bank rolled out the COVID-19 online vaccine survey on Facebook in multiple countries to help the Bank better understand vaccine acceptance and hesitancy and run A/B test behavioral messages – advertisements – to improve access and uptake of the COVID-19 vaccine. For example, in Lebanon, the advertisements reached 1.2 million users with 33,000 clicks within a month. In all, 3,866 completed survey data with a completion rate of 80 percent were collected. While a rapid rollout of a survey in a cost-effective manner can be achieved through this methodology, the respondents' profiles can be limited. It is necessary for them to have internet access, be able to use a smartphone or a computer, and be literate. One should also note that Facebook data is a non-probability data sample; individuals self-select to click on the survey link and respond to the questionnaire.

Usage of call centers with known service users remains a powerful approach to proactively collecting citizen perception and satisfaction data on service delivery. The Proactive Feedback Model of Punjab Government (the Punjab Model) was launched in 2011. The service users of 16 service areas, including health and education, receive an SMS followed by a phone

call when they use government services. When called, service users are asked multiple questions regarding their experience, including corruption. Phone calls are made by an outsourced operator (call center) on behalf of the Punjab Government to allow citizens to feel comfortable sharing their feedback. The call center has contacted 14.53 million service users and collected feedback from 2.04 million service users—response rate is approximately 14 percent. Over 307,000 feedback providers among those 2.04 million reported some form of corruption in the process of service delivery. The aggregated user satisfaction data on a dashboard has informed the government’s decision-makers to improve service delivery performance and fight against corruption. The Punjab Government has taken more than 22,800 administrative actions against officials based on service users’ feedback and due diligence processes. The Punjab Model has been replicated in Albania (health sector) and Myanmar.

Source: Bhatti, Zubair. “ICTs, Service Delivery, Citizen Engagement and Governance” Draft as of September 15, 2017; Leo, Ben et. al. Do Mobile Phone Surveys Work in Poor Countries? <https://www.cgdev.org/sites/default/files/CGD-Working-Paper-398-Mobile-Phones.pdf>; Sjoberg, Fredrik, et. al. 2019. *Voice and Punishment: A Global Survey Experiment on Tax morale*. Washington, DC: World Bank; World Bank. 2020. *Building for Peace: Reconstruction for Security, Equity, and Sustainable Peace in MENA*. Washington, DC: World Bank; World Bank. *COVID-19 Online Vaccine Survey Perception – Objectives & Methodology*. Washington, DC: World Bank; and World Bank. 2021. *Behaviorally Informed Interventions for Covid-19 Vaccine Take-up*. Washington, DC: World Bank.

Citizen perception and satisfaction survey data can be a powerful tool to identify gaps in policies and service delivery implementation. Results of citizen surveys can be complemented by perception surveys in the public sector and among civil servants to determine discrepancies between the two to identify areas needing more attention and actions/approaches that could improve citizens’ experience. Indicators relating to citizen satisfaction and perception can be part of the performance management tool – for example, scorecards – to track public deliberation and reform processes. Results should be shared periodically with the public. The following are steps for implementing citizen surveys and scorecards.

Step 1. Select sample and classify users/citizens/stakeholder engagement activity participants

- Determine the main citizen/user groups and base the citizen satisfaction survey on a carefully selected sample. The sampling should be discretionary and selective.
- Follow a sound sampling methodology to establish the reliability and generalizability of the data generated.
- The sample size does not need to be very large but ensure that all main citizen/user groups are represented.

Step 2. Design survey

- Determine the objective and scope of the survey and which kind of demographic and socio-economic questions to include.
- Decide on the data collection method—internet or paper based, postal surveys or personal interviewing.
- Focus the questions on simple indicators related to service delivery or government performance.
- Include a brief introduction in the questionnaire that explains the exact purpose of the research, the time it might take, and that users may be asked to participate again in future rounds.

Step 3. Survey's launch and data collection

- Determine the launch and timing of the survey, the time given for rendering the responses, and the timing of and the methods used for reminders.
- You may consider launching the survey publicly or officially through some specific event. This could enhance the standing of the survey, especially if it has high-level official backing.
- Alternatively, introduce the survey by a letter sent before the launch, explaining the reasons for undertaking the survey, specifying content and timing, and soliciting support through participation.

Step 4. Analyze results

- Review completed surveys for ambiguous answers and blank responses. Since the sample will likely be small, an interviewer can follow up with the respondent (if he/she submitted a name on the survey) to obtain clarification.
- Carefully consider decisions on breakdowns and generation of results by user groups to make sure they contain sufficient responses to be meaningful.
- Aim to publish the number of respondents responding to each question; this is particularly important when the results are given in the form of percentages.
- Observe the principle of confidentiality and ensure that survey staff members treat the responses with care and respect which governs all statistical surveying.

Step 5. Disclose results and disseminate results

- You may disseminate survey results in a variety of ways such as:
- in the form of tables which lend themselves to comparison over time and are mainly for internal use.
- in a short and concise report that is written and published soon after the analysis concludes. The report should contain survey details including methodology, respondents, and constraints encountered and present the analysis and the main findings.
- If desirable, send the report to all respondents with a thank-you note and disseminate it prominently on the website and through public events.

6

STRATEGIC COMMUNICATIONS

This chapter discusses concepts and tools of strategic communication for reforms. The success of reforms and projects often depends on raising awareness and mobilizing large groups of stakeholders that will be affected directly or indirectly by reforms such as beneficiaries, large swaths of the civil service, or the broader public. Strategic communication aims to achieve the necessary support for new changes from key groups of stakeholders. Keeping stakeholders informed and engaged, and building a shared understanding of changes introduced by a reform is essential for success. Strategic communication offers an approach for advancing this aspect of the reform process.

The path to reform often involves navigating a complex array of social narratives and stakeholder and interest groups who can have diverse expectations, attitudes, and preferences. Advancing reforms depends on persuading people to support the process while including dissenting voices. Fundamentally, strategic communication is concerned with providing targeted groups with the right messages to inform, engage, persuade, and build a shared vision for the future. The appropriate tools, channels, and mediums are required to deliver the right messages to the target group. The overall objective of strategic communication is to secure support for a reform by building coalitions and by influencing the opinions, attitudes, and behaviors of leaders, policymakers, civil servants, and citizens.⁴⁸ Chapter 2 documented the growing body of evidence of the impact of communication and behavioral campaigns to support public policy and adoption of controversial reforms.

The World Bank is increasingly implementing findings from the field in policy programs. For example, a 2024 World Bank review assessed the role of political economy and communications in selecting its technical assistance and advisory activities supporting developing country governments in real-world energy subsidy reform efforts. This review was funded by the Energy Sector Management Assistance Program, through its Energy Subsidy Reform Facility from 2014 to 2020. The exercise involved a high-level portfolio review, with a qualitative assessment of

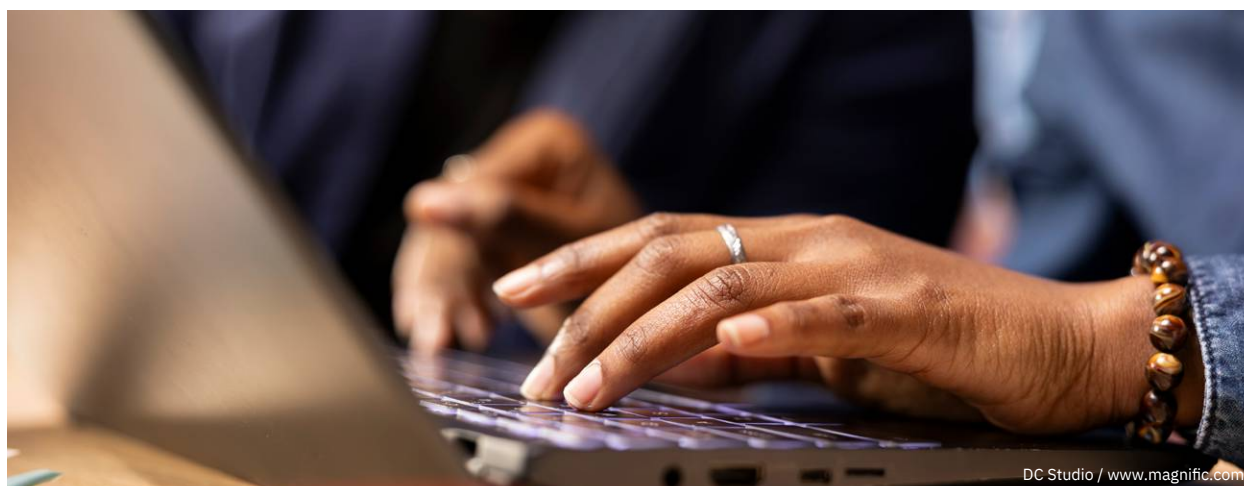
48. Adapted from CommGap 2010.

activity designs, implementation approaches, and experiences. Out of the 52 activities funded through the Energy Subsidy Reform Facility in the focus period, 32 (62 percent) involved advisory support on political economy aspects, and 33 (63 percent) involved support for development of communication strategies, while 25 (48 percent) included both. The review found that clear, informative, and trustworthy communication on reform objectives and expected outcomes could help improve acceptability of reforms. Communication strategies that recommended practical, actionable steps and produced usable outputs were found to be more effective.

The earlier strategic communication starts in a reform process, the greater the chances to improve the reform’s design through stakeholders’ feedback. By designing a process that engages stakeholders from the outset, policy makers can benefit from a constant feedback loop that should help improve the design of a reform.⁴⁹ This feedback loop is refined in response to shifting social narratives, crises, political changes, and advancements in campaign objectives. This chapter builds on the work of Cabañero-Verzosa et al. (2011) in *People, Politics, and Change: Building Communication Capacity for Governance Reform* as well as insights gained from implementation of the CL4D program to offer an approach to develop a strategic communication plan.

DEVELOPING A STRATEGIC COMMUNICATION PLAN

A strategic communication plan is required when current behaviors of user or beneficiary groups need to be modified, and when knowledge, attitudes, beliefs, skills, and social norms are an important influence in those behaviors. The objective of the strategic communication plan is to ensure that the communication tools selected match the objectives of the reform. This is particularly important when the desired changes under the reform will be undertaken voluntarily.⁵⁰ The process of designing and implementing a communication plan is audience-centered, beginning with observation of audience behaviors and what causes them, and going on to develop a plan that will communicate perceived benefits and reduce perceived barriers to the reform (Box 6.1).



49. Sina Odugbemi and Thomas Jacobson, *Governance Reform under Real-World Conditions: Citizens, Stakeholders, and Voice* (Washington, DC: World Bank, 2008), 88, <https://hdl.handle.net/10986/6513>.

50. See Cabañero-Verzosa et al. 2007.

Box 6.1 Strategic Communication for Education Reform in Georgia

In 2019, as part of the Innovation, Inclusion and Quality Project which supported the development of human capital through greater access to preschool education, higher quality education, and improved learning environments, the World Bank helped the Ministry of Education in Georgia to develop a strategic communication initiative to build stakeholder support around education reform. The objective was to assess whether stakeholders were aware that the education system was not delivering the necessary results in terms of student learning as well as solicit feedback on the blueprint for reform.

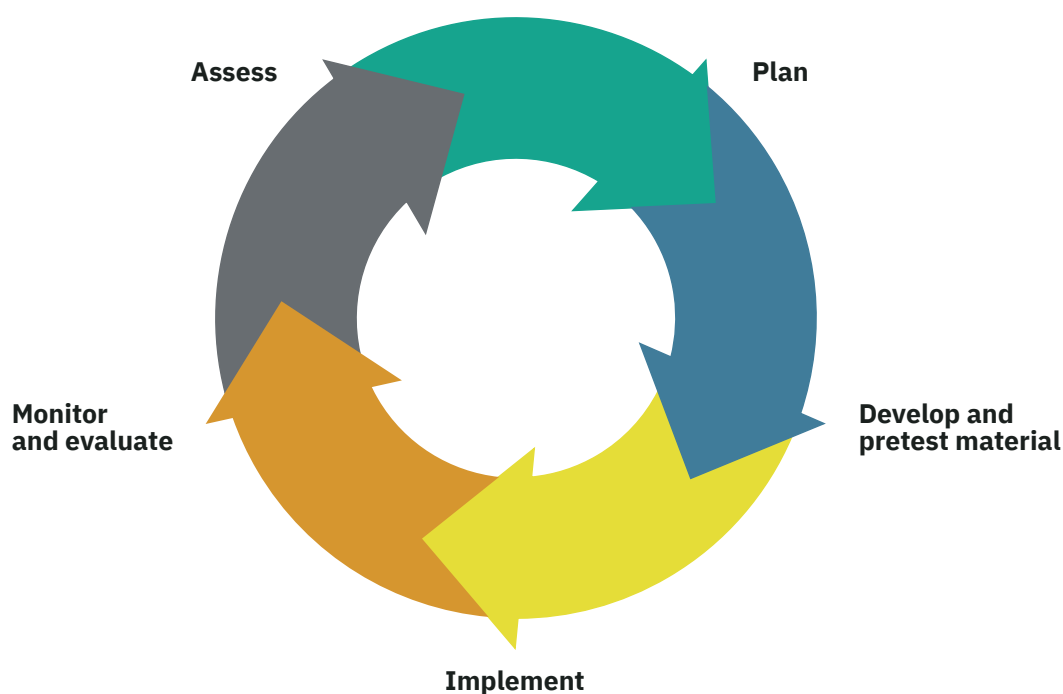
During the design of the reform, surveys, town-hall meetings and focus groups were organized to help the government engage with teachers, school administrators, students, and families. It was uncovered that many teachers struggled to appreciate why the reform was needed. This led to them resisting the adoption of a pedagogy focused more on engaging students more deeply and enabling them to learn better rather than the previous pedagogy that focused more on memorizing knowledge from the instructor.

“Early adopters” among teachers were identified and encouraged to share their experiences through personal testimonies, peer coaching, and video recordings of their lessons. The communication effort enabled reformers to accelerate behavioral change among educators and assuage students and parents’ concerns about this new pedagogy.

The following summarizes the five-step process for developing and executing the strategic communication plan (Figure 6.1):

1. **Assessment:** Analyzing key stakeholders/target groups and social narratives, using ADKAR, COM-B, media or sentiment analysis, or perception research.
2. **Planning:** Agreeing upon clear goal and subsidiary objectives; developing an overarching narrative and key messages on the reform; designing activities to convey those messages; adequately funding the activities.
3. **Materials development and pretesting:** Encompassing an overarching narrative and a set of tested messages with various print, radio, video, or digital communication activities that complement and reinforce each other.
4. **Implementation:** Having the government or organization team and stakeholders endorsing new policies or adopting new behaviors; change expert and communications professionals facilitating the agreed actions.
5. **Monitoring and evaluation:** Regularly monitoring and evaluating results and leaving space for course correction.

Figure 6.1 Five-Step Process for Developing a Communication Plan



Source: Cabañero-Verzosa 2003.

The first step to develop a communication strategy is to map key stakeholder groups that need to be informed, mobilized, defused, or nudged to support the reform. The diagnostic tools presented in Chapter 3 create a strong basis for developing the strategic communication process. Ensuring all relevant stakeholders are identified is just as important to strategic communication as the analysis of stakeholder views. There are many different tools to diagnose both the magnitude and direction of stakeholder's opinion. Common ones include ADKAR, sentiment analysis, and perception research. Those engaged can range from individual decision-makers such as cabinet ministers or members of parliament to broad groups of citizens, including the general public. Other actors may include civil society groups, coalitions within government or opposing political parties, private sector interests, religious groups, or influential thought leaders. Assessing this landscape is vital, not only to understanding the various degrees of influence of the stakeholder involved, but also to understand what messages will resonate with those groups.

Usually, stakeholder groups that are targeted by strategic communication fall into four main categories. One category consists of the individuals and organizations who drive the reform's vision, implement the reform on a day-to-day basis, or fund the reform, among others. Another category consists of the beneficiaries or users of the reform or new system. The next category consists of opponents and those who stand to lose or who advocate against the reform. A strategic communication strategy can help them to feel heard and alleviate their concerns. Lastly, there will likely be other relevant audiences, such as service and goods providers and the public in general. Figure 6.2 provides details of target groups and suggested communication channels.

Figure 6.2 Target Group Identification

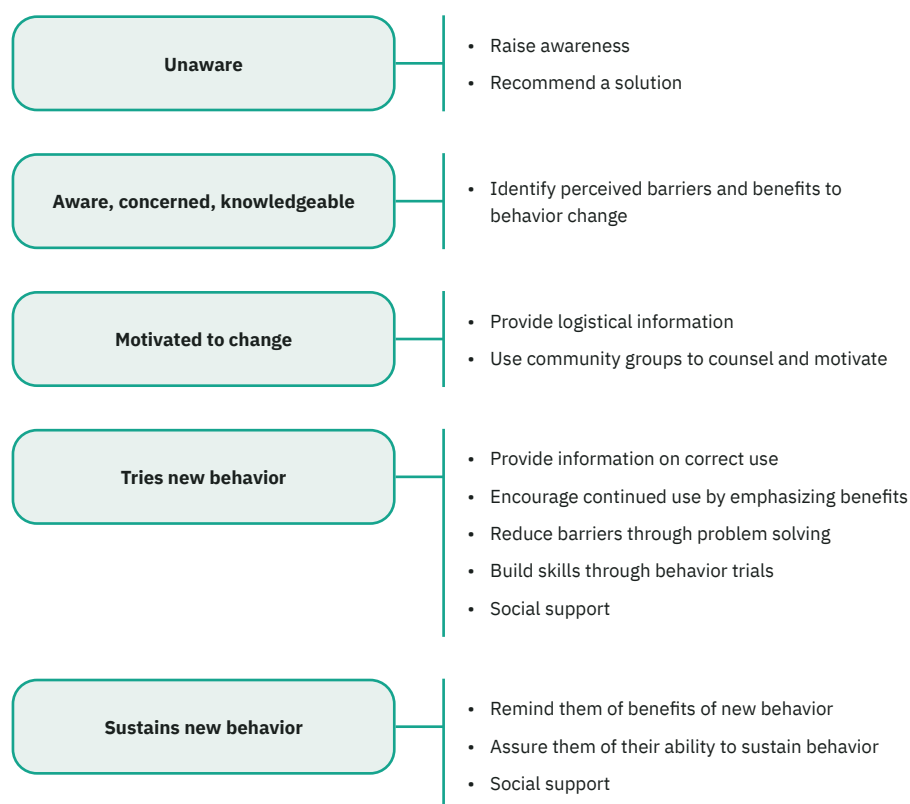
Entry Point	Key Stakeholders	Political, Organizational, and/or Public Will	Suggested Communication Influence Mechanisms
Public sector management	Central executive (supply side of governance at national level)	Strengthen <i>political will and organizational will</i> through reform coalitions; middle manager buy-in; enhance national government communication capacity	Public interest lobbying; persuasion; policy and media agenda-setting; issue framing
Formal oversight institutions	Judiciary; Parliaments (supply side at national level)	Strengthen <i>political will</i> through parliamentary coalitions; enable public reporting mechanisms and enhance institutional legitimacy	Public interest lobbying; persuasion; policy and media agenda-setting; issue framing
Political accountability	Political party leaders; CSO elites; Captains of industry (supply and demand at national level)	Strengthen <i>political and public will</i> through supporting multistakeholder coalitions; facilitating policy dialogue and negotiation; enabling deliberation and debate	Public interest lobbying; persuasion; policy and media agenda-setting; issue framing
Local participation & community empowerment	Local governments & local communities (supply and demand at local level)	Strengthen <i>political will</i> through coalition-building; increase political efficacy of citizens; grassroots campaigns; enhance local government communication capacity	Participatory and deliberative approaches; public and media agenda-setting, especially through local and community media; issue framing
Civil society & media/private sector interface	CSO's; Journalists and editors, private firms (demand side at national and local levels)	Strengthen <i>political will</i> through engagement and participation of multiple stakeholders	Participatory and deliberative approaches; public and media agenda-setting; issue framing

Source: CommGap 2010.

The second step to developing a communication strategy is to clearly define its objective.

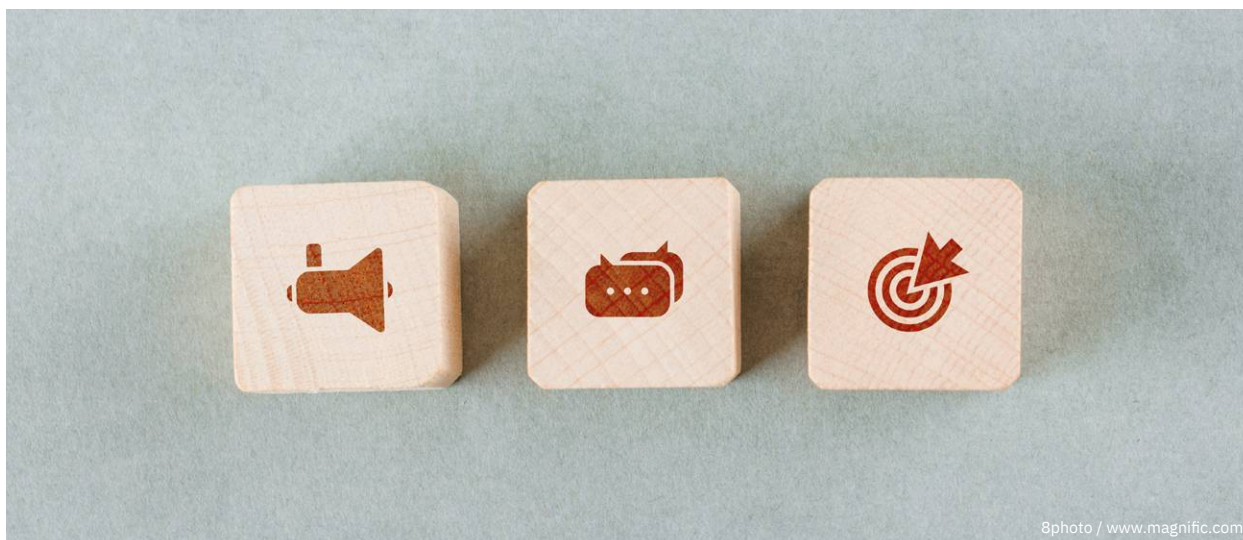
For example, to support a particular reform one may need to convince a group of members of parliament to adopt a policy, while it may be a sufficient goal to alleviate or address potential concerns of specific civil society groups campaigning against it. These different goals demand a targeted approach. It is vital to agree on overarching and subsidiary objectives before deciding on key messages and the channels by which to reach the different groups of stakeholders. Using SMART (specific, measurable, achievable, reliable, time-bound) criteria, a goal-setting framework, is a useful approach. For example, a strategy's objective could be to improve the perceptions of citizens measured through surveys or focus group on a specific policy or the overall tone of online discourse measured through sentiment analysis. A communication strategy could also aim to target a specific social norm or behavior and use the COM-B model to track underlying drivers. The behavior change could be measured using the scale in Figure 6.3.

Figure 6.3 Behavior Change Continuum for Communication Strategies



Source: CommGap 2010.

Once the objectives for the strategic communication process are established, the next step is to develop a narrative and key messages that will resonate with the audience identified in Step 1. These messages will need to be tailored since stakeholders are not monolithic. The reforms' various target groups will each be marked by their own concerns, levels of knowledge, interest, and engagement. At the same time, messages must be coherent and not contradict each other as this would compromise the integrity of the process. Figure 6.3 shows how communication strategies can be tracked on the continuum of behavior change and what approach might work if there is need to intervene at different stages. Key outcomes of strategic communication approaches may include improved implementation and uptake of reforms and policies; strengthened engagement with key stakeholders; increased capacity of country media to better cover technical issues and policy reforms; and/or improved internal coordination around communication in and across government departments.



Developing effective messaging is both an art and a science. Communication experts and new technologies like ChatGPT can facilitate the creative aspects of messaging, but it is important to bring a methodical approach to determine what actually works. Testing and retesting is critical to ensure that the target groups are responsive to the messaging. For example, professional marketers rely heavily on focus groups, polling, A/B testing, behavioral testing, and other methods to ensure their messaging resonates with target groups. Reform processes may not have access to similar resources, but other tools such as web analytics, social media metrics, and field testing can be deployed to achieve usable results. Gauging reactions at community events or in one-on-one conversations can also provide vital feedback that can be used to improve and shape materials (Box 6.2).

Box 6.2 Tips for Constructing Communication Messages

In communications messaging, it is important not to confuse a fact with a message. A message is something that can help drive goals among stakeholders. A message connects facts to the big picture. A message compels, persuades, explains.

Fact: Cats kill 1.3–4 billion birds each year in the U.S. alone.

Message: Cats cause devastating biodiversity loss. Keep your cat indoors.

Wherever possible, messages should be tailored to the media and channels used and they should be mutually reinforcing and complementary. For example, an opinion piece in a policy journal allows for a more detailed explanation of a reform proposal to an informed reader, whereas a radio segment may only allow for a brief call to action to the general public.

The final step is to disseminate and communicate the messages to the identified target groups. Strategic communicators can take advantage of a variety of channels and mediums to create a comprehensive approach to strengthening coalitions and advancing reforms. Not all messages need to be delivered by the reform sponsor. Often, it can be better that they are not. After all, the audience could expect a bias from the reform team toward the reform, which could affect their credibility as messenger. Box 6.3 shows how strategic communication supported public sector wage reform in Croatia.

Box 6.3 Strategic Communication for Public Sector Wage Reform in Croatia

In 2020, the Government of Croatia recognized that its public sector wage system was overly complex, lacked transparency, and did not ensure fairness. With support from the World Bank, the government took important steps to address these challenges and create a more equitable and transparent system.

Previously, the wage structure faced significant issues, including inconsistencies in pay for jobs of similar complexity, which went against the principle of “equal pay for equal work.” The system was also highly fragmented, with more than 3,100 job classifications, each with individual coefficients, and over 600 different salary supplements. These factors contributed to fiscal risks and made it difficult to establish standardized evaluation and compensation practices.

Wage reform can be a deeply sensitive issue, and the wrong perceptions can lead to important delays. To support this reform, the World Bank collaborated with the government to conduct extensive technical and analytical work.

The reform also included strategic communication and change management efforts delivered by the Coalitions for Reforms Global Program. The approach involved sharing insights from other European governments and engaging a former trade union leader to facilitate dialogue. Through in-depth stakeholder analysis and focus groups, the government gained a better understanding of concerns and refined its strategy accordingly. The World Bank team developed a comprehensive communication plan, including a clear narrative and message framework, while training officials to interact more effectively with the media.

Following this engagement, Croatia passed the Law on Salaries in the Public and Civil Service in December 2023, followed by implementing regulations in early 2024. These changes introduced a more structured and transparent salary-setting mechanism. This reform underscores the importance of investing in effective communication and change management while also strengthening the technical capacity of key government ministries to support long-term improvements in the public sector.

Annex 6 provides an example of scoping and action plan for a communication strategy.

TOOLS FOR STRATEGIC COMMUNICATION

This section covers traditional and innovative avenues for mass communication and alternative approaches, such as direct advocacy, third-party communication, and two-way communication.

Tools Summary	
Communications Training	• To train key policy makers, reformers, and leaders on communication to support a reform
Media and Journalists Training	• To increase awareness and a deeper understanding of key concepts, issues, and available resources among the media as well as building a constructive relationship between journalists and the reform team.
Direct Advocacy and Two-Way Interventions	• To promote reforms and gain feedback through more individualized interactions and participative channels with smaller audiences.
Mobilizing Third Party Voices	• To engage third parties to advocate on behalf of the reform team – through traditional, digital, and social media, or direct advocacy – to increase momentum and uptake.
Awareness and Nudging Campaigns through Traditional Media	• To increase knowledge, motivate action, provide new information, increase awareness about impacts, and address potential concerns of the public and target groups through traditional media platforms.
Digital and Social Media	• To deliver campaign messaging to a broad-based group of followers and/or to highly targeted demographics using online platforms.

Communications Training

A comprehensive training program can be designed to equip senior civil servants with the essential skills and knowledge required to effectively manage media interactions and communicate strategically with the public. The program will focus on enhancing participants' ability to convey key messages clearly, handle media inquiries confidently, and maintain a positive public image for their respective departments.

Objectives:

- Develop a deep understanding of the media landscape and its impact on public perception.
- Master the art of crafting and delivering clear, concise, and compelling messages.
- Learn techniques for managing media interviews, press conferences, and public statements.
- Enhance crisis communication skills to effectively handle challenging situations.
- Build confidence in engaging with various media platforms, including traditional and social media.

Key Modules:

1. **Media Landscape and Public Perception:**
 - Understanding the role of media in shaping public opinion.
 - Analyzing current media trends and their implications for government communication.
2. **Message Development and Delivery:**
 - Crafting key messages that resonate with diverse audiences.
 - Techniques for delivering messages with clarity and impact.
3. **Media Interview Skills:**
 - Preparing for different types of media interviews.
 - Strategies for staying on message and handling difficult questions.
4. **Crisis Communication:**
 - Principles of effective crisis communication.
 - Case studies and simulations to practice managing high-pressure situations.
5. **Engaging with Social Media:**
 - Best practices for using social media to communicate with the public.
 - Managing online presence and responding to social media inquiries.

Methodology: The training program will employ a blend of interactive workshops, practical exercises, role-playing scenarios, and expert-led discussions. Participants should have the opportunity to engage in hands-on activities, receive personalized feedback, and learn from real-world case studies.

Outcome: By the end of the training, participants should be equipped with the tools and confidence to effectively manage media interactions, communicate strategically, and uphold the integrity and reputation of their departments.

Media and Journalist Training

Journalists and news outlets are key actors that define and spread social narratives that influence public opinion. Ensuring the success of a reform can mean building a constructive and positive relationship between the reformers and the journalists (Box 6.4). This can be done in multiple ways, including through the training of journalists on the use of government publications pertaining to the reform. The following objectives can be achieved through this strategy:

- Improve and update their knowledge on basic concepts related to the need for the reform, including on contemporary economic and social issues – for example, national income accounts, consumer price index, public finance, transparency, measurement and monitoring of poverty, and so on.
- Give live demonstration of key databases, information, and other resource materials available on the internet for undertaking research while writing an article.⁵¹
- Enhance the quality of analysis in economic articles using case studies of published articles in newspapers and magazines.

51. These demonstrations are part of the World Bank's efforts to promote open data and open development.

- Create a network/platform to link communication experts and independent economic organizations to share information, knowledge, methods to report on economic fields, and so on. Promote and strengthen the participation of NGOs in the field of information and communication economics.

Box 6.4 Engaging with Journalists in Vietnam on Fiscal Policy

In Vietnam, in 2013, the Center for Media in Educating Community, in collaboration with the World Bank, conducted a program to strengthen journalists' capacity to ensure transparency and accountability in governance. Economic journalists play an important role in conveying data, information, and regulations to citizens but do not always have access to good information or know how to interpret and explain policies to citizens. A survey conducted with the country's largest journalism forum—the Forum for Young Journalists, which had nearly 4,000 members at the time—indicated that many journalists were interested in further training and skills development to enhance their reporting on economic and fiscal issues.

Through the “Sidewalk economics,” a forum that brought together trained economists or social scientists from the World Bank, Vietnamese economic scholars, and some well-known economic journalists, the activity sought to impart practical and applied training to selected young economic journalists to:

- Improve and update their knowledge on basic concepts involving contemporary economic and social issues and fiscal policy (e.g., national income accounts, consumer price index, public finance, transparency, measurement and monitoring of poverty, etc.).
- Give live demonstration of key databases, information, and other resource materials available on the internet for undertaking research while writing an article (linked to WB's ongoing effort to foster “open development”).
- Enhance the quality of analysis in economic articles using case studies of published articles in newspapers and magazines.
- Create a network/platform to link communication experts and independent economic organizations to share information, knowledge, methods to report on economic fields, and so on.
- Promote and strengthen the participation of NGOs in the field of information and communication economics.

Following the interventions, the team reported a substantial rise in high-quality and high-visibility articles on timely and relevant topics related to fiscal policy.

Direct Advocacy and Two-Way Interventions

Direct advocacy promotes a new reform program through direct communication. While mass communications can reach many people, direct advocacy can achieve a significant impact with a much smaller – but typically captive – audience. The advantage of this approach is that it often ensures relevant stakeholders hear the message. The downside is that it can be time-consuming and resource intensive. Direct advocacy can involve everything from one-on-one conversations with key decision makers to letter-writing campaigns. Examples include:



- Direct interpersonal communication between reform champions and relevant political stakeholders.
- Briefs to decision-making bodies like parliamentary committees, local authorities, partners, or organizations with vested interests such as civil society organizations, private sector groupings, and unions.
- Individualized letter/email campaigns targeting individuals, often with a specific call to action, such as to email their representative with a formal letter, sign an online petition, and so on.
- Newsletters and other specialized communication to a mailing list of supporters or potential supporters. These are often effective to recruit volunteers, keep target groups informed of developments, and build an engaged community.

Effectively engaging target groups means opening the channels for citizens and affected bodies to communicate with the government. Two-way communication is vital to understanding issues and concerns that may arise with a reform. Two-way communication allows the reform team “to understand, assess, explore, and facilitate decision-making related to change.”⁵² This is useful in terms of identifying adjustments to the reform that may need to be made, and also in terms of refining messages to address concerns. When combined, one-way communication approaches – such as mass media campaigns – and two-way communication have been shown to significantly enhance results and the sustainability of reform initiatives. Some examples of two-way communication include:

- **Citizen engagement digital portal.** A website or app where stakeholders can provide feedback on elements of a proposed reform.

52. Adapted from Mefalopulos 2008.

- **Town halls.** These present a risk of individuals venting off anger at the hosts but, if done effectively, can foster significant trust in government action. These are typically undertaken by senior government representatives.
- **Door knocking campaigns.** Approaching individuals at home or on the street to discuss reform issues can be another effective way of developing both understanding and trust. These are typically undertaken by lower-level campaign staff.

Mobilizing Third Party Voices

Mobilizing third parties to speak about your reform and vouch for its validation is highly effective, especially if the third party is likely to be viewed as neutral or maintains a significant following. The objective is to engage third parties to advocate on behalf of the reform team through traditional, digital and social media, or through direct advocacy to increase momentum and uptake. One example from the world of social media would be the paid or pro bono use of influencer accounts. These accounts are often individuals or organizations that have a high number of engaged followers, who can deliver your message to their followers for a fee or for free if it aligns with their brand. To incorporate third-party voices, activities can be integrated into a strategic communication plan or paired with other strategic communication tools. When incorporating third-party voices, the reform team should answer the following questions:

- Who is well-placed to advocate for the reform?
- What external voices – from the private sector, civil society, religious organizations, traditional groups, international partners – have credibility and can be mobilized in support of the reform?
- Could the bulk of an entire communication effort be driven by an external partner? There are advocacy groups that will drive letter-writing, social media, and other types of campaigns around certain causes – for example, environmental protection.
- How can government and third-party communication efforts be synchronized to maximize impact?

Awareness and Nudging Campaigns through Traditional Media

In many locations, particularly rural and remote areas with limited internet access and/or low local content availability, print and broadcast remain among the most influential sources of information. A media campaign involves outreach to the general public and target groups through traditional media platforms such as newspapers, online publications, television stations, and radio broadcasts. Mass media campaigns can have the objectives of increasing knowledge about the reform, motivate action aligned with the reform's goals, provide new information to the public about the reform's benefit, increase awareness about impacts of the reform, and address potential concerns that users and/or beneficiaries may have about the reform (Box 6.5). Chapter 2 introduced the body of evidence that supports the use of communication campaigns to support public policy.

Components of a media campaign include:

- Off-the-record, background, or on-the-record briefings to journalists, editors, and producers to ensure that the media themselves are equipped to understand the aspects of reform.
- Opinion pieces placed in relevant media outlets to present arguments to the outlet's readership. Care should be taken to identify which outlets would best reach the target group.

- Television and radio interviews by key officials. These provide the opportunity to deliver key messages in a persuasive medium. A good spokesperson can be an enormous asset in a campaign. Clips from television and radio interviews can be reposted on owned social media channels.
- Public service announcements are sponsored/paid or free advertisements that aim to educate viewers about a particular issue. They are effective at raising broad awareness of an issue.
- Partnerships with existing media outlets to regularly feature content on the reform. These opportunities are often paid partnerships with media, who offer space on their platform to deliver specific narratives and messages. Often, they will support content development, such as a feature story about a reform, for a cost.

Box 6.5 Behavioral and Communication Campaign for Sanitation in India

The vision for Swachh Bharat Mission–Gramin project is to “improve the levels of cleanliness in rural areas through Solid and Liquid Waste Management and make Gram Panchayats Open Defecation Free, clean and sanitized by 2019.”

The challenges faced by previous national sanitation programs regarding effective implementation and how to sustain momentum were considered by the Government of India in the formulation of the project. Under previous initiatives, effectiveness was predicated upon generating demand for toilets, leading to their construction and sustained use by household members. This was to be bolstered with adequate implementation capacities in terms of trained personnel, financial incentives, and systems and procedures for planning and monitoring. However, in many districts, constructing toilets became the focus of the programs rather than the overall package of demand-responsive construction, behavior change, and usage. The design of the project learned from these previous attempts and represents a fundamental change in approach by the government recognizing the importance of coupling investment in constructing toilets with facilitation of the “softer” support to ensure the usage of toilets, to achieve the desired outcomes.

Strengthening existing behavior change communication initiatives is a key activity toward changing social norms. Furthermore, interpersonal communication, mass media and social media communication can be expanded to reinforce behavior change messages. Behavior change communication implemented means:

- National level behavior change communication strategy operationalized
- A Communications Need Assessment Survey undertaken in rural India. Also, pretesting of campaign messages with focus groups
- Celebrity power harnessed: Top Bollywood actors/actresses including Amitabh Bachchan joined the campaign pro bono. This boosted interest and recall levels.
- Dedicated behavior change communication personnel in place
- Behavior change communication materials produced and disseminated in over 14 languages
- National workshop and trainings on behavioral change communication conducted
- Monitoring and evaluation of behavioral change communication interventions through surveys to track shifts in people’s beliefs and attitudes towards open defecation, intentions to use toilets, and actual toilet use.

The Swachh Bharat Mission–Gramin project documents can be found [here](#).

Digital and Social Media

With billions of active users, social media platforms are an effective way to reach many people if done right. Digital and social media have opened countless avenues to directly reach targeted audiences with messages. Similar to traditional media campaigns, social media and web campaigns can increase knowledge, motivate action, provide new information, increase awareness about impacts, and address potential concerns. Because social media and web platforms are interactive, an additional feature when using this tool is to increase interaction with the public about the reform and gather additional information on public opinion about it.

Simply putting together an explanatory video and posting it on social media is an insufficient method to raise awareness, engage stakeholders, or build consensus. It is important to have a proper social media dissemination plan that helps the reform sponsors establish a presence on saturated social media and web platforms (Box 6.6). The dissemination plan should consider aspects like paid promotion and activating a network of supporters to increase the visibility of posts. Social media campaigns should consider incorporating the following elements:

- **Regular social media presence on “owned” channels.** These are the organizational and individual accounts belonging to the reform team, for example, government ministers, or departments.
- **Social-first content.** Developing video or audio material primarily for use on social media platforms can be an effective way of engaging followers and drawing more into the conversation. These products should typically be short, catchy, interactive, and encourage sharing.
- **Paid campaigns.** Especially if owned channels have few followers, paid campaigns can be an effective way of getting your message in front of more eyeballs, or increasing followers on your accounts, who can then be apprised of campaign news.
- **Long-form content.** Short-form is the order of the day, but done right, long-form engaging interviews or explainers—particularly those with high production value, effective spokespeople, or influencer involvement—can deliver large-scale and detailed sensitization on campaign topics.



rawpixel.com / www.magnific.com

Box 6.6 Social Media Campaign for Malaria Prevention in India

During 2021–2022, the NGO Malaria No More designed a six-month social media ad campaign to provide information and encourage individuals to take malaria prevention measures – for example, sleeping under mosquito nets – and response actions such as timely seeking treatment. The ads were behaviorally informed and aimed to achieve public health objectives through ads on the Meta platform and engagement on Malaria No More’s pages. The campaign reached 22 states with messages crafted for specific audience personas. The campaign’s cost per malaria case averted ranged from US\$3.40 in urban areas to \$6.50 overall and could have been as low as US\$0.20 when factoring underreporting of malaria cases.

To measure the impact on behavior, the World Bank’s DIME group conducted a study (Donati et al. 2024) using a cluster-randomized control trial in three of the target states: Uttar Pradesh, Chhattisgarh, and Jharkhand. The ad succeeded in reaching 130 million people and garnered 46 million reactions on Facebook and Instagram across 22 Indian states. To objectively assess the impact of the social media campaign on behavior change, data were collected through chatbot surveys and health facility records from India’s Health Management Information System.

Data were collected both during and after the campaign. During the campaign, there was a 3 percent increase in bed net usage with variation between dwelling types. In solid homes, bed net use increased by 11 percent and people were 13 percent more likely to seek medical care within 24 hours of developing a fever. However, no significant effect was observed for users in non-solid dwellings.

Afterward, analysis showed that continued exposure to the campaign had a measurable impact on malaria incidence, particularly in households that already had bed nets. Among those in solid dwellings, self-reported malaria cases decreased by 44 percent compared to households that were not exposed to the campaign. Further, over the nine months after the campaign’s launch, monthly malaria incidence dropped by 30 percent compared to the pre-campaign monthly rate.

Rural areas, where non-solid dwellings are more prevalent, did not experience a significant change in malaria incidence, however. A follow-up retargeting campaign, that more precisely targeted rural areas, showed that the initial one did not reach the most at-risk groups. The findings highlight the importance of targeting in social media campaigns. Meeting an audience where they are is a prerequisite to achieving campaign success.

Annex 6 summarizes the Behavioral Interventions Team’s EAST framework for behavioral and communication campaigns. The Swachh Bharat Mission–Gramin project documents can be found [here](#).

7

MEASURING AND SUSTAINING CHANGE

This chapter discusses how to track the progress of CB&CM strategies, how to measure the impact of the activities and interventions, and how to ensure the sustainability of the achieved change when closing the project. First, the chapter presents some guidance on developing a dedicated results framework. Second, the chapter offers guidance on developing an exhaustive monitoring and evaluation plan that covers the three pillars of the C4R framework: Leadership and Skills; Multistakeholder Engagement; and Strategic Communication. Third, the chapter discusses some important aspects to ensure that change is sustained well beyond the duration of the CB&CM strategy.

Developing a clear results framework is important to ensure the success of the CB&CM plan.

As discussed in Chapter 1, CB&CM activities support the realization of a reform or a policy. CB&CM plans are designed as standalone strategies supporting a reform or are integrated into broader programs that cover the technical and change aspects of the reform. In either case, having CB&CM activities covered by a results framework is important to measure the progress of the activities and track their impact on the achievement of the strategy and reform. When CB&CM activities are incorporated within a broader program, it is especially critical to incorporate CB&CM elements in the results framework and the monitoring and evaluation (M&E) plan for the broader program. Not only does this allow the monitoring and evaluation of the CB&CM activities but it ensures that these activities will see the same level of priority from project teams as the technical aspects of the project. This chapter builds upon the work of World Bank Institute (2012) on evaluating capacity development results, Gold (2013) on designing multistakeholder framework, and the World Bank's guidance on Theory of Change and Results Frameworks (2021).

Measuring and evaluating the impact of CB&CM activities can be difficult given the human and social-centered nature of the work. This can explain why historically less attention has been given to these interventions in theories of change and results frameworks. Therefore, this chapter discusses how results can be measured across the different pillars of C4R, taking into consideration the unique challenges that each of them may pose to implementing teams. The chapter will draw on methods used both inside World Bank operations and in academia. Ultimately, the right method to use is highly context specific and contingent on factors such as available resources, time, and an ability to collect relevant data before and during implementation.

CB&CM approaches should help teams structure processes for learning, adapting, and iterating—the impacts of which should also be included in the monitoring and evaluation framework. Tools such as Problem Driven Iterative Adaptation (PDIA) approach and RRI are grounded in iterative implementation methods by which the project and reform teams may track the results of specific C4R activities over pre-defined intervals and make strategic changes to the activities to improve results. For example, in PDIA, “targeted actions are rapidly tried, lessons are quickly gathered to inform what happened and why, and a next action step is designed and undertaken based on what was learned in prior steps” (Andrews et al. 2017). These actions may include multiple small interventions enabling the project and reform teams to monitor for “positive deviations,” wherein a specific intervention may have effectively surmounted opposition or resource constraints. Careful evaluation of what worked and why can then lead to more impactful iterations that move towards the reform goal. Similarly, RRI uses a 100-day period to implement, monitor, and iterate. Regardless of the CB&CM tool used, project teams can build results frameworks and select intermediate indicators that support learning, adapting, and iteration by allowing flexibility in how outputs are selected and impacts are measured. In a leadership and skills strengthening plan, for example, this may require measuring incremental learning targets alongside changes in leadership and performance behavior, including setbacks due to resistance to change and adaptations to unforeseen capacity needs.

Results frameworks should be defined collaboratively as different stakeholders have varying priorities and perspectives which can be important to consider. Ideally, these are identified jointly and prioritized to create a summary of constraints that the C4R intervention aims to address. When creating the results framework, relevant stakeholders and technical advisors should agree on the results, the information needed to construct the results framework, and the design of the strategy—such as information on goals, constraints, objectives, outcome indicators, local actors, change processes and interventions. The results framework can then be customized so stakeholders can use it to collect and analyze the required information. Discussing past lessons learned and how the new framework needs to improve could facilitate this process. Ways to engage stakeholders to agree on the results information may include holding technical briefings and orientation workshops. Technical briefings would discuss the results logic and results framework, customize its components, and outline the steps to build it with input from stakeholders. Orientation workshops would build understanding around the results framework concepts, components and the information gathering process, and introduce relevant tools.⁵³ The team should identify the primary stakeholders interested in the goal and understand how the goal is observed and measured by those stakeholders. Digital solutions can offer innovative tools to help reformers track the implementation of their results framework such as in Box 7.1.

53. Gold, 2013.

Box 7.1 Leveraging AI for Government Performance Monitoring in Saudi Arabia

By 2019, the Kingdom of Saudi Arabia was strongly focused on monitoring the delivery of the ambitious goals of Vision 2030. Despite the establishment of performance targets across government entities, gaps in data quality, delayed reporting, and limited cross-sectoral analysis hindered timely decision-making. To respond to these challenges, the National Center for Performance Measurement (Aada), in collaboration with the Saudi Data and AI Authority (SDAIA), launched an AI-enabled whole-of-government monitoring and evaluation (M&E) initiative. The Government and its partners invested in the design of cross-government key performance indicators (KPIs), digital monitoring frameworks, and institutional coordination mechanisms.

The initiative built on existing performance management systems and introduced a suite of AI tools to transform how government performance was assessed. Machine learning algorithms were used to analyze historical and real-time KPI data from over 20 ministries and government entities. These tools enabled Aada to generate predictive alerts about potential implementation delays or underperformance—particularly in priority areas such as tourism infrastructure, health delivery, and municipal services. At the same time, Natural Language Processing (NLP) techniques were employed to analyze citizen feedback from call centers, social media, and e-government platforms. These tools identified trends in public sentiment, allowing ministries to triangulate performance outcomes with people’s lived experiences.

The institutional structure underpinning the initiative included a central performance secretariat housed in Aada, with focal points appointed in each participating ministry. SDAIA ensured technical data interoperability through the National Data Bank and supported data standardization. The initiative helped develop the operating model, define data quality protocols, and build capacity among government analysts and digital performance officers.

Within the first 18 months, the AI-driven dashboards enabled real-time reporting, enhancing visibility and accountability at the highest levels of government. More than 200 performance anomalies were flagged by the system, prompting early interventions by responsible ministries. Reporting lags from government entities were reduced by over 40 percent, and over 15-line ministries began using AI-based insights in their annual strategic reviews. The use of NLP revealed key disconnects between service delivery metrics and citizen satisfaction, leading to the redesign of several frontline services.

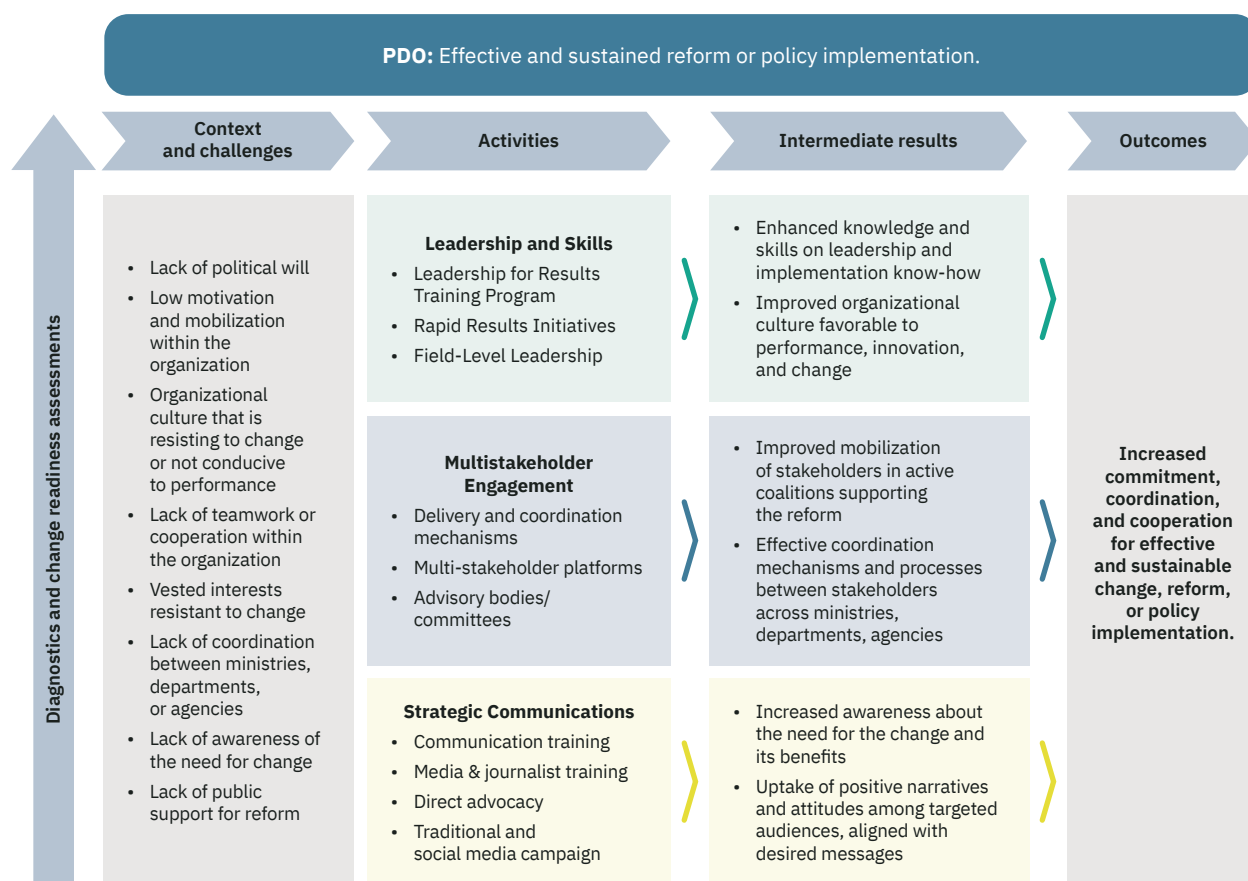
This case demonstrates how Saudi Arabia is integrating cutting-edge technology into its public sector transformation efforts. The deployment of AI not only improved the speed and reliability of monitoring data but also reoriented the government’s M&E function toward proactive, evidence-informed decision-making. The experience shows the potential of AI to enhance the strategic foresight and responsiveness of government, when embedded within robust institutional arrangements and supported by targeted capacity development.

DESIGNING A RESULTS FRAMEWORK

Results framework consists of challenges, objectives, activities, intermediate results (including outputs), and outcomes. Designing a results framework usually starts by defining the objective and the challenges or constraints. When the CB&CM strategy is developed to support a reform or policy, its overarching objective will align with the objective of that reform. Challenges represent the bottlenecks and frictions – such as vested interests resisting change or lack of interagency coordination – that may prevent the achievement of the desired reform or change. They are identified through the diagnostics and the change readiness assessments such as a political economy analysis described in Chapter 3. Next, the reform team will identify the inputs

and activities used to address the reform and implementation challenge – with chapters 4, 5, and 6 presenting many activities and tools that can be deployed. Finally, the results framework will include the intermediary results or outcomes of these activities and how they are expected to lead to the final outcomes supporting the reform’s objective (Figure 7.1).

Figure 7.1 Results Framework for Coalition Building and Change Management Plans



Source: Authors.

Identifying the right indicators to measure progress and impact of CB&CM strategies is critical.

The program team should select indicators and measures of the capacity indicators in a manner that highlights how the capacity indicators relate to the development goal. In practice, the availability of information is likely to vary considerably, and pragmatic decisions have to be made regarding the cost-benefit of further analysis.⁵⁴ As such, it is important to consider how baseline and progress data will be gathered, the location and frequency of data collection, and the parties responsible for data collection. The team should avoid using too many indicators or too few to measure the desired

54. Otoo et al., 2009.

outcomes and make sure each indicator is SMART (see Box 7.2 for examples). Taking these steps will facilitate data collection and adherence to the resource framework. SMART indicators are:

- **Specific:** The indicator accurately measures the stated result and does not inadvertently measure other results.
- **Measurable:** The indicator can be measured and verified objectively. When different people collect data on the same indicator, the value is consistent.
- **Attributable:** The indicator alone is enough to assess the stated result. If it is not, then more indicators are added until all aspects of the stated result can be measured.
- **Reliable:** The data required for measurement of the indicator are available or can be collected cost-effectively and at a frequency and precision that is useful for monitoring purposes. The collection method is stable and consistent throughout all measurement cycles, so that changes in data are not due to changes in data collection methods.
- **Targeted:** The indicator is measured for the target beneficiaries or institutions who receive the operation's interventions.

Box 7.2 Examples of CB&CM Indicators from World Bank Operations

An increasing number of World Bank Operations are incorporating change management and coalition building into their results framework. Three examples of how World Bank projects incorporated CB&CM into their results frameworks are provided below.

Bangladesh Strengthening Public Financial Management Program to Enable Service Delivery uses disbursement linked indicators – meaning that the government receives funds based on the results (outputs/outcomes) rather than receiving funding for the inputs (expenditures on project activities). The following shows how one indicator was designed using CB&CM approaches.

Disbursement Linked Indicator (DLR) #10: Public Financial Management Action Plan implementation is effectively led through an adequate governance structure and an effective change management approach.

Baseline: Public Financial Management reform implementation monitoring and course correction are not adequately coordinated, and a comprehensive change management approach needs to be implemented.

End Target:

- Two Action Plan progress reports (prepared semi-annually in a fiscal year) have been submitted by the project implementation unit to the Steering Committee.
- Two Action Plan stakeholder retreats have been conducted to review the respective semi-annual. Action Plan progress reports prepared under DLR 10.1 in a fiscal year.
- The public financial management learning Hub has produced at least three research papers on reform lessons and published the said reports through its website.
- Six field inspections to government service delivery centers to identify public financial management-related issues have been carried out.
- The project implementation unit has prepared a report evaluating the performance of coaches, facilitators and/or implementation support consultants engaged to support the implementation of the Action Plan.

- 100 civil servants (with data disaggregated by gender) have completed specialized public financial management-related courses/certifications.

Swachh Bharat Mission Support Operation Program for Results also uses disbursement-linked indicators, and the following examples show how one results area was designed using CB&CM approaches.

Intermediate Results Area 4: Strengthened capacity of MDWS in program management, advocacy, monitoring, and evaluation

- Intermediate Results Indicator 7: Program management and technical support unit established and functional.
- Intermediate Results Indicator 8: Monitoring and Evaluation Unit strengthened.
- Intermediate Results Indicator 10: Behavioral Change and Communication campaign implemented at national level.

The Morocco Blue Economy Program for Results approved in 2022 with the development objective to strengthen Morocco's institutional and financial framework for the creation of blue jobs and integrated management of coastal and marine areas. The project covers all three pillars of the toolkit:

Result Area 1: Strengthen integrated institutional frameworks for the blue economy development.

- Indicator 1: Progress in the implementation of blue economy communication campaigns.
- Indicator 2: Government officials at the national and regional levels certified in capacity building.
- Indicator 3: A data portal on the blue economy is operational to enable evidence-based decision-making and implement the blue economy strategy.
- Indicator 9: People reached by international and national coastal tourism advertisement campaigns.
- Indicator 12: People consulted for the planning and management of marine protected areas.

MEASURING OUTCOMES

The outcome of a CB&CM plan or component should relate directly to the objective of the reform or project. Outcomes are “the benefits expected from a change in conditions for, or behavior of, the targeted beneficiaries or institutions that result from the access to and use of outputs.”⁵⁵ They relate to the overarching objective of supporting coalition-building and change management; mark an improvement in the ability or disposition of local actors to take actions to effect changes toward the objective or indicate increased coordination or cooperation within or across organizations. These changes in behaviors, actions, and practices can be used to report on and manage change toward the objective.

Well-defined outcomes should:

- Describe a desired change in one or more constraints, not describe an intervention.
- Be amenable to being measured through SMART indicators.
- Be meaningful and practical for local actors to influence.
- Be realistic to achieve during the planned period.

See Box 7.3 for a discussion on formulating open-ended outcome indicators and example indicators.

55. World Bank 2021.

Box 7.3 Open-Ended Outcome Indicators

‘Open-ended’ change indicators are frequently used by adaptive programs as they provide implementers with considerable flexibility to experiment and adapt their delivery. The following table illustrates a set of open-ended indicators. Merely counting changes or reforms through open-ended indicators tells little about the performance of a program. Most reforms that adaptive programs pursue are also deeply political in nature and the pathways to change are usually non-linear. There might not be much progress for a long time, but then suddenly the system gets to a tipping point, or a window of opportunity opens, paving the way for reform. This means that it can be difficult to tell if a program’s successful contribution to reform was because it was well designed and implemented, or because it “happened” at the right time.

Example Outcome Results and Indicators	Data Collection Methods
Increased motivation and readiness for the reform or policy among public sector employees and managers within the organization leading the reform.	- Civil servant surveys - Manager 360 assessments
A coalition supportive of the reform or policy is effective and has a voice.	- Stakeholder surveys - Direct engagement measures from platforms
The broad targeted audience is supportive toward the reform or policy, and main concerns are alleviated.	- Citizen surveys - Sentiment analysis
Improvements in policy, policy implementation, and/or institutional arrangement with evidence that C4R approaches contributed to that change*	- Civil servant surveys - Progress against Key Performance Indicators
Instances where key reform stakeholders or beneficiaries demonstrate behavior that is consistent with a more inclusive decision-making, planning, or policy processes*	- Record of updated policy approaches based on citizen feedback - Grievance redress implementation
Instances where key reform stakeholders or beneficiaries demonstrate sustained or repeated behavior that is consistent with a more inclusive decision-making, planning, or policy processes*	- Formation and regular participation from multistakeholder groups and/or forums in decision-making, planning, or policy processes - Grievance redress implementation
Instances where key reform stakeholders or beneficiaries demonstrate improved capacity, willingness, accountability, and/or inclusiveness to work on policy and institutional reform*	Agenda and actions of multistakeholder groups and/or forums in decision-making, planning, or policy processes

Source: Adapted from Monitoring, Evaluation, and Learning – Making Results Frameworks work for Adaptive Programs (Institutions for Inclusive Development, 2021)

Open-ended change indicators provide adaptive programs with the necessary flexibility to experiment and adapt. The clear advantage of this type of indicator is that they do not constrain the program’s ability to adapt. However, if not designed well, open-ended outcome indicators carry the risk of insufficiently incentivizing adaptive programs to deliver more ambitious results. Solely reporting on the number of changes (without any qualifications to their significance, reach and quality) might not provide sufficient incentives for implementing organizations to ensure that their interventions deliver transformational change. Broadly defined expected outcomes also carry the risk that program interventions become too dispersed and do not add up to the expected higher-level results.

MEASURING INTERMEDIATE RESULTS

Intermediate results included in the results framework may include all or some of the outputs of CB&CM activities as well as the expected outcomes or results from those outputs. Outputs are the direct products and services produced through the activities – for example, the number of workshops, meetings, platforms, or trained individuals. Expected outcomes measure the impact of these activities such as increased awareness, capacity, or coordination between stakeholders. See Box 7.4 for guidance on designing a multistakeholder results framework.

Box 7.4 Designing a Multistakeholder Results Framework

Gold (2013) proposes six types of intermediate results that can be used to guide the formulation of indicators.

Raised awareness can be shown by a greater willingness to take action, such as through enhanced understanding, attitude, confidence, or motivation. A sample indicator may include the number and percentage of staff in line ministries targeted by a program who report improved confidence and motivation to implement budget reform.

Enhanced knowledge or skills may be demonstrated through greater ability to act, attainment of new knowledge or skills, or application of new knowledge or skills. For example, a sample indicator may record the number and percentage of finance division staff trained in macro-economic forecasting who apply the tools in planning a medium-term budget.

Improved consensus and teamwork can be demonstrated by a stronger disposition or ability to act through enhanced collaboration, agreement, communication, coordination, cohesion, or contributions within a reform team. A sample indicator may be whether improved communication and coordination within the ministry of finance among the departments of budget, finance, and accounting contributed to move forward the action plan for implementing a medium-term budget framework.

Strengthened coalitions can be observed by a stronger disposition or ability to act through enhanced collaboration, agreement on a common agenda, increased commitment, improved trust, or better leveraging of diverse strengths among members. A sample indicator may capture whether a joint plan of action to implement a medium-term budget framework was jointly moved forward by the ministry of finance, planning commission, and line ministries.

Enhanced networks can be demonstrated through improved collaboration, better processes, stronger incentives for participation, or increased communication among members with a common interest. A sample indicator may ascertain application of common technical standards among a community of practice of local budget directors.

New implementation expertise can improve the formulation or implementation of policies, strategies, or plans, involving discovery and innovation from learning by doing. A sample indicator may record whether a strategy for implementation of medium-term budget framework was developed by the ministry of finance and line ministries, based on a learning-by-doing approach.

Measuring Intermediate Results for Leadership, Professional Skills, and Organizational Culture

Results for leadership, soft skills, and organizational culture activities can be measured through established indicators. Their measurement requires overcoming well-known challenges such as high turnover in civil servants and regular transfers across roles. It can also be difficult to attribute impact to a single intervention, often because some time must pass before leadership outcomes can have observable impact. Further, other contextual factors may have influenced the organizational environment, behaviors, or outcomes in the interim.

Measuring the impact of these activities can be effectively done through a mix of reporting on activity outputs, self-reported assessments, and perception surveys. Direct outputs from activities such as training, workshop, and team-building exercises can be tracked using civil servant surveys, such as the World Bank’s Bureaucracy Lab Civil Servant Surveys mentioned in Chapter 3. More targeted surveys or focus groups can gather data from middle and upper management on progress at the organizational level. Deploying such surveys as a diagnostic tool can provide a clear baseline for future surveys to track progress. Evaluation questions for outcomes can range from individual leadership skills and knowledge enhancement to broader transformative changes in leadership and other skills, and organizational environment.⁵⁶ Table 7.1 presents sample indicators and data collection methods for each of these areas.

Table 7.1 Example Leadership and Skills Indicators and Data Collection Methods

Example Intermediate Results Indicators	Data Collection Methods
Increased understanding of leadership skills (communication, change management, problem solving) and mindsets by managers and/or civil servants.	• 360 Assessments • Self-reports of individual leaders • Case study assessments • Evaluation of participants’ learning
Demonstrated evidence of changed behavior or attitude toward the new reform or policy.	• Civil servant surveys • Direct observation of behavior such as adequate use of new system of process
Improved perceptions of work environment or organizational culture that lead to more inclusive decision-making, planning, or policy processes.	• Civil servant surveys • Organizational Capacity Assessment • Review of Internal Documents (for example, Reduction of incident reports)
Example Output Indicators	
Number of people participating in a leadership training program, workshop, or receiving coaching (disaggregated by gender, age, and grade level).	• Activity reports
End of training or workshop satisfaction survey.	• Activity reports
Number of team meetings held to discuss the reform progress.	• Activity reports
Number of rapid results initiatives completed.	• Activity reports

56. ORS Impact, 2018.

Annex 9 provides more examples of indicators that can be integrated into standalone results frameworks and project-level results frameworks.

Measuring Results for Multistakeholder Engagement

A mixed-method approach to measuring the outputs and results of stakeholder engagement activities can address many of the common measurement challenges. The utility of stakeholder engagement has been well established in the literature,⁵⁷ but there are few examples of measurement and evaluation of the degree to which stakeholders are engaged in these activities and the impact of engagement on outcomes. Both inside and outside the World Bank, a frequently used measure of coalition building and stakeholder engagement is the quantity of participants on relevant reform events or workshops. This type of data is easy to collect and measure and thus lends itself as an indicator. However, it provides limited information about the type of engagement and involvement achieved by stakeholders and the outcome that the coalition building efforts contributed to.

Martinez et al. (2019) conducted a scoping review of relevant stakeholder engagement evaluations and found that surveys were by far the most common approach for evaluating stakeholder engagement and were used in 11 studies. Some evaluation approaches directly engaged stakeholders as respondents (surveys, interviews), others interacted with project data to characterize engagement (meeting minutes, tracking logins to an online service), and some described plans for evaluation in a future study (creating activity logs). Common topics addressed through evaluation approaches included stakeholders' personal perspective on the collaboration; stakeholders' perceived impact on the research process and study outcomes; the barriers and facilitators stakeholders encountered to engagement; stakeholder satisfaction with the collaboration and feelings of being valued by the study team; and recommendations for improving future collaborations. See Table 7.2 for examples of multistakeholder engagement indicators and data collection methods.



57. Wallerstein & Duran, 2010; Israel, B.A. 2005.

Table 7.2 Multistakeholder Engagement Indicators and Data Collection Methods

Example Intermediate Results Indicators	Data Collection Methods
Key stakeholders are mobilized and report satisfaction and regular use of the coordination mechanism or multistakeholder platform.	- Stakeholder surveys - Direct engagement measures from platforms
Coordination mechanism or multistakeholder platform is implemented and effective.	- Activity reports - Records of policy decisions influence by stakeholders - Interviews with members and institutional leaders
Reporting from coordination mechanisms indicates good progress on reform and it receives strong engagement from institutional leadership.	- Activity report - Interviews with institutional leaders
Key stakeholders have improved capacity to engage meaningfully and collaboratively in policymaking, implementation, and service delivery processes.	- Survey - Interviews - Monitoring of industry/sector reports
Recommendations from multistakeholder platforms are integrated within the reform or policy.	Internal documents
Example Output Indicators	
Number of coalition meetings – for example, number of times a steering committee or advisory board meets.	Activity reports
Number of progress reports, meeting minutes, proceedings, statement, or recommendations published by a coalition.	Activity reports
Number of participants or participating organizations at the meeting	Activity reports

The Anti-Corruption Participatory Commission (IPAC) coalition formed in the Dominican Republic in 2010 provides a good practice example of tracking the outcomes using the ‘traffic light’ framework. Annex 7 describes this framework and more examples of indicators that can be integrated into standalone results frameworks as well as project-level results frameworks.

Measuring Results of Strategic Communication

The impact of strategic communication can be assessed regularly using intermediate results and outputs indicators. During implementation, it is useful to trace the performance of the strategic communication activities, particularly those that involve direct contact with stakeholder groups. This will help identify possible areas of misunderstanding or dissatisfaction to enable corrective action.⁵⁸

The result of strategic communication can be evaluated using descriptive and experimental indicators.⁵⁹ Descriptive indicators track changes in knowledge, attitudes, and behaviors over time. Examples of descriptive indicators include audience recall of message on the reform program; comprehension of a given message; expressed knowledge, attitude, and beliefs consistent with the message; usage of skills and practices recommended by message; and audience discussion of message with others. Experimental indicators attempt to measure the extent to which change can be attributed to intervention.

58. Cabanero-Verzosa 2003.

59. Farqui n.d.

Overseas Development Institute (ODI) Global’s 2018 work on monitoring, evaluation, and learning for communication offers guidance to measure the success of communication outputs. They offer five key questions to address when considering what was done and what was learned while implementing the plan:

1. Were objectives clearly supportive of the wider project, program, or organizational goals?
2. Were target audiences identified?
3. Were the key messages audience-focused?
4. Were a realistic set of outputs and activities identified?
5. Was “what success would look like” properly considered?

It is also important to evaluate how the strategic communication process was managed and what activities were undertaken. The reform team should examine whether the communication work was launched and disseminated, whether it reached the intended audiences, whether it was on budget and on time, and what lessons were learned.

ODI’s work further suggests evaluating communication results along three dimensions: (1) reach, (2) quality and usefulness, and (3) uptake and use. Reach refers to the breadth of the plan’s coverage and who it is reaching. Evaluation of reach is fundamental for strategic communication. It is helpful to know who the communication reached and if the intended audience has been influenced by the communication activity; however, data limitations may limit the evaluation of the latter. Understanding the quality⁶⁰ and usefulness of the communication is also important. As part of the strategic communication plan, the reform team will routinely need to assess the quality of outputs and how stakeholders are using and responding to them. Quality and usefulness address the technical standard of communication and how relevant it is to the audience. Uptake and use examine if and how the communication is used. The goal of monitoring uptake and use is to evaluate whether the intended audience uses the information about the reform or has changed their behavior based on the information shared. Informal feedback from stakeholders is a starting point. However, dedicated resources will be required to conduct surveys or other data collection that demonstrated a change from baseline.

The use of mixed methods to track progress on outputs and outcomes is recommended to ensure a comprehensive assessment. To the extent possible, information gathered for the evaluation of results should be backed up by data collected from direct sources, perception surveys, or activity reports (Table 7.3). However, it can also be gathered anecdotally through follow-up meetings, interviews, and focus groups.

60. Quality can be defined as the technical standard of work, both the content and presentation.

Table 7.3 Strategic Communication Indicators and Data Collection Methods

Example Intermediate Results Indicators	Data Collection Methods
Broad targeted audience reports increased awareness, positive perceptions, and reduced concerns about the reform or policy.	• Surveys • Focus groups
Social narratives and headlines circulating online and in traditional media are broadly supportive of the reform policy and aligned with the messages identified by the communication strategy.	• Media analysis
Observed shift in the attitudes, behaviors, or norms targeted by the behavioral or communication campaign.	• Interviews • Surveys • Direct reports
Audience reporting attitudes and beliefs consistent with the message; usage of skills and practices recommended by message; and audience discussion of message with others.	• Audience survey
Example Output Indicators	
Number of shares, clicks, or mentions of the campaign's materials.	• Web tracking
Number of pageviews, downloads, and or/clicks for a communication output	• Web trackin
Number of outputs that were informed by the communication plan	• Activity report
Number of event attendees and livestream viewers	• Activity report

Annex 7 presents more examples of indicators that can be integrated into standalone results frameworks and project-level results frameworks.

ENSURING THE SUSTAINABILITY OF CHANGE

Achieving sustainability of the change beyond the life of the CB&CM engagement is central to the objectives of a reform program. Actions to establish the best possible conditions for sustainability are integrated from the initial Scope phase, when work is done in collaboration with local stakeholders to begin building ownership and commitment to the proposed change. Change agents who have the interest and potential to develop the capacity required to lead the institutionalization of the change are identified at this stage. These individuals will become a key part of the implementation phase, working closely with the project team and the CB&CM team to develop the knowledge and skills required to facilitate the change process with coalitions and frontline teams. Additional development sessions and on-the-job support will need to be designed to address their specific developmental needs in the context of the change. The CB&CM team works with a project team to help identify and work on issues where there is the greatest readiness to act, and then to engage the relevant stakeholders in further refining the plan and goals to be achieved. Pilot initiatives are set up as disciplined experimentation to identify and develop solutions that can be most successfully scaled and institutionalized.

Closing change management activities at the end of a reform is a crucial step to ensure that the changes implemented are sustained and continue to deliver value. Here are some key steps to consider:

1. **Review and document.** Conduct a thorough review of the change management activities and document the results, outcomes, lessons learned, and best practices. This helps in creating a knowledge base for future projects.
2. **Stakeholder Engagement.** Ensure that all stakeholders are informed about the closure of the project and the transition plan. This includes providing them with the necessary resources and support to maintain the changes.
3. **Training and support.** When possible, offer ongoing training and support to the teams affected by the changes and to teams that will eventually replace them. This ensures that they are well-equipped to handle the new processes and systems independently.
4. **Continued monitoring and evaluation.** Establish a monitoring and evaluation plan to track the performance of the changes beyond the existence of the engagement. This will also help in ensuring that all the impacts are accounted for and that future issues can be anticipated.
5. **Celebrate success.** Acknowledge and celebrate the success of the project and the efforts of everyone involved. This boosts morale and reinforces the importance of the changes.
6. **Sustainability Plan.** Develop a sustainability plan that outlines how the changes achieved under the reform will be maintained and supported in the long term. This includes assigning ownership and accountability for the changes.

By following these steps, the impact of the change management activities is sustained beyond the life cycle of the project, leading to lasting improvements and benefits.

Risks and mitigation

CB&CM is an approach that focuses on the implementation of change. As technical project design theory is translated to the reality of action during implementation, there are risks, including the need to adapt to multiple “on the ground” scenarios and to manage the people and behavioral issues associated with change, which by their nature, are always both complex and dynamic. Despite being vulnerable to situation changes (in the country) that cannot be anticipated, there are strategies that can mitigate the major foreseeable risks. Four areas of risk that could potentially derail implementation are identified below, together with potential mitigating actions.

- **Low capacity of implementation teams.** CB&CM is structured to provide a practical approach to change implementation. Formal workshop sessions introduce pragmatic, tried and tested frameworks, approaches, and tools which, when combined with on-the-job support, help to build capability and confidence. During the implementation phase, the reform teams are supported by change expert and local coaches who assist them in finding their own solutions to emerging challenges and keep the momentum going.
- **Low commitment of key stakeholder groups.** To mitigate the risk of low commitment to engage in the change, a readiness assessment is undertaken during the Scope phase to understand exactly what the government and stakeholder groups are ready and able to commit. The engagement is structured based on this assessment to set goals that are

ambitious, but achievable. Particular attention is also given to strengthening trust and ownership throughout the engagement.

- **Inability to maintain momentum.** With its dedicated focus of delivering change, CB&CM strategies help implementation teams to maintain focus and momentum. In addition, a detailed results framework can track progress and serve as an early warning system to flag when things are not going as planned and more support or a change of approach is needed.
- **Failure to scale pilot projects.** The risk that a pilot project is not scaled is mitigated by:
 - **The design of the approach,** which incorporates a series of structured activities with regular review, learning and adjustment opportunities, helps the teams build towards identifying the best solutions to scale.
 - **Stakeholder analysis** conducted before and during implementation helps the reform team understand and engage the key individuals and groups – supporters and opponents. The reform team works closely with senior leadership of the project, assessing their readiness, engaging them strategically and making sure that the CB&CM implementation directly and visibly supports the achievement of the larger development goals for which they are accountable.

8

CONCLUSION

The objective of this toolkit was to provide general guidance and a collection of tools for coalition-building and change management to help reformers and practitioners implement complex reforms and public policies. The toolkit highlighted the complexities of achieving desired outcomes in development programs due to human and social factors and emphasizes the need to move beyond technical solutions alone. It defined key terms like “coalition building” and “change management,” emphasizing their crucial roles in mobilizing stakeholders and fostering a shared vision for reform. The toolkit introduced an integrated and evidence-based approach to coalition building and change management for development reforms. It is informed by decades of World Bank experience and a growing body of academic research as shown in the literature review and the many examples presented.

The toolkit outlines a three-step process: scoping and diagnostics, strategy design and planning, and monitoring and evaluation. It provides a curated collection of tools and frameworks, drawn from political economy, change management, stakeholder engagement, and communication, to guide practitioners through each step. The toolkit highlights the importance of leadership development, fostering a collaborative environment that empowers individuals and organizations to embrace change. It emphasizes the need for multistakeholder engagement, ensuring diverse perspectives are incorporated into the reform process and building broad-based support. Strategic communication, tailored to specific audiences and utilizing a range of channels, is crucial for raising awareness, addressing concerns, and building consensus. The toolkit also addresses the challenges of measuring results for leadership, skills, stakeholder engagement, and strategic communication, providing guidance on appropriate indicators and evaluation methods.

CALL TO ACTION

It is hoped that this toolkit will encourage more practitioners to take a proactive approach to change and make full use of the benefits of coalition building and change management for reforms. Stakeholders on the government side as well as from the private sector and civil society need to leverage the tools and methodologies presented in this toolkit to enhance the effectiveness of the implementation of reforms and policies. By systematically applying these strategies, they can drive sustainable change and deliver critical reforms for development.

There is also a need to keep learning and improving the available collection of tools, and this can only be done by practitioners taking a rigorous approach to evaluating the impact of their work. This toolkit offers insights and guidance based on the World Bank’s experience of using these approaches within country engagements over the last 25 years. It also shows where there is room for more comprehensive research and rigorous application of these tools. The following two areas have been identified as those that can receive further attention:

1. **Collecting randomized data on “treated” vs. control reforms.** This may be through a concerted effort to collect baseline and outcome data when a project integrates CB&CM activities. The information can then be compared with a control group of projects that did not integrate CB&CM. If possible, projects that have certain attributes could be randomly selected to integrate CB&CM at random, while all the project’s results are tracked. Given the small sample size, it will be important to draw from existing literature on sensible inference in very small samples. It may also be beneficial to partner with experts who have conducted similar impact evaluations.
2. **In-depth results evaluations.** Future research can provide indepth results evaluations and, to the extent possible, empirical evidence on the impact of the tools in the toolkit. Providing a critical review of this evidence would help build confidence that these interventions are likely to work. Ideally, the substantiating evidence would be based on randomized treatments.

By investing in research and continued utilization of CB&CM approaches, governments, development partners, and the World Bank can keep improving on the available set of tools to support the effectiveness of development reforms and policy implementation, contributing to more sustainable and equitable development outcomes.

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ANNEX 1.

CHECKLIST FOR PLANNING A CB&CM STRATEGY

SCOPING AND DIAGNOSTICS

The following questions will help you fill any remaining knowledge or contextual awareness gap ahead of the preparation of a CB&CM strategy:

1. Are you missing some of the baseline information necessary for planning the engagement such as i) A well-defined objective for the change process, ii) The required expertise and perspectives that need to be included in the team leading the change process, iii) Clear delineation of timelines and resources available for the preparation of the strategy and for its implementation.

→ Start with a C4R Scoping Assessment; refer to Chapter 3 of the toolkit.
2. Do you need to deepen your understanding of the background, context, institutions, and stakeholders that will influence the success of the change process? For example, understanding how specific stakeholders with or without vested interests could block or support implementation.

→ Prepare a problem-driven political economy analysis, including a desk review, a stakeholder mapping or a netmap, interviews, and focus group discussions; see Chapter 3.
3. Do you need to better understand the level of preparedness for change within a team, department, or organization?

→ Undertake an ADKAR style analysis through interviews, focus group discussions, and surveys. See Chapter 3.
4. Do you need to better understand the drivers behind existing behaviors or attitudes of individual actors (for example, civil servants, consumers, citizens, etc.) or how those drivers could help foster new behaviors? For example, understanding socio-cultural attitudes, mental and heuristic models, or the ebb and flow of social narratives and public opinion on the planned change or reform.

→ Undertake a COM-B analysis through interviews, focus groups, and surveys. This could also include media monitoring and sentiment analysis; see Chapter 3.

COMPONENTS OF A CB&CM STRATEGY

The following questions will guide you in deciding what activities to include in the CB&CM strategy. The following steps do not need to be sequential, and not all elements have to be included in each strategy. The selection should be based on a good understanding of the timeline, budget, and expected resistances to change identified in steps 1 to 4.

5. Do you expect one of your bottlenecks in implementation to be related to the limited capacity of managers and leaders in the targeted organization to motivate staff, navigate conflict, manage change, or think adaptively to resolve problems?

→ Include a Leadership for Results training for managers and leaders; see Chapter 4.

6. Do you expect that a lack of team cohesion, a negative organizational culture, or a lack of authorization space within the targeted organization could impede the implementation of the change process?
 - Include a component on team leadership (for example Field-Level Leadership) and organizational momentum building activities such as Rapid Results Initiative; see Chapter 4.
7. Do you expect that a lack of coordination or cooperation between government stakeholders, such as different units or departments within a ministry or across multiple ministries, could limit implementation?
 - Include the creation and operationalization (for example through capacity and leadership building) of a coordination platform such as a steering committee or a dedicated implementation\delivery unit; see Chapter 5.
8. Would having an active coalition of stakeholders from civil society supporting and contributing to the reform help sustain momentum and build political will for implementation?
 - Include the creation and operationalization of a multistakeholder engagement platform such as advisory groups or civil society scorecards, see chapter 5.
9. Do you expect that a lack of awareness or engagement from broad groups of people (such as teachers, taxpayers, consumers, etc.) could lead to resistance to the targeted change?
 - Include the preparation of an awareness campaign and media strategy as part of a communication plan; see Chapter 6.
10. Do you expect that success of the reform or policy will require nudging social norms, attitudes, or narratives?
 - Include to the communication strategy a behavioral component, see Chapter 6

The following questions will guide you in the monitoring and evaluation of the implementation of the CB&CM strategy.

11. Does the results framework, theory of change, or log frame for the reform or project plan include SMART objectives, outcomes, and indicators to effectively track the implementation and impact of all the CB&CM strategy elements?
 - Refer to chapter 7 for guidance on developing objectives, outcomes, and indicators, and for a list of potential ones to get you started.
12. Do you have in place a plan to review and adapt the CB&CM strategy throughout implementation as new opportunities and challenges arise?
 - Refer to chapter 7 for guidance on adaptive management.
13. Do you have in place a sustainability plan to ensure that the change that was achieved is consolidated and sustained after the closing of the CB&CM strategy?
 - Refer to Chapter 7 for guidance on designing a sustainability strategy and mitigating risks.



ANNEX 2.

PAST AND ONGOING WORLD BANK PROGRAMS LEVERAGING COALITION BUILDING AND CHANGE MANAGEMENT APPROACHES

Political Economy Community of Practice

The World Bank’s Political Economy (PE CoP) emerged in the early 2000s and is still active today. As outlined in an early guidance framework,⁶¹ it has the objective to systematize approaches to governance and political economy analysis and to provide readily available orientation for World Bank task team leaders and teams. A key approach advocated by the CoP is “problem-driven” political economy analysis,⁶² which focuses on understanding the underlying challenges or opportunities affecting a specific reform or operation. For example, analyzing why reforms in the power or health sector or those aimed at improving urban development may or may not have gained traction and what could be done differently to move forward. The analysis can provide guidance on what is feasible within the given context and advice on shaping strategies and operations in ways that range from adjusting them to the existing space for change to developing proactive strategies for expanding the space for change. The *Problem-Driven Political Economy Analysis: Good Practice Framework* states:

“While the World Bank’s mandate explicitly precludes it from engaging in politics, it has become widely accepted that the institution needs to understand the political economy context of reforms from a diagnostic perspective, in order to be able to assist countries effectively in designing and implementing development strategies and policies.”

It also cites several recent evaluations that had underlined the need for understanding the political economy context of reforms more systematically and for taking this into account when designing and implementing reforms – for example, IEG 2006, 2008.

Since its inception, the PE CoP has promoted the use of problem-driven political economy analysis to support innovative approaches to operations. For example, this type of analysis can leverage “islands of excellence” or windows of opportunity for a given reform. Teams may recognize that it is important and feasible to promote better-informed public debate on reform issues and policy options. Therefore, the CoP promoted ideas well aligned with the C4R of today and proposed that problem-driven political analysis can also serve as a basis for developing support for proactive campaigns for change – for example, for getting serious about improving health services or improving infrastructure construction and maintenance.

The PE CoP continues to have a significant influence on World Bank programs and analytical work. Today, the Political Economy Community of Practice contains more than 300 members within the World Bank. The ideas it introduced have been influential and have substantially featured in the World Development Report (WDR) 2017 on Governance and the Law, one of the most downloaded WDRs.

61. *Problem-Driven Political Economy Analysis: Good Practice Framework 2009.*

62. The problem-driven approach to political economy analysis comprises working through three layers. The first layer is identifying the problem, opportunity or vulnerability to be addressed. The second is mapping out the institutional and governance arrangements as well as their strengths and weaknesses. The third is drilling down to the political economy drivers, both to identify obstacles to progressive change and to understand where a ‘drive’ for positive change could emerge from.

Communication for Governance & Accountability Program

The Communication for Governance & Accountability Program (CommGAP) was established as a global program under the External Affairs Department of the World Bank. It was created in 2006 through a 5-year multi-donor trust fund⁶³ and its goals were to:

- Develop innovative, communication-based analytical and diagnostic approaches, conceptual frameworks, and tools to support governance reform.
- Influence policy regarding how governance reform programs are designed and implemented.
- Distill and disseminate lessons learned from around the world.
- Strengthen the discipline of communication as it applies to governance reform.
- Build a community of practice around a more comprehensive approach to governance reform.

CommGAP sought to promote good and accountable governance with innovative communication approaches and techniques that strengthen the constitutive elements of the public sphere.

These elements included engaged citizenries, vibrant civil societies, plural and independent media systems, and open government institutions. Communication links these elements, forming a framework for national dialogue, through which informed public opinion is shaped about key issues of public concern. CommGAP's core program was divided into three interrelated and mutually reinforcing areas of work: research and advocacy, training and capacity building, and operational support to development programs and projects. It provided tools to confront barriers to achieving effective and sustainable governance outcomes.

By the time it closed in 2011, CommGAP had made strong contributions through its knowledge and operational work. The program published an array of new materials, including “Accountability through Public Opinion: from Inertia to Public Action.” This title was among the Top 50 of the World Bank's best-selling books in print in 2011. The program also hosted the first “Executive Course in Communication and Governance Reform” in partnership with the World Bank Institute and the Annenberg Schools for Communication at the Universities of Pennsylvania and Southern California. This training is still being regularly provided by the Annenberg Institute.

COLLABORATIVE LEADERSHIP FOR DEVELOPMENT PROGRAM

The Collaborative Leadership for Development (CL4D) program was conceptualized in September 2009 and was hosted under the World Bank Institute. CL4D built on the Adaptive Leadership Framework⁶⁴ aimed to accelerate the implementation of development projects by addressing the ‘human’ element that often impeded the pace of technically well-designed projects. Recognizing the strength and success of collaboration, the Global Partnership on Leadership for Collaborative Development brought together a diverse, global, and cross-sectoral group of thinkers who worked to apply and integrate leadership practices to address development challenges.

63. The founding donor of this trust fund was the UK's Department for International Development (DFID).

64. Heifetz, R., Linsky, M., 2002, *Leadership on the Line: Staying Alive through the Dangers of Leading*, Harvard Business Review Press

The rationale for creating CL4D was based on development projects often experiencing implementation gaps. CL4D addressed behavioral and leadership challenges that underlie these implementation gaps by equipping teams to build coalitions, engage stakeholders, and deliver results. It adopted a multistakeholder approach to fostering collaboration and innovation, which helps address local challenges and achieve tangible outcomes. Teams were encouraged to adopt innovative and practical approaches that bridged the gap between current challenges and desired reforms. CL4D built teams' capacity to navigate complexity by focusing on:

- **Mobilizing Key Stakeholders:** Developing the ability to bring together diverse groups and foster collaboration to address shared challenges.
- **Building Coalitions:** Encouraging groups to align their interests and find common ground to pursue meaningful solutions.
- **Delivering Results:** Supporting teams to achieve innovative, context-relevant solutions within a short period.

The CL4D closed with the World Bank Institute in 2016, but its impacts on development outcomes were noted throughout the program's implementation. The intermediary outcomes generated through CL4D, when institutionalized, contributed to broader behavioral, organizational, and institutional changes, enabling the achievement of shared prosperity. CL4D supported more than 100 project teams in over 420 countries and through 435 coalitions across sectors, including health and education by addressing systemic barriers and improving service delivery, civil service reform by promoting accountability and efficiency by addressing entrenched bureaucratic challenges, and water, sanitation, and solid waste management by fostering innovative and collaborative solutions to local challenges.

Coalitions for Reforms Global Program

The Coalitions for Reforms (C4R) Global Program is the most recent and ongoing initiative working on mainstreaming this knowledge in World Bank engagements. It was launched in 2023 with the objective to tackle reform and policy implementation challenges by deploying an integrated approach to coalition building and change management. At its core, C4R combines tools to build leadership skills, establish coalitions, manage change, engage stakeholders, and deploy strategic communication. It is built on three key principles:

- Prioritizing evidence-based interventions A focus on the non-technical aspects of projects, reforms, and policy implementation.
- Flexible modes of engagement with teams.

The C4R aims to address the limited uptake of political economy insights into World Bank engagement despite the amount of knowledge that has been gained. This limited uptake is often explained by a disconnect between the analysis and the practical needs of the project teams, a lack of accessible tools and training resources, and the absence of a unified voice and clear agenda among stakeholders. Recognizing these challenges, the C4R program provides a comprehensive and integrated approach to change management and coalition-building focused on leadership skills, organizational culture, stakeholder engagement and coordination, strategic communication, and citizen-state relations based on a repository of evidence and practical experiences. Its mission is to equip reform champions with the tools, knowledge, and networks needed to drive

sustainable, impactful change. In addition to these elements, there are other ongoing initiatives at the World Bank, including GovEnable and Strengthening Client Capacity for Impact, which also aim to address delivery and implementation bottlenecks.

Despite its recent creation, the C4R has supported numerous World Bank operations and built a global partnership. In its first year of activity, the C4R engaged on projects in 10 countries around the world with a good mix of sectors, themes, and regional focus. These engagements included support to the design of projects, support to ongoing projects on implementation challenges, standalone activities to help unblock specific issues, and government dialogue. On the partnership side, C4R developed partnerships both internally and externally, involving 32 external partners, including FCDO, The Asia Foundation, Stanford Center for Democracy and the Rule of Law, Global Affairs Canada, and OECD. The complete and current list of partners can be found on the program's website, <https://www.worldbank.org/en/programs/coalitions-and-collective-action-for-reforms>.



ANNEX 3.

SCOPING AND DIAGNOSTIC PHASE RESOURCES

TEMPLATE FOR COALITION-BUILDING AND CHANGE MANAGEMENT SCOPING NOTE

[Title of Reform or Change]

[Date]

Context and Background

[Provide a short background to situate the reform, program, or operation within the country context, and if relevant the World Bank's engagement.]

Problem statement

[Identify the specific problems to be addressed. Choosing the right level of generality/specificity and the right scale (national, sectoral, geographical). It is also important to not assume a solution or conclusion pre-emptively.]

Collective Action Enablers and Bottlenecks

[Identify the different elements of related to collective action at the different scales (within organization, between organization, out of organizations) that are causing the problem or that could be leveraged to address the issue.]

Stakeholders and incentives

[Who influences the problem? Who tracks the relevant performance\efficiency outcomes and indicators associated with the problem? Who is included and who is not?]

Teams and leaders

[Who are the people working directly on the problem and how do they work together, what motivates them and how are they led?]

Networks, coalitions, and coordination

[How are stakeholders connected to each other? Do they form interest organized interest or advocacy groups? Do they have mechanisms or challenges to coordinate? How is the political will and authorization environment around the problem?]

Institutions, norms, and rules

[Are there laws, rules, or systems that are related to the problem identified? Is there currently a disconnect between de jure and de facto rules or norms? Historical legacies and earlier reform experiences? What are the institutional\legal steps in the process necessary for the reform? Could there be issues of timing or sequencing within the reform?]

Communications, social narratives, and civil society

[What are the habits, beliefs, expectations, and attitudes linked to the problem? Are there social narratives and how are the issues framed? What is the level of awareness and support from the population on the issues?]

Solutions and Activities

[What solutions would be adapted to identify the bottlenecks or leverage the enablers identified above? Categories include (1) further diagnostics (surveys, focus group discussions, interviews); (2) strategies, action plans and roadmaps; (3) Trainings and skill-building; (4) coaches and facilitated processes such as Netmap, ADKAR Model; (5) workshops and convening events;

(6) platforms and coordination mechanisms, (7) stakeholder engagement plan or communications strategies; () awareness and sensibilization campaigns, etc.]

Timeline and Resources

[Are there incoming deadlines or events which could dictate the scheduling of these activities?

What are the resources available for diagnostics and future coalition-building and change management activities?]

TEMPLATE TERMS OF REFERENCE FOR PROBLEM-DRIVEN POLITICAL ECONOMY ANALYSIS

Context

- To be completed by team
- Brief description of project program and relevant component
- High-level description of political, social, and stakeholder challenges and bottlenecks relevant to the reform area

Objective and Methods

The individual consultant/firm will undertake a diagnostic/political economy/social contract/media monitoring assessment to understand governance/institutional/political economy opportunities and constraints to the overall reform and how these can be addressed through a coalition building and/or change management plan.

Analysis will focus on key factors relevant to the proposed reform. It will consider four overarching issues: (1) incentives and capabilities of state actors to undertake meaningful reform in key program results areas; (2) options for fostering meaningful improvements across the relevant geographic areas and/or the sector of focus; (3) entry points for sustainable change that lasts; and (4) the role of external actors in incentivizing the reform.

Activities

- Initial assessment of the risks to the overall reform based on desk review, the Ishikawa cause and sub-cause analysis, and/or tools agreed with the team.
- Assess more thoroughly the risks and opportunities in specific reform areas, including more in-depth stakeholder analysis such as NetMap or other influence-interest mapping.
- Conduct individual and focus group interviews as required with key stakeholders.

Outputs

- Inception report or rapid assessment drawing on a literature review, available data, and existing expertise of the consultant team that provides a preliminary characterization of the socio-political context of the reform including opportunities and constraints.
- A final analytical note, with the following indicative sections:
 - i. Background/context: Overview of the relevant PE context in [reform country].
 - ii. Cause and sub-cause analysis of the PE risks to the overall operation and reform agenda.

- iii. Deep dive into 2–3 key reform areas among the nine reform areas, based on the dimensions of risk and criticality of the reforms.
- iv. A set of implementable recommendations, based on a detailed assessment of the # key reform areas.

Qualifications and Level of Effort

A lead consultant will be responsible for conducting and presenting the analysis, including the methodology, analysis, and writing. If needed, the lead consultant will be supported by a local consultant to enhance data gathering, analysis, and tailoring to local context.

The consultant should have the following skills:

- Advanced degree in political science and not less than 10 years of proven experience in political economy analysis in developing countries
- Excellent knowledge of the recent political economy, including work experience in the country
- Ability to synthesize and organize complex information from various written and oral sources into a comprehensive, policy-oriented document
- Strong interpersonal and diplomatic skills, as well as proven ability to communicate orally and in writing effectively and credibly with senior government officials, private sector, civil society leaders, and the public in developing countries
- A strong network of international experts and/or local contacts with expertise on relevant experiences
- Excellent fluency and writing ability in [languages] is required.
- Indicative level of effort for the initial assessment is 20 person-days; indicative level of effort for the final assessment is 40 person-days.



ANNEX 4.

LEADERSHIP AND SKILLS RESOURCES

TEMPLATE FOR LEADERSHIP AND SKILLS PROGRAM

Through this training, teams will improve their skills in designing and managing projects and exercising leadership to mobilize others to achieve results.

On designing and managing projects for results, the training will focus on the fundamentals for driving for results to include analysis of the development challenge, conducting stakeholder analysis, identifying the appropriate solution, identifying and managing risks, and building up to results, as well as managing project challenges throughout implementation. This will be framed considering the context and challenges for example those that can affect Fragile, Conflict, and Violence country settings.

On leadership development, participants will be introduced to the “Adaptive Leadership Framework” and learn how to distinguish technical and adaptive challenges; differentiate between formal and informal authorities; assess the factions, losses and values in change management; build support and coalitions; consider how to build a safe environment for change; regulate heat for action; manage conflicts; be “on the balcony”⁶⁵; and lead without danger.

Template of a Leadership for Results Training Workshop

	Module 1: Foundational Knowledge - Leadership for Results				Modules 2, 3, and 4: Progress and Just in Time Knowledge	
	Day 1	Day 2	Day 3	Day 4	Progress on action plan	Just In Time Leadership and M&E topic
Adaptive Leadership Skills	Framing of the Intervention	Overview of the adaptive leadership - Adaptive leadership overview - Technical and adaptive work - Formal and informal authority	Mobilize the system - Diagnostic - Authorizing environment - Creating coalitions - Stakeholder engagement strategies	Deploy yourself - Understanding internal dynamics - Acting with emotional intelligence - Trust and confidence	Coaching for Results - Review of activities - Identification of issues - Discussion on how to solve these - Agreement on next steps	Topic is determined by gaps identified in previous session Examples: conflict solution at team, institutional level; productivity skills, etc.
Results Approach	Framing of the Intervention Results approach	Project design	M&E plans and client capacity	Implementation & supervision		
		Action planning				

65. Heifetz, R., Linsky, M., 2002, Leadership on the Line: Staying Alive through the Dangers of Leading, Harvard Business Review Press

TEMPLATE FOR TERMS OF REFERENCE FOR LEADERSHIP FOR RESULT TRAINING

1. CONTEXT

[Description of the overall context of the project: what is the [organization] working on? Why? Since when? What is the current situation? What is specific to the location? How is the project financed? Who are the main stakeholders the [organization] is working with?]

Managing [project] is challenging for several reasons: [challenges/what are the main challenges faced by the project? What makes the project difficult to implement? What are the stakes?]

The [organization] has the objective to [describe objective].

To this effect, the [organization] is seeking to hire a consultant to develop mobilization capacities around the [project].

2. SCOPE

Objective of the assignment

The objective of this assignment is to support the [ORGANIZATION] in mobilizing key stakeholders to [objective]

Key stakeholders consist mainly of [groups of stakeholders, for example: members of the ORGANIZATION, authorities from institutions, etc.].

The consultant will support the group of key stakeholders in [objective]

The leadership intervention aims at building the capacity of participants to be proactive leaders, to adopt a problem-solving mindset for greater effectiveness and impact. The expected outcomes are to increase leadership, strengthen institutional capacities and stakeholders' mobilization. Targeted skills include team coaching, communication, negotiation, project planning, project management, and stakeholders' engagement.

The program is spread over 21 to 30 working weeks, including face-to-face and virtual coaching.

Program Options

Objectives of the program

1. **Stakeholders Mobilization:** Strengthen capacities of the [ORGANIZATION] members for mobilizing actors.
2. **Leadership Development:** Equip teams with leadership approaches and tools for mobilizing actors at the national level, building a coalition
 - Practice of tools and leadership approach learned in previous trainings.
3. **Implementation Capacity:** Improve capacities to support [Project] in [Location].
 - Identification of common constraints and challenges and solutions.

- Exchange of good practices and lessons learned in the implementation of similar projects.
4. **Innovation:** Improve the qualities of innovation, communication, teamwork, leadership. Encourage a spirit of learning and improvement.

Leadership Bootcamp

Target participants are national stakeholders identified to participate in this project. They can be [stakeholders, for example: members of the ORGANIZATION, authorities from other institutions, etc.]. Number of participants to this program are between [...] to [...] people.

The objective of the bootcamp is to increase leadership and project management skills for [project]. The bootcamp will result in a 6-month to 2-year action plan to be used in the online coaching program.

Format: 3-day in-person program (in-country).

Results Team Coaching for implementation.

To support stakeholders in practicing what they have learned during the bootcamp and attain the desired objective, a program for results-team coaching will be developed.

The objective of the coaching sessions will be to:

- Help participants make progress on the workplan developed during the bootcamp.
- Review progress and discuss challenges they are facing, notably in areas of exercising leadership and encourage peer-to-peer discussion on how to address these.
- Develop a peer learning network among course participants.
- Accelerate learning on the subjects discussed during the other programs.
- Strengthen leadership capabilities and teamwork.
- Improve the interactions between the national and regional levels.

Format: This consists of a monthly virtual group coaching session over 6 months, with a measure of performance that is mutually agreed on with the participant(s).

Training of local coach. As part of the coaching intervention, the consultant will also provide a 1-day training on coaching and facilitation to one or several specialists in institutional development or monitoring and evaluation from the program. These specialists will act as local coaches, facilitating a weekly meeting with the results-team to review progress made on the challenge and share findings with the consultant in preparation of the monthly/quarterly review meeting.

Outputs of the program:

- Training needs assessment with the participants.
- A note on the challenge to be addressed by the program.
- Participatory Stakeholder mapping; root-cause analysis.
- An action plan to address the challenge(s) identified, co-created with participants. This action plan must have clear milestones, a responsible party, and a monitoring mechanism.
- Summary report and PPT to be shared with program participants.
- Monitoring and evaluation report (3 and 6 months after course) on application of concepts and progress on addressing the challenge. This is assessing level 3 and 4 of Kirkpatrick model.

- Local coaches formed.
- Action plan outlining the development of the [Project]

Learning outcomes

- Coalition of stakeholders for the [projects].
- Knowledge-sharing behavior.
- Demonstrated application of leadership skills in individual everyday tasks and for working more effectively together.
- Actors mobilized for [Project]: clarity on institutional arrangements.
- Strengthened capacity within [ORGANIZATION] for Leadership on [Project].

Intermediate capacity indicators

- Better capacity to plan and implement.
- Better ability to communicate and mobilize.
- Better ability to build advocacy.
- Strengthened coalition.
- Increased confidence in the ability to act.
- Better ability to communicate and mobilize
- Targeted actions.

3. TASKS AND DELIVERABLES OF THE CONSULTANT

The consultant will work closely with the World Bank project team to design the workshop. The tasks are as follows:

Program Design

1. Review [Project] background documents (project documents; mid-term review) to understand the context.
2. Organize discussions with the World Bank team, [ORGANIZATION] counterparts and with the team of consultants to better understand the needs and to develop the overall learning framework.
3. Liaise with consultants for relevant inputs (stakeholders' mapping).
4. Design the offers, including effort level, budget, timeline for mobilization.
5. Develop a performance measurement system.
6. Validate and finalize offer design with World Bank team and [ORGANIZATION] counterparts.

Delivery

1. Deliver the bootcamp and coaching programs.
 - Elaborate a summary report post-program for the pilot that highlights (i) the framework of the workshop (objectives, organization of the workshop, content, etc.) (ii) the leadership practice of the participants; (iii) the main challenges faced by participants in the [Project] and the exercise of their leadership and (iv) recommendations for the follow-up of the intervention.

Deliverables

1. Delivery of the national leadership program in [Location].
2. Delivery of the coaching skills training for one or a group of specialists.
3. Training materials.
4. Monthly report (coaching for results).
5. Evaluation and final Report.
6. Coaching plans.
7. Action plans from the groups.

Timeline

- Design of the program: [Start Month].
- Delivery of the program in one country: [Start Month + 1 Month].
- Coaching: monthly until [Start Month + 6 Months].
- Training packages finalized: [Start Month + 7 Months].

Level of effort

The level of effort is 185 days, including the workshop (preparation, facilitation, travel, and report), 6 coaching sessions, and training materials. The consultant will report to [names and titles].

4. Skills and qualifications

Skills

1. Coaching and Leadership.
2. Planning and monitoring – project management.
3. Adult Experiential Learning Approach.
4. Facilitation skills.
5. Facilitating learning-by-doing for implementers (capacity building).
6. Skilled in managing group dynamics or team conflicts.

Lead Facilitator Qualifications

1. Master's or PhD in organizational change, leadership studies, political science, business administration and strategic communication or relevant studies.
2. At least 10 years of experience in supporting government stakeholders, communities, or private sector actors in achieving organizational transformation.
3. Certificate in coaching, project management a plus.
4. Fluency in [languages].

EXAMPLE: LEADERSHIP SKILLS DEVELOPMENT PLAN

1. INTRODUCTION

To address the need for greater capacity of government officials to lead with vision, take and implement decisions effectively, and unleash leadership potential throughout public administration, the World Bank is offering a Collaborative Leadership Program. The proposed Program is delivered over nine months to a year, in six individual modules of four-day and it targets a cohort of approximately 20–30 selected civil servants.

The Program is tailored to the country context by considering the specific challenges faced by leaders in fragile and changing environment such as shifting leadership expectations, multiple and competing priorities to address, lack of shared perspectives, frail state-society relations, and lack of trust. At the end of this Program, the participants should be able to identify and overcome self-perceived limits, thereby enabling trainees to perform more effectively.

Objectives of the training:

- To build the technical skills of a cohort of government officials on collaborative governance, policy design and implementation, M&E, and private sector participation in service delivery.
- To build a community of well-informed and action-oriented government officials with improved innovation, communication, teamwork, and leadership skills, to champion the governance and institutional development agenda.

The leadership training sessions are complementing training on technical subject matters such as: Management of Policy Process; Regulatory and Policy quality; Monitoring and Evaluation; Performance management; Private sector participation in service delivery; Public-private Dialogue and Partnerships; Business climate; Access to information; Transparency; Accountability.

This note presents the approach to strengthen leadership skills during the program.

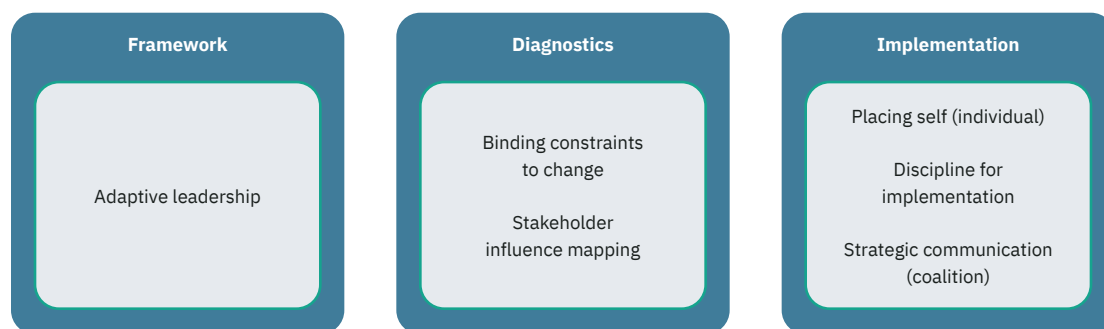
2. A FOCUS ON THE HOW

Despite decades of technical and financial assistance, moving development programs forward remains a major challenge for many poor and middle-income countries. The bulk of development work has focused on finding technical solutions to problems, starting with diagnoses of “what’s wrong,” to recommendations of “good practice,” to assistance toward transplanting those “good practices..” Uneven results arising from this approach suggest that addressing development problems certainly includes, but goes beyond, deploying technical solutions.

In addition to sectoral or thematic expertise, successful implementation of development programs requires getting various individuals, groups, and organizations to work collaboratively toward achieving a complex set of objectives. This process requires acceptance of new ways of doing things. Success thus depends on managing change processes skillfully. Simply put, this is about the How of reforms, which range from project level initiatives to large scale policy change.

The World Bank Group has developed a collaborative leadership for development (CL4D) designed to help stakeholders confront the challenge of the How. CL4D defines leadership as a process through which reform teams seek to comprehend and influence behaviors, mindsets, and values of various stakeholders. From this perspective, state or nonstate actors can engender collaboration among diverse groups toward achieving a common goal. These actors become catalysts for change by creating and sustaining coalitions, which are necessary, and often critical, for moving development programs forward.

During the yearlong program, CL4D helps teams strengthen their leadership and implementation skills by providing a framework, diagnostic tools, and implementation mechanisms, as shown below:



The course is designed to “develop leadership to mobilize for change” to implement some of the recommendations of the World Development Report 2015 on Mind, Behavior and Society (WDR15) and in the World Development Report 2017 on Governance and Law (WDR17) as well as to equip learners with technical knowledge in governance, competitiveness or other areas to be determined.

The program is based on the Adaptive Leadership approach developed by Harvard University professors Ronald Heifetz, Alexander Grashow, Marty Linskyi and draws on participants’ experience and through an immersion “problem-based approach.” The course leads participants to strengthen their skills in:

- **Mapping the landscape:** Through the Binding Constraints to Change, participants can identify and understand fundamental constraints to coalition building. Participants are also introduced to a hands-on Stakeholder Influence Mapping tool for evaluating the political landscape they will need to travel.
- **Charting the unknown:** Through experiential learning, **Adaptive Leadership** teaches participants to recognize the drive toward development results as a combination of technical and adaptive challenges. Participants are introduced to concepts and tactics useful for unpacking and tackling adaptive challenges, enabling them to chart unfamiliar paths to transforming behaviors, mindsets, and values.
- **Providing discipline for implementation:** Participants are provided with a set of practical management tools and processes, as well as approaches that cultivate collaborative teams and help them to discover innovative solutions.

- **Navigating a shifting environment:** Through sophisticated use of persuasion, participation, and negotiation techniques, strategic communication helps teams build political and public support through opinion, attitude, and behavior change.

Leadership topics include:

- Introduction to adaptive Leadership
- Diagnostic skills to identify the challenges
- Developing an authorizing environment for change
- Creating and managing coalitions
- Strategic Communications
- Strengthening self, self in the system
- Self, team, and institutional effectiveness.
- Managing conflicts
- Action planning and constraints to implementation

3. PURPOSE OF THE INTERVENTION

This initiative uses the World Bank Group’s one-year program to enhance the capacity of challenge holders (public servants, private sector, and civil society) to better identify the complexity of reform challenges, build coalitions, use modern implementation tools, and move forward in their change process. As a result, reform teams will have a sharper vision of their reform process, clearer goals, and a work plan to move policies and/or programs forward to achieve their specific reform. This should lead to improved public service delivery conditions in the region’s participating countries.

Specifically, the program aims to strengthen a cadre of reform-minded local, regional, and national-level government officials. This year-long program is designed to help new and existing reform teams and coalitions accelerate the pace of change in a way that builds leadership capabilities while exposing these teams to good practice in other countries.

4. LEARNING OUTCOMES

Drawing on their own experience and through an immersion “problem-based approach,” at the end of the workshop participants will:

1. Be able to use the adaptive leadership framework in order to distinguish technical problems from adaptive challenges, identify formal and informal authority and know the importance of interventions to mobilize stakeholders and so exercise leadership.
2. Have a better appreciation of one’s role in the change process and how to mobilize self.
3. Have gained an understanding of collective action constraints to change.
4. Have used the Net-Map to identify key stakeholders, their links and influence flows and be able to generate actionable insights to address bottlenecks.
5. Be able to apply basic strategic communication tools for mobilizing key stakeholders through leadership interventions informed by actionable insights.
6. Have a short-term results goal, implementation plan and comprehend how to leverage Results-based Management tools to address adaptive challenges which stall their reforms.

5. COURSE STRUCTURE

Workshops. The Program employs an innovative approach to adult learning and consists of 6 face-to-face modules of 4 days each run over the course of one year. Each training workshop is conducted on 4 consecutive days with each session starting at 09:00 am and ending at 5:00 pm. Between each face-to-face workshop, coaching sessions are provided to the group to ensure they apply the concepts and tools learned during the sessions.

In-country coaching. To increase the effectiveness of the virtual training workshops, coaching consultants facilitate team coaching sessions with participants to help them practice new skills. The coaching session lasts half a day to one day and takes place every two weeks with course participants.

	Module 1	Module 2	Module 3	Module 4	Module 5	Module 6
Leadership	Introduction Leadership Framework Strengthening Diagnostic Skills	Mobilize the System Authorizing Environment Creating Coalitions	Deploy Yourself Act Politically Self in the System	Self and Team Effectiveness Management Tools to be more Productive Constraints to Implementation Project Planning	Managing Conflicts Capacity Strengthening in Mobilizing Others in Fragile Contexts	Deepening Concepts Innovation in Leadership Creating Leadership Capacity in Others Practicing Leadership KM Exchange
Technical Skills	Communications Institutional Coordination Buy-in for Reform	Investment Climate Competitiveness	Public Policy Development	Institutional Effectiveness	Governance Strategies for Reconstruction and Transition in Fragile and Post-conflict Contexts	Resources Management Transparency Accountability



ANNEX 5.

MULTISTAKEHOLDER ENGAGEMENT RESOURCES

TEMPLATE FOR TERMS OF REFERENCE FOR A MULTISTAKEHOLDER ENGAGEMENT STRATEGY

1. CONTEXT

[Description of the overall context of the project: what is the reform? Why? Since when? What is the current situation? What is specific to the location? How is the project financed? Who are the main stakeholders the organization is working with?]

Managing [reform] is challenging for several reasons: [challenges / what are the main challenges faced by the project? What makes the project difficult to implement? What are the stakes?]

The [organization] has the objective to [describe objective].

To this effect, the [organization] is seeking to hire a consultant to develop a stakeholder engagement plan for the [project].

2. OBJECTIVE OF THE ASSIGNMENT

The objective of this assignment is to support the [organization] in identifying, mapping and, engaging key stakeholders to [objective] and developing a structure and process of engagement for the duration of [project and/or reform] implementation.

Key stakeholders consist mainly of [groups of stakeholders, for example:

- Key project stakeholders (government leaders, development/technical/financial partners).
- Government stakeholders (other ministries/units involved).
- Public stakeholders (affected citizens, beneficiaries, private sector, civil society organizations, think tanks).
- Decision makers (parliamentarians, committee members).

The consultant will support the group of key stakeholders in [objective is. coalition building and change management].

3. TASKS AND ACTIVITIES

Strategy Development

The consultant will develop a strategy which addresses the following:

- Takes stock of current practices related to the reform (e.g., achievements, strengths & challenges)
- Clarifies the priority areas by: Sectors/themes and Geographical locations, if applicable;
- Target audience for inclusive stakeholder engagement (e.g., women, youth, elderly, persons with disability, school children if applicable, businesses, academia);
- Modes of engagement (e.g., face-to-face, virtual platforms and use of mobile phones, other types of technology solutions, or hybrid); and
- Relevant stakeholder engagement tools and their application sequencing
- Identifies foundational enabling environment (e.g., policy, regulation, decree, availability of technology where applicable), building blocks needed for the backend (e.g., capacity, staffing & budget), risks and opportunities, and other contextual information

- Defines “success” (which should include information on how to use stakeholder feedback in the decision-making) and how to measure it
- Provides opportunities to engage with citizens and nonstate actors in the process and establishes a common vision across the government and among citizens (expectation setting, empowerment of civil servants & citizens, identification of incentives)

Selection and Implementation of Multistakeholder Engagement Approaches

The consultant may incorporate one or more of the follow approaches to engaging stakeholders for the duration of reform design and implementation:

- **Delivery and Coordination Mechanisms:** Institutionalized unit or structured process (such as a steering committee) within a government bureaucracy that aims to rapidly improve bureaucratic functioning, reform, and policy implementation.
- **Multistakeholder engagement platforms:** To achieve greater social accountability and citizen engagement through participation of citizens and other nonstate actors.
- **Advisory Committees:** To create a consultative group that provides public input on the project/program/reform policy .
- **Citizens Assembly:** To create a body of citizens who review and provide recommendations and guidance on a reform.
- **Citizen surveys and Scorecards:** To provide a quantitative assessment of government performance and service delivery based on citizen’s perception and experience.

The selected approaches should be discussed and agreed with the project and reform teams.

4. OUTPUTS

The following are examples of outputs that could be developed as part of multistakeholder engagement plan implementation.

- Stakeholder mapping (including interest/influence assessment)
- A note on the key stakeholder groups (including interest/influence assessment)
- A note on the design of the stakeholder engagement approach, including rationale and estimated resources
- An engagement strategy to address the reform’s challenges and opportunities, co-created with the identified stakeholders. This strategy should clear milestones for implementing the selected engagement mechanism(s), responsible parties, and a monitoring mechanism.
- Summary report and PPT to be shared with program participants.
- Monitoring and evaluation report.
- Capacity building assessment and plan.

5. TIMELINE AND LEVEL OF EFFORT

- Design of the strategy: [Start month].
- Implementation of the strategy: [Start month plus remaining project duration].
- Monitoring and evaluation: monthly until [START MONTH minus three months from project close].

The level of effort is [days/hours]. The consultant will report to [name, title].

6. QUALIFICATIONS

- Master's degree in social sciences and related fields.
- At least 8 years of proven experience in leading/managing stakeholder engagement and/or social inclusion projects.
- Proven experience in working with low educated women, and/or the elderly and/or rural communities, and/or disabled.
- Strong knowledge of the public sector and improvement of access to public services for vulnerable groups, with a particular attention to digital technologies as a means of access.
- Experience in overseeing and working multi-disciplinary teams.
- Knowledge of the [country] context will be considered an advantage.
- Excellent communication and organization and teamwork skills.
- Excellent [languages] written and presentation skills.

7. CONFIDENTIALITY AND DATA OWNERSHIP

All the data and information collected or received for the purposes of this study will be kept strictly confidential and will be used exclusively to execute the terms of reference. All the intellectual property rights stemming from the execution of the terms of reference belong to the [organization]. The content of the written materials that are obtained and utilized during this task will not be shown to third parties without the written consent of the [organization].

EXAMPLE OF SUPPORT TO A DELIVERY UNIT – THE CASE OF TUNISIA

The World Bank's support the Tunisia center-of-government delivery unit can provide example of the kind of support that can be provided to strengthen a delivery and coordination mechanism. One of the components of the World Bank's Tunisia Governance program focused on Centre-of-government reform leadership with the objectives of strengthened management of policy prioritization, reform implementation, and improved SOE governance. The domains of technical support and policy advice covered:

1. Service Delivery Unit (SDU) support will enhance state capability to prioritize and implement reforms, aiming to provide the government of Tunisia with an innovative and efficient SDU.
2. Center-of-government leadership and knowledge will support problem-focused leadership training and facilitate access to knowledge regarding good practices on center-of-government organization.
3. Effective management of State-Owned Enterprises (SOEs) to improve the transparency and performance of key SOEs through the Integrated SOE Framework and MENA Compact.

DETAILED DESCRIPTION OF THE COMPONENT

The Component on Centre-of-government reform leadership supports strengthened management of policy prioritization, reform implementation, and improved SOE governance. The domains of technical support and policy advice covered:

1. Service Delivery Unit (SDU) support to enhance state capability to prioritize and implement reforms, aiming to provide the government of Tunisia with an innovative and efficient SDU. It comprised:
 - Organizational set up of the Delivery Unit including: (i) Supporting the prioritization of public policies and projects; (ii) Strengthening project management and collaboration skills of the Center-of-Government/ SDU teams; (iii) Supporting the development of an overall strategy and an implementation plan for change management; (iv) Supporting dialogue and exchange of experiences.
 - Support the identification, definition, and selection of priority reforms, including: (i) providing strategic expertise on key themes including food security, energy, water management, green finance, SME support, empowerment, human capital, and digital transformation, and (ii) delivering methodological support to the teams in charge of priority public policies and projects.
 - Support the coordination and implementation of reforms, including: (i) advice on coordination and management mechanisms for the identification and implementation of reforms, and (ii) support data management.
 - Support the monitoring and evaluation of performance and address potential Bottlenecks, including: (i) providing expertise to support the implementation monitoring and performance improvement process; (ii) strengthening the analytical capacities of the teams in charge of priority public policies and projects.
 - Support communication efforts at internal, external, and strategic levels, including: (i) Strengthening the capacities of teams and actors in charge of internal and external communication; (ii) supporting the organization of events and workshops, and (iii) supporting the development of communication products.
2. Center-of-government leadership and knowledge supported problem-focused leadership training as well as facilitating access to knowledge regarding good practices on center-of-government organization:
 - Leadership training and skills development will entail developing and delivering a problem-focused training program for senior civil servants to equip them with the skills to better facilitate context appropriate solutions.
 - Improved knowledge regarding center-of-government organization will comprise a series of seminars and workshops on international good practice regarding center-of-government organization in order to: (i) Examine Successful Models of center-of-government coordination; (ii) identify generalizable good practices; (iii) understand challenges and solutions; (iv) apply insights to the Tunisian context, and (v) facilitate knowledge exchange.
3. Effective management of State-Owned Enterprises (SOEs) to improve the transparency and performance of key SOEs:
 - Updating and publishing an application of the Integrated SOE Framework to Tunisia; and
 - Supporting Tunisia's engagement in the MENA SOE Compact.

Elements from the Project's Results Framework

Reform measures implemented with the support and coordination of the DU		
Unit of Measure: Number		
	Value, Number	Date
Baseline	36	08-May-2024
End Target	66	31-Dec-2028

Number of civil servants receiving problem-driven policy reform training		
Unit of Measure: Number		
	Value, Number	Date
Baseline	0	08-May-2024
End Target	150	31-Dec-2029

COALITION BUILDING THROUGH STAKEHOLDER ENGAGEMENT

The report *People, Politics, and Change* (Cabañero-Verzosa and Garcia et al, 2011) draws on a wide range of sources from the fields of leadership, communication, negotiation, and development, and concludes that coalitions are formed and strengthened through the following stages:

- **Issue Identification and Specification:** the overall objective of the problem is articulated and broken down for detailed analysis; policy options are defined in terms of a continuum of options (from minimum to maximum reform positions) that particular stakeholders may either support or find unpalatable
- **Relationship/Stakeholder Mapping:** significant actors are identified, positions toward key and related issues are plotted, especially in terms of the policy options identified in the previous step
- **Forming Core Membership:** the core of a coalition is convinced about and becomes self-aware of the benefits of change; core actors are organized, early leaders and champions are identified, and the joint agenda takes shape
- **Demonstrating Credibility:** coalition demonstrates it is knowledgeable about relevant issues, can act effectively, and is worthy of support from stakeholders
- **Purposeful Expansion:** a critical stage when a small organization builds a broader social and resource base while retaining coherence and effectiveness
- **Sustainable Transformation:** during which the coalition has grown and becomes polycentric, with initiatives on many fronts, drawing strength from many sources



ANNEX 6.

STRATEGIC COMMUNICATION RESOURCES

TEMPLATE FOR A COMMUNICATION STRATEGY

(Date, version [if needed])

How to Use This Document:

- Adapt each section to reflect the reform’s goals, stakeholders, and context.
- Use tables and structured formats for clarity.
- Integrate measurable objectives and key performance indicators (KPIs).
- Refer to examples included to understand practical applications.

Objectives

Clearly define the key aims of the strategy. Keep this section short and succinct. If you cannot express your objectives in a few short bullets, you need to rethink what you are trying to accomplish. Ensure you follow the SMART framework (Specific, Measurable, Achievable, Relevant, Time-bound).

Sample Objectives:

- Strengthen the positive influencer environment and expand informed stakeholder engagement on [policy].
- Ensure timely and transparent dissemination of progress updates to key stakeholders.
- Drive public awareness and participation in the reform process.
- Address misinformation and proactively manage public perception.

Context

Provide relevant background information, including:

- Recent developments that affect the reform effort.
- Stakeholder analysis: how key groups interact with the reform.
- Legislative or regulatory considerations.
- Lessons learned from past reform efforts.

This section should not be longer than 500 words.

Note: Annexes may include additional details such as key messages, frequently asked questions (FAQs), or a communications calendar.

Stakeholder Mapping

Identify your stakeholders here, what they need to hear, and what if any action you need from them. The more granular the better, as you will be able to target communications more precisely to influence and persuade. You may need to speak to a large swathe of the “general public.” If possible, identify specific demographics within that group.

Typically, stakeholders might include:

- Key project stakeholders – government leaders, development/technical/financial partners).
- Government stakeholders – other ministries/units involved.

- Public stakeholders – affected citizens, beneficiaries, private sector, civil society organizations, think tanks.
- Decision makers – parliamentarians, committee members.

There are many ways to complete this section. For example, you may wish to divide your audience into external and internal stakeholders (public vs. staff). You may identify different channels of communication for each stakeholder. You may also use a compass to map groups of stakeholders based on polar criteria like supportive/unsupportive or influential/not influential.

An example of a table summarizing objectives regarding stakeholders is provided below.

Stakeholders	Objectives
Public stakeholders (citizens, beneficiaries, private sector)	• Explain current activities • Ensure participation in the services offered • Sustainability of the project's interventions • Transparency of project interventions
Technical and financial partners, World Bank	• Inform on the progress of the project for disbursement • Reflect project's results in current and future interventions and strategies.
Ministries of Budget, Finance, and Implementing Units	• Motivate support and involvement in the project activities • Prepare them for change • Inform about skills and resources needed to implement the activities • Ensure sustainability of project interventions • Ensure consideration of project activities in their respective tasks
Civil servants	• Strengthen their support for project activities and objectives • Ensure sustainability of project interventions Consideration of project results in their respective tasks • Transparency of project interventions

Stakeholder Details

Civil Servants: Most civil servants not involved in the implementation of the project or not directly impacted have little knowledge of the reform. Bringing them to a general level of knowledge is appropriate.

- **How to reach/proposed activities:** Training tailored to each user segment should be made available as soon as possible. A newsletter and internal communications can help reinforce engagement. Civil servant trainings could integrate a module on [reform] into introductory public administration courses (a mandatory course in civil servant training institutes).

Technical and Financial Partners: With financing agreements in place, the project must inform partners (e.g., the World Bank) of progress.

- **How to reach/Proposed activities:** Statutory progress reports, site visits, and review missions can be leveraged to demonstrate impact and maintain support. Seminars with beneficiaries can offer direct feedback. A newsletter, aimed at the general public, can also be used to inform these stakeholders.

Communications Tools & Channels

Identify and describe considerations and context for proposed channels and communications tools.

Earned Media

Context: Media interest in [reform] is primarily concentrated in [local/regional/industry] publications focused on [sector/niche/etc], as those mirror the audience interested in the [reform] topic. Other outlets, such as wires, may be enticed to report on [reform] developments if the announcement is significant enough.

Plan: Detail here any anticipated media engagements, including press releases, press conferences, op-eds, interviews, off-the-record briefings, and so on. Indicate the types of media you plan to engage, who your primary spokespeople will be, which (if any) third parties you can persuade to do media outreach on your behalf, as well as any detail on planned rollout.

Digital Media: Describe the detail of any digital outreach associated with the campaign.

Web: Webpage (whose?) updated with progress reports, press releases, etc.

Social media: [Unit] will develop social media creative content (postcards/infographics) to highlight key messages, statistics, or progress.

Paid campaign: Paid support for social media rolled out over several months to drive audiences to website/call to action/survey/etc.

Newsletter: An internal newsletter designed to provide regular updates on the project. The aim is to present not only news, but also interviews and profiles of representatives of the different stakeholders. It is a user-friendly communication tool designed to inform and motivate public servants to fully embrace the changes under the reform. This bulletin may be distributed by e-mail or by notice boards to be installed in the directorates of [Ministry].

Visual Identity: Will your project need a separate visual identity? Consider that this aspect includes more than a logo. A complete visual identity will also include things like a color palette, typography, thematic imagery, and other elements that are best developed by a professional designer.

Other Channels: Describe the details of any other outreach you will set up. This may include things like flyers or leaflets that you will design and distribute to beneficiaries, email distribution lists of key stakeholders by group, activity or progress reports needed by supporting partners, etc.

Timeline/Approach: It may be useful to summarize key one-off or repeating events either in this section or a separate annex. You can also use a Gantt chart. An example is provided below.

Communication Event/Channel	Target audience	Frequency	Implementer	Notes
Meeting of internal units	Each execution unit and reform coordination unit (RCU)	Weekly	Execution unit managers gather their team and take stock of ongoing tasks, resolve issues	These meetings are necessary to better organize internally, to check progress against milestones and to prepare the report.
E-mail database of people involved in the implementation of the project	All project users	Full list by target groups – 3 to 6 months after implementation	RCU, Execution Units, Technical Team, Communication and Change Unit (CCU)	Email Groups would 1. Focus on information and sharing related activities with users of each activity; 2. Assist delivery units and others in effectively managing the roll-out of the project.
Email sent separately to lists of user groups	Each group receives a dedicated email	Punctual update as needed	RCU & CCU	Contains an update on the status of each system.
Website	All stakeholders, updated with the latest news.	6 months after implementation date	CCU	The purpose of the website is to inform about the activities of the reform project, to publish progress, and to allow consultation with the general public.
News published on the web portal and social media of the Ministry and other institutions involved in the reform	Public	With each new piece of relevant info	Execution Unit Focal Points and CCU	Ensure distribution to relevant media lists
Organization of round tables on the themes of the reform chaired by the Minister	All stakeholders in the user system, senior officials	Launch, and annual event	Project Director, Ministry Public Relations Department, CCU	The Minister will preside over the launch and at annual events.
Pamphlets	All stakeholders, the public and the media	MM/YY	CCU in collaboration with Execution Unit	The pdf will be available for download on the website
Workshop chaired by the Secretary General/President of the RCU	Internal stakeholders	Quarterly	RCU and All Directors of Execution Units	Aim of taking stock of the state of implementation by exploring best practices
High-level event launched by the Prime Minister's Office with the participation of all ministers and deputy ministers	All high level stakeholders	Launch	All stakeholders	Announce the project and functional changes. The media can be invited, and the event can be broadcast by national channels. The event is to be coordinated with the Prime Minister's public relations team.

Communication Event/Channel	Target audience	Frequency	Implementer	Notes
Newsletter	All stakeholders	Monthly First edition 3 months after CCU established	CCU writes the first newsletter with input from focal points	Communicate key project messages, including milestones. Share the training plan. Publish successes.
Closed Facebook group, or WhatsApp channels reserved for registered members	All Users/Groups by Thread	It can be created with all users or subgroups, updated regularly	All users can be administered by more than one user	Can serve as a forum for the exchange of information, announcements of training, commissioning, etc.
Awareness Sessions	Secretaries- General, Heads of Directorates, Budget Departments	Based on milestones	Organized by the RCU technical team	
Questionnaires	Users	After important milestones, a questionnaire is used to collect feedback on the use of the system	To be administered by the CCU with the collaboration of the technical teams	This form of communication encourages users and collects information on how to improve the system

TEMPLATE FOR TERMS OF REFERENCE FOR A COMMUNICATIONS STRATEGY

1. CONTEXT

[Description of the overall context of the project: what is the reform? Why? Since when? What is the current situation? What is specific to the location? How is the project financed? Who are the main stakeholders the organization is working with?]

Managing [reform] is challenging for several reasons: [challenges / what are the main challenges faced by the project? What makes the project difficult to implement? What are the stakes?]

The [organization] has the objective to [describe objective].

To this effect, the [organization] is seeking to hire a consultant to develop a communications plan for the [project].

2. OBJECTIVE OF THE ASSIGNMENT

The objective of this assignment is to support the [organization] in the implementation of an effective and timely communications plan aimed at the effective implementation of the [reform].

Specifically, the consultant/firm will [select elements as needed]:

- Undertake a quick analysis (media and social media monitoring, etc.) of the ongoing conversation around [reform], also identifying advocates and opposers of the reform.
- Design and deliver one-on-one media training sessions for high level officials.
- Develop a communications strategy in support of the [reform]. The strategy will need to include the following elements:
 - An overarching communications objective and subsidiary ones tied to each relevant target audience.
 - A clear framing of the problem, a narrative for the proposed reform and a set of key messages as well as supporting materials (draft op-eds, speeches, talking points)
 - A set of communications activities, divided into phases, as necessary.
- Develop a crisis communications plan for the authorities on the [reform].

3. TASKS AND ACTIVITIES

The Consultant will carry out the following activities:

- Conduct a situational assessment, including a review of the [reform sponsor's] current communications strategy, and assess whether they are adequate to the task of supporting the implementation of the [reform area], in light of the ongoing debate between supporters and opponents.
- Conduct a stakeholder mapping or build upon existing mapping that will guide the development of the communication strategy and communication plan. The Consultant will draw on the diagnostic analysis conducted for the reform.
- Support the development of a communication strategy and a communication plan to support the implementation of the [reform], factoring in the diversity of stakeholders and social networks.
- Support the design of a detailed implementation plan for the communication strategy, with clear timeline, budget, and roles and responsibilities. The implementation plan would include activities that respond to stakeholder concerns and information gaps.
- Provide technical advice to the [reform leader] on crisis management, during unexpected events.
- Provide feedback on the impact of the implementation plan and submit bimonthly written evaluations of the progress achieved and the needed modifications, if any.
- In carrying out the above activities, the Consultant will adopt a coaching approach to set the grounds for the longer-term objective to build the [reform team's] capacity.

4. OUTPUTS

The Consultant will deliver the following:

- An inception report that includes a detailed mapping of both internal and external stakeholders, with clear indication of their potential opposition or support and relative level of influence. The Consultant will draw on the outcome of a stakeholder mapping exercise and the reform diagnostic developed as part of the coalition building and change management plan.

- A DRAFT and FINAL report detailing, with PowerPoint presentation to facilitate discussions and feedback of the [reform team]:
 - Situational assessment of [reform team's/implementing agency's] current communications strategy and activities.
 - Substantial inputs to the communication strategy.
 - Substantial inputs to the communication plan: messaging document for each group of target audiences; detailed proposed communications and outreach activities and products.
 - Detailed schedule for the implementation of the plan, with key milestones and their relationship to relevant dates in the school, legislative and national calendar; the budget and resources required for the plan; key performance indicators for all suggested activities, to be discussed in regular meetings with the reform team; and case studies that portray success of similar communication strategy and plans in countries with similar contexts.
- A PowerPoint presentation of the draft and final report for discussion with [reform team's] leadership and senior staff, in collaboration with the [project team].
- Bi-monthly written evaluations of the progress achieved per the communication plan approved by the [reform sponsor].

Timeline and Level of effort

- Design of the strategy: [START MONTH].
- Implementation of the strategy: [START MONTH plus remaining project duration].
- Monitoring and evaluation: monthly until [START MONTH minus three months from project close] .

The level of effort is [days/hours]. The consultant will report to [name, title].

5. QUALIFICATIONS

- University degree (master's degree is preferable) in Communications, Public Relations, Journalism, or a related field.
- 15 years of professional experience in designing and managing public communication programs.
- Solid understanding of and ability to apply communication tools and techniques, including the ability to analyze and use research data.
- Strong management skills in planning of communication work.
- Significant experience in conducting research or analytical work in the above areas.
- Proven track record in designing and implementing complex communications strategies.
- Demonstrated in-depth knowledge of [country's] communications environment.
- Significant experience in stakeholder engagement and communications for public sector clients.
- Experience in design and delivery of media training for government officials.
- Experience in working with international organizations will be considered an advantage.

6. CONFIDENTIALITY AND DATA OWNERSHIP

All the data and information collected or received for the purposes of this study will be kept strictly confidential and will be used exclusively to execute the terms of reference. All the intellectual property rights stemming from the execution of the terms of reference belong to the [organization]. The content of the written materials that are obtained and utilized during this task will not be shown to third parties without the written consent of the [organization].

SAMPLE COMMUNICATION STRATEGY AND PLAN

GUIDING PRINCIPLES

Purpose of the communication

Support the modernization of tax administration, the strengthening of public expenditure management and government systems – GovTech and increase citizens' access to digital services.

Positioning

The project is a partner of choice for the modernization of tax administration and the increase of digital services for citizens.

COMMUNICATION OBJECTIVES

1. Raise awareness of the benefits of modernizing the public expenditure chain.
2. Facilitate communication within government institutions to share information, promote better cooperation between partners, and create synergies to increase participation in project-related activities.
3. Mobilize stakeholders for the implementation of project activities.
4. Provide updates on project implementation
5. Improve communications on project activities in a form easily accessible and understandable to partners and the media, thereby creating an effective and beneficial implementation of the project.
6. Increase public awareness and understanding of the processes initiated by the project and facilitate opportunities for public debate and knowledge sharing, allowing information from nongovernmental actors to reach decision-makers to inform planning at all levels.

Target group	Objectives of the Communication	
1. Key Project Stakeholders	Strategic Leaders Steering Committee (SPC)	Information to facilitate strategic decisions relevant to the proper implementation of the project and to mobilize stakeholders.
	Reform Coordination Unit (RCU)	- Information to enable monitoring the project implementation on a day-to-day basis and adjust the implementation plan if necessary. - Information to organize and provide appropriate technical support to implementing units. - Follow up on the implementation of the project. - Be able to report on the progress of each indicator of the project.
	Technical and financial partners, WB	- Information on the progress of the project to be able to make the funds available in full knowledge of the facts. - Consideration of the project's results in its current and future interventions and strategies.
2. IFMIS Users	Ministries of Budget, Finance, and Implementing Units	- Motivate and give meaning to their involvement in the project's activities - Preparing for change - Inform about the skills and resources needed to implement the activities - Ensuring the sustainability of project interventions - Consideration of project activities in their respective tasks
3. Public	Citizens Beneficiaries Private sector	- Explain current activities - Ensuring participation in the services offered - Sustainability of the project's interventions - Transparency of project interventions
	Other State Institutions	- Strengthen their support for project activities and objectives - Ensuring the sustainability of project interventions - Consideration of project results in their respective decisions and strategies - Transparency of project interventions

I. Communication Channels	Target audience for communication	Chronology	Implementer	Notes
1. Meeting of internal units	Each execution unit and RCU	Weekly	Execution unit managers gather their team and take stock of ongoing tasks, resolve issues	These meetings are necessary to better organize internally, to check progress against milestones and to prepare the report. Application of adaptive leadership.
2. E-mail database of people involved in the implementation of the project	All IFMIS users	Full list by target groups – 3 to 6 months after implementation	RCU, Execution Units – Technical Team Communication and Change Unit (CMC)	Email Groups: 1. Would focus on information and sharing related activities with users of each activity. 2. Assist delivery units and others in effectively managing the roll-out of the project.
3. Email sent separately to lists of user groups	All stakeholders, updated with the latest news.	6 months after implementation date	CMC Unit	Contains an update on the status of each system.

I. Communication Channels	Target audience for communication	Chronology	Implementer	Notes
4. Website	All stakeholders, updated with the latest news.	6 months after implementation date	CMC Unit	The purpose of the website is to inform about the activities of the project, to publish progress and to allow consultation with the general public.
5. News published on the web portal and social media of the Ministry of Budget and other institutions involved in the implementation of the project	Public & Media	Each new piece of information on the project web could be picked up by the media of the Ministry of Budget and implementing institutions	Execution Unit Focal Points and CMC Unit	The amplification of information by the project partners is important and makes it possible to reach a wide audience.
6. Organization of round tables on the themes of the project chaired by the Minister of the Budget	All stakeholders in the IFMIS system – senior officials	Launch, and annual event	Project Director, Ministry Public Relations Department and CMC Unit	The Minister will preside over the launch and at annual events. Application of adaptive leadership.
7. Pamphlets	All stakeholders, the public and the media	May 2019	CMC in collaboration with Execution Unit	The pdf will be available for download on the website
8. A workshop chaired by the Secretary General/President of the RCU is organized with the aim of taking stock of the state of implementation of the project by exploring best practices	RCU and All Directors of Execution Units	Quarterly	All stakeholders	Announce the project and functional changes. The media can be invited, and the event can be broadcast by national channels. The event is to be coordinated with the Prime Minister's public relations team. Application of adaptive leadership.
9. Organization of a high-level event on the project launched by the Prime Minister's Office with the participation of all ministers and deputy ministers	All stakeholders - high-level	Launch	All stakeholders	Announce the project and functional changes. The media can be invited, and the event can be broadcast by national channels. The event is to be coordinated with the Prime Minister's public relations team. Application of adaptive leadership.
10. Newsletter	All stakeholders	Monthly First edition planned 3 months after the establishment of the CMC unit	CMC writes the first newsletter with input from focal points	- Communicate key project messages, including milestones. - Share the training plan - portraits

I. Communication Channels	Target audience for communication	Chronology	Implementer	Notes
11. Closed stakeholder Facebook group, or messengers reserved for registered members	All Users/Groups by Thread	It can be created with all users or subgroups, updated regularly	All users can be administered by more than one user	The FB group can serve as a forum for the exchange of information. Announcements of training, commissioning, etc.
12. Awareness Sessions	Secretaries-General, Heads of Directorates, Budget Departments	Based on milestones	Organized by the RCU technical team	Application of Adaptive Leadership
13. Questionnaires	IFMIS Users	After important milestones, a questionnaire is used to collect feedback on the use of the system	To be administered by the CMC unit with the collaboration of the technical teams	This form of communication encourages users and collects information on how to improve the system.

EAST FRAMEWORK FOR BEHAVIORAL AND COMMUNICATIONS CAMPAIGNS

EAST⁶⁶ is a framework from the Behavioral Insights Team in the UK government, that provides policy makers with an easy-to-follow guide for using behavioral insights. The EAST framework distills a range of behavioral science evidence into four intuitive principles—make a behavior easy, attractive, social, and timely. The framework was developed in response to demands from practitioners for a guide that was accessible yet reliable. First published in 2014, the current version of EAST was revised and updated in 2024 to reflect a decade of advancements in behavioral science. The EAST principles are:

PRINCIPLE 1. MAKE IT EASY

- **Harness the power of defaults.** People tend to stick with pre-set options, so choose defaults carefully. For example, presenting renewable energy options as the default increased uptake from 3 percent to 80 percent among households in Switzerland, an effect that persisted years later.

66. EAST Four simple ways to apply behavioural insights – Revised and Updated Version. Dec 2024. <https://www.bi.team/publications/east-four-simple-ways-to-apply-behavioural-insights/>.

- **Reduce the effort required.** Even small barriers can have outsized effects on behavior. Every extra step or moment of effort required may reduce the likelihood that people will act, so focus on reducing both practical and cognitive obstacles. Simply completing university application forms on behalf of US students increased attendance rates from 28 percent to 36 percent.
- **Simplify messages.** Making a message clearer and easier to understand can increase response rates. Break a complex goal down into simpler, easier actions. For example, simplifying the court summons forms in New York City reduced failure-to-appear rates by 13 percent, preventing thousands of arrests warrants annually.

PRINCIPLE 2. MAKE IT ATTRACTIVE

- **Attract attention and frame the behavior.** We are more likely to do something that our attention is drawn towards. Information that is novel and personalized is more likely to be salient; the same idea can produce different effects based on how it is “framed.” The built environment also directs our attention towards certain actions. For example, adding gold coin stickers to the floor of a Chinese factory reduced the amount of waste left on the floor by more than 20 percent.
- **Design incentives for maximum effect.** Behavioral science can be used to enhance the structure and presentation of incentives. Options include deposit contracts, self-image or social image concerns, prosocial incentives, and gamification. For example, savers in the Philippines increased their savings by 82 percent when they voluntarily restricted their right to withdraw money until a specific month.

PRINCIPLE 3. MAKE IT SOCIAL

- **Show that most people perform the desired behavior.** Observing or being told what most people do in a situation can encourage others to do the same. Saying what most people think should be done can also be effective. However, these ‘social norms’ approaches can backfire if the people doing the behavior are seen as belonging to a different group, or if someone learns that fewer people than they expected are performing the behavior.
- **Recognize the power of social networks.** Behaviors spread between people or organizations who are embedded in networks of relationships. Strategic ‘seeding’ of behaviors with well-connected individuals or friend groups can create widespread change. In Honduras, asking villagers to nominate friends to promote vitamin use led to higher adoption than random selection. Networks also make it possible for completely new behaviors to emerge and become dominant.
- **Create feelings of reciprocity.** We are more likely to help someone who has done something for us in the past, a tendency called direct reciprocity. But reciprocity can be indirect as well – we are more likely to aid people who have helped others, even if we did not benefit, or to help others in general if we have been helped. Both kinds of reciprocity can be nurtured to improve outcomes. For example, using reciprocity in organ donation messaging (‘If you needed an organ transplant, would you have one? If so, please help others’) generated more than 500,000 new registrations in the UK.

PRINCIPLE 4. MAKE IT TIMELY

- **Choose the right moment.** Behaviors vary according to the time of day, the time of week, and the time of someone's life. That means that the same offer made at different times can have varying effects. For example, many more people were screened for diabetes in Qatar when the offer was made during Ramadan, when many people were fasting anyway, as the test required. Behavior may be easier to change when habits or routines are already disrupted, like moving residence or becoming a parent – or simply when people perceive they are making a “fresh start.”
- **Consider the immediate costs and benefits.** We are more motivated by costs and benefits that have an impact now rather than later. Where possible, bring forward rewards and push back costs for desired behaviors, and create small immediate costs for undesirable ones. For example, the ‘Save More Tomorrow’ program increased retirement savings by letting people commit to future payment increases rather than immediate ones.
- **Help people plan their response to events.** There is often a gap between our intentions and our behavior. A proven solution is to prompt people to identify future barriers to action and develop a specific plan to address them. For example, jobseekers in the UK were more successful when they made a plan for the week ahead that included specific actions and times.



ANNEX 7.

MEASURING AND SUSTAINING CHANGE RESOURCES

EXAMPLES OF OUTCOMES AND OUTPUTS INDICATORS

SAMPLE LEADERSHIP AND SKILLS INTERMEDIATE RESULTS INDICATORS AND DATA COLLECTION METHODS

Sample Outcome Indicators	Data Collection Methods
Increased awareness or knowledge of leadership styles, of self-awareness, or of strengths and weaknesses	Surveys or interviews of leaders and managers Self-Reports of Individual Leaders
Increased understanding of leadership skills and mindsets. Skills may include: • Advocacy • Systems thinking • Adaptive/collaborative leadership • Problem solving • Participatory methods	360 assessments Self-reports of individual leaders Case study assessments
Changed behavior or sustained growth as demonstrated through: • Self-efficacy • Social capital • Ability to collaborate with others • Management ability	360 assessments Self-reports of individual leaders Case studies
Increased outreach and consultation by leaders to clarify roles and facilitate tasks and consensus.	Civil servant survey
Higher commitment of people to work towards achieving the reform's goals	Civil servant survey
More team members generating sustainable solutions based on consensus	Civil servant survey
More team members completing their tasks in a timely manner.	Civil servant survey
Increased organizational capacity such as: • Ability to motivate or mobilize constituents • Financial stability • Improved evidence-based decision-making	Self-Reports of Individual Leaders Organizational Capacity Assessment Review of Internal Documents
Changes in internal culture regarding learning and innovation or demonstrated through policy	Self-Reports of Individual Leaders Organizational Capacity Assessment Review of Internal Documents
Changes in external perception of the organization	Self-Reports of Individual Leaders Organizational Capacity Assessment Key Informant Interviews
Changes in number or quality of collaborations/partnerships	Self-Report of Collaboration Network Mapping
Improved organizational systems, including infrastructure and technology	Self-Reports of Individual Leaders Review of Internal Documents
Members of the organization with clearer understanding and ownership of the organization's shared vision.	Civil servant survey
Extent that the organization improved its capacity to thrive and provide leadership in their sector.	Manager survey
Extent that internal systems, policies, and practices support the development and success of staff and leaders, across gender, persons with disabilities, and marginalized groups.	Manager survey

Sample Outcome Indicators	Data Collection Methods
Extent that individuals or organization are recognized as a leader in the sector or issue area.	Stakeholder surveys
Number of connections and sense of belonging among individuals within the organizations expanded.	Surveys Social Network Assessment
Extent that people in the network building trust and share information.	Surveys Social Network Assessment
Participants reporting sustained shifts in values, behaviors, cultures, or ability to influence outcomes.	Civil servant survey
Participants using acquired skills to make a difference for the goals of the leadership program.	Civil servant survey
Participants reporting and increased sense of empowerment to deliver on the organization's objectives.	Civil servant survey
Sample Outcome Indicators	
Number of people participating in a leadership training program or workshop (by gender, by age)	Activity report
Number of team meetings held to discuss the reform progress	Activity report
Number of coaching sessions completed.	Activity report
Number of participants with changed awareness, knowledge, or competencies.	Civil servant survey
Improved organizational systems, including infrastructure and technology	Self-Reports of Individual Leaders Review of Internal Documents
Participants reporting sustained shifts in values, behaviors, cultures, or ability to influence outcomes.	Civil servant survey
Participants using acquired skills to make a difference for the goals of the leadership program.	Civil servant survey
Participants reporting and increased sense of empowerment to deliver on the organization's objectives.	Civil servant survey

SAMPLE MULTISTAKEHOLDER ENGAGEMENT INTERMEDIATE RESULTS INDICATORS AND DATA COLLECTION METHODS

Sample Outcome Indicators	Data Collection Methods
Official creation or effectiveness of a stakeholder engagement platform.	Activity report
Awareness of the existence of the coalition at the administration level or broader public level.	Surveys or public media mention
Coalition-members have improved capacity to engage meaningfully and collaboratively in policymaking and implementation and service delivery processes.	Survey
Improved perceptions among coalition members regarding: • Influence in decision-making • Perception of fairness in allocating roles and responsibilities • Perception of power sharing	Survey

Sample Outcome Indicators	Data Collection Methods
Improved sector collaborations such as: - Increased information sharing - Clear role definition	Key informant interviews Case studies Monitoring of industry/sector reports
Increased ability to influence the reform process through issue framing, agenda setting, or access to decision-makers	Key informant interviews Policy maker ratings Case studies Monitoring of industry/sector reports
Increased political and public will	Key informant interviews Media analysis Case studies
Increased community voice in decision-making through: - Representation in local decision-making - Diversity in decision-making bodies	Key informant interviews Policy maker ratings Case studies Monitoring of volunteer record Composition of decision-making bodies Community planning documents
Sample Outcome Indicators	
Number of coalition meetings, for example, number of times a steering committee or advisory board meets.	Activity report
Number of posts or logins to a digital multistakeholder platform.	Activity report
Number of organizations and individuals present at these meetings.	Activity report
Number of meeting minutes, proceedings, statements, or recommendations published by a coalition.	Activity report
Percentage of coalition members and civil society partners with improved capacity to engage meaningfully and collaboratively with one another and other stakeholders in multistakeholder compacts.	Survey
The initiative's Steering Committee (or other leadership structure) includes voices from all relevant sectors and constituencies.	Activity report Survey
Working groups (or other collaborative structures) are established to coordinate activities in alignment with the plan of action	Activity report
Endorsement of coalition agreement by members	Activity report
Increased commitment of resources by reform collaborators/partners	Activity report
Implementation or strategic action plan endorsed by members	Activity report
Number of posts or logins to a digital multistakeholder platform.	Activity report
Awareness of the existence of the coalition at the administration level or broader public level.	Surveys or public media mention
Improved perceptions among coalition members regarding: - Influence in decision-making - Perception of fairness in allocating roles and responsibilities - Perception of power sharing	Survey
Increased ability to influence the reform process through issue framing, agenda setting, or access to decision-makers	Key informant interviews Policy maker ratings Case studies Monitoring of industry/sector reports

Sample Outcome Indicators	Data Collection Methods
Increased community voice in decision-making through: - Representation in local decision-making - Diversity in decision-making bodies	Key informant interviews Policy maker ratings Case studies Monitoring of volunteer record Composition of decision-making bodies Community planning documents
The initiative's Steering Committee (or other leadership structure) includes voices from all relevant sectors and constituencies.	Activity report Survey
Increased commitment of resources by reform collaborators/partners	Activity report
Implementation or strategic action plan endorsed by members	Activity report

SAMPLE STRATEGIC COMMUNICATIONS INTERMEDIATE RESULTS INDICATORS AND DATA COLLECTION METHODS

Sample Outcome Indicators	Data Collection Methods
Action taken because of the communications output, such as new networks developed, follow-up meetings planned	Audience survey
Indications of changes in policy thinking	Activity report
Specific language about the reform in policy documents	Web tracking Activity report
Number or percentage who state the content of the output/activity is useful	Audience survey
Number or percentage of users who report knowledge or comprehension gained	Audience survey
Number or percentage of users who report their views or level of mobilization have changed	Audience survey
Number or percentage of audience who report attitude and beliefs consistent with the message; usage of skills and practices recommended by message; and audience discussion of message with others.	Audience survey
Number or percentage of users who say that they are using or adapting a communications output	Audience survey
Sample Outcome Indicators	
Number of shares or clicks to the output	Web tracking
Number of pageviews, downloads, and or/click for a communications output	Web tracking
Drop-out rate of in-person or online events	Attendance tracking
Percentage of coverage coming from specific region or demographic (for example, developing countries)	Web tracking
Growth in share, clicks, attendance or views over a specific part of the implementation timeline	Web tracking

Sample Outcome Indicators	Data Collection Methods
Type of attendee, including job type or sector	Activity report
Type of channel used to access content – for example, event, publication, multimedia, or social media	Web tracking
Number of outputs that were informed by the communications plan	Activity report
Whether a communications output went through an editorial and production process	Activity report
Whether the communications output conforms to organizational branding guidelines	Activity report
Experience/quality of event participants or speakers	Participant survey
Formal or informal feedback on communications outputs	Audience survey
Comments received on online content such as social media posts, blogs	Web tracking
Number of media hits, including social media impressions/likes/shares	Web tracking
Number of events	Activity report
Number of event attendees and livestream viewers	Activity report
Action taken because of the communications output, such as new networks developed, follow-up meetings planned	Audience survey
Number or percentage who state the content of the output/activity is useful	Audience survey
Number or percentage of users who report knowledge or comprehension gained	Audience survey
Growth in share, clicks, attendance or views over a specific part of the implementation timeline	Web tracking

DESIGNING A MULTISTAKEHOLDER FRAMEWORK (WORLD BANK 2013)

Sector Goal: Strengthened transparent and inclusive democratic institutions and improved political governance at national and local levels.					
Constraints	Objective and outcome	Change agents	Description of change process	Progress markers	Priority interventions
Stakeholder participation - Centralized government and legal framework limits participation of citizens in development processes and responsiveness to citizens	Improve citizen participation in social and economic development and the responsiveness of local government Outcome indicator: % of household receiving information on public policy through the mass media, community radio, etc.	Central government units Legislature County administration Civil society and community	Collaboration between regional and local government and citizens to facilitate and legitimize participation in public policy and budgeting	Processes established to involve citizens in budget reporting and key public policy issues Identify amendments to constitution to support citizen participation	Community consultations Voter education and outreach Review of constitution Make available budget information

Constraints	Objective and outcome	Change agents	Description of change process	Progress markers	Priority interventions
Transparency of information - Limited information to local communities on public policy and its benefits	Increase transparency of information to citizens on public policy, including decentralization Outcome indicator: Civic engagement framework agreed by % of communities	Groups Legislature Cabinet Women and youth groups	Process will be established with civil society and community groups to improve information on public policy and decentralization in countries	Network of non-government groups involved in decentralization of information	Communication strategy and plan for decentralization in counties
Operational inefficiencies - Weak infrastructure and skill base hamper decentralization of services	Strengthen capacity to implement decentralization at the local and administrative level of services		Training and infrastructure investments to develop county-level government	Skills built among local government officials	Course programs on local governance New housing in counties
Demand for accountability - Fragmented boundaries and weak citizen involvement limit accountability for decentralized services	Strengthen local demand for viable decentralized social and economic development Outcome indicator: Community members' satisfied with public services provided by local council		Agreement of county government and community groups on needs and processes to improve service delivery, harmonize boundaries and monitor progress	Endorsed decentralization roadmap in each county	Consultations and planning sessions
Social norms and values – Diverse identities led to community divides and conflicts	Enhance notions of shared nationhood and national identity among Liberians Outcome indicator: Citizen perception of national identity		Improve community understanding, knowledge and dialogue on issues of unity	Citizen awareness on issues of unity	Studies on national unity issues and review of curriculum in schools

IPAC'S TRAFFIC LIGHT APPROACH TO TRACKING COALITION OUTCOMES

Status of the Implementation of IPAC Recommendations, February 7, 2012

Working Group 1 - Acquisition Laws and Regulations	Mar 2011	Jun 2011	Oct 2011	Dec 2011
R.1 Compliance with Law 340-06 on purchasing and procurement of goods, services, works and awarding				
A.1.1 Official Document to the General Comptroller of the Dominican Republic	●	●	●	●
A.1.2 Official Document to the Ministry of Finance to transfer the administration and control of Dominican Procurement Portal to the Directorate General of Procurement	●	●	●	●
R.2 Transform the Dominican procurement portal into a transactional portal				
A.2.1 Design, develop and management of a transactional portal by the Directorate General of Procurement	●	●	●	●
A.2.2 Strengthen the organizational structure of the Directorate General of Procurement	●	●	●	●
A.2.3 Issue a decree approving the preliminary draft of the Procurement Single Regulation	●	●	●	●
A.2.4 OECD/DAC self-assessment	●	●	●	●
Working Group 2 - Civil Service	Mar 2011	Jun 2011	Oct 2011	Dec 2011
R.4 The Executive Branch issues an instruction to the Ministers to comply effectively with Civil Service Law 41-08				
A.4.1 Promote the issuing of an instruction by the Executive Branch, instructing the ministers to comply with Civil Service Law 41-08		●	●	●
A.4.2 Incorporate eligible officials to the administrative career (Act. 41-08)	●	●	●	●
A.4.3 Effective application of the Common Evaluation Framework	●	●	●	●
A.4.4 Implementation of SASP at the Central Government	●	●	●	●
A.4.5 Dissemination and awareness raising of Act 41-08	●	●	●	●
A.4.6 Create a one-stop shop to rationalize regulatory steps	●	●	●	●
R.5 The delegated institutions should deliver the Head of State the law proposal, which should be subject to a prior consensus by the Economic and Social Council, before being submitted to Congress				
A.5.1 Prepare the Organic Law of Rationalization of Macro Structure proposal	●	●	●	●

