



2019 Asian Evaluation Week

Quality Evaluation for Better Results: Local,
National, Regional Perspectives

2-6 September 2019 | Kunming, People's Republic of China

Transparency and accountability in the extractives sector: *A narrative synthesis of what works and what does not*

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Session 7: Citizen and civil society engagement for development effectiveness: state and quality of evaluation
2 September 2019 4-5:30 pm



Who we are & what we do

3ie is a global leader in the generation and use of evidence for decision making

- **Funds, produces, quality assures** and synthesises rigorous evidence on development effectiveness. We support evaluations and reviews that examine what works, for whom, why and at what cost in low-and middle-income countries. We are an efficient grant maker as well as producer of evidence.
- **Builds and facilitates** networks of evaluation to improve capacity and commitment to generate and use evidence in decision-making
- **Provides global access to** knowledge products for policymakers, programme managers, researchers, civil society, the media and donors



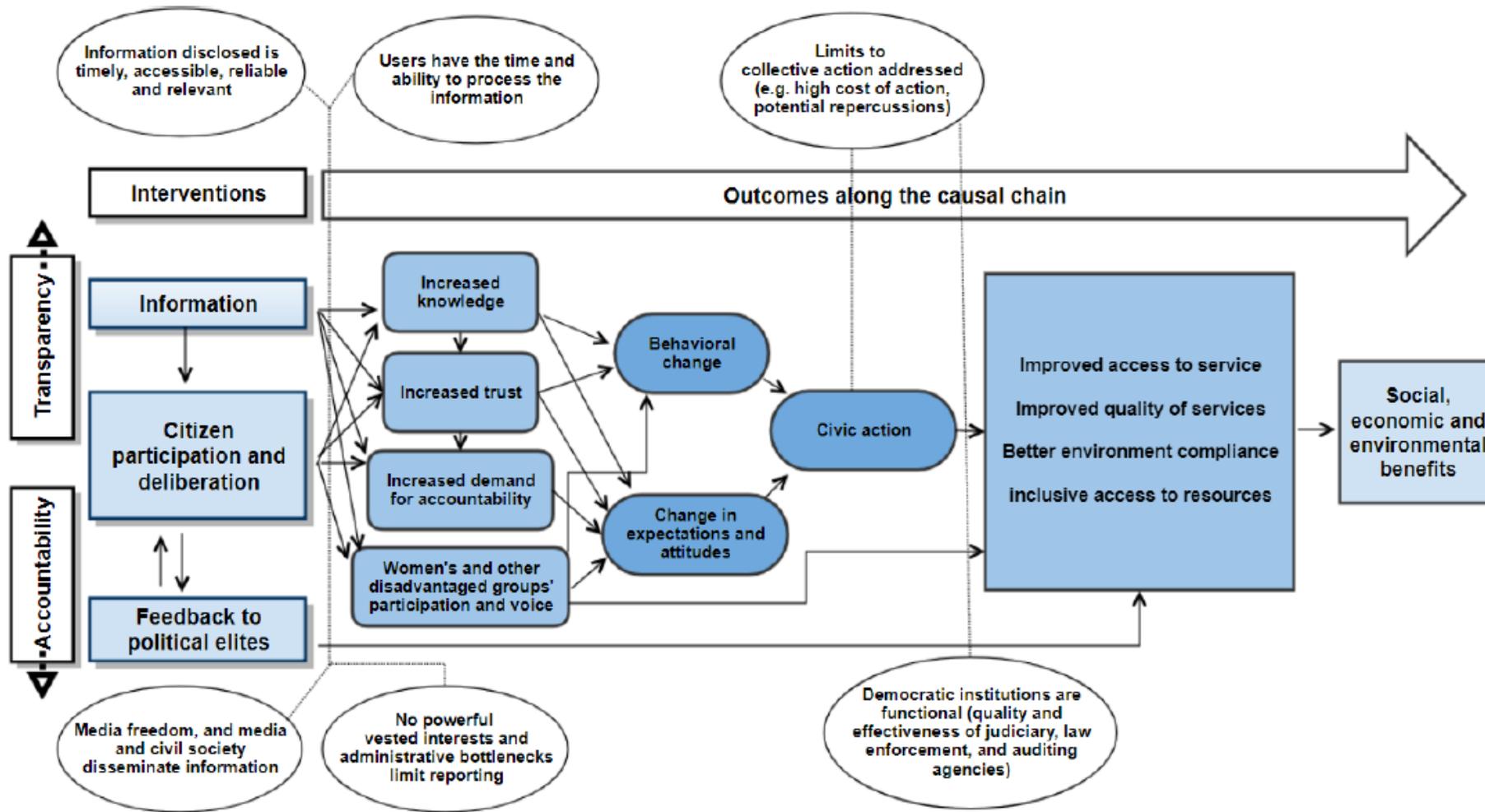
Transparency and Accountability Initiatives: *background*

- Extractives sector accounts for about 90 per cent of total exports and budget outlays in some developing countries.
- Majority of these countries often fail to benefit from their resource wealth and are sometimes embroiled in violent clashes.
- Better TAI in the natural resources sector is considered to be the antidote to the resource curse.
- 3ie developed evidence gap map and this evidence programme at the community level to increase the body of high-quality, policy-relevant evidence on TAIs in the natural resource governance sector.

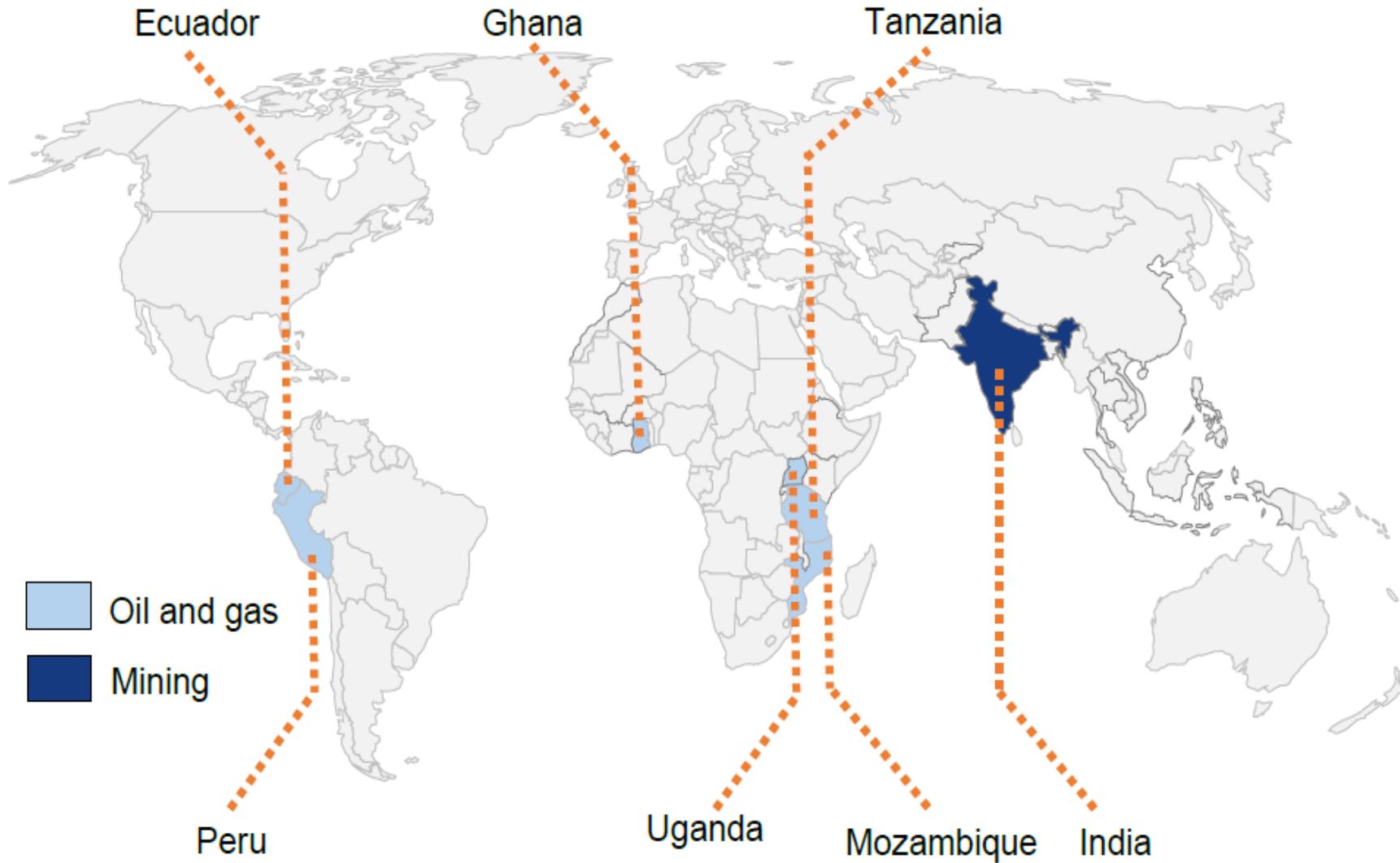


Transparency & Accountability Evidence Program: *Theory of change*

Figure 1: Transparency and accountability causal mechanism



Transparency & Accountability Evidence Program: geographical scope



Transparency & Accountability Evidence Program: *interventions*

Information:

- promoting greater awareness on legal and regulatory frameworks.
- Includes: videos, print media (flyers, infographics), workshops, citizenship engagement platforms, ICTs, and websites.
- Information shared: revenue collected, licensing procedures, environment clearance processes, familiarizing population with legal rights.

Deliberation:

- platform for people to engage and voice their opinions
- generally involves a broad set of stakeholders
- Seeks to enhance citizen participation.
- Popular platforms: focus group, deliberative poll, citizen's jury, consensus jury and scenario workshops



Transparency & Accountability Evidence Program : *interventions*

Information only:

Country	Design and Sample Size	Intervention Description	Mode of information
Ecuador	RCT 1,191 households (treatment: 620; control: 571)	Participatory workshop amongst communities on water quality, providing materials to participants and community representatives	Workshops; videos; printed materials
Ecuador and Peru	Phased-in randomization 24 monitoring teams (12 per country)	Monitoring package consisting of training, software and hardware (smartphones and drones)	Monitoring package using apps; smartphones; drones and user-friendly interfaces
India	DID 934 mines	Environmental impact assessment published on the website; project and environmental impacts discussed in the public hearing	Website and press conference
Uganda	RCT 3,110 households (treatment: 1,590 control: 1,620)	Information package and a two-day stakeholder engagement workshop	Information packet; structured multi-stakeholder forum



Transparency and Accountability Evidence Program: *interventions*

Information and deliberation:

Country	Design and Sample Size	Intervention	Information Mode	Deliberation Mode
Ghana	RCT 3,516 respondents(T1–meeting: 893, T2–ICT platform:849 and T3–both 882; control: 892)	Leaders and citizens’ information engagement forums; use of interactive voice response, SMS, and other information and communications technology tools	Infographics; citizen engagement platforms; SMS	Citizen information and engagement platform; interactive information, and information and communications technology platform
Mozambique	RCT 2,065 households (55 control; 50 information to leaders; 51 information to leaders and citizens; 50 information and deliberation).	Information module combined with a platform for deliberation and community theatre	Information flyers; community theatre; explanation of the content in local language by trained facilitators	Voting process
Voting process	RCT 2,000 individuals (information-only arm: 300; information and deliberation arm: 400; control: 1,300); elite pool: 125 individuals	Public consultation on natural gas discovery; information provided via video, followed by small group deliberation	Video; Q&A with expert panel	Informational video to also reach the non-literate audience



Transparency & Accountability Evidence Program: *findings*

- **Knowledge and Awareness:** Measured by an individual's self-reported level of understanding of natural gas exploration and revenue management;

Mixed evidence: information necessary but not sufficient

- *Mozambique:* information campaign alone was effective in raising both the leaders' and citizens' knowledge and awareness; but did not have an effect in Tanzania or Uganda.
- *Tanzania:* Combined with information, extended, structured and participatory deliberation generated a measurable increase in knowledge in Tanzania Mozambique and Uganda.

- **Changing attitude:** Measured as a change in perception on the rights and entitlement of people regarding extractive revenues, the obligation of gov'ts and companies to supply information and right of citizens to have that information

Mixed evidence: also

- *Uganda:* Multi-stakeholder forums MSFs helped increased efforts to pursue information and transparency perception; but did not change assignment of blame
- *Mozambique:* information campaign made people more optimistic about the future benefits of the oil discovery. But
- *Ghana:* found no improvement in the feeling of entitlement towards natural resource revenues.

- **Trust:** Measured as self-reported belief by citizens that institutions and political reps will share information on extractive revenues and expenditures.

- *Uganda:* MSF significantly increased participants' trust in the key decision makers.
- *Mozambique:* the trust game did not find any significant change in citizens' desire to contribute or to punish.



Transparency & Accountability Evidence Program: *findings*

- **Elite's and leaders' attitude and roles: Do they change when informed of citizen views?**
 - Seems to have a positive effect in Tanzania and Ghana but not in Mozambique
 - *Tanzania*: deliberative polling created an accountability loop.
 - *Ghana*: PIAC forum had a positive but small effect on DA members' and UC members' knowledge.
 - *Mozambique*: leaders did not introduce any clear within-community effort for distributing the information to citizens; in fact may have led to elite capture.
- **Collective action for demanding more Transparency and Accountability: Measured as engagement in meetings and discussions.**
 - **Strong positive effect when information is combined with deliberation.**
 - *Uganda*: I&D increased participants' self-pursuit of independent information and their attendance at village meetings.
 - *Mozambique*: I&D had strong positive effect on citizens' demand for transparency
 - *Ghana*: CIEP had a positive effect on ordinary citizens' willingness to demand transparency.



Transparency & Accountability Evidence Program: *findings*

- **Other effects: Difficult because of short-term nature of studies.**
 - **Developmental Outcomes:** Only Uganda was able to measure. no significant impact on land management or land ownership. Little improvement seen in access to secondary schools, electricity or safe drinking water.
 - **Environmental outcomes:** no significant effect seen on regulatory or environmental compliance or in outcome sin 3 studies
- **Heterogeneity Analysis**
 - *Uganda:* MSF increased the perception of transparency for men and women.
 - *Mozambique:* positive effect on the K/A level of the rural respondents while not so precise in urban and semi urban regions.
 - *Tanzania:* Educated respondents seemed to support transparency measures, whereas wealthier individuals demanded it lesser.



Transparency and Accountability Evidence Program: *challenges*

- Lack of a valid control group and counterfactual
- Voluntary codes of conduct and soft policies
- Inadequate, linear theories of change



Transparency & Accountability Evidence Program: *lessons and session takeaways*

- Need for more realistic theories of change and manageable evaluation scopes
- Little evidence on long-term impact
- Information should be combined with deliberation
- Interventions should seek to provide more clarity on action steps
- Reduce information asymmetry between the elite and ordinary citizens



Thank you



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