

# Approach Paper

## Evaluation of World Bank Support of Public Sector Transparency and Accountability:

### Anticorruption, Justice, and External Audit Functions

August 10, 2022

#### 1. Context and Motivation for the Evaluation

1.1 Supporting client countries in building an open and accountable public sector that serves the needs of all citizens is core to economic development. An accountable public sector is critical to good governance and the efficient use of scarce public resources, and public sector accountability derives, to a significant degree, from the quality of public institutions. United Nations Sustainable Development Goal 16 explicitly recognizes the importance of effective, accountable, and transparent institutions.<sup>1</sup> Where state and public actors cannot be effectively held accountable, a culture of impunity develops that normalizes fraud and rent-seeking practices (Molina et al. 2016; Svensson 2005).

1.2 Within any public sector, there are specific institutions or entities that are explicitly tasked with establishing, preserving, and improving the integrity of the public sector through the promotion of government systemwide transparency and accountability (hereafter, public sector institutions for transparency and accountability [PITA]). These institutions are understood as “the rules and enforcement mechanisms that govern economic, social and political interactions. Organizations or networks are a special type of institution: they have a set of rules guiding the interaction of the group and group members with each other and non-group members” (World Bank 2018, 2). Included with this definition are (i) various public sector entities mandated to combat corruption, (ii) the justice sector, and (iii) external audit functions, which are at the forefront of efforts to build trust in government and preserve the rule of law. World Bank support for this set of institutions, and its contribution to achieving improved transparency and accountability outcomes through such support at the country level is the subject of this evaluation. The evaluation will also review other aspects of World Bank support in this area, including partnership with and assistance to civil society organizations, when and where it was relevant to strengthening the anticorruption,

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<sup>1</sup> Relevant Sustainable Development Goal targets include 16.3: “Promote the rule of law at the national and international levels and ensure equal access to justice for all”; 16.5: “Substantially reduce corruption and bribery in all their forms”; and 16.6: “Develop effective, accountable and transparent institutions at all levels.” See <https://sdgs.un.org/goals>.

justice, and external audit functions, and the achievement of transparency and accountability objectives.

## **2. Relevance to the World Bank**

2.1 World Bank strategies and flagship reports have long highlighted the importance of accountable, transparent, and noncorrupt institutions (figure 2.1). The *World Development Report 1997: The State in a Changing World* argued that development is about the institutional environment and the rules and customs that determine how inputs are used (World Bank 1997). It presented a framework that emphasized improving the state's capability by reinvigorating public institutions. The *World Development Report 2004: Making Services Work for Poor People* stressed the importance of institutions of accountability, such as parliaments, courts, ombuds offices, and anticorruption commissions for delivering services (World Bank 2004). According to the *World Development Report 2011: Conflict, Security, and Development*, institutional legitimacy is the key to stability, and the likelihood of violent conflict is much higher when state institutions do not adequately protect citizens, guard against corruption, or provide access to justice (World Bank 2011b). The *World Development Report 2017: Governance and the Law* emphasized that effective checks and balances within a government (horizontal accountability) should reduce the risk of short-term opportunistic behavior by state actors (World Bank 2017b).

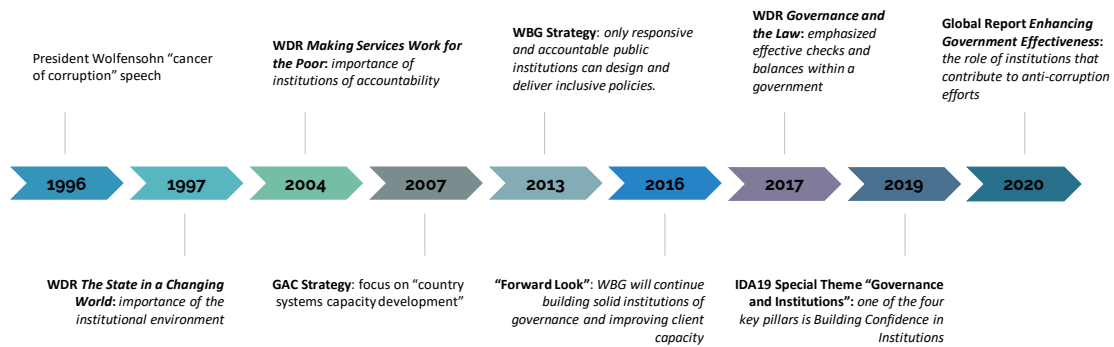
2.2 The 2007 strategy paper *Strengthening World Bank Group Engagement on Governance and Anticorruption* considered governance and anticorruption integral to efforts to reduce poverty and promote growth (World Bank 2007).<sup>2</sup> The report stressed that the World Bank Group aims to help develop capable and accountable states and institutions that can devise and implement sound policies, provide public services, set the rules governing markets, and combat corruption, thereby helping to reduce poverty. The global report *Enhancing Government Effectiveness and Transparency: The Fight Against Corruption* examined the role of institutions that oversee, implement, or contribute to anticorruption efforts (World Bank 2020a). The report established that, although some of the principles for controlling corruption—such as transparency and accountability, open government and civil society monitoring, detection, and enforcement—are well known, the strategies for applying them can vary considerably depending on the context. The same report captured a selection of high-value functions and sectors of public sector activity that had a rich history of strong World Bank engagement and warranted further attention, among them (i) anticorruption agencies, (ii) the justice system, and

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<sup>2</sup> Updated in 2012.

(iii) supreme audit institutions (SAIs).<sup>3</sup> Although critical to the sustainability of PITA reforms, this evaluation will not assess the World Bank’s support for building the demand for transparency and accountability. The Bank Group strategy for addressing fragility, conflict, and violence (FCV) stressed that transparency and accountability are central to addressing FCV (box 2.1).

**Figure 2.1. Evolution of World Bank Group Approach to Supporting Transparency and Accountability**



Source: Independent Evaluation Group.

Note: GAC = Governance and Anticorruption; IDA19 = 19th Replenishment of International Development Association; WBG = World Bank Group; WDR = *World Development Report*.

### Box 2.1. Fragility, Conflict, and Violence and the Role of Public Sector Transparency and Accountability

The World Bank Group strategy for addressing fragility, conflict, and violence (FCV) stresses that transparency and accountability are central to addressing FCV. It is essential for the Bank Group to complement the engagement of other stakeholders (World Bank 2020e).

Tackling fragility by addressing perceptions of injustice and by improving accountability is a delicate process that may take place over decades. Therefore, the Bank Group should focus on supporting clients to improve governance over the long term, including by *strengthening the rule of law and building systems of accountability*. It can help build legitimacy and trust in public institutions and address FCV drivers, while also providing the foundation for sectoral programming to achieve better results (World Bank 2020e, 37).

The strategy emphasized that the World Bank should explore ways to strengthen the justice and rule-of-law dimensions of operational and analytical work to help countries better address grievances, enforce rights, and resolve disputes. Of special concern is access to legal and judicial services for gender-based violence survivors for prevention, protection, and prosecution. The

<sup>3</sup> Other areas covered by the global report include income and asset disclosure; transparency, openness, and citizen engagement; infrastructure; public procurement; state-owned enterprises; customs and tax administration; GovTech; and e-government.

strategy concludes that “strengthening institutions that set the stage for transparency and accountability...should guide Bank Group interventions in FCV settings” (World Bank 2020e, 50).

Source: Independent Evaluation Group.

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2.3 Public sector transparency and accountability also feature prominently in the strategies and agendas of major development partners. A recent International Monetary Fund publication, *Keeping the Receipts: Transparency, Accountability, and Legitimacy in Emergency Responses*, emphasized the importance of ensuring fiscal transparency, public accountability, and institutional legitimacy as the main pillars of government policies for the coronavirus (COVID-19) response (IMF 2021). Organisation for Economic Co-operation and Development support to development cooperation is structured around several areas, including accountable and effective institutions (OECD 2014). The United Nations Development Programme is among the largest providers of capacity development services for anticorruption, with emphasis on promoting a transparent and accountable judiciary to deliver justice for all, as part of the 2030 Agenda for Sustainable Development (Schütte, Reddy, and Zorzi 2016).

### **3. World Bank Operational Approach**

3.1 The World Bank has a long history of helping countries increase transparency and accountability and designing and implementing anticorruption programs. It has helped both state and nonstate actors establish the competencies needed to strengthen public integrity. The World Bank engagement in this area is expressed through various mechanisms, including support for government institutions and entities with broad systemwide impact—such as oversight agencies, anticorruption structures, and the justice sector—and focused interventions at specific sector level, such as health, education, and energy. The latter group is outside of the scope of this evaluation.

3.2 The World Bank has supported a wide array of public accountability mechanisms, functions, and structures tasked with promoting transparency and fostering accountability across the public sector. They include income and asset declaration systems for public officials, whistleblower protection, conflict of interest management systems, enforcement and accountability for civil servants and elected officials through administrative measures, proactive disclosure, and adoption of the right to information legislation. It also supports strengthening the capacity of various accountability institutions, including anticorruption structures, justice systems (courts, ministries of justice, and other adjudication mechanisms), and external audit (for example, SAIs, chambers of control, and parliamentary oversight entities). This evaluation will seek to assess the extent to which the approach adopted was appropriately suited to country context (see sections 5–6 on the purpose, scope, and methods).

3.3 A preliminary portfolio review for fiscal years (FY)12–21 identified a range of World Bank activities to support PITA, including US\$4.2 billion in direct investment in PITA-related activities. This includes 99 investment projects and Program-for-Results loans with at least one component dedicated to PITA. In addition, 94 development policy financing (DPF) operations had at least one relevant prior action.<sup>4</sup> From the total of 117 prior actions, 40 percent dealt with external audit, 35 percent anticorruption, and 15 percent justice sector reform; the remaining 10 percent cut across these categories (table 3.1). The World Bank also produced a significant body of advisory services and analytics in this area (over 400 reports), spread across all regions. Europe and Central Asia and Latin America and the Caribbean Regions had the highest shares, accounting for 15 and 14 percent of the total number of advisory services and analytics, respectively, and the South Asia and Western and Central Africa Regions had the lowest at 8 and 6 percent of the total, respectively (table 3.2, figure 3.1). The top 10 countries for World Bank interventions are listed in table 3.3. The suggested 10-year period for evaluation (2012–21) takes into account the following two main factors: (i) length in terms of evaluability and (ii) the series of restructuring reforms and development of a new approach in terms of overall Bank Group strategy and partnerships with countries, which the Bank Group management embarked on beginning in 2012.

**Table 3.1. World Bank Financing in Support of Anticorruption, Justice, and External Audit Functions, by Region, FY12–21**

Region	Anticorruption		Justice		External Audit		Cross-Cutting		Total	
	IPF or PforR (US\$, millions)	DPF <sup>a</sup> (no.)	IPF or PforR (US\$, millions)	DPF <sup>a</sup> (no.)	IPF or PforR (US\$, millions)	DPF <sup>a</sup> (no.)	IPF or PforR (US\$, millions)	DPF <sup>a</sup> (no.)	IPF or PforR (US\$, millions)	DPF <sup>a</sup> (no.)
Western and Central Africa	1,108	16	864	8	1,053	0	352	3	1,564	19
Latin America and the Caribbean	333	2	100	2	110	0	637	8	985	12
Eastern and Southern Africa	619	11	185	7	180	6	203	2	876	20
Europe and Central Asia	210	10	363	9	7	1	39	7	483	19
South Asia	44	7	85	1	50	0	21	0	201	7
Middle East and North Africa	34	6	29	4	0	1	4	0	46	7
East Asia and Pacific	0.0	7	0.3	1	31	2	8	2	38	10

<sup>4</sup> Section 6 and appendix B present details on portfolio identification methods.

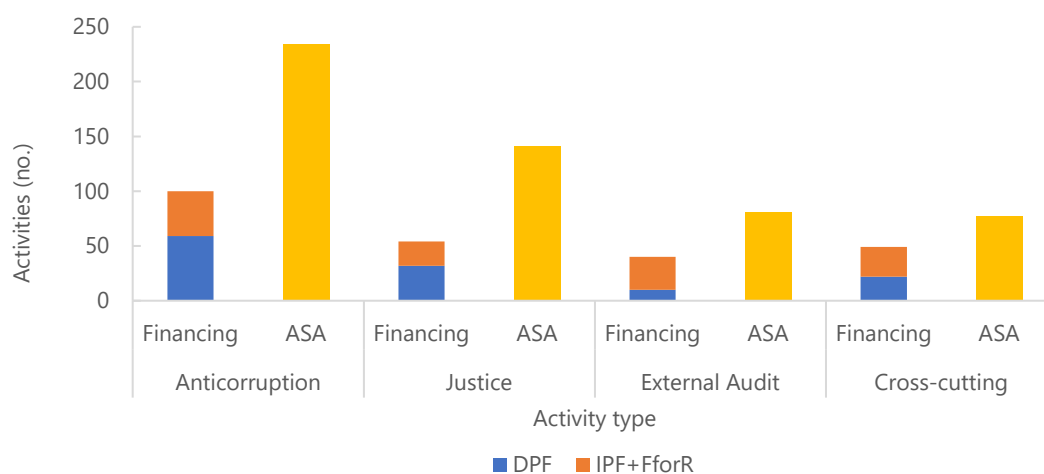
Region	Anticorruption		Justice		External Audit		Cross-Cutting		Total	
	IPF or PforR (US\$, millions)		IPF or PforR (US\$, millions)		IPF or PforR (US\$, millions)		IPF or PforR (US\$, millions)		IPF or PforR (US\$, millions)	
	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)	DPF <sup>a</sup> (no.)
Total	2,348	59	1,626	32	1,431	10	1,264	22	4,193	94

Source: Independent Evaluation Group.

Note: DPF = development policy financing; FY = fiscal year; IPF = investment project financing; PforR = Program-for-Results

a. Number of operations with at least one prior action related to public sector institutions for transparency and accountability (PITA—anticorruption, justice, and external audit functions).

**Figure 3.1. World Bank Activities (Financing and Analytics) in Support of Anticorruption, Justice, and External Audit Functions, by Engagement Area, FY12–21**



Source: Independent Evaluation Group.

Note: IPF + PforR includes operations with at least one component related to PITA; DPF includes operations with at least one prior action related to PITA. ASA = advisory services and analytics; DPF = development policy financing; FY = fiscal year; IPF = investment project financing; PforR = Program-for-Results; PITA = public sector institutions for transparency and accountability.

**Table 3.2. World Bank Advisory Services and Analytics Activities in Support of Anticorruption, Justice, and External Audit Functions, by Region, FY12–21**

Region	Anticorruption	Justice	External Audit	Cross-Cutting	Total
Latin America and the Caribbean	32	31	15	4	69
Europe and Central Asia	38	20	16	3	68
Middle East and North Africa	22	33	7	11	56
East Asia and Pacific	24	18	8	4	51
Eastern and Southern Africa	30	20	7	7	49
Western and Central Africa	14	7	10	10	27
Africa	11	7	3	3	17
South Asia	23	17	6	5	39

Region	Anticorruption	Justice	External Audit	Cross-Cutting	Total
Other	40	40	9	17	71
Total	234	193	81	64	447

Source: Independent Evaluation Group.

Note: FY = fiscal year.

**Table 3.3. Top 10 Countries, Interventions for Supporting Anticorruption, Justice, and External Audit Functions, FY12–21**

Country	Projects <sup>a</sup> (no.)	Country	ASA (no.)
Indonesia	8	Indonesia	14
Jordan	7	Iraq	14
Liberia	7	Bangladesh	11
Brazil	6	Colombia	11
Afghanistan	6	Kazakhstan	9
Armenia	6	Peru	9
Kyrgyz Republic	6	Afghanistan	8
Pakistan	5	Ethiopia	8
Mozambique	5	Mexico	8
Sierra Leone	5	Vietnam	8

Source: Independent Evaluation Group.

Note: ASA = advisory services and analytics; FY = fiscal year.

a. Including development policy operations with at least one prior action related to participation, inclusion, transparency and accountability.

## 4. Theory of Change

4.1 The underlying theory of change guiding this evaluation is illustrated in figure 4.1.<sup>5</sup> The theory of change seeks to capture the complexity of World Bank support for PITA leading to improved public sector governance in diverse country contexts. World Bank support in this evaluation is focused on institutional strengthening of three sets of institutions and entities (anticorruption, justice, and external audit), through analytics or technical assistance, financing, and convening power.<sup>6</sup> To be successful, such support needs to ensure there is commitment for reforms and capacity building on

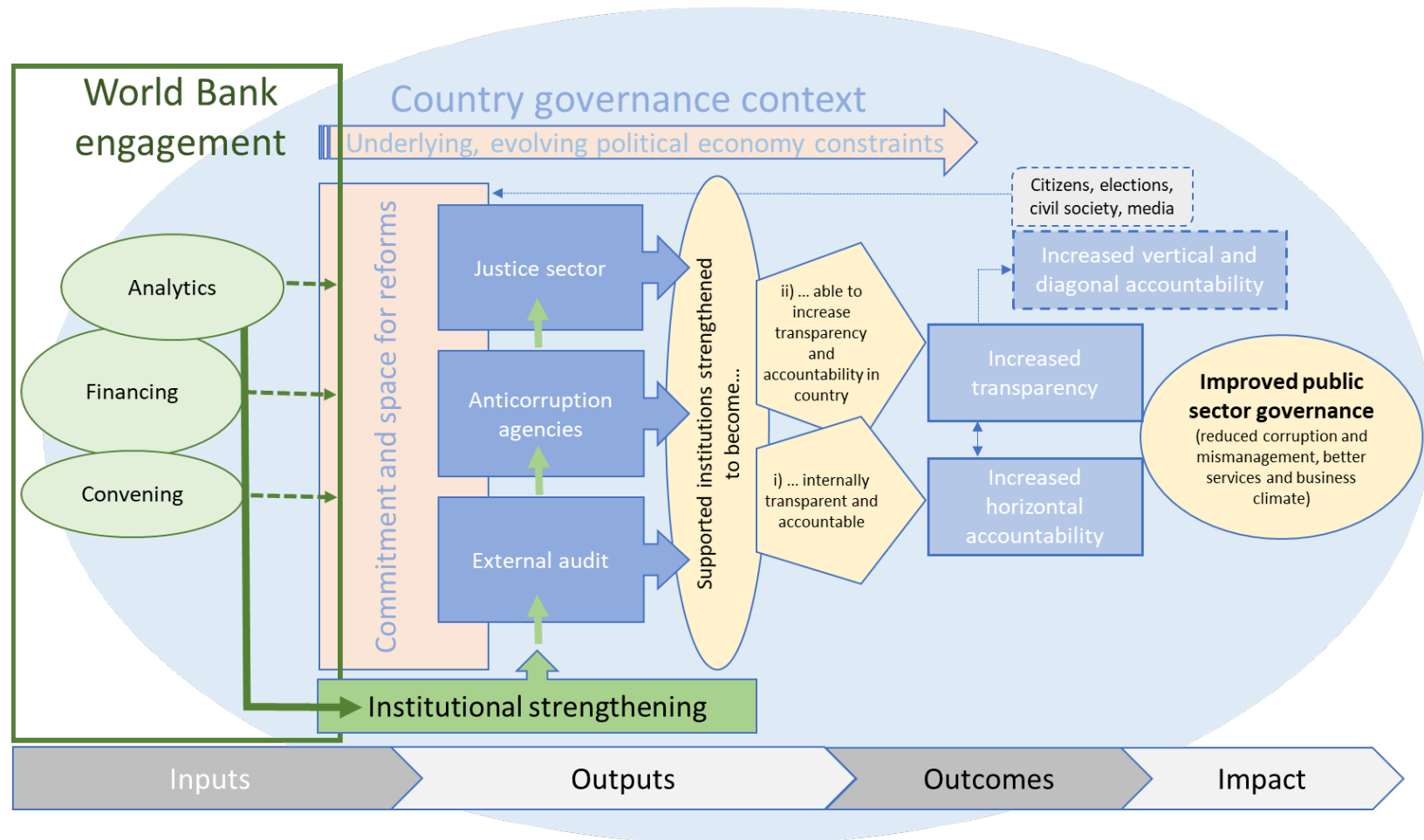
<sup>5</sup> The theory of change draws on a review of 15 different theories of change from the World Bank and other development agencies in relation to support for governance reforms and anticorruption activities.

<sup>6</sup> In this context, “convening power” refers to the World Bank ability to convene and coordinate the efforts of various local partners (nongovernmental organizations, business associations, and so on) and international partners to build up institutional capacity for transparency and accountability at the country level (World Bank 2020d).

the part of the relevant government. Appetite for reform can vary across various government agencies and structures, with vested interests often exerting significant influence on the willingness of governments to make progress. Moreover, commitment can fluctuate over time, in response to political cycles. Even in a generally conducive environment, there will be differences in where the World Bank will be able to have impact. Impact should be measurable qualitatively and quantitatively at performance.



Figure 4.1. Theory of Change: World Bank Support for Anticorruption, Justice, and External Audit Functions



Source: Independent Evaluation Group.

## 5. Evaluation Purpose, Scope, and Audience

5.1 This evaluation will assess the relevance and effectiveness of World Bank support to client country central government institutions and entities that have an explicit mandate to promote the integrity, transparency, and accountability of the broader public sector. The relevance of World Bank support will be assessed with reference to the country context, including the extent to which the World Bank has derived a clear and rigorous assessment of the major impediments to public sector transparency and accountability at the country level, taking into account, among other things, political economy dynamics. Assessment of relevance to a large extent will be focusing on whether the World Bank supported the right institutions and entities within the specific country context, and whether such support was based on a clear understanding of such context, including factors such as presence, role, and partnerships with civil society.

5.2 The effectiveness of World Bank support will be assessed through the prism of (i) improved capacity of country-relevant institutions to perform their functions as a result of World Bank assistance, and (ii) evidence of the actual contribution of these institutions to, and their role in, promoting public sector transparency and accountability. For the purpose of this evaluation, the relevant institutions are classified into three groups:

- **Anticorruption** (agencies, commissions, and councils responsible for anticorruption policy development and implementation). Anticorruption agencies can take different shapes and forms, depending on country context, political economy dynamics, and the existing “social contract” within the broader society. They typically are highly visible because of their mandate and often receive support from development partners, including the World Bank. The mandate of anticorruption agencies can include such functions as broad anticorruption policy development and implementation across the public sector, promoting overall transparency (income and asset declarations) and compliance.
- **Justice** (ministries of justice, courts, and other adjudication mechanisms such as ombuds functions). The justice sector plays a critical role in upholding the rule of law across the public sector, including by facilitating the implementation of a range of legal reforms and punishing the abuse of power by the executive and legislative branches of government. The court system is often a key part of the results chain linking reforms in a wide range of areas (for example, private sector development or gender equity) and impact in the field. The evaluation will be

focusing on World Bank efforts to support justice sector reform where the objective is to promote public sector transparency and accountability.

- **External audit**(SAIs, chambers of control, and parliamentary oversight entities). SAIs provide oversight through credible and timely audits. With adequate independence and capacity, SAIs can help combat corruption, and they play a pivotal role in improving the accountability and performance of government agencies (World Bank 2020a).

5.3 Where relevant, the evaluation will also cover similar mechanisms and institutions of horizontal accountability, responsible for functions such as public sector integrity monitoring and the filing and disclosure of income and asset declarations for public servants (for example, civil service commissions or similar structures). Where applicable, the evaluation will look at relevant partnerships with nongovernmental organizations and civil society. The evaluation will have particular focus on World Bank support to the institutions responsible for promoting transparency and accountability in fragility, conflict, and violence settings. The evaluation will not cover support to institutions in charge of other aspects of public sector transparency and accountability, such as public financial management (budget transparency, public procurement, public investment management), tax and customs administration, systems of vertical accountability (citizen engagement, media, elections), and sector-specific service delivery aspects of good governance. The evaluation will cover FY12–22 and, given its public sector focus, will limit its review to the activities of the World Bank within the Bank Group.

5.4 The main audience for this evaluation is the Committee on Development Effectiveness, the Board of Executive Directors, World Bank management, and staff active in countries with an identified need to improve public sector transparency and accountability. It will also be of interest to development partners active in these areas, public sector governance practitioners, relevant government agencies, and nongovernment actors (for example, watchdog organizations).

## **6. Evaluation Questions and Methods**

6.1 The evaluation will be guided by the following evaluation questions (EQs):

1. To what extent was the World Bank’s support for strengthening public sector entities carrying out anticorruption, justice, and external audit functions based on a sound understanding of underlying country context and conditions, including constraints on the achievement of development goals and political economy dynamics?

2. Did the World Bank support contribute to improving the institutional capacity of anticorruption structures, the justice sector, and external audit entities, and has this improvement been sustained?
3. To what extent did World Bank support to these institutions and entities contribute to the broader agenda of enhanced transparency and accountability within the public sector?

6.2 The main methods to be employed are described in this section and include a structured literature review, a systematic review and analysis of the portfolio, country case studies (including assessment of overall effectiveness, institutional capacity, and agility of selected entities), semistructured stakeholder interviews, and—where feasible—surveys of beneficiaries and informed counterparts. The team will review and refine its approach during the evaluation process and deploy other methods as necessary.

6.3 The team will undertake a structured literature review on the role and contribution of these institutions to development outcomes and the potential role and impact of institutions like the World Bank. This will include a review of the empirical literature to derive a sense of what has worked in low- and middle-income country contexts (EQ1). The evaluation will draw on relevant World Bank reports and Independent Evaluation Group (IEG) evaluations that touch on the broader subject of governance and institutions, including *World Bank Support to Address Fiscal and Financial Sector Vulnerabilities* (2021); *World Bank Support for Public Financial and Debt Management in IDA-Eligible Countries* (2021); *World Bank Group Support to the Reform of State-Owned Enterprises* (2019); *Social Contracts and World Bank Country Engagements: Lessons from Emerging Practices* (2019); *Engaging Citizens for Better Development Results* (2018); *Data for Development: An Evaluation of World Bank Support for Data and Statistical Capacity* (2017); *World Bank Country-Level Engagement on Governance and Anticorruption* (2013), and other relevant evaluations, including Country Program Evaluations focusing on governance.

6.4 The systematic review of the portfolio will be based on four steps: (i) extracting projects tagged to relevant items from the sector and theme taxonomies;<sup>7</sup> (ii) developing a search taxonomy (partially drawing on work by the Governance Global Practice related to the three types of institutions within the evaluation scope) to help in the identification and categorization of different pieces of text; (iii) performing an

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<sup>7</sup> Public Sector Management: Rule of Law—Judicial and Other Dispute Resolution Mechanisms, Legal Institutions for a Market Economy, Personal and Property Rights; Public Administration—Transparency, Accountability and Good Governance; Data Development and Capacity Building— Institutional Strengthening and Capacity Building (World Bank 2016b).

automated string search for words and phrases from the search taxonomy in projects' key text attributes;<sup>8</sup> and (iv) manually screening search results to identify relevant projects within the evaluation scope that need to be further examined.

6.5 Further analysis will be conducted to assess the relevance of engagement priorities and modalities in specific countries (EQ1). The evaluation will explore the extent to which World Bank analytical and diagnostic work including Systematic Country Diagnostics, Bank Group–supported country strategies (Country Partnership Frameworks), and World Bank operations and technical support reflected the country priorities, existing capacity, and overall political economy dynamics. The analysis will include relevant projects, components, and relevant prior actions from development policy operations. Where applicable, the evaluation will use the results of World Bank Country Opinion Surveys, in particular their reflection of the role of transparency and accountability aspects in the World Bank programs.

6.6 Methods will include country case studies (EQs 1–3). The evaluation will identify 8–10 countries for in-depth case studies.<sup>9</sup> The case studies will focus on assessing the impact of World Bank assistance on PITA institutional strengthening and the World Bank's contribution to helping achieve relevant development outcomes (such as improved governance or better transparency and accountability of the public sector in general) at the country level. The case study countries will be identified using a stratified purposive sampling strategy, developing a typology to categorize countries based on factors such as (i) quality of public sector governance (transparency and accountability, control of corruption, rule of law) using various available indexes; (ii) importance of transparency and accountability within the hierarchy of country-specific development challenges, as expressed in World Bank Systematic Country Diagnostics and external diagnostics; (iii) intensity of World Bank engagement in the PITA space; and (iv) other country characteristics that may be identified as relevant (appendix B). Following this sequence will help establish the links between external and World Bank diagnostics and the strategy and instruments used by the World Bank in specific country contexts (relevance, EQ1) and will identify a set of relevant and representative country case studies. The final selection of cases will be fine-tuned to account for reasonable regional representation and the presence of fragility, conflict, and violence–affected countries.

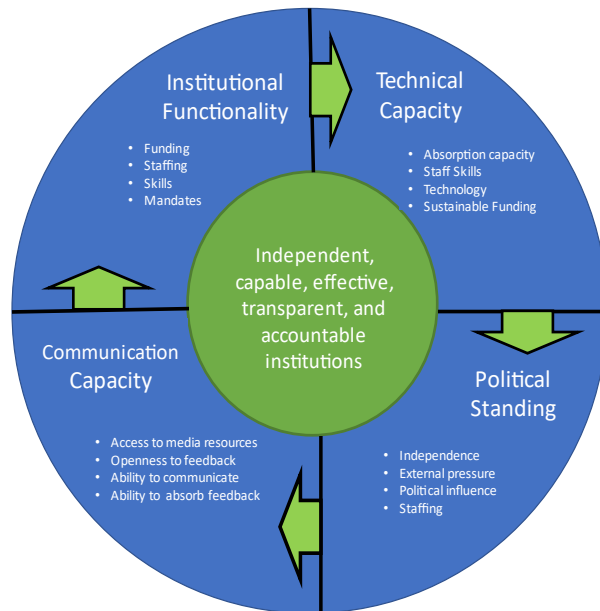
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<sup>8</sup> The database of all projects included all lending approved between fiscal years (FY)12 and FY21 and all nonlending projects active or to be delivered during FY12–21 and that contained text on the project titles, project development objectives, components titles, indicators titles, project descriptions, activity summaries, and key documents abstracts.

<sup>9</sup> Final number will depend on cost and time estimates for each case study.

6.7 The evaluation will review the World Bank’s contribution to improving four interlinked components of institutional capacity (EQ 2): (i) institutional functionality; (ii) technical capacity; (iii) political standing; and (iv) communication capacity (figure 6.1). Specific subquestions and indicators will cover each category to trace the impact of engagement and contribution to changes (tables A.2 and A.3 in appendix A).

**Figure 6.1. Key Components of Institutional Capacity**



Source: Independent Evaluation Group; World Bank 2011a.

6.8 Where feasible, the evaluation may use targeted surveys for specific country case studies. Surveys would target relevant informed stakeholders to gauge the impact of IEG assistance for PITA institutional strengthening and the impact of these institutions and entities on addressing broader public sector governance challenges (or public perception thereof). Preexisting perception surveys on the quality of relevant aspects of governance will be drawn on where available.

6.9 There are several limitations to the methodology underpinning this evaluation. They include possible low response rates to surveys; restricted access to reimbursable advisory services, which constitute about 10 percent of the identified World Bank advisory services and analytics portfolio; and general methodological challenges associated with assessing the impact of nonlending activities and conducting related attribution and contribution analyses.

## **7. Quality Assurance, Staffing, and Outputs**

7.1 The evaluation will follow standard IEG quality assurance processes, including external peer review. The final report will be peer-reviewed by Janos Bertok, deputy director, Organisation for Economic Co-operation and Development, Public Governance Directorate; John Mukum Mbaku, senior fellow at the Brookings Institution and Brady Presidential Distinguished Professor of Economics and John S. Hinckley Fellow at Weber State University; and Alina Mungiu-Pippidi, professor of democracy studies at the Hertie School in Berlin and chair of the European Research Centre for Anti-Corruption and State-Building. The evaluation team will be led by Konstantin Atanesyan (senior evaluation officer, IEG, Economic Management and Country Programs). Team members include IEG staff (Patricia Acevedo, Harsh Anuj, Deryck Brown, Corky De Asis, and Mees van der Werf) and consultants (Lev Freinkman, Soren Jensen, and Alexey Proskuryakov). The team may draw on other staff and consultants to be identified. The work will be conducted under the guidance of Jeff Chelsky (manager, IEG, Economic Management and Country Programs) and Oscar Calvo-Gonzalez (director, IEG, Human Development and Economic Management) and under the overall direction of Alison Evans (Director-General, Evaluation, IEG). The evaluation report is expected to be submitted to the Committee on Development Effectiveness by early FY24. The budget for this evaluation is estimated at US\$720,000.

7.2 The main output will be a report that presents relevant findings, lessons, and recommendations to the Committee on Development Effectiveness. A dissemination and outreach strategy will be developed in consultation with key stakeholders.

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## Appendix A. Evaluation Design

Table A.1. Evaluation Design Matrix

Evaluation Questions	Information Sources	Data Collection and Analysis Methods
1. To what extent was the World Bank’s support for strengthening public sector entities carrying out anticorruption, justice, and external audit functions based on a sound understanding of underlying country context and conditions, including constraints on the achievement of development goals and political economy dynamics?	World Bank documents: SCD, CPF, project documents, ASA, other External sources: country sources, media. Relevant IEG evaluations World Bank staff and external counterparts	Literature review; portfolio review and analysis. Desk review of World Bank strategy and project documents, World Bank analytics, and external sources Data science techniques (natural language processing) Semistructured stakeholder interviews; country case studies
2. Did the World Bank support contribute to improving the institutional of anticorruption structures, the justice sector, and external audit entities, and has this improvement been sustained?	World Bank documents: SCD, CPF, project documents, ASA, other Relevant IEG evaluations World Bank staff and external counterparts	Portfolio review and analysis. Desk review of World Bank strategy and project documents, World Bank analytics, and external sources Semistructured stakeholder interviews; country case studies Surveys (structured questionnaires with multiple choice and open-ended questions)
3. To what extent did World Bank support to these institutions and entities contribute to the broader agenda of enhanced transparency and accountability within the public sector?	World Bank documents: SCD, CPF, project documents, ASA, other External sources: multilateral and bilateral partners, country sources, media Relevant IEG evaluations World Bank staff and external counterparts External surveys (Transparency International, and so on)	Desk review of World Bank strategy and project documents, World Bank analytics, and external sources Institutional capacity assessment Semistructured stakeholder interviews; country case studies Data science techniques (natural language processing) Online surveys (structured questionnaires with multiple choice and open-ended questions)

Source: Independent Evaluation Group.

Note: ASA = advisory services and analytics; CPF = Country Partnership Framework; IEG = Independent Evaluation Group; SCD = Systematic Country Diagnostic.

**Table A.2. Key Components of Institutional Capacity for Public Sector Institutions for Transparency and Accountability**

<b>Component</b>	<b>Challenge</b>	<b>Questions</b>
Institutional functionality	Low capacity of institutions to fulfil their functions	Do these institutions have adequate funding, staffing, and skills? Are their formal mandates relevant or adequate to perform their functions? What are the key constraints?
Technical capacity	Inability to keep up with technology development and use new technologies	To what extent are these institutions technically equipped to perform their functions in a consistently sustainable and efficient manner? Are they adequately funded and able to absorb new technology?
Political standing	Insufficiently independent standing within the political structure	To what extent are these institutions able to perform their functions free of external and internal (intragovernment) pressure and expose outstanding issues (for example, corruption, financial improprieties)? To what extent is undue political influence a constraint for these institutions (for example, arbitrary and politically motivated removal of senior staff and budget cuts)?
Communication capacity	Inability to clearly communicate with the general public	To what extent are these institutions able to access and communicate clearly and periodically with other parts of the government (for example, parliaments), civil society organizations, and the general public (through mass media, website, social media, and so on)? To what extent are they open to and able to absorb external feedback?

*Source:* Independent Evaluation Group.

### **Box A.1. Scale for Assessing Contribution to Changes in Institutional Capacity**

1. No outputs: Limited or no actions have been taken to address capacity challenge.
2. Change initiated: Activities delivered, but no evidence of outcomes is available.
3. Knowledge gained: Changes have been achieved in knowledge, skills, and relationships of stakeholders.
4. Knowledge used: New knowledge, skills, and relationships are being applied.
5. Capacity change emerging: Some changes have emerged, but effects cannot be measured.
6. Capacity change in effect: Targeted institutional capacity has been enhanced.

*Source:* Adapted from World Bank 2017.

**Table A.3. Assessment of Capacity: Sample Questions and Indicators for Assessing Impact of World Bank Assistance**

<b>Institutions</b>	<b>Dimensions</b>	<b>Questions</b>	<b>Indicators</b>
Anticorruption agencies	Institutional functionality	Is the ACA's mandate clear and adequate? Is it defined in the law?	Degree of variation in the ACA's budget during the past three years
		Is the ACA's access to resources (budget and human capital) adequate and secured?	ACA personnel's average salary as a percentage of the salary in the public sector
	Technical capacity	Is the set of staff technical skills adequate to the ACA's mandate and operational scope?	Clarity and operationability of the ACA legal framework
		Does the ACA receive reliable support from its partners across the government?	Legal powers to investigate highest levels of the government
Political standing	Does the ACA have political and operational independence to investigate the highest levels of government? Is the mechanism for selecting the ACA's leadership free from political interference?	Average number of verifications, investigations, and so on completed	
		Conviction rate of corruption cases investigated by the ACA.	
		Government follow-up on the ACA's recommendations	
Communication capacity	To what extent is the ACA able to communicate clearly and regularly with government and the general public? To what extent is the general public educated in corruption issues?	Quality and degree of implementation of the ACA's plan	
		The average tenure of the ACA's commissioners	
		Public perceptions of the ACA's effectiveness and impartiality	
Justice system	Institutional functionality	What impact did the Bank Group intervention make on the effectiveness of the provision of justice-related services? What impact did the Bank Group intervention make on the access to justice?	The extent of the ACA's participation in international anticorruption networks
			Number of legal amendments based on the ACA's recommendations
			Number of visitors to the ACA's website
	Technical capacity	What impact did the Bank Group intervention make on the use of digital technology in the provision of justice services?	Number of publicly available reports on the ACA's activities
			Number of surveys conducted (with the results fully disclosed)
			Quality and intensity of the ACA's dialogue with the civil society
			Number of cases disposed per year
			Transparent standards for judicial conduct established
			Average age of cases
			Percentage of cases overturned on appeal
			Successful enforcement actions per year, including time and backlog
			Percentage of courts with electronic case filing system
			Percentage of cases filed electronically
			Percentage of courts with electronic case management system

Institutions	Dimensions	Questions	Indicators
	Political standing	What impact did the Bank Group intervention make on the ability of justice sector institutions to fulfil their mandates without undue influence?	Scope of operational autonomy of the courts Percentage of originally allocated and received judicial funding
	Communication capacity	What impact did the Bank Group intervention make on the ability of the public to access legal information and justice services?	Change in budget allocation for communication and consultation with the public on matters of existing and proposed regulations Change in public awareness Number of public electronic queries regarding laws and regulations
External audit (SAIs)	Institutional functionality	Does the SAI remit cover the duty to audit the accounts of all central government entities?	Percentage of central government entities audited per year
		Does the SAI have a current and funded strategic plan and action plans?	A credible medium-term (three- to five-year) strategic plan has been developed Share of staff with professionally relevant qualifications
	Technical capacity	What auditing standards are followed?	International standards (International Organization of Supreme Audit Institutions) adopted and consistently applied
		Is the SAI able to deliver its annual program in full and on time?	A comprehensive, up-to-date audit manual exists and is used Length of backlog of unaudited accounts SAI adequately supplied with information technology equipment
Political standing	Does the statutory legal framework ensure independence? Is the SAI free to select its priorities?	The independence of the SAI is guaranteed by law and implemented Transparent process for appointing head of the SAI is in place SAI has the discretion to select audits	
Communication capacity	Does the SAI have an effective public relations or communications function?	An SAI public relations or communications function exists and is properly funded Press releases on the work of the SAI are regularly issued The SAI regularly publishes its audit reports	

Source: Adapted from various sources, including Transparency International 2017; National Center for State Courts (<https://www.ncsc.org>); CourTools (<https://www.courttools.org>); INTOSAI Development Initiative (<https://www.idi.no/work-streams/well-governed-sais/sai-pmf>).

Note: ACA = anticorruption agency; SAI = supreme audit institution.

## References

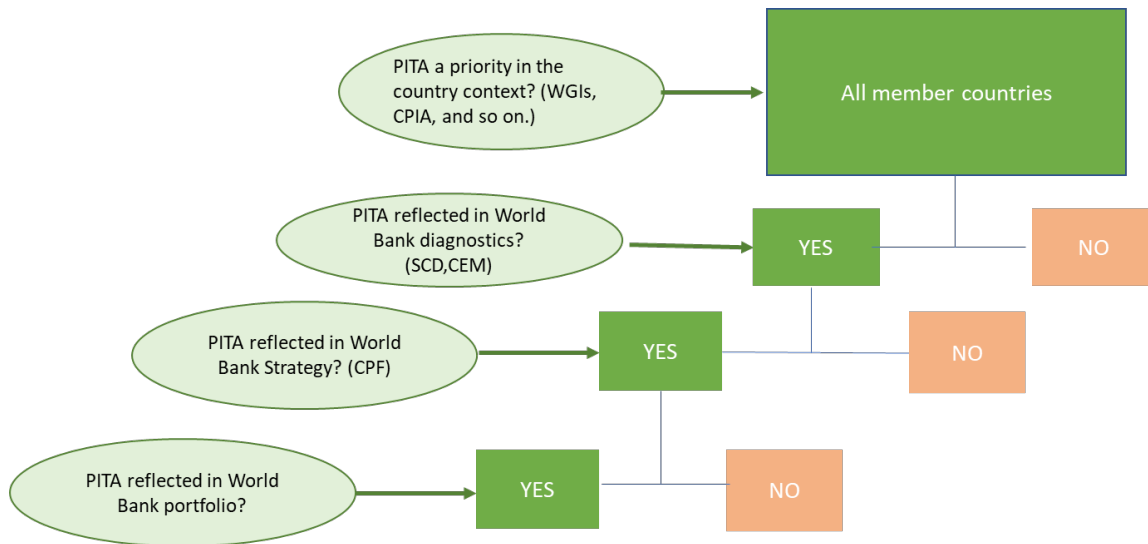
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## Appendix B. Country Case Selection: Typology and Coherence Analysis

To select country cases, the evaluation will apply a multistep process, using a country typology that categorizes countries into groups based on certain characteristics relevant to the evaluation, such as indicators that are most pertinent to the evaluation scope: rule of law, control of corruption, and voice and accountability. The subsequent steps will analyze World Bank Group Systematic Country Diagnostics to understand the extent to which issues related to public sector institutions for transparency and accountability (PITA) are identified by the World Bank as major constraints to the achievement of development objectives. Analysis from other sources will also be drawn where appropriate. The evaluation will then review how issues identified were reflected in the Bank Group-supported Country Partnership Frameworks. Lastly, the portfolio review and analysis will assess the coverage of PITA-related issues in country portfolios (both lending and nonlending), along with measures of performance where available (figure B.1).

Figure B.1. Country Case Classification Steps



Source: Independent Evaluation Group.

Note: CEM = Country Economic Memorandum; CPF = Country Partnership Framework; CPIA = Country Policy and Institutional Assessment; PITA = public sector institutions for transparency and accountability; SCD = Systematic Country Diagnostic; WGI = World Governance Indicators.

The proposed approach will classify countries into four broad groups (where Y and N correspond to answers of yes and no in figure B.1):

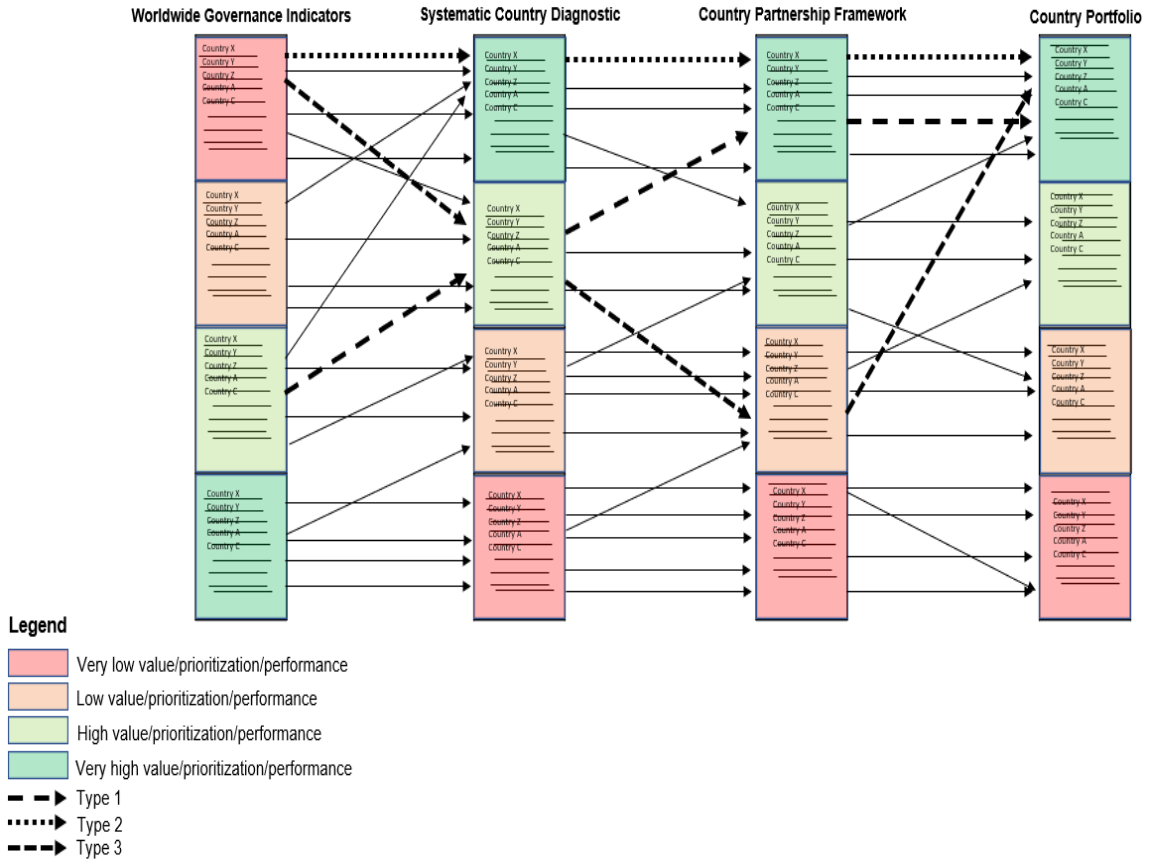
- Y, Y, Y—high country-level priority or relevance of PITA agenda, reflected in World Bank diagnostics, program, and portfolio (lending and nonlending); these countries will be the main focus of the country cases.



- Y, Y, N—high priority of PITA agenda at the country level, reflected in diagnostics and program, but no follow-up in the World Bank portfolio (lending and nonlending); the evaluation will review the reasons for nonengagement (desk review and interviews).
- Y, N, N—high priority of PITA agenda for the country, reflected in World Bank diagnostics but not included in World Bank program and absent from the portfolio (for example, where environment is not conducive for World Bank engagement, or agenda is covered by other development partners); the evaluation will review the reasons for noninclusion (desk review).
- N, N—low priority of support for PITA. The evaluation will also review cases (if such will be discovered) when the World Bank engaged on the PITA agenda in low-priority environments (for example, high-income countries requesting reimbursable advisory services, and so on).

The same process can be traced through a framework for identifying the country engagement pathway overall and within each of the selected groups of PITA entities—anticorruption, justice, and external audit (figure B.2).

Figure B.2. Framework of Country Typology for Case Study Selection



Source: Independent Evaluation Group.

Note: Type 1 = anticorruption; Type 2 = justice; Type 3 = external audit