

# CAO COMPLIANCE PROCESS



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## COMPLIANCE PROCESS INITIATED

A compliance process may be initiated at the request of the parties during assessment, or if dispute resolution is not possible or fails. A compliance process can also be initiated by the CAO Vice President or at the request of the World Bank Group President or IFC/MIGA senior management in relation to a sensitive project or sector.



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## APPRAISAL REPORT

CAO conducts an appraisal and releases a report, which outlines CAO's decision to initiate an investigation of IFC or MIGA. Cases not advancing to the investigation phase are closed.



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## INDEPENDENT EXPERTS

CAO engages one or more experts to supplement the CAO team for the investigation.



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## CASE RESEARCH

CAO team researches the project and interviews IFC/MIGA staff and other relevant stakeholders.



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## SITE VISIT

A site visit may be required to observe project activities, and meet with the complainants and IFC/MIGA client.



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## DRAFTING PHASE

CAO team prepares a draft report, which is sent to IFC/MIGA for factual review and comment.



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## FINAL INVESTIGATION REPORT

CAO sends final investigation report to IFC/MIGA for official response. The response should specify how CAO's investigation findings will be addressed, and may include an action plan.



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## PRESIDENT PROVIDES CLEARANCE

The President of the World Bank Group reviews the investigation report and, if satisfied with the IFC/MIGA response, clears both for public disclosure.



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## MONITORING

CAO monitors IFC/MIGA actions in response to the investigation findings and issues a monitoring report at least once a year.



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## CASE CLOSED

Once assured that the investigation findings have been addressed and IFC/MIGA is/are in compliance, CAO will close the case.