A Brief for Donors

Open Government Partnership

OPEN GOVERNMENT PARTNERSHIP

MULTI DONOR TRUST FUND

WORLD BANK GROUP
Governance

Executive Summary

- In the nearly five years since it was launched, the Open Government Partnership (OGP) has expanded rapidly and seen over 2,500 individual reform commitments in 70 countries related to transparency, accountability, and participation. The organization has enjoyed strong political support internationally, and civil society has leveraged OGP to secure long desired reform commitments in areas such as access to information, anti-corruption, open data and fiscal transparency.
- OGP has created the architecture that outlines the rules of the game and processes for designing reform commitments. This has provided OGP with a sound foundation upon which to grow rapidly and has offered a glimpse of what is possible. OGP has four unique attributes: (i) high-level political commitment to advance transparency, accountability, participation and responsiveness of government to civil society; (ii) governments co-creating commitments with civil society in a way that amplifies the voice of ordinary citizens and the poor; (iii) accountability channels via the Independent Reporting Mechanism (IRM) and civil society, adding important new elements to the traditional governance ecosystem; and (iv) peer-to-peer learning. OGP thus offers a potentially transformative domestic accountability platform that can accelerate the achievement of results through development assistance, and a dedicated channel for funding reforms.
- These have been important accomplishments. Yet as OGP nears its five year anniversary at the September 2016 United Nations General Assembly, it is clear that its success over the next five years will be measured by whether it delivers a transformative impact in the lives of citizens. An overarching challenge is that, as assessed by the OGP's Independent Reporting Mechanism (IRM), only 12 percent of OGP commitments are judged to be potentially transformative and 50 percent of commitments are not being – or have not been – implemented as envisaged.
- To address these challenges, ensure forward momentum and better support participating countries in their efforts to deliver transformative impact, the OGP Steering Committee decided at its May 2016 Steering Committee to conduct a strategic refresh vis-à-vis OGP's 2014-18 Four Year Strategy. The Strategic Refresh is to be launched at OGP's Global Summit in Paris in December 2016.
- OGP's Steering Committee discussions, consultations with OGP government and civil society stakeholders in regional and global forums (including the OGP Africa and Americas Regional

Meetings and the London Anti-Corruption Summit) as well as emerging lessons from the first phase of OGP implementation (e.g. Global Integrity study) have already started to surface key priorities for a revitalized strategy. These include:

1. Mobilizing stronger support to countries for co-creation and implementation of OGP action plans, with particular emphasis on countries with windows of opportunity (such as new OGP countries or new administrations) or significant needs (e.g. low-income fragile states);
2. Broadening collective ownership for OGP across line ministries/Cabinet, branches of government and a broader range of CSOs through capacity building workshops;
3. Elevating ambitions to tackle frontier challenges, such as corruption, conflict, and climate change;
4. Strengthening peer exchange, learning, and collective ambition to tackle common challenges, leveraging thematic leadership of OGP partners;
5. Broadening the sectoral focus and complementing emphasis on transparency with citizen feedback and government responsiveness in service delivery
6. Helping countries translate global commitments like the London Anti-Corruption Summit and SDGs commitments into their OGP action plans; and
7. Articulating and communicating the value proposition of OGP for different stakeholders and types of government, with evidence and results stories.

- In this context, the OGP Steering Committee asked the World Bank Group to explore setting up a Multi-Donor Trust Fund (MDTF) that could provide technical and financial assistance to participating governments and civil society to support these strategic directions. The MDTF would provide a dedicated source of funding for programs and activities consistent with the OGP Four-Year Strategy, the strategic refresh, and country priorities laid out in National Action Plans. The fund would enable both effective development/co-creation and implementation of open government reforms and would be open to proposals from both governments and civil society. The MDTF would respond to significant demand that both the Bank and OGP have experienced supporting development and implementation of OGP action plans. It would offer a coordinated mechanism to share knowledge, tools, and ideas across countries and reduce transaction costs, rather than pursuing ad-hoc stand-alone programs at the country level.
- The powerful synergies between the World Bank Group and OGP stem from their overlapping missions and shared stakeholder groups: forty-seven World Bank client countries participate in OGP, including 13 International Development Association (IDA) borrowers. An additional 14 World Bank client countries are eligible to become OGP members and can be supported to join and develop transformative commitments using the OGP platform. The MDTF represents a partnership that straddles aid financing, development and the movement towards openness and transparency as the most significant change in development in the current decade.

- The OGP offers a combination of a structured approach to government-civil society interaction and engagement at the domestic level along with a global network of reformers and accountability mechanisms. As a result the OGP platform, and by extension the proposed MDTF, are well-positioned to support both government and civil society at the country level, to facilitate peer learning across borders, and to provide technical support through the joint network of OGP and World Bank experts. On the financing side, the MDTF offers unique opportunities to connect, leverage or even bundle various funding streams for OGP countries. Moreover, funding from the MDTF is expected to be used to scale up activities and pilot innovations that can later be mainstreamed and leveraged through the Bank's lending operations (including IDA), thus garnering additional resources and multiplying the impact.
- OGP participating countries would have access to MDTF financing through two main windows:
  - Financial and Technical Assistance related to OGP National Action Plans
  - Peer Exchanges, Learning, and Research
- A third window would facilitate pass-through grants to the OGP Support Unit for governments that prefer to fund the work of the Support Unit via a MDTF for logistical reasons.
- In addition to the direct aims of the MDTF programs, it is expected that the MDTF will contribute to the mainstreaming of open government reforms in Bank operations through its effect on the policy dialogue between the Bank and OGP countries. This would, in turn, facilitate achievement of some of the Bank's stated objectives such as mainstreaming citizen engagement.
- The proposed MDTF governance structure includes an MDTF Board and an MDTF Implementation Team. The MDTF Board – composed of the OGP Steering Committee, donors, the OGP Support Unit, and the Bank – will provide strategic guidance. The MDTF Implementation Team, comprising the OGP Support Unit and a small Bank team, will focus on day-to-day operations.
- The Bank will provide fiduciary safeguards and reports on activities and finances. The minimum total amount in donor commitments to establish a MDTF at the Bank is US$2 million. It is proposed that the MDTF be set up with a five-year time horizon, with the possibility of extension upon the recommendation of the MDTF Board.

Background and Rationale

The rapid growth of the Open Government Partnership (OGP) since its inception nearly five years ago reflects recognition among governments and civil society that transparency, accountability, participation, and responsiveness to citizens should be hallmarks of twenty-first century governance. When joining OGP, countries signal political commitment to these principles and, through deliberation between countries' civil societies and governments, put forward concrete proposals for progress in the form of commitments assembled in National Action Plans. There have been impressive initial accomplishments – in almost five years, 70 countries have joined OGP, along with thousands of civil society organizations, and they have together generated thousands of commitments. These efforts are starting to bear fruit (see box for examples) and provide fodder for evidence-based research on the kinds of reforms that are successful in different contexts.

OGP has put in place the architecture that outlines the rules of the game and various processes for designing reform commitments. This is a sound foundation upon which OGP can continue to grow rapidly, and provides a glimpse of what is possible. However, the Independent Reporting Mechanism (IRM) found that nearly 50 percent of commitments included in National Action Plans are not being – or have not been – implemented as envisaged. Also, the IRM found only 12 percent of the commitments analyzed in 2015 are judged to be potentially transformative and have received a star.[1] The IRM indicated limited technical capacity and funding, lack of political support and coordination among institutions, and legal barriers as some of the impediments to successful implementation.

A few examples of impact in OGP countries to date

Albania: Recorded court and judicial hearings and made them available online to the public

Brazil: Increased citizens' access to information on land management

El Salvador: Established an Information and Response Office across government to process requests from the public

Ghana: Simplified budget information and held frequent consultation budget meetings with civil society

Indonesia: Launched an online service for citizens to submit reports on the quality and completion of public works

Kenya: Enacted a bill to publicly vet judges and ensure public access to cases and judgments

Liberia: Enacted legislation aimed at reducing corruption and improving work ethic within the public sector

Philippines: Government invited citizen participation and oversight of important public works and infrastructure projects

Ukraine: Strengthened the Access to Information law by closing loopholes that allowed information to remain secret

1 The IRM recognizes model commitments and awards them 'stars'. In order to receive a star, a commitment must be specific, relevant, completed and have potentially transformative impact.

Helping participating countries turn commitments into results is the major challenge for the OGP as it moves beyond the start-up phase. Over the next five years, success will not be measured by the number of countries or number of commitments, but by whether OGP delivers a transformative impact in the lives of citizens, and by whether OGP makes a measurable improvement in key areas such as fiscal transparency, citizen engagement, open contracting and combating corruption.

To address these challenges, ensure forward momentum and better support participating countries in their efforts to deliver transformative impact, the OGP Steering Committee decided to conduct a strategic refresh to invigorate OGP's 2014-18 Four Year Strategy. The Strategic Refresh was discussed at the May 2016 Steering Committee meeting and is to be launched at OGP's Global Summit in Paris in December 2016. In conjunction with this, recognizing the need to provide more robust support to countries at different stages of the OGP process, the OGP Steering Committee asked the World Bank to explore the establishment of an OGP Multi Donor Trust Fund (MDTF). The MDTF would respond to three key issues: 1) increasing country demand for OGP-related support; 2) a growing need for impact research to tailor transformative reforms to specific contexts; and 3) the need for a coordinated global approach to channel resources more effectively. Through financial and technical assistance, the MDTF would help governments and civil society stakeholders with National Action Plan design and implementation, as well as other programs and activities consistent with the OGP Four-Year Strategy,[2] strategic refresh and country priorities. This proposal envisions that the MDTF will become a powerful, practical mechanism that enables OGP to fulfill its promise of catalyzing transformative change.

Challenges in implementing OGP commitments.

In the analysis of unmet commitments, the IRM highlighted a number of obstacles that countries have faced. Lack of funding is a key challenge in many cases, as well as limited capacity and political will from government agencies to move forward with commitments. With regard to funding, developing country OGP members often find that action plan implementation competes with other budget and development priorities. As a result, budget allocations to support OGP commitments are slim at best. A related challenge is that the OGP planning cycle is not aligned with the national budget process in many countries, resulting in transformational open government commitments that are not included in the discussions around the budget. In these countries, aid could ensure that transformative commitments co-created between government and civil society are implemented, as government and civil society actors alike need basic resources for planning, coalition building, and participation/monitoring.

Lack of capacity is another key issue. IRM data show that 25 percent of unmet commitments directly aimed to build capacity. Furthermore, capacity constraints limit governments' ability to implement other commitments, as agencies required to operationalize reforms and programs are not fully prepared to address emerging challenges. According to the 2015 IRM assessment, of the commitments with partial or no implementation, approximately 24 percent are related to public participation, 14 percent are in public

2 OGP 4-Year Strategy: http://www.opengovpartnership.org/sites/default/files/attachments/4YearAP-Online.pdf

service delivery and 12 percent are in open data. Access to information and records management, public procurement, and budget transparency are other top issue areas where implementation has been limited.

Insufficient political support at the highest level, and the politics of specific agencies and organizations, affect the content and feasibility of OGP reform aims. In some countries, ministers or other politicians whose leadership is critical to the success of certain reforms are not engaged with OGP, or pro-reform actors face difficulties in linking OGP to larger political strategies and other pre-existing development or reform agendas. For governments (in low- and middle-income countries), aid can provide incentives to raise transformative content as well as resources and technical support to finance the development and implementation of action plans. For instance, Africa has the most ambitious OGP commitments but biggest implementation gaps. More broadly, about 50 percent of OGP commitments are not satisfactorily implemented as assessed by IRM. A requirement that OGP commitments be integrated in the budget would ensure that OGP commitments are collectively owned and resourced by the cabinet.

Further, the evidence linking specific open government reforms with hoped-for results remains underdeveloped, resulting in countries adopting and implementing reforms that are poorly suited to their context. Given the importance of tailoring reforms to different needs and to the political landscape, there is a growing demand to gather evidence of impact to fill the knowledge gap.

The availability of ready financing and technical assistance in capacity and coalition building seems a likely determinant of outcomes in some cases. For example, in Tunisia, the Bank was able to provide technical assistance related to various commitments by tapping resources from an internal trust fund; this support led to greater progress with respect to fiscal transparency commitments. In cases like Tunisia's, moreover, the provision of funding for specific activities catalyzed stronger collaboration between the government and the Bank, resulting in significantly more substantive World Bank support for the OGP action plan through traditional operations. In another case, in 2012-13, the Government of Ghana sought support for developing and implementing a National Action Plan. The OGP Support Unit and Bank provided assistance with convening stakeholders and creating the plan, leading to a well-regarded output. However, as noted by the IRM, the Support Unit and Bank were unable to provide continued assistance for implementation, and follow through on commitments was relatively weak in the country. Sustained support, particularly with respect to impact research and building a coalition for collective action, can help countries to coordinate OGP commitments with broader governmental reforms and thereby increase the chance of transformative impact.

Increasing demand for OGP-related support

Largely because of the challenges outlined above, both the OGP Support Unit and the Bank have experienced a significant increase in requests from governments to provide OGP-related support, as well as assistance in connecting with reform-minded peers in other countries. Demand is likely to continue to increase substantially in 2016, with more than 50 new action plans due and over 40 countries pledging

to use the OGP platform to implement the 2030 Agenda for Sustainable Development. Twenty-four countries sought assistance from donors to support the development and implementation of action plans in 2015. Beyond direct assistance to governments, there is significant demand for peer exchange and learning opportunities across the partnership, evident in the nearly 60 bilateral and regional exchanges that have taken place to share best practices and lessons learned among participating countries. Moreover, there is also increasing demand for research products looking at the impact of open government reforms, and how different approaches to open government reform have played out in different contexts. As accountability, participation and government responsiveness become increasingly important at the point of service delivery, pro-reform actors seek ways to identify and explain the types of interventions that can lead to meaningful impact. OGP and its partners are looking for support to better understand the causal mechanisms behind specific open government reforms.

OGP's maturity and five focus areas

As OGP matures, it faces a chasm it must cross. The membership ranks have swelled, with a group of early innovators becoming an early majority wherein OGP's collective success will be measured by its usefulness in raising the collective ambition of member countries. OGP must now find paths to collectively tackle the biggest societal challenges, including inequality, grand corruption, youth crime and violence, human rights violations, failures in service delivery and climate change. OGP has also positioned itself as a platform for implementation of the new Sustainable Development Goals and commitments made in the 2016 Anti-Corruption Summit. This includes transparent and accountable implementation of all the goals, as well as specific policy reforms related to Goal 16 of the SDGs and other relevant targets. This crossroads, as OGP nears its five-year anniversary, is an opportune time to conduct a strategic refresh to trigger a pivot from an emphasis on processes and mechanisms to a modus operandi that delivers the benefits of open government to the people.

OGP's Steering Committee discussions, subsequent consultations with OGP government and civil society stakeholders in regional and global forums (e.g. OGP Africa and Americas regional meetings, London Anti-Corruption Summit) as well as emerging lessons from the first phase of OGP implementation (reflected in the Global Integrity study) have already started to surface key priorities for strategic directions forward. These include:

1. **Mobilizing stronger support to countries for co-creation and implementation of OGP action plans, with particular emphasis on countries with windows of opportunity.** This means intensifying assistance to countries where there is an opening (e.g. new OGP countries or new administrations) or significant needs (e.g. low-income fragile states). This suggests a more concentrated approach and more efficient allocation of resources. It would bring all the tools in the OGP toolkit to bear in countries where there is real potential for transformative impact.
2. **Broadening collective political ownership for OGP across line ministries/Cabinet, branches of government and a broader range of CSOs through capacity building workshops.** Increased

technical capacity alone is not enough to close the implementation gap. What is required is more politically informed support for enhanced coalition building for OGP across line ministries/ Cabinet, the involvement of a broader range of CSOs, and support for multi-stakeholder coalitions to overcome political economy obstacles. For example, coalition building workshops could help create the enabling environment for the collective action needed for transformative commitments. A greater understanding of the political economy of OGP member countries is necessary to deepen efforts to help domestic actors plot, understand, and act collectively to navigate and shape the political reform landscape in their country.

3. **Elevating ambition to tackle frontier challenges.** The challenge for many participating countires is to raise the collective ambition and transformative power of OGP to collectively tackle the biggest societal challenges, like inequality, grand corruption, youth crime and violence, human rights violations, and failures in service delivery, and climate change (a focus of the incoming OGP co-chairs, France and the World Resources Institute). These are the harsh realities many reformers confront in their countries. There is a role for OGP to help operationalize broader reform and development agendas as the country's ambition, implementation and accountability arm.

4. **Strengthening peer exchange, learning and collective ambition to tackle common challenges, leveraging thematic leadership of OGP partners.** The government-civil society alliance that underpins the co-generation and co-implementation processes of OGP commitments through peer-to-peer learning and knowledge exchange has been under-resourced and under-utilized. Peer support can be scaled up and better integrated into National Action Plan development and implementation. OGP partners have organized into six different thematic Working Groups (fiscal openness, legislative openness, access to information, anti-corruption, open data, and openness in natural resources) to provide practical ways for reformers to share experiences, expertise, and lessons learned, as well as identify opportunities for targeted technical assistance and/or peer exchange. Better leveraging these Working Groups can help support the creation and effective implementation of more ambitious open government commitments.

5. **Broadening the sectoral focus and complementing the emphasis thus far on transparency with increasing attention to citizen feedback and government responsiveness in service delivery.** The health and education sectors account for a mere 2.5 percent of OGP commitments. Meanwhile, transparency accounts for 70 percent of total commitments. The promise of OGP lies not only in government transparency, but also in participation by citizens and civil society and government responsiveness to that civic input. Part of the challenge is to shift the center of gravity of OGP commitments from transparency/disclosure to citizen engagement and government responsiveness, with the aim of impacting citizens' daily lives. Protection of civic space, a thorough upcoming review of OGP eligibility guidelines, and providing guidelines for genuine co-creation of action plans and permanent country-level dialogue mechanisms will also be key priorities.

6. **Helping countries translate global commitments (like the London Anti-Corruption Summit and SDGs) into OGP action plans.** There is a clear link between OGP and the SDGs in improving

the lives of poor and vulnerable communities through improving access to services. The link between OGP and the London Anti-Corruption Summit commitments is similarly compelling as it inherently incorporates OGP principles like transparency and accountability of public institutions. OGP action plans can be the tools to help countries translate ambitious goals like the SDGs and Anti-Corruption Summit commitments into specific items for which governments can be held accountable via the IRM and civil society. Given the complementary nature of all of these goals, OGP can serve as the implementing arm and the accountability mechanism for these global commitments. Closer attention to the goals of global initiatives can help sharpen the focus and performance of OGP as well.

7. **Articulating and communicating the value proposition of OGP for different stakeholders and types of government, with evidence and results stories.** OGP participating countries have differing priorities in their reform agenda. The beauty of OGP is the flexibility it offers countries to set their own commitments that best suit their context. Hence the value proposition for OGP varies for different stakeholders and types of government. Additionally, the evidence base across OGP and other countries on effectiveness and impact of governance reforms is still limited. OGP with its partners aims to conduct a rigorous cross-regional and cross-policy research program on the impact of reforms and provide tools, resources and knowledge products that promote learning. The impact research, notably, will help inspire and inform transformational reforms to understand whether, why, and how OGP actors working in specific contexts achieve reform outcomes, and to ultimately better articulate the OGP value proposition to a particular setting and audience.

As OGP seeks to tackle big societal challenges by fulfilling its transformative potential, it demands a collective commitment to raise the ambition of governments, civil society, and multilateral and development partners to support the next phase.

OGP and World Bank strategic partnership.

For the World Bank Group and for development assistance more broadly, OGP offers a vital country-owned platform to accelerate development results. OGP has four unique attributes: (i) high-level political commitment to advance governments open, participatory and responsive to citizens; (ii) governments co-creating commitments with civil society in a way that amplifies the voice of ordinary citizens and the poor; (iii) accountability via the IRM and civil society; and (iv) peer-to-peer learning. This makes it a unique domestic accountability platform that aid and the MDTF can support to achieve stronger results.

Since OGP's founding, and as one of the four initial multilateral partners, the Bank has been an active partner of the Support Unit, the Working Groups, the IRM and the Steering Committee. In its collaboration with the Support Unit, the Bank has assisted countries through provision of financial support, technical assistance, and peer learning opportunities, while leveraging its convening power to foster dialogue between government stakeholders and civil society at the global and national levels. In some countries the Bank has also supported the consultation process through which government and civil society organizations co-create National Action Plans.

The ongoing strategic partnership between OGP and the Bank was more recently discussed in July 2015 during the OGP Steering Committee meeting held in Pretoria. This meeting provided the space to reflect on the evolution of this partnership, as well as to identify key pillars for further collaboration. These pillars include establishing a dedicated funding mechanism to support countries' fulfillment of OGP commitments; broadening the stakeholder base, particularly by leveraging the Bank's convening power in countries engaged in the OGP; supporting non-OGP countries that are considering participation; deepening the research on results and impact[3]; and increasing OGP-related Bank operations.

Need for a coordinated approach to channel resources more effectively.

Limited resource availability has been a challenge, but so too has the lack of a coordinated financing mechanism. One of the hallmarks of the OGP endeavor is its nature as a true partnership. Stakeholders from the public, private, and civil society sectors can exchange ideas and experiences freely. Therefore South-South peer exchanges and cross-country collaboration are not peripheral aims of OGP, but are essential to its spirit and key to its transformative potential. The MDTF is intended to be the most impactful way for donors to support countries by reducing transaction costs at the country level and enabling countries to access dedicated OGP funding, and by facilitating cross-country collaboration through multi-country support programs and knowledge exchange. The benefits of joint approaches and common solutions (with appropriate adaptation for the local context) have already been demonstrated in cases such as the BOOST platform (for open budgets) and the implementation of common data standards via the the Open Contracting Data Standard, for example. Moreover, a coordinated approach can foster a healthy sense of international competition that can help raise the ambition of OGP members, in keeping with OGP's "race to the top" approach.

The MDTF will enable donors to effectively scale up their support for open government initiatives in general, and to leverage the OGP as a platform for facilitating country-level reforms. The MDTF offers unique opportunities to connect, leverage or even bundle various funding streams for OGP. Given OGP's structured approach to government-civil society interaction and engagement at the domestic level along with its global network of reformers and accountability mechanisms, this platform, and by extension this MDTF, are positioned to support both government and civil societies and to provide technical support through a joint network of experts from OGP and the World Bank.

While donors could provide funds to countries directly, the MDTF offers the benefit of pooling resources for greater impact, within a country-driven framework, thus minimizing transaction costs for countries receiving support. Country level funding arrangements alone have limited reach and scalability, and global level funding arrangements cannot achieve this without the unique features and footprint of the OGP-World Bank partnership. Working together at country level, this partnership can unlock more change and reform than possible when operating separately. Jointly, we can bring together a bigger

3 The recent launch of the Open Government Research Consortium, which comprises the OGP Support Unit, Results for Development, Global Integrity, NYU's GovLab, and the World Bank signals progress in the strategic partnership between the Support Unit and the Bank, as well as progress on deepening collaboration with other stakeholders.

coalition of stakeholders. The MDTF as funding mechanism multiplies this effect by leveraging funding from various sources, including the Bank and other development agencies, from government and potentially others, including the private sector.

To date, responses to country needs have been ad-hoc and the Support Unit and the Bank have been unable to keep pace with demand for support. The creation of a distinct financing vehicle linked to OGP would make it possible to significantly increase technical and financial assistance on National Action Plans. First, through readily available financial assistance, the MDTF will supplement limited state budgets, while the technical assistance, research and peer learning elements of the MDTF will contribute to bridging capacity gaps in implementing OGP commitments. Second, this MDTF will enable the Support Unit and the Bank to jointly respond in a more effective way to countries' requests for support. Third, support delivered via the MDTF will foster effective collaboration at the country level by encouraging the submission of funding proposals that are jointly prepared and implemented by government and civil society representatives. Fourth, by supporting coordinated approaches and even cross-country programs, the MDTF will support the sharing and dissemination of ideas, experiences, tools (such as citizen feedback mechanisms) and lessons across regions and around the world.

Leveraging the MDTF to expand the World Bank's support to OGP action plans.

There is enormous potential for synergy between OGP processes and the work of the Support Unit, and World Bank operations. Forty-seven'souldin efforts The MDTF can serve as a catalytic financing mechanism to spur more long-term operational support from the Bank. Funding from MDTF is expected to scale up activities, address funding gaps and pilot innovations that can later be mainstreamed and leveraged through the Bank's lending operations (including IDA). Hence, the MDTF represents a partnership that straddles aid financing, development and the movement towards openness and transparency as the most significant change in development in the current decade.

With a more targeted and better-funded technical assistance program, the MDTF Implementation Team will be better equipped to leverage the expertise and convening power of other Bank units to support reformers and help create an enabling environment for developing and meeting OGP commitments. The Bank's technical expertise can help bolster implementation of commitments in the thematic areas where completion has been limited, namely, citizen engagement, budget transparency, open data, access to information, public procurement and public service delivery across a range of sectors. While providing funding to OGP countries to trigger reform processes around their commitments is a primary goal of the MDTF, it is also expected that such funding will contribute to shaping the policy dialogue between the Bank and OGP countries. Lessons from cases like Tunisia, where using resources from an available MDTF to support OGP led to much more substantive engagement and resources, highlight that strategic MDTF resources can influence the Bank's own operations and thus "unlock" additional resources, compounding the potential impact. Overall, this should accelerate the mainstreaming of open government reforms in the Bank's own lending instruments.

Purpose of the Multi-Donor Trust Fund

Governments and donors around the world are already committed to implementing ambitious open government strategies. The OGP Steering Committee asked the Bank to explore setting up a MDTF that could provide technical and financial assistance to participating governments and civil society to support these strategic directions – namely, mobilizing support to countries, supporting capacity building, service delivery with feedback loops, implementation of global commitments and peer learning and research. This MDTF can serve as a vehicle for donors to channel new and additional financial and technical assistance to OGP countries in an effective, coordinated way, so that countries can create and implement transformational commitments. The MDTF would respond to significant demand that both the Bank and OGP have experienced supporting development and implementation of OGP action plans. Also, it is designed to scale up engagement in OGP and help donors and OGP work more systematically together in joint and complementary ways to create more impact than through the current abundance of ad hoc formal and informal partnership arrangements.

The fund would enable both effective development/co-creation and implementation of open government reforms in OGP participating countries, and it would be open to proposals from both governments and civil society.

Specific MDTF objectives, to be confirmed by the OGP Steering Committee, OGP Support Unit, the contributing donors, and the Bank, as the trustee, are (see Annex 2 for a preliminary results framework):

- Enhance capacity of MDTF-sponsored OGP participating countries to successfully develop and implement OGP commitments;
- Increase expansion and dissemination of knowledge around effectiveness and impact of open government reforms;
- Provide an alternative mechanism to channel annual country contributions; and
- Increase policy dialogue and operational support around open government reforms in the Bank's portfolio.

Activities and MDTF Windows

The OGP MDTF will support programs and activities consistent with country and OGP priorities put forth in the Four-Year Strategy and ongoing strategic refresh. Eligible expenditures could include goods, services, operating costs, training and workshops, consultants and staff time. Hiring of consultants and procurement of goods and services must be carried out in accordance with the Bank's applicable policies and procedures.

The MDTF will support activities clustered into three programmatic windows:

WINDOW 1

Financial and Technical Assistance related to OGP National Action Plans

This window will provide a mechanism to scale up donor support for the development and implementation of action plans, providing stakeholders at the country level – government agencies and civil society organizations – with financial resources and technical assistance. Concretely, this MDTF could support for example (a) the development of ICT and non-ICT tools to advance open government such as fiscal transparency, open data, or citizen feedback mechanisms; (b) hiring of staff and consultants to accelerate the implementation of OGP commitments; (c) consultation processes to foster constructive engagement between government, civil society and citizens; (d) capacity building for government or civil society around specific commitments; (e) pilot programs that are part of the commitments. Given the diversity in OGP commitments, it is expected that the MDTF will support a wide range of activities. Although activities financed via Window 1 would be country-specific, the MDTF structure would ensure that implementation could draw on the latest empirical research, as well as the knowledge and experiences (and potentially the tools, such as citizen feedback mechanisms) of other countries.

To foster collaboration between government and civil society, support through Window 1 could, for example, invite proposals that are prepared and executed by national OGP committees composed of government and civil society representatives. Grant proposals for this window could be submitted and executed by governments, civil society organizations, or the Bank.

Bank-executed or recipient-executed activities via this window could provide programmatic support for technical assistance to OGP countries. These activities could be agreed in coordination with the OGP Support Unit and the Bank members of the MDTF implementation team. A work plan could be prepared jointly and submitted to the MDTF Board for endorsement. These activities would be in line with the OGP Strategy and work program, as well as with the Bank's policy dialogue with participating countries.

Example of a recipient-executed grant under Window 1:

A competitive call for proposals is issued where only one proposal per country can be submitted. Country X, through its national OGP committee, consisting of government and CSOs, submits a proposal for USD $500,000, which is approved by the MDTF Board. The objective of this grant is to implement a substantive portion of the Action Plan—five commitments out of eight. While the main recipient of funding is a specific agency or CSO designated by the national OGP committee, funds can then be distributed to other stakeholders according to the proposal to implement portions of the action plan. Technical assistance to Country X could then be provided through the Bank-executed programmatic support included in this MDTF.

Allocations under this window would be agreed by the MDTF Board at a later stage. Given the high demand from countries for support to implement OGP commitments, the available funds in the MDTF may not be sufficient to meet all requests for support. Therefore it is likely that the MDTF Board will need to decide on a mechanism and criteria to select the activities to be funded. The selection criteria could include (a) alignment with OGP Principles and Strategic Plan; (b) commitments in line with the SMART criteria; and (c) clear collaboration arrangements between government and civil society.

WINDOW 2

Peer Exchanges, Learning, and Research.

This window will provide financial support for knowledge sharing and learning activities, including through the nascent peer learning networks that are being set up by the OGP Working Groups. The window will also support an increase in the number of knowledge products developed to accelerate the open government reform learning curve. In sharing these knowledge products, country stakeholders can find ideas and inspiration for developing ambitious OGP commitments, and can strengthen their ability to implement them.

Moreover, funding for this window will support research to address the need to assemble and analyze evidence regarding the actual impact of open government reforms, and to bridge the divide between normative positions and empirical findings. Progress is already being made with the launch of an Open Government Impact Research Consortium (OGIRC) consisting of the OGP Support Unit, Results for Development, Global Integrity, NYU GovLab, and the Bank. Funds provided through this window would be accessible to OGIRC, OGP Working Groups, participating governments, civil society organizations, and research institutions as grants or through a competitive process depending on the type of activity and partners involved, with specifics to be agreed by the MDTF Board. A portion of funding allocations for Window 2 could be Bank-executed to support impact studies conducted by the consortium, and the remaining grants could be for recipient-executed activities.

This window will also provide for an MDTF Monitoring and Evaluation function and related activities to measure program results over the life of the MDTF. Proposals for activities under Window 2 would be submitted on a rolling basis to the MDTF Board.

Examples of peer learning and research recipient-executed grants under Window 2

Proposals for activities under Window 2 could be submitted on a rolling basis. Country Y, in collaboration with one of the OGP Working Groups, submits a proposal for peer learning in order to support the implementation of specific commitments in Country Y's action plan. Alternatively, OGP Working Groups or Bank staff could submit multi-country proposals for peer learning. Funded activities could include face-to-face events (e.g. learning journeys, expert visits, in-country workshops), virtual exchanges (online forums, videoconference sessions, etc.), or a mix. In terms of research, CSOs, think tanks, research institutions, or Bank staff could submit research proposals to advance the OGP research agenda.

WINDOW 3
Direct assistance to OGP Support Unit.

This window responds to the need of a group of countries to disburse annual financial contributions to the OGP Support Unit via a multilateral agency, as opposed to a US 501(c)(3) public charity (the organizational status of the OGP Support Unit). Funds committed for this window will be disbursed directly to the OGP Support Unit and the IRM through an annual grant to fund its core operations in line with the Support Unit's Annual Work Plan and the OGP Four-Year Strategy. Countries channeling annual country contributions exclusively via this window will not be considered MDTF donors for the purpose of streamlining the decision-making process for Windows 1 and 2 fund allocation.

Example of grant under Window 3

Country contributions through Window 3 are pooled and disbursed in the form of a block grant to the OGP Support Unit on a yearly basis, upon submission of a work program endorsed by the OGP Steering Committee.

Monitoring and Evaluation of the MDTF

To ensure effective use of funds, the Bank will conduct two in-depth reviews of activities, a mid-term and a final review, under the supervision of the MDTF Board. In addition to these reviews, the Bank will provide annual reports on activities and finances to the MDTF Board and all donors, as well as access to current MDTF financial information via the Bank's Trust Fund Donor Center Secure Website.

The IRM will be another powerful tool to assess the effectiveness of the MDTF, and Window 1 funding in particular. Since IRM Progress Reports are disaggregated by commitment, these reports will be critical inputs in determining the extent to which the MDTF is enabling progress on National Action Plans.

Finally, as part of the monitoring and evaluation plan for the MDTF, a results framework (that draws upon the IRM) will contribute to clearly visualizing what success looks like. The framework will include overall objectives as well as indicators per window. The results framework will be agreed with the MDTF Board and donors at a later stage. For more information, please refer to the preliminary results framework in the Annex 2.

Principles of the Governance Structure

The proposed MDTF governance structure, which would be presented to the OGP Steering Committee and related donors for ratification, includes an MDTF Board supported by an MDTF Implementation Team. The former will provide strategic guidance and oversight, and the latter will focus on day-to-day operations, such as establishing the criteria for grants through Windows 1 and 2, communications and outreach, reviewing and selecting proposals, and ensuring effective implementation of MDTF funds, among other responsibilities. After endorsement of the proposed governance structure by the OGP Steering Committee and donors, the MDTF governance structure will be reflected in the Administrative Agreements signed between each donor and the Bank.

Figure 1. Governance Structure of MDTF

Trust Fund Board

Members	Role and Responsibilities
▸ OGP Steering Committee ▸ OGP Support Unit ▸ Donors ▸ World Bank *(High Level Staff)*	▸ Provide strategic decision-making, guidance and adjustments ▸ Provide platform for dialogue ▸ Endorse grant-making process ▸ Oversee window allocations

Supported by TF Implementation Team

Members	Role and Responsibilities
▸ OGP Support Unit *(operational staff)* ▸ Small World Bank Team *(operational staff)*	▸ Implement grant-making process *(selection criteria, CFP, overnight)* ▸ Coordinate alignment with OGP strategic plan ▸ Undertake periodic reviews

MDTF Board Structure

The main responsibilities of the MDTF Board could include, but are not limited to:

- Providing strategic guidance on the achievement of the MDTF goals, including setting and revising priorities;
- Providing a platform for dialogue among the OGP Steering Committee, OGP Support Unit, MDTF donors, and the Bank;
- Endorsing the grant proposal for the OGP Support Unit under Window 3, consistent with the work plan and budget the Support Unit submits annually to the OGP Steering Committee; and
- Agreeing on preliminary budget allocations across both Windows 1 and 2 of the MDTF.

The MDTF governance architecture will be in line with OGP principles of equal representation of government and civil society members, decision-making by consensus, inclusiveness with respect to observers, and transparency. It will comprise three different groups of stakeholders: (1) OGP stakeholders, including members of the Steering Committee and the Support Unit; (2) donors; and (3) the Bank. The composition of the MDTF Board could be as follows:

- Three members of the OGP Steering Committee and the CEO of the OGP Support Unit;
- Four representatives of donor organizations providing funds for Windows 1 and 2; and
- One high-level Bank representative (Director or Senior Director level).

Once the OGP MDTF is established, the MDTF Board could make recommendations for adjustments in MDTF implementation based on new OGP strategic plans, shifting priorities and lessons learned.

MDTF Implementation Team

The main responsibilities of the MDTF Implementation Team will include managing day-to-day activities, providing inputs to the MDTF Board, and managing grants, among others. The Team will include operational staff from the OGP Support Unit and the Bank and a Task Team Leader(s) from the World Bank's Governance Global Practice.

Establishing and Contributing to the OGP MDTF

The minimum aggregate donor financial commitment to establish a new MDTF at the Bank is USD $2 million over the life of the MDTF.[4] It is proposed that the OGP MDTF is set up with a 5-year time horizon, in line with the OGP Strategic Plan,[5] with the possibility of extending this timeframe if agreed upon by the MDTF Board.

Donors to the MDTF may include government agencies, private companies, foundations, CSOs, or other multilaterals that contribute funds through Windows 1 and 2. In other words, donors constitute those who top up their country contributions (delivered either through Window 3 or directly to the Support Unit) to support OGP implementation and learning. All donors must be registered as donors with the Bank. The MDTF Agreement, which will describe the MDTF's purpose, goals, activities, and governance structure, will be the same for all donors, except for a section tailored to the specific terms for each donor to commit and disburse funds.

Role of the World Bank

The OGP will lead fundraising efforts for this MDTF, while the World Bank will be administrator of it. As the trustee, the Bank will have full fiduciary responsibility and will ensure proper use of financial resources. The Bank will also deploy its global expertise on open government issues to assist OGP stakeholders with their action plans, and leverage its strong working relations and convening power with recipient stakeholders.

The Bank follows prudent financial policies and procedures in the management of multi-donor trust funds. These include operational policies and compliance with established business procedures for appraising and supervising projects, as well as an operational fiduciary framework including safeguards, project procurement, and financial management for the recipients of the funds. The Bank will provide annual reports to the MDTF Board and to all donors on activities as well as finances. To ensure effective implementation during the 5-year period, the Bank will conduct one mid-term and one end-of-term review under the supervision of the MDTF Board.

In addition to maintaining proper fiduciary and reporting arrangements, in order to ensure effective implementation of MDTF-financed activities, the World Bank will leverage its country-level expertise and network, offer technical assistance to country stakeholders, and facilitate peer learning and access to knowledge resources. This will be done mainly through the Bank's Governance Global Practice, other relevant Global Practices, and country teams.

In order for the Bank to manage the MDTF, there is a cost recovery fee of approximately 5% on Recipient Executed Trust Fund (RETF) commitments.

4 This amount must be committed; however, it is not required to be disbursed at the time the MDTF is created.
5 The duration of the MDTF can vary as agreed upon by the OGP Steering Committee, donors, and the Bank.

ANNEX 1

Risk Management

Risk: Projectizing and depoliticizing OGP

By introducing greater donor involvement, the MDTF could weaken peer-to-peer engagement and erode political ownership by the center of government in OGP countries in favor of Ministries of Finance, which are generally the primary World Bank clients.

Mitigation

The MDTF will support the delivery of OGP's Four-Year Strategy, which prioritizes building high-level political commitment as a central goal. Ongoing collaboration between the OGP Support Unit and the World Bank can leverage the Bank's convening power to enhance the Support Unit's capacity to engage senior political leaders at OGP events and during country visits with the goal of catalyzing and sustaining open government reforms.

In addition, the MDTF is designed to ensure that the OGP lead agency in each country, together with the national OGP committee – which includes government and CSOs – remains at the center of the process. Submissions of proposals for funding through Window 1 will be prepared by these national committees. This will foster constructive collaboration among different stakeholder groups.

Furthermore, the MDTF envisions scaling up peer-to-peer engagement across the partnership and thus strengthening OGP's race-to-the-top approach through Window 2. This dedicated funding window for peer exchange, learning, and research will support new and existing OGP efforts (e.g. thematic working groups, peer learning networks, workshops, conferences, and events) for governments and civil society to learn from each other and inspire more ambitious reforms. Funding via this window will also aim to build the knowledge base on open government reforms through coordinated research on impact.

To ensure that the center of government continues to drive open government reforms in each country, the Support Unit, IRM and the World Bank will continue to emphasize a whole-of-government approach with partners and government POCs. While supporting the OGP lead agency in its role, the MDTF envisions expanding government and civil society participation as well as broadening the policy areas represented in National Action Plans. The Bank's engagement in multiple sectors in each country also opens avenues to broaden OGP's access to key actors in social and economic sectors such as health and education.

Risk: Weakening in-country coordination

Technical support for OGP commitments through the MDTF could undermine existing donor programs of support to OGP countries.

Mitigation

As a domestic policy platform with a built-in participatory and accountability mechanism, OGP is designed to strengthen the implementation of existing government programs and ensure alignment with new priorities for reform. The Support Unit and World Bank will coordinate with donors when planning and delivering MDTF assistance. This includes convening donors during country visits to take stock of existing priorities and explore strategic opportunities for coordinating programs. This will ensure that OGP is not considered distinct from other government programs and is aligned with existing donor initiatives.

Within the World Bank, the MDTF will also create opportunities for synergies between OGP country programs and ongoing Bank operations in various sectors (e.g. the established aim of mainstreaming citizen engagement in Bank operations).

Risk: Competition with GPSA and other World Bank initiatives

Mitigation

While there are other initiatives within the Bank's Governance Global Practice that aim to support activities related to open government, such as the Global Partnership for Social Accountability and the Open Contracting initiative, the OGP MDTF will have distinct features that complement – rather than compete with – other initiatives. For example, the main goal of the OGP MDTF will be to assist countries in the implementation of their OGP National Action Plans. While some activities supported by GPSA or Open Contracting may be related to the plans, this is not necessarily the case.

In parallel, the establishment of an OGP MDTF in the World Bank provides the opportunity to strengthen coordination with related initiatives. The OGP Support Unit and the GPSA secretariat are already exploring new ways to collaborate, and the MDTF would provide a more formal mechanism to support this. Enhanced coordination will allow donors to reap the benefits of more effective dialogue and planning processes, and support potential linkages between various initiatives at the global and country levels to achieve greater impact than would be achieved with stand-alone programs.

Risk: Undermining civil society participation

Assistance from the MDTF could undermine civil society participation since the World Bank traditionally works mainly with governments.

Mitigation

The MDTF aims to support civil society engagement in OGP as well as providing assistance to government partners. Civil society participation is enshrined in OGP's Articles of Governance and lies at the center of OGP's Four-Year Strategy. OGP is firm regarding minimum requirements for public consultation, and the Support Unit encourages governments to institutionalize opportunities for ongoing dialogue and consultation with civil society. The IRM assesses when countries are acting contrary to OGP requirements and makes recommendations for future improvement. Additionally, the Support Unit has developed a strong civil society program that includes providing tools, resources, and on-the-ground support in countries. All of these efforts can potentially be enhanced with support from the MDTF resulting in strengthened civil society engagement, and opening the MDTF to civil society organizations to access as well as governments.

The Support Unit will also coordinate with other multi-stakeholder initiatives (e.g. Open Contracting Partnership, Global Initiative on Fiscal Transparency, etc.) to explore strategic opportunities for collaboration in the National Action Plan cycle. Leveraging domestic civil society networks will allow OGP to broaden the base of CSOs participating at the country level and the range of issues represented in national action plans.

ANNEX 2

Preliminary Results Framework

Open Government Partnership Multi-Donor Trust Fund (OGP MDTF)

IMPACT					
Effective development and implementation of open government reforms among MDTF-sponsored OGP participating countries.					
Impact Indicator 1					
Percentage of OGP commitments receiving TF assistance on implementation that demonstrate completion.					
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
	Baseline, milestones and target to be established.				
Impact Indicator 2					
Level of inclusiveness of permanent dialogue mechanisms and public consultation processes.					
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
	Baseline, milestones and target to be established.				

OUTCOME 1					
Enhanced capacity of MDTF-sponsored OGP participating countries to successfully develop and implement OGP commitments.					
Outcome Indicator 1					
Number of OGP countries that successfully completed commitments with support fom the MDTF.					
Output 1.1 Increased financing for CSOs, private firms, donors, and government support staff to move forward implementation.			**Output Indicator 1.1** Amount of financing for CSOs, private firms, donors, and government support staff to move forward implementation.		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
		Baseline, milestones and target to be established.			
Output 1.2 Strengthened advice and actionable recommendations based on MDTF support around global knowledge.			**Output Indicator 1.2** Number of countries incorporating recommendations from TA and global A10:J13 into the action plan development and implementation process.		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
		Baseline, milestones and target to be established.			

OUTCOME 2					
Increased expansion and dissemination of knowledge around effectiveness and impact of open government reform.					
Outcome Indicator 2a			**Outcome Indicator 2b**		
Increase in the number of research activities around OGP impact commissioned and knowledge products disseminated.			Increase in the number of commitments included in NAPs that benefited from a peer exchange.		
Output 2.1 Methodologically rigorous research, and knowledge products produced and shared.			**Output Indicator 2.1** Number of studies supported on impact of open government reforms.		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
Baseline, milestones and target to be established.					
Output 2.2 Peer exchanges conducted.			**Output Indicator 2.2** Number of peer exchanges among OGP countries and Working Groups conducted, documented, and shared.		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
Baseline, milestones and target to be established.					

OUTCOME 3					
Expanded modality for OGP countries to channel annual contributions.					
Outcome Indicator 3					
Increase in the percentage of countries channeling contributions to OGP.					
Output 3.1 OGP Support Unit's Work Program supported.			**Output Indicator 3.1** Number of OGP countries that select to disburse contributions through the OGP MDTF.		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
		Baseline, milestones and target to be established.			

OUTCOME 4					
Increased policy dialogue and operational support around open government reforms in the Bank's portfolio.					
Outcome Indicator 4					
Increase in the percentage of Bank country clients supported by the MDTF with open government related activities in their strategy or portfolio.					
Output 4.1 Bank operations addressing open government reforms in OGP countries supported by the MDTF.			**Output Indicator 4.1** Number of Bank operations with open government related activities		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
		Baseline, milestones and target to be established.			
Output 4.2 Increased SCDs and CPFs in OGP countries supported by the MDTF addressing open government reforms.			**Output Indicator 4.2** Number of SCDs and CPFs that include open government issues.		
Baseline	Milestone 1	Milestone 2	Milestone 3	Target	Comments
		Baseline, milestones and target to be established.			

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