AFRICAN DEVELOPMENT BANK

HANDBOOK ON STAKEHOLDER CONSULTATION AND PARTICIPATION IN ADB OPERATIONS

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ABBREVIATIONS AND ACRONYMS USED IN THIS HANDBOOK

ADB	:	African Development Bank
ADF	:	African Development Fund
CBO	:	Community Based Organisation
CSO	:	Civil Society Organisation.
CSP	:	Country Strategy Paper
ETC	:	Foundation for Ecology, Technology and Culture
FAO	:	Food and Agriculture Organisation
GIA	:	Gender Impact Assessment
GTZ	:	Deutsche Gesellschaft fur technische Zusammenarbeit
GRAAP	:	Group de Recherche et d'Appui pour l'Autopromotion Paysanne
IDB	:	Inter-American Development
IIED	:	International Institute for Environment and Development
M&E	:	Monitoring and Evaluation
NGO	:	Non-Governmental Organisation
OESU	:	Environment and Sustainable Development Unit
PCR	:	Project Completion Report
PPA	:	Participatory Poverty Assessment
PRA	:	Participatory Rural Appraisal
PRSP	:	Poverty Reduction Strategy Paper
RAAKS	:	Rapid Assessment of Agricultural Knowledge System
RMC	:	Regional Member Country
SARAR	:	Self-Esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility for Follow-Through
SWOT	:	Strengths, Weaknesses, Opportunities and Threats
UNDP	:	United Nations Development Programme
USAID	:	United States Agency for International Development
ZOPP	:	Objectives-Oriented Project Planning

I.   INTRODUCTION

1.1.   Over the past several years, issues of "participation" have become increasingly important at the African Development Bank. Like other international development institutions, the Bank has recognized that participation is essential to the achievement of its overarching objectives of poverty reduction and sustainable development. Participatory approaches have been shown to enhance project quality, ownership and sustainability; to empower targeted beneficiaries (in particular, women and poor people) and to contribute to long-term capacity-building and self-sufficiency.

1.2.   Numerous Bank documents refer to the importance of "stakeholder participation" and encourage staff to utilize a "participatory approach" in their day-to-day operations. For example, the Bank's Vision statement (1999) emphasizes the importance of "a bottom-up, participatory approach" and a "client-responsive approach to ensure stakeholder commitment and ownership". The Bank document entitled *Operationalizing the Vision* calls for a shift to an approach where "all stakeholders, including targeted beneficiaries of civil society, the donor community and borrower countries are involved from the outset of program design through to implementation". Multiple references are made to "stakeholder participation" and "participatory approaches" throughout the Bank's Operations Manual (in particular, in sections regarding the content of operational missions and project documents) and in almost all recent Bank policy papers, for example, those on Education , Governance, Economic Cooperation and Regional Integration, Cooperation with Civil Society Organizations, Population, HIV/AIDS (forthcoming), and Gender (forthcoming).

1.3.   The Bank has firmly committed itself to mainstreaming participatory development, and staff are required to adopt a participatory approach in carrying out their work. In practice, also, the Bank is making notable progress in translating the commitment to participation into concrete actions—in both its policy and project based interventions.

1.4.   The purpose of this Handbook is to help Bank staff and Regional Member Country (RMC) counterparts better understand what participation actually means in practice. It also provides guidelines as to what staff can do to promote participation at every stage of the Bank's project cycle, including the preparation of Country Strategy Papers (CSPs), and Poverty Reduction Strategies (PRS'). **Chapter I** introduces the content of the document and makes reference to relevant Bank documents. **Chapter II** explains the concept of stakeholder participation, including a description of different levels of participation, its benefits and risks, and underlying principles**. Chapter III** outlines specific actions that Bank staff should take to promote participation at each step of the Bank's project cycle. **Chapter IV** provides an overview of some of the most frequently used participatory methods, tools, and techniques. **Chapter V** explores some key institutional and resource implications related to mainstreaming participatory approaches in the Bank's work. It identifies current constraints and recommends specific steps that can be taken in order to translate the Bank's policy commitment to participation into action. Finally, the Annexes provide advice on where staff can go for further information on participation, including references for written materials, relevant web-sites and a variety of African and international institutions with such expertise.

5.   The Handbook it self has been prepared in a participatory manner. It draws on the experience and learning of many international agencies over the last decade. It also incorporates the experience and insights of Bank staff, project stakeholders and external consultants. Readers need only refer to those sections that are relevant to their needs. Persons who are not familiar with participatory development and what it entails should read Chapters II and III. More experienced staff can focus on Chapters III and IV.

CHAPTER II: UNDERSTANDING STAKEHOLDER PARTICIPATION

2.1   What is Participation?

2.1.1   Participation in development can be defined as the **process through which people with an interest (stakeholders) influence and share control over development initiatives and the decisions and resources that affect them**. In practice this involves employing measures to*: identify relevant stakeholders, share information with them, listen to their views, involve them in processes of development planning and decision-making, contribute to their capacity-building and, ultimately, empower them to initiate, manage and control their own self-development.*

2.1.2   Participation can take different forms, depending on the breadth of stakeholders involved and the depth of their participation. Box 1 describes six progressive levels of stakeholder involvement. The first three levels (information-sharing, listening and learning and joint assessment) constitute consultation, rather than participation as such. These levels might be considered as prerequisites for participation.   The   next   three   levels   (shared   decision-making,   collaboration   and,   finally, empowerment) constitute progressively deeper and more meaningful levels of participation.   As one moves from "shallower" to "deeper" levels of participation, stakeholders have greater influence and control over development decisions, actions and resources.

Box 1
Different Levels of Stakeholder Involvement

Consultation	1. **Information-sharing**: dissemination of documents, Public meetings, information seminars.
	2. **Listening and learning**: field visits, interviews, consultative meetings.
	3. **Joint assessment**: participatory needs assessment, beneficiary assessments
Participation	4. **Shared decision-making**: public review of draft Documents, participatory project planning, workshops to identify priorities, resolve conflicts, etc.
	5. **Collaboration**: joint committees or working groups with stakeholder representatives, stakeholder responsibility for implementation.
	6 **Empowerment**: capacity-building activities, self-management support for stakeholder initiatives.

Source: Adapted from World Bank, Participation Sourcebook, 1995.

2.2   Who are Stakeholder?

Stakeholders are **people/communities who may - directly or indirectly, positively or negatively – affect or be affected by the outcomes of projects or programs**.

2.2.1   *Primary stakeholders* are the beneficiaries of a development intervention or those directly affected (positively or negatively) by it. They include local populations (individuals and community-based organizations) in the project/program area, in particular, poor and marginalized groups who have traditionally been excluded from participating in development efforts.

2.2.2   *Secondary stakeholders* are those who influence a development intervention or are indirectly affected by it. They include the borrowing government, line ministry and project staff, implementing agencies, local governments, civil society organizations, private sector firms, the Bank and its shareholders and other development agencies.

2.2.3   A key element in participatory development is the ability to identify stakeholders, their needs, interests, relative power and potential impact on project outcomes. Stakeholder analysis, as described in Chapter IV, is particularly important in this respect.

2.3   Underlying principles of participation

2.3.1   Many methods and techniques have been developed to promote participation in development. Some of these are described in Chapter IV of this handbook. First and foremost, however, participation is an *attitude* or *mindset*. Adopting a participatory mindset means:

> ➢ *Focusing on people* – recognizing that people are at the center of development;
> ➢ *Being humble* – realizing that local knowledge is as valid as "expert' knowledge;
> ➢ *Learning to listen* - accepting that stakeholders have wisdom and a right to be heard;
> ➢ *Sharing control* – sharing influence and control with project stakeholders (This can be frightening for development experts that are accustomed to "being in control");
> ➢ *Empowering others* – focusing on building the capacity of marginalized stakeholders to find their own solutions to development problems, enabling beneficiaries to become active owners rather than passive recipients of development and;
> ➢ *Valuing process* – understanding development as a "process", not just a "product".

2.3.2   For development agents, therefore, promoting participation involves learning to:

> ➢ Communicate with people on all levels;
> ➢ Involve stakeholders in all stages of the project cycle;
> ➢ Ensure a voice for women and other groups that have traditionally been excluded;
> ➢ Promote the role of civil society in the development process;
> ➢ Use participatory methods and techniques;
> ➢ Establish mechanisms for decentralized decision-making, and;
> ➢ Support the capacity-building of local institutions.

2.4   Links between participation and other cross-cutting issues

2.4.1   Issues of participation are closely linked to other key "cross-cutting" issues at the ABD. Poverty is not just a lack of physical resources for development. It is also rooted in the inability of poor people to influence forces and decisions that shape their lives. Sustainable **poverty reduction** can only be achieved by empowering poor people to actively participate in (and ideally initiate and control) development interventions designed to better their lives.

2.4.2   Issues of **gender equity** are key to participation and vice versa. A fundamental principle of participation is that *all* legitimate stakeholders be heard – in particular, women and other vulnerable groups that have traditionally been excluded. Participatory approaches can contribute to women's empowerment by ensuring that women's views, as distinct from men's, are taken into account and by building the capacity of women's groups and other organizations devoted to gender equity.

2.4.3   Expanded partnership **with civil society organizations** (CSOs) is central to the Bank's efforts to implement participatory approaches. Those non-governmental organizations (NGOs) and community-based organizations (CBOs) that represent poor people and women are particularly important stakeholders in Bank-supported operations. Participation at the local level frequently takes place via CBOs and is facilitated by local NGOs. Supporting the capacity-building of such groups is an important element of promoting participatory development.

2.4.4   There are also close links between participation and **good governance**. Democracy and participatory governance are dependent upon the ability of citizens to express their views and to hold government (at all levels) accountable for its actions. By supporting and strengthening local representative institutions and providing forums whereby diverse stakeholders can make their voices heard, participatory approaches help lay the foundation for good governance at local/ national levels.

2.5   What are the benefits and costs of participation?

2.5.1   Participation has important benefits both as a means and as an end in itself. The Bank's main interest in participation stems from the need to ensure that Bank-supported policies and projects perform well. Evidence shows that participation is an important "means" whereby the quality, impact and sustainability of development policies, projects or programs can be enhanced. Participation can also be viewed as an "end" in itself, to the extent that it can raise the awareness of stakeholder groups and strengthen their capacity to analyze and resolve their own problems. In particular, it can assist weak or vulnerable groups to share equitably in development benefits and empower them to better defend their interests and initiate self-help actions. In this sense, participation is vital to achieving the Bank's overarching objective of sustainable poverty reduction.

Benefits

2.5.2   The potential benefits of increased stakeholder participation include the following:

  ➢ Improved project design by drawing on local knowledge and expertise to ensure that designs accurately reflects stakeholder priorities and needs;
  ➢ Means of verifying the relevance and appropriateness of proposed interventions;
  ➢ Strengthened stakeholder commitment to, and ownership of, policies and projects--leading to increased uptake of project services and greater willingness to share costs;
  ➢ Enhanced sustainability as a result of increased stakeholder ownership;
  ➢ Opportunity to foresee and/or resolve potential obstacles, constraints and conflicts;
  ➢ Means to identify and address potential negative social and environmental impacts;
  ➢ Opportunity to generate social learning and innovations based on field experience;
  ➢ Capacity-building of stakeholders and local institutions (including their capacity to analyze problems and initiate other development activities);
  ➢ Means of ensuring that project benefits are distributed equitably, and;
  ➢ Strengthened working relations between stakeholders, government and the Bank.

Costs & Risks

2.5.3   Each progressive level of consultation/participation brings with it different benefits and costs. Deeper forms of participation imply increased initial costs, but the potential pay-offs are also greater.

2.5.4   Lack of participation has many costs. The principal cost is the absence of stakeholder ownership and support that can lead to the *low up-take of project services; reduced sustainability of benefits; poor maintenance and; limited cost recovery of projects*. Lack of participation can lead to a sense of indifference, resentment, or deliberate obstruction on the part of intended beneficiaries.

2.5.5   Advancing stakeholder participation entails certain **costs and risks**. These include:

  ➢ Higher up front costs in terms of time and resources (for both the Bank and participants);
  ➢ Danger of undertaking poorly planned or merely token participatory activities due to limited time, capacity, commitment or resources;
  ➢ Lack of political will on the part of governments to allow wide participation because they fear loss of power or influence;
  ➢ Difficulty in reaching out to marginalized groups and ensuring that the true priorities and needs of poor and vulnerable groups are represented;
  ➢ Difficulty in identifying genuinely representative NGOs and CSOs;
  ➢ Co-optation of the participation process by more powerful or articulate stakeholders, and the exclusion of the poor and disadvantaged;
  ➢ Creation of unrealistic expectations;
  ➢ Aggravating conflicts between stakeholder groups with different priorities/interests;
  ➢ Weak capacity of beneficiary and intermediary organizations and;
  ➢ Challenge of coordinating efforts with other ongoing consultation/participation processes in order to avoid "*consultation fatigue*".

2.5.6   The quantifiable costs to the Bank of using participatory approaches in lending
operations will largely be incurred during the early phases of the project cycle. The most costly
element is the time of professionals skilled in participation -- either Bank staff or consultants -- on
mission and at headquarters. A World Bank surveys reveal that around 10% to 15% more staff time is
required for the design phase of participatory projects. However, evidence also suggests that the
overall time from project identification to loan signing is not significantly longer for participatory
projects. Possible participation-related costs to the borrower include the use of a proportion of the
project loan to finance participatory activities such as workshops and field visits and extra time spent
in negotiating with stakeholders. Evidence also shows that in the long-term, the benefits of
participation outweigh the costs.

2.5.7   There is significant evidence that stakeholder participation can improve the quality,
effectiveness and sustainability of development projects and enhance the commitment of
governments, beneficiaries and other stakeholders. Participatory approaches have proved particularly
important in reaching poor people and women – two priority target groups who, nevertheless, have
traditionally enjoyed little influence and control over decisions and actions affecting their lives.

2.5.8   has always interacted with governments and a limited range of stakeholders. In order
to meet its defined objectives of promoting poverty reduction and sustainable and equitable
development in Africa, it will broaden its operational practices to involve a much wider spectrum of
stakeholders and, in particular, place increased focus on the involvement beneficiary and stakeholder
groups that have often been marginalized in the past, such as women and poor people.

2.5.9   Promoting the increased participation of stakeholders is carried out in the face of
Systematic biases that inhibit and affect the capacity of beneficiaries to participate. Bank project staff
must therefore show sensitivity to the specific social and cultural norms and practices in which such
participation occurs.

**CHAPTER III :   KEY ENTRY POINTS FOR PARTICIPATION IN
                        BANK-SUPPORTED OPERATIONS**

3.1   Introduction

3.1.1   This chapter identifies and describes key entry points for participation at each stage of the Bank's project cycle. Throughout the chapter, references are made to Chapter IV where participatory methods/techniques appropriate to each stage of the project cycle are described.

3.1.2   This chapter is partly based on interviews with Bank staff who are charged with using participatory approaches to improve the quality of their work. Most guidelines, however, are based on the experiences of other MDBs and sister organizations. *There is no "blueprint" for participation and no one "methodology" to follow*. Approaches and methods must be adapted according to the country situation, the type of project and specific stakeholder characteristics and needs. Working in a participatory manner requires *innovation, creativity and flexibility*.

When should participation occur in the project cycle?

3.1.3   It's never too early or too late to initiate participation. Ideally, stakeholders should be identified and invited to contribute to project design from the earliest stages of project identification. (See section 3.3) In the policy arena, stakeholder involvement may precede project identification, starting "up-stream" in the preparation of Economic and Sector Work (ESW), PRSPs or CSPs. In the case of projects that are already approved, under implementation or near completion there are still opportunities to introduce participatory activities. For example, participatory techniques can be used during a project's mid-term review to solicit beneficiary feedback, reveal implementation problems and introduce necessary changes. Participatory methods can also be used to reassess non-performing or problem projects or to monitor and evaluate projects that have been designed and implemented in a traditional manner. Participation should be viewed as an ongoing process rather than a one-off exercise (or series of exercises). Accordingly, stakeholder participation can be incorporated in all aspects of project design, management and implementation, and at any point in a project's life.

Which kinds of projects are amenable to participatory methods?

3.1.4   Stakeholder participation can be applied in all Bank-supported project activities, including large infrastructure projects and policy-based lending. Broad-based participation is particularly important in community-level, social sector, micro-finance and poverty-focused projects, but it is not limited to these types of interventions.

When may participation be relatively easy or difficult?

3.1.5   The extent to which participatory methods can be employed and the breadth and depth of participation will vary considerably from country to country (and project to project). Some countries may be ready for a variety of participatory approaches across a range of policy and project work. In other countries, participatory approaches may be limited to project level experimentation and in some places there may be active hostility to meaningful stakeholder participation. The ease with which participatory approaches can be applied depends upon a number of factors. Promoting participation may be relatively easy where:

➢ Government is supportive of participatory approaches;
➢ Government and civil society enjoy collaborative working relations;
➢ Systems of decentralized decision-making are in place;
➢ Cultural practices lend themselves to open discussion and collaborative action;
➢ Executing agency/partners have experience or expertise in participatory methods;
➢ Bank project team includes members with participatory expertise;
➢ Mission programs include adequate time and resources for participatory activities;

- ➢ Stakeholders are organized and willing to participate, and commit time and resources;
- ➢ Project is based on expressed local demands;
- ➢ Project yields clear social and economic benefits, and;
- ➢ Resources for participation are incorporated into project budget and design.

What can staff do to generate government support for participation?

3.1.6   The following are tips for dealing with government reluctance to participatory approaches:

- ➢ Involve government from the very outset and keep relevant officials informed.
- ➢ Be a participation advocate. Take time to discuss with government officials (at all levels) the benefits of participatory approaches, including previous successes and set-backs.
- ➢ Appraise RMC counterparts about Bank policies, directives, and experiences in participatory approaches.
- ➢ Encourage the engagement of senior management (Division Chief, Director, VPs) in participatory events, to demonstrate the importance the Bank attaches to the process.
- ➢ Propose specific participatory actions to the government (rather than general principles), but remain patient and flexible, to the extent possible, offer several alternatives.
- ➢ Encourage field visits. Inviting skeptic RMC officials to interact directly with groups of stakeholders and to witness participation first-hand can be an effective method of convincing them of its usefulness.
- ➢ Build alliances. Identify and establish collaborative relations with individuals, groups and institutions within the country that are supportive of participatory approaches.
- ➢ Use small-scale pilots or demonstrations to illustrate the effectiveness of participation.
- ➢ Know how far to push. While the Bank must be clear and persevering in its commitment to participation, attempts to "force" a participatory approach on an unwilling government (or other stakeholders) are not likely to bring positive results. Where conditions are not favorable, staff must use their own judgement and proceed with prudence.

What is the role of Bank staff in promoting participation in the project cycle?

3.1.7   Responsibility for designing and carrying out participatory processes falls largely on borrowing governments since they are responsible for implementing Bank-financed projects. However, Bank staff have responsibility to ensure that projects are prepared and implemented in a participatory manner. In some cases, Bank staff (the Project Task Manager, Country Economist or other specialist) will themselves design and carry out participatory activities (e.g. facilitating a brainstorming session, carrying out a beneficiary assessment or consulting with stakeholders in the field). In most cases, however, Bank staff should be in a position of encouraging and supporting others (e.g. RMC counterparts, project staff, implementing agencies, consultants, etc.) in the application of participatory approaches. Bank staff must, therefore, be *advocates* of participation – convinced of the benefits of participation themselves and able to convince others of their importance.

3.1.8   Bank staff do not need to become experts themselves in participatory methods and techniques. They should, however, familiarize themselves with the key participatory approaches and methods in order to judge the appropriateness of proposed participatory actions, and advise on the design of participatory interventions. Bank staff should also be able to assist in the preparation of TORs for a participation specialist or study, and ensure that project budgets include adequate provisions for participatory activities.

What resources can Bank staff draw on to support participatory activities?

3.1.9   Bank staff interviewed during the preparation of this handbook sometimes cited lack of clarity regarding resources available to support participation as a constraint. Although the Bank at the present time has no resources specifically earmarked for participatory purposes, diverse sources of financial and human resources are currently available to Bank staff to support participatory activities. These include the following:

a) *Bank staff* with participatory expertise in CDs or OESU can join project teams;
b) *The Project Preparation Fund (PPF)* can be used to fund participatory research and studies, needs assessments, workshop expenses, etc. PPF operational guidelines specifically states "resources can be applied to promote participatory approaches in project formulation and design";
c) *Government resources* - Government staff with participatory expertise can join the project team, and can contribute facilities or services for workshops, consultations, field work, etc.;
d) *Bilateral trust funds* can be accessed to fund studies, specialized consultants/researchers, and the preparation of a *Participation Action Plan*, etc.;
e) *The Technical Assistance Fund (TAF)* can be used to fund participatory activities throughout the project cycle, including local institutional development, training and capacity-building;
f) *Project budgets*--Costs related to project preparation, community mobilization, needs assessment, community development, training, IEC, capacity-building, participatory M&E, etc. can all be built into project budgets, and;
g) *Administrative budget/mission expenses*--Small costs related to field travel, organization of small workshops and other expenses related to the application of participatory approaches is sometimes covered by administrative/mission budgets.

Most of the Bank resources cited above require a lengthy application and processing period, and staff interested in accessing them must factor the time lag into their planning process.

3.2   Preparation of CSPs

Benefits of participation in the preparation of CSPs

3.2.1   It is increasingly recognized that CSPs benefit from the active participation of a wide range of stakeholders. See Box 2 for a summary of the Bank's experience with participatory CSPs to date. Benefits of broad-based participation in the preparation of CSPs include:

> ➢ a "*more complete picture*" of national needs and priorities;
> ➢ *better indication of the concerns and views of priority populations*, such as the poor;
> ➢ *identification of appropriate strategies and actions* to address expressed demand;
> ➢ *realistic understanding of potential obstacles and risks* at *all* levels (national/local);
> ➢ *enhanced public understanding and support* for Bank-financed operations
> ➢ *enhanced transparency and accountability* in priority setting and decision-making;
> ➢ *improved dialogue/collaboration* between the government and stakeholders; and
> ➢ *enhanced stakeholder participation and ownership* of future Bank operations.

Proposed actions

3.2.2   The following is a guideline on participatory CSP preparation, designed to fit the various limitations of a typical Bank CSP preparation cycle.

Prior to the preparation mission

a) Develop a Participation Action Plan outlining the content and sequence of the consultation.
b) Discuss with government the nature and benefits of a participatory approach. (See section 3.1.6 on tips for dealing with government reluctance).
c) In collaboration with governments and other partners, establish a criterion for the selection of key stakeholders and a tentative consultation date (See section 4.2 on Stakeholder Analysis).
d) Contact other partners (such as UNDP and World Bank) to solicit their advice regarding the choice of stakeholders, to learn from their experiences and to explore coordination of efforts.
e) Disseminate to stakeholders key background documents, for example, the country's PRSP, (see Box 3 on participatory PRSPs) the previous CSP (in its entirety or in summary form) or specially prepared issues papers, as well as an explanation of the upcoming consultation and expected outcomes. If necessary, plan to have documents translated into local languages, and ensure that participants receive the documents at least 10 days prior to the consultation.

During the preparation mission

a) Meet with the government and key stakeholders on arrival to discuss the Action Plan, potential participants, and to ensure the inclusion of all important sectors and groups.
b) Finalize calendar of consultations and confirm availability of key stakeholders.
c) Conduct small-scale focus group meetings with different stakeholders (e.g. women's groups, NGOs, private sector, unions, local governments, parliamentarians, academics, community groups, donors, etc.). If possible, such consultations should extend to different regions and both urban/rural areas. (See section 4.3 on Participatory Meetings/Workshops).
d) Where time and resources allow, and particularly in countries where the Bank is supporting community-level interventions, focus group consultations could be complemented by other village level information-sharing and participatory research.
e) Analyze the findings and conclusions of these consultations (taking note of agreements and divergence, and special concerns of deprived groups) and discuss them with the government.
f) Time and resource permitting, schedule an 'exit consultation' at the end of the mission, inviting the key stakeholders already consulted. The purpose of this meeting will be to review the preparation process to date, discuss the results of focus group meetings, solicit additional views, and explain next steps/follow-up. Where possible, invite your Division Chief or Director to participate in this workshop, to demonstrate the Bank's commitment.

Box 2
Bank Experience with Participatory CSPs

As part of the participation mainstreaming strategy, Bank management mandated that all new generation of Country Strategy Papers (CSPs) be prepared in a participatory manner. As a result, almost all CSPs prepared by the Bank for the 1999-2001 period involved some form of consultation with civil society organizations and other stakeholders. This trend compares favorably with the previous round of CSPs (1996-1998) when no formal consultations with stakeholders outside of government were recorded. Given the experimental nature of this new approach; the lack of specific guidelines for staff, and; differences in individual country situations, experiences in preparing CSPs in a participatory manner varied greatly. In some cases, consultation was limited to a series of individual interviews while, in other cases, workshops and meetings involving several hundred stakeholders were organized. In some cases, professional facilitators were used but, in most cases, consultations were designed and led by Bank staff and their government counterparts. In Benin, for example, a team of resource persons (identified in collaboration with government) helped to organize a 2 day workshop, made up of five thematic commissions and involving about 120 participants. In Morocco, an additional "participatory approach" mission was scheduled, during which two 1 day workshops (on different sectors) were held involving a total of approximately 40 participants. Brainstorming and task team techniques were used to reach consensus on a list of key constraints and priority actions in each of the two selected focus sectors (human resource development and rural development).

During the dialogue mission

a) Organize and conduct the consultation in a participatory manner--refer to Section 4.3--Guideline on Participatory Meetings and Workshops.
b) Have the consultation agenda, format, and expected outcomes discussed and approved by all stakeholders prior to the start of the consultations.
c) Collect and incorporate comments from government and other stakeholders-- through submission of written comments, individual or group meetings.
d) Reach an agreement with the Government on how the consultation findings and agreements will be shared with all the stakeholders who took part in the dialogue.
e) At the end of the dialogue mission, hold a follow-up workshop, open to all stakeholders who participated in the process, to share findings and final results.

Subsequent activities

a) Implement the participatory program outlined in the CSP.
b) Monitor and evaluate the progress of the CSP in achieving its stated goals. A follow-up committee consisting of various stakeholders can be formed for this purpose.
c) The participatory preparation of the CSP should not be seen as a 'one-off' event but rather as one part of an ongoing process which aims to strengthen interaction and collaboration between government, the Bank and civil society. The preparation of subsequent annual updates should be used as an opportunity for renewed dialogue in a participatory context.

3.2.3 As the Bank strengthens its relations with stakeholder groups and expands its experience with participatory techniques, a variety of different approaches and methodologies are bound to emerge. While comprehensive and in-depth participation may not be possible in the first instances, staff are encouraged to work progressively with governments and stakeholders to improve and intensify the Bank's participation experience over time.

Box 3
Participation in the Preparation of Poverty Reduction Strategy Papers (PRSPs)

The PRSP is a participatory process of developing a national poverty reduction strategy and action plan. Its key building blocks include: identification of key constraints; consideration of appropriate public actions; consensus on outcome indicators; and a broad based consultation among all stakeholders. The inclusion of as wide a range of stakeholders--including the poor themselves, in the PRSP process has resulted in a better diagnosis and understanding of poverty, and the development of effective policy instruments to address the challenge. It is also helping build partnerships based on trust, dialogue, and consensus between governments, and stakeholders at all levels of society. By enabling all stakeholders to agree on common goal, the participatory process is helping ensure broad country ownership of the strategy. Continuous stakeholder monitoring of the implementation strategy and achievement of the outcome indicators enhances transparency and accountability in decision making in the public sector, and strengthens the sustainability of efforts to reduce poverty.

Practical tips

3.2.4 Key constraints identified by Bank staff in applying participatory approaches to the preparation of CSPs include the following:

➢ inadequate budget provisions for participatory activities;
➢ inadequate time in the field to prepare and carry out participatory activities;
➢ government reluctance to adopt a participatory approach;
➢ excessive government control over selection of participants;
➢ limited knowledge of and contact with stakeholder groups;
➢ lack of coordination with other participatory processes, and;
➢ lack of knowledge/expertise in participatory methods.

3.2.5 Some of these constraints are structural and can only be addressed at the institutional level. The recommendations proposed in Chapter 5 address some of these constraints. The following are some practical tips to assist staff in overcoming process related obstacles and promoting effective stakeholder participation in the preparation of CSPs. (See also section 3.1.6 for tips on dealing with government reluctance).

3.2.6 *Preparation/planning* – Advance preparation is key in developing a participatory CSP. Plan ahead to ensure that adequate time and resources are available. Estimate costs early on - taking into account, for example, field visits, the translation and dissemination of documents, workshop expenses (including the rental of facilities and equipment, the services of a facilitator and/or rapporteur, and travel/per diem costs of out-of-town participants). Agree with the government what service/products they can provide, and who will pay for it.

3.2.7 Maintain flexibility and an open mind – Consider various alternative approaches based on the particular country situation and be willing to adapt the participatory process according to stakeholder preferences. Don't assume from the outset that your ideas and strategies are the right ones. Do not make assumptions about who is or isn't capable of providing useful input. For example, workers, farmers, consumers, and community representatives may have first-hand insights about sectoral issues that government officials, "experts" and policy-makers lack.

3.2.8 Information-sharing – Access to information is a critical aspect of participatory approaches. Consultations are unlikely to be successful if Bank/government are working from one set of assumptions and knowledge basis and other stakeholders from another. It is important that *all* participants have access to a common information base, enabling them to participate in discussions on an even footing. All potential participants should be informed ahead of time of the upcoming process and should receive key background documents in advance. Issues of disclosure of Bank and/or government documents should be resolved prior to the instigation of participatory processes, and consistent with the Bank's Information Disclosure Policy.

3.2.9 Identification of participants – The selection of participants is key and should be undertaken in as transparent a manner as possible. Organizers should ensure that a broad spectrum of interests and views are represented, paying particular attention to those population groups that are frequently marginalized (e.g. women, youth, the poor, informal sector workers, ethnic minorities, etc.). While government should have a key role in identifying participants, Bank staff should try their best to ensure that groups with alternative views are not excluded. National NGO umbrellas and local representatives of international development partners can be valuable sources of information regarding stakeholder groups. It is essential to establish clear selection criteria and to allow some level of self-selection (for example, allowing the local NGO umbrella organizations to identify individual NGO representatives).

3.2.10 Clear expectations/goals – It is important, from the outset, to define the parameters, goals and expected outcomes of participatory processes. In order to avoid creating unrealistic expectations (and subsequent disappointment), participants should be informed ahead of time if certain subjects are non-negotiable or if certain decisions have already been taken. It should be explained to participants how final decisions will be made and to what extent their contributions will be taken into account.

3.2.11 Use of a trained facilitator – Participatory approaches which seek to draw out a variety of views from divergent interest groups inevitably run the risk of encountering disagreement/conflict. While healthy debate is desirable, criticism and disagreement can become counter-productive if not properly managed. Since the ultimate goal is to reach some form of consensus on a common strategy, the use of facilitation and conflict resolution techniques is important in order to maintain a constructive framework. Whenever possible (and particularly in cases of projects with potentially high degree of opposition), the use of a professional facilitator is recommended.

3.2.12 Be prepared to Listen and learn – It is important for both the government and the Bank to participate actively in consultations without controlling or dominating the event. Remember the primary purpose is to *listen* and *learn*, not to lecture.

3.2.13 Follow-up – It is important that participants see the *impact* of their involvement and have access to the final resultant product. This needs to be arranged in advance; it can be done either through a follow-up workshop (at the end of the preparation and/or dialogue mission), or through a mechanism for disseminating the completed CSP and subsequent consultations and reviews.

3.3   Project identification

3.3.1   Project identification offers a key opportunity for promoting stakeholder participation from the very outset (*up-stream*) of Bank-supported intervention. It is particularly valuable to have input from primary stakeholders at this stage while it is still possible to influence fundamental decisions regarding the overall sector of intervention and general objectives and goals. Introducing a

participatory approach at this stage also gives Bank staff lead-time to plan and prepare for participatory activities in subsequent stages, and to sensitize government counterparts to the importance and benefits of such an approach. It also enhances the chances of achieving effective participation in subsequent stages of the project and helps to clarify the potential role and contributions of stakeholder groups throughout the life of the project.

Proposed actions

3.3.3   The following is a description of some specific actions that Bank staff can take before, during and after a project identification mission to promote stakeholder participation. Again, it is important to note that *there is no "blueprint" for participation. The actions described here are not requirements or directives, but suggestions from which Bank staff can draw inspiration. Nor is this list of actions an exhaustive one. Bank staff may (and are highly encouraged to!) innovate and propose their own participatory approaches and activities.*

Before the identification mission

   a)   Prepare a Participation Action Plan to guide the task of identifying, involving, and monitoring effective stakeholder participation at various stages of the project cycle.

   b)   As discussed in Chapter II, a key prerequisite for promoting a participatory approach is to identify and classify relevant stakeholders. Even as a project has been identified, Bank staff can undertake a preliminary analysis of key stakeholders in the sector/region of concern. This can be revised/finalized over time. This preliminary analysis can be initiated at headquarters (based on Bank staff's previous knowledge, Database of NGO/CSOs in OESU, contacts and experience in the sector) and expanded/modified during the mission based on extended contacts and consultations. (See section 4 on Stakeholder Analysis).
   c)   Gather background information related to the specific sector of intervention and information regarding prior projects and programs from government, donors and NGOs in the country. Potential sources of information include personal contacts, documents and the internet.

During the identification mission

   a)   In addition to meetings with government officials and donors, expand your contacts to include discussion with NGOs/CSOs, implementing agencies, potential project beneficiaries, community groups and other stakeholders.
   b)   Make site visits - Travel outside the capital to the proposed project sites and meet the people to be affected by the proposed intervention. Hold informal dialogue with potential beneficiaries. Consult with staff and beneficiaries from previous similar projects to evaluate impact, identify potential obstacles and draw lessons learned.
   c)   Where necessary, use participatory techniques to collect data (see section 4.4).
   d)   As necessary, conduct or commission background studies – such as identification of disaggregated stakeholder data, participatory social assessment to identify key social issues, participatory needs identification to understand stakeholder/community priorities and needs.
   e)   Organize *information-sharing seminars* (to inform key stakeholders about the proposed intervention); *focus group consultations* (to solicit views from different groups of stakeholders regarding priorities and needs); *planning workshops* (to solicit stakeholder input into the project planning process); *validation workshops or community meetings* (to confirm the validity of the proposed intervention with primary stakeholders). See section 4.3 for tips on organizing such meetings.
   f)   Take first steps towards identifying local institutions, researchers, and local expertise in social analysis, participatory methods, training, etc.
   g)   Consider establishing a project preparation advisory committee (with representatives from stakeholder groups) to oversee/advise project preparation and appraisal work.
   h)   Ensure that participatory processes and outcomes are reflected in the mission aide-mémoire and back to office report.

After the identification mission

> Prepare a preliminary plan for participatory activities during project preparation and appraisal. Estimate required financial and human resources, prepare a budget for participation-related costs, initiate process of mobilizing resources and recruiting staff with appropriate expertise to join the project team. As necessary, request assistance from social scientists (in CDs or OESU) to assist in the preparation of TORs.

Practical tips

3.3.4   The following is a list of questions/issues that should be addressed during a project identification mission. Staff can use this as a checklist during their time in the field to identify any outstanding issues or information gaps.

- ✓ Have you identified the key primary and secondary stakeholders of the proposed intervention? remember that this stakeholder list can be modified over time as project preparation progresses and stakeholder groups become clearer.
- ✓ Have you identified the project's target beneficiary population?
- ✓ Have you collected household level base-line data about the target population, where available disagregated by gender, income, and household size?
- ✓ Have you collected adequate information on similar projects/programs in the same sector and taken note of lessons learned?
- ✓ Have you discussed the importance and expected outcome of stakeholder participation with government counterparts?
- ✓ Have you met with a sample of primary and secondary stakeholders to verify the demand and validate the project/program idea?
- ✓ Have you considered project alternatives (based on stakeholder inputs)?
- ✓ Have you consulted with women and men? With the poor as well as the non-poor?
- ✓ Have you laid the groundwork for ensuring stakeholder participation in subsequent preparation and appraisal missions?

3.4   Project Preparation

3.4.1   Preparation is the process that converts a project or program idea into reality. A broad range of possibilities for participation exists at the project preparation stage. Formal responsibility for project preparation lies primarily with the borrower. Bank staff, however, frequently assist borrowers in carrying out preparation work, undertaking necessary background studies and preparing or finalizing project preparation and appraisal reports. Bank staff also have an important role to play in advocating and supporting the use of participatory approaches in designing projects.

Box 4
Promoting the Participation of Primary Stakeholders

Some groups - such as the very poor, women, nomadic groups or ethnic minorities – may lack the organizational, social or financial means to make their voices heard and participate effectively. These are often the exact stakeholders whose needs and interests are critical to the success and sustainability of Bank-supported development interventions. Special efforts are needed to address the disequilibrium of power, knowledge and influence among stakeholder groups and to allow weaker, less organized groups to interact effectively with stronger, more established stakeholders. These include:

- *Capacity building* – Providing training, coaching, financial or other resources to marginalized groups to assist them in organizing, mobilizing support, identifying and articulating their interests.
- *Mandated representation* – Where there is a danger of exclusion, it may be useful to establish targets of representation, for example, agreeing that all village committees will include an established number of women or that all ethnic groups in a given community will be represented on a decision-making body.

3.4.2 *Key features of a participatory project*

a) It is based on expressed primary stakeholder needs.
b) There is an action plan that outlines how stakeholder will participate throughout the project cycle.
c) Primary stakeholders play an active role in the implementation and management of projects. (For example, village-level committees become responsible for overseeing and executing works at the local level, and beneficiary representatives sit on project management committees or boards)
d) The project has a defined gender strategy and women are equitably represented on project committees and decision-making bodies.
e) There is some level of flexibility in project activities and some level of being "demand-responsive". (For example, beneficiary communities are able to influence and to choose among a possible sub-projects).
f) Project design foresees "facilitation" or process support at the level of primary stakeholders.
g) NGOs, CBOs and other CSOs are involved in project design and implementation.
h) The project includes training and capacity-building components for individuals and institutions.
i) There are mechanisms for ongoing communication/information exchange between beneficiaries and project staff. Beneficiaries know the procedure for questions, suggestions, or complaints.
j) Project design incorporates a system of participatory monitoring and evaluation. (See Section 3.8).

Proposed actions

3.4.3 The following are some guidelines as to specific actions Bank staff can take to promote stakeholder participation during project preparation. See Box 6 below on promoting women's participation in project planning.

Before the preparation mission

a) If it hasn't already been done during the identification mission, conduct a preliminary stakeholder analysis. (See section 4.2).
b) Mobilize necessary resources for participatory activities during project preparation (see section 3.1 for suggested potential sources of resources) and recruit mission members with appropriate expertise (specialists in social development, participation, poverty reduction, community development, etc.) as necessary.
c) Where contact has already been made with stakeholder groups during project identification, organize follow-up activities as appropriate.
d) Prepare any background materials or information requested by stakeholders during the identification mission.
e) Organize a working meeting with all mission members to discuss participatory activities to be undertaken during the preparation mission and draft an action plan.

Working with women sometimes requires specially adpapted methods or provisions, which have to be integrated into project planning:

- Based on the gender division of labor, women often perform different tasks and have productive, domestic and social responsibilities that differ from those of men. Their experiences, needs, interests, opportunities and constraints are, therefore, also frequently different from men's.
- Women's ability to participate in development activities may be impeded by time constraints due to heavy workloads and household tasks. Limited mobility, lower levels of education, and cultural norms discourage women from speaking in public or expressing views different from those of men.
- Sometimes it is preferable/necessary to meet with women separately. This depends on local culture and traditions, but also on the situation and subject of discussion. It is often useful to discuss subjects first with women's groups and later in mixed groups or with the entire community.
- Women are often more willing to speak in smaller groups.
- Women may require different (or more intensive) training in areas such as planning, group organization and financial management, since their experience may be more limited in these fields.

During the preparation mission

a) Discuss with government counterparts the benefits of participatory project preparation and, ideally, jointly agree on a preparation plan – for example, agreeing on the background studies/assessments necessary, the meetings/consultations that will take place, and who will organize/participate in the field visits, etc.

b) Where participatory background research/studies are to be carried out, consider organizing training in participatory techniques for government counterparts, line ministry staff or project staff and have them join the research/study team. PPF, TAF or bilateral trust funds could potentially be used for this purpose.

c) Validate and finalize your preliminary stakeholder analysis - or conduct one now if it hasn't yet been done. (See section 4.2).

d) Use social assessment to identify and analyse the socio-cultural factors that might influence project implementation and outcomes.

e) Conduct or commission participatory studies/assessments, as necessary, and as time and resources allow. These might include, social assessments, participatory needs assessments, institutional assessments, gender analysis or environmental assessments.

f) Update the Participation Action Plan to accurately reflect the specific activities, mechanisms and procedures that will be applied during project implementation to ensure effective stakeholder participation. Included the Plan as a section of the Project Implementation Document or as an Annex to the Project Appraisal Report.

g) Establish direct contact with potential beneficiaries and other primary stakeholders to discuss their needs and priorities, inform them of proposed project activities and solicit their views and recommendations regarding project objectives and implementation. This is best undertaken in the field (close to beneficiaries home base) and can be done using methods such as *informal dialogue*, *semi-structured interviews, focus group meetings*, and other forms of participatory research. (See Chapter 4 for more details on these various methods).

h) Once proposed activities have been validated (and modifications proposed by stakeholders have been incorporated), move on to discussions of how primary stakeholders will be involved in project implementation, management, decision-making and monitoring. Ideally, begin to jointly design specific mechanisms and procedures for participation at this time (for example, the formation of village management committees, beneficiary representation on boards and other decision-making bodies, the establishment of a system of ongoing two-way information exchange between beneficiaries and project staff).

i) Consult with secondary stakeholders (including NGOs, donors and private sector representatives) to obtain their viewpoints and explore possibilities for collaboration and/or co-financing. (See Box 6 on NGO/CSO involvement in Bank-supported projects). Where NGOs or other CSOs are to be involved as intermediaries or executing agencies, inform them of the details of Bank procedures (especially procurement and disbursement practices) and

ensure they understand requirements and timelines. Explore, to the extent possible, simplified or alternative arrangements better-suited to CSO's organizational and financial realities – for example, the use of simplified contracts, provisions for advance payments, appropriately adapted procurement procedures, etc. (See the Bank's Policy and Guidelines on Cooperation with Civil Society Organizations).

j) Consider establishing regional or local-level advisory committees (made up of diverse stakeholder representatives) to oversee project preparation and implementation (in collaboration with the PIU).

k) Towards the end of the mission, consider organizing a broader workshop (bringing together representatives from the various stakeholder groups consulted during the mission) to summarize the mission's overall findings, present a preliminary project plan, and to seek their advice/guidance on outstanding problem and issues.

l) Ensure that a description of participatory processes, outomes, and key stakeholder inputs are reflected in the mission aide-mémoire, back to office report, and Project Preparation Report.

Box 6
NGO/CSO Involvement in Bank-Supported Projects

Like many of its sister organizations, the ADB has in recent years sought to expand its relations with non-governmental organizations (NGOs) and other civil society organizations (CSOs). In 1990 the Bank adopted an official policy on cooperation with NGOs and in 1991 issued guidelines and procedures related to that policy. In 2000, a new revised Policy and Guidelines on Cooperation with Civil Society Organizations was approved by the Board. An operational study carried out at that time revealed that a total of 57 Bank-supported projects in 26 countries had involved CSOs. In total over 350 community-based organizations (CBOs), 250 national NGOs and 55 international NGOs had participated in Bank-supported projects. The study revealed a rapid increase in CSO involvement in recent years. From 1986 to 1996, on average, only 2 projects per year involved CSOs while, from 1997 to 1999, that average increased to 13 projects per year.   Most projects involving CSOs were in the areas of poverty reduction (33%), agriculture/rural development (30%) and support to women (16%). CSOs have mostly been involved in the *implementation* of project activities (88% of projects identified). In two thirds of projects, CSOs were involved in project *identification*. In only one half of cases did they participate in project *design* and only in one third of cases in project *management*.

3.5   Project Appraisal

3.5.1 It is during appraisal that project design is finalized and operational details and procedures are fully developed and agreed to by all parties. While stakeholder participation is extremely valuable in the earlier stages of project preparation (when fundamental decisions regarding objectives, goals and overall activities are being discussed), it is also crucial at this stage to ensure that the specific project structures and mechanisms that are put in place are acceptable to stakeholders and amenable to participatory processes. As stated earlier, it is also never too late for participation. Even if no participatory activities have been undertaken during early stages of the project cycle, they can be introduced now. (If this is the case, please refer to the actions proposed in sections 3.3 and 3.4 on project identification and preparation).

Proposed actions

3.5.2   The following are some guidelines as to specific actions Bank staff can take to promote stakeholder participation during project appraisal.

Before the appraisal mission

a) Mobilize necessary resources for participatory activities during the appraisal mission and recruit mission members with appropriate expertise as necessary.

b) Where participatory activities have already been initiated during project preparation, plan follow-up activities as appropriate.

c) Prepare any background materials or information requested by stakeholders during the preparation mission. Consider disseminating the Project Preparation Report to a limited number of stakeholder representatives for comment.

d) Follow-up on the progress of any background studies/assessments commissioned during identification or preparation phases (e.g. social assessment, gender analysis, participatory environmental assessment, etc.). Ensure that the findings of these studies are reflected in the draft appraisal report.

e) Organize a working meeting with mission members to discuss participatory activities to be undertaken during the appraisal mission and draft an action plan.

During the appraisal mission

a) If it hasn't already been done, undertake a preliminary stakeholder analysis. (See section 4.2).

b) Discuss with government counterparts and other stakeholders the findings of relevant background studies. During the mission, fill in information gaps and seek stakeholder advice on addressing problems or outstanding issues identified in the studies.

c) Hold follow-up meetings with primary and secondary stakeholders to update them on the progress of project preparation and to seek their input with regard to the more specific operational and technical details of project design.

d) This is the moment to clarify details and verify assumptions around procurement and disbursement procedures, project timelines and implementation schedules, the composition and responsibilities of steering and management committees, the timing of training activities, stakeholder contributions to project activities (in kind, labour or cash), the mechanisms and procedures for participatory monitoring and reporting, etc.

e) If NGOs or other CSOs will be involved as implementing agents, meet with representatives of this group to discuss selection criteria and operational procedures. If such groups have had no prior experience with Bank-supported projects, consider organizing briefing sessions on procurement and disbursement rules and/or other relevant procedures. See Box 8 on Criteria for Identifying Participatory NGOs.

f) If it hasn't already been done, establish regional or local-level advisory committee, made up of various stakeholder representatives, to work with the PIU in overseeing project implementation.

g) If it hasn't already been done, consider preparing a Participation Action Plan that outlines the specific activities, mechanisms and procedures for stakeholder participation throughout project implementation.

h) If appropriate, consider organising a "wrap up" workshop with representatives of the stakeholder groups consulted during project preparation to share final results, seek advice/guidance on outstanding problem/issues, and discuss concrete arrangements for ongoing stakeholder participation during project implementation.

i) Ensure that participatory processes and outcomes are reflected in the mission aide-mémoire and back to office report.

After the appraisal mission

a) Ensure that a description of participatory processes and the outcomes of stakeholder consultations are incorporated into the Project Appraisal Report. In particular, ensure that the project description clearly outlines specific provisions for primary stakeholder participation (especially women/poor people) during implementation.

b) Work with government counterparts to initiate any project-related activities that can be undertaken immediately upon project approval - prior to the official project launch, for example, base-line data studies, pilot sub-projects, preliminary training events, etc.

Practical Tips

3.5.3   The following is a checklist that Task Managers can use to verify that their Project
Appraisal Report contains adequate information regarding the use and results of participatory
approaches. This checklist can also be used by staff reviewers in assessing project documents in the
context of the Bank's internal review process.

Does the project document:

✓ Include a description of the participatory processes employed during preparation?
✓ Clearly identify the project's primary stakeholders–-including targeted beneficiaries and other
directly affected groups?
✓ Include base-line information regarding the socio-economic profile of targeted beneficiaries--
disaggregated by gender and income, where possible?
✓ Identify and explain socio-cultural factors that could affect the success of the project?
✓ Provide an assessment of local-level institutions and decision-making structures such as local
government, decentralised government services, and traditional authorities?
✓ Include a brief assessment of NGOs, CSOs and other local organizations active in the sector
(see Box 7 on Criteria for Identifying Participatory NGOs)?
✓ Make provisions for the involvement of NGOs, CBOs, or other CSOs during project
implementation?
✓ Include an analysis of relevant gender issues?
✓ Demonstrate that traditionally disadvantaged groups have been consulted?
✓ Where necessary, outline specific provisions for targeting women and poor people?
✓ Describe the specific measures (Action plan) put in place to ensure the participation of
primary stakeholders through out project implementation?
✓ Foresee provisions for training, capacity-building and/or institutional development activities
of institutions at the local level?
✓ Foresee adequate financial and human resources for participation activities throughout project
implementation? (For example, does the project budget include resources for activities
related to training, capacity-building, local-level institutional development, recruitment of
local participation/social development specialists, the training/salaries of community-level
development agents, etc.?)
✓ Include primary stakeholders representatives on the Project Steering Committee (or other
project management structures)?
✓ Outline a strategy for participatory monitoring and evaluation?

Box 7
Criteria for Identifying Participatory NGOs

- Participation is a stated objective of the NGO (mission statement as well as in actual practice).
- Iterative planning, involving consultation with primary stakeholders, is used by the NGO.
- Primary stakeholders have a positive view of the NGO.
- Establishes cost-sharing arrangements with beneficiaries to enhance local ownership and ensure
sustainability.
- Mechanisms for transparency and bottom-up accountability are in place.
- The NGO has a flat management structure and decentralised decision-making authority.
- Proportion of field staff to headquarters staff is high.
- Men and women staff employed at all levels--including in leadership positions.

Source: Adapted from World Bank, Participation Sourcebook, 1995.

3.6　Project Implementation and Management

The extent to which there is effective stakeholder participation in project implementation and management is largely dependent upon the quality of project design. Participation can be promoted at any stage of the project cycle, but there is a much greater chance of achieving meaningful results if stakeholders are consulted during project design and project objectives, structures, procedures and budgets are designed with a view to promoting participation. Even where no specific provisions have been made, however, steps can be taken to promote stakeholder participation at the implementation phase. Since the Bank does not play a direct role in project implementation, responsibility for promoting participation at this point lies mainly with the staff of the project implementation unit, relevant line ministries and implementing agencies. Bank staff can, however, provide continued encouragement, support, advice, and monitoring through field missions, ongoing dialogue and exchange with project staff and other stakeholders throughout the project life.

Proposed actions

During the project launching mission

a) The project launching mission can be a good opportunity to reiterate the project's participation-related goals with government counterparts, to renew contacts with key stakeholder groups (in particular, if much time has passed since the project appraisal mission) and/or to launch participatory activities, public information campaigns, training activities or pilot sub-projects. Try to visit project sites during the launching mission and, to the extent possible, organize launching events in target regions rather than limiting them to the capital.

b) To the extent possible, involve primary and secondary stakeholders in project launching activities. Encourage any already recruited project staff, implementing agencies or intermediary organizations to play an active role.

During project implementation

a) Clear channels of communication between project beneficiaries, project staff, government officials and Bank staff should be kept open at all times. Mechanisms should be in place to provide continual beneficiary feedback to the PIU and executing agencies. This, in turn, requires some level of flexibility in project plans to be able to respond to beneficiary needs.

b) The larger beneficiary population should be kept regularly informed of project events and accomplishments. This can be done for example through information campaigns using radio, television, the written press, posters and other local media.

c) Additionally, empowering beneficiary groups to play an active role in project implementation and management requires:
   - the presence of project beneficiaries or their elected representatives on project steering committees or Boards or other supervisory or decision-making bodies;
   - technical training and assistance to build local capacity for organizational as well as technical responsibilities;
   - shared decision-making in implementation (e.g.: in the form of a Memorandum of Understanding) between beneficiary groups and the executing agency.

d) In projects with activities at the community level, procurement rules and regulations should be adapted to allow as much community input as possible. (See section 4.12 of *Rules of Procedure for Procurement of Goods & Works*; "Community Participation in Procurement").

e) Ideally, project beneficiaries should participate in determining the list of necessary equipment and goods. The choice of equipment and materials should take into account beneficiaries' long term needs. To the extent possible, equipment chosen (and replacement parts) should be available in-country. Project beneficiaries should be able to operate and maintain (with training if necessary) the selected equipment.

f) To ensure long-term sustainability, adequate provisions must be made to ensure that project beneficiaries have the financial and technical capacity to maintain the equipment/materials.

3.7 Project Supervision

3.7.1   Over recent years, the Bank has placed increased emphasis on project supervision and augmented the frequency, intensity and quality of supervision missions. More and more, supervision missions are viewed not just as a means for monitoring the technical and financial aspects of project implementation but also for assessing project results and impacts and identifying and addressing any problems, issues or design flaws affecting overall project performance. Supervision missions also provide an opportunity for collecting feedback from project beneficiaries and other stakeholders and for monitoring stakeholder participation in project implementation and management.

Proposed actions

a) During supervision missions, travel to project sites to meet with project beneficiaries and solicit their views, concerns, and recommendations about project progress.
b) Try also to meet face to face with representatives from implementing agencies, intermediary organizations, decentralized government agencies, and other local stakeholder groups to learn of their perspectives, problems, and recommendations.
c) Invite government counterparts or line ministry staff to accompany you on these visits so they can also listen to beneficiary concerns and recommendations first hand.
d) Where systems of participatory monitoring and evaluation are in place, review findings with project staff and primary stakeholders groups who were involved in identifying and monitoring progress indicators. (See section 3.8 below on participatory M&E).
e) Through informal interviews during the site visits, monitor the actual level of stakeholder participation in project activities. (See section 3.7.2 for some suggested indicators of stakeholder participation. Such indicators/targets should be set during project appraisal). If the monitoring exercise reveals lower than expected levels of participation, explore the reasons for the low level of participation, and propose corrective measures as necessary.
f) Use the mid-term review as an opportunity to hold more formal consultations with primary/secondary stakeholder groups, to identify obstacles, note recommendations and make revisions to the project design and project budget, as necessary.
g) Ensure that the key issues and concerns raised by stakeholders are described and addressed in the mission aide-mémoire and Supervision Report.

Practical tips

3.7.2   The following is a guiding checklist that can be used to monitor effectiveness of stakeholder participation in project activities.[1]

✓ Who is participating? (e.g. women and men, minority groups, economic classes)
✓ How many people are participating and through what institutional arrangement?
✓ Are local project support institutions developing satisfactorily (e.g. frequency of group meetings, attendance rates)?
✓ Are the intended beneficiaries actively engaged in Project up-take–-using project services as planned (e.g. school enrolment, clinic visits, credit services)?
✓ What is the level of participation in key activities (e.g. numbers attending project workshops, training events)?
✓ Are participants mobilizing their own resources to contribute to the project as agreed to earlier (e.g. time, labor, construction materials)?
✓ Are project beneficiaries satisfied with project progress, outputs, and impact?
✓ How do beneficiaries assess their own levels of participation and its impact?

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[1] Source: Adapted from World Bank, Participation Sourcebook, 1995.

3.8   Project Monitoring and Evaluation

3.8.1   Monitoring and evaluation are important not only for donors and implementing agencies, but also for project beneficiaries. No matter how development specialists measure the technical outcomes of a project, the criteria beneficiaries use to evaluate their own experiences will determine the sustainability of a project. Participatory M&E is a process that involves stakeholders at different levels working together to assess a project and take any required corrective action. Monitoring is undertaken as an ongoing process throughout the project cycle, while evaluations are usually conducted at project mid-term, completion or ex-post. The stakeholders groups typically involved in participatory M&E include project beneficiaries (including women and men at the community level), intermediary organizations (including NGOs), private sector firms involved in the project, project staff, and government authorities at all levels. See Table I for a comparison of participatory M&E with more conventional approaches.

Benefits of participatory M&E

3.8.2   *Participatory (M&E) should fulfil four key functions:*

➢ help build capacity of stakeholders to reflect, analyse, and take action;
➢ help develop lessons learned that can lead to corrective action;
➢ provide stakeholders and program managers with information on the degree to which the project is meeting its objectives, and used resources, and;
➢ help program staff improve program implementation.

3.8.3   *Key characteristics of participatory M&E are:*

➢ it draws on local resources, know-how, and capacities;
➢ its answers and questions are based on local perceptions, strategies, and priorities;
➢ it recognises the wisdom and knowledge of poor people, and;
➢ it ensures stakeholders are part of decision making.

Table I
Participatory and Conventional Approaches to M&E Compared

	Conventional M&E	Participatory M&E
Who	External experts	Stakeholders, including communities and project staff, outside facilitator
What	Predetermined indicators, to measure inputs and outputs	Indicators identified by stakeholders, to measure process as well as outputs
How	Questionnaire surveys, by outside "neutral" evaluators, distanced from project	Simple, qualitative or quantitative methods, by stakeholders themselves
Why	To make project and staff accountable to funding agency	To empower stakeholders to take corrective action

Source: Adapted from Rietbergen-McCracken and Narayan, 1997.

Proposed actions

a) Build provisions for participatory M&E into project design. (See Box 9 on the Mali Poverty Reduction Project for an example).
b) Ensure that the project implementation plan foresees the need for the collection of base-line data, ideally, using participatory techniques that involve primary stakeholders in the collection and analysis of base-line data. (See section 4.4).

c) Allow primary stakeholders to identify (or participate in the identification of) impact indicators--which may not always be quantifiable.

d) Build into project design the ongoing monitoring of impact indicators by primary stakeholders and the transmission of findings to the PIU and the Bank.

e) During supervision missions and mid-term review, convene meetings and encourage stakeholder groups to present their findings. Take corrective measures as necessary.

f) Where no system of ongoing M&E by beneficiaries has been put in place, Bank and project staff can still seek to obtain feedback from primary stakeholders through site visits, informal dialogue or the organization of occasional stakeholder M&E workshops (at the local, regional or national levels).

Box 8
Participatory M&E in the Mali Poverty Reduction Project

During the preparation of the Mali Poverty Reduction Project, bilateral trust funds were used to recruit a participatory specialist to assist the project team in designing a participatory monitoring and evaluation (M&E) system. A detailed description of the system, designed to (i) chart the progress of physical works; (ii) monitor overall project implementation, and; (iii) evaluate project impact, was included in the Project Implementation Document. In this system project beneficiaries play an active role in identifying indicators (of project progress and impact) and in monitoring these indicators throughout the life of the project. Using participatory data collection techniques, baseline data is collected on each participating community. Once project activities begin, simple "progress monitoring
forms" are filled in every 3 months by beneficiaries and submitted (through a Community Development Agent) to local authorities and the PIU. The PIU also receives regular progress reports from participating NGOs and other project intermediaries which it incorporates into its progress reports to the Bank. Regular stakeholder meetings at the local, regional and national level serve to discuss overall progress and address any persistent problems or obstacles.

3.9   Project Completion

3.9.1   For the task manager, project completion is the culmination of regular supervision. In the Project Completion Report (PCR) an assessment is made of the degree of achievement of the project objectives, the prospects for project sustainability, the performance of the Bank and the borrower, the project outcome and a plan for future project operations. Lessons learned from implementation are also identified. Increasingly, project impact is being stressed over administrative control standards.

3.9.2   The sustainability of development interventions is largely determined by beneficiaries own appraisal of the usefulness and effectiveness of project benefits and services. Consultations with project beneficiaries (and other stakeholders) are, therefore, an essential aspect of evaluating a project's overall quality and success at completion. Whether or not a system of participatory M&E has been in place during the life of the project, a main aim of the project completion mission should be to obtain feedback from primary stakeholders regarding their assessment of the project. Beneficiaries should be allowed to identify and use their own indicators and standards of project success, and these should be reported in the PCR.

Proposed actions

Before the project completion mission

a) Ensure that TORs for the project completion mission include participatory activities aimed at collecting feedback from primary and secondary stakeholders.

b) Include a participation specialist or a social scientist on the project completion team.

c) Foresee any extra participation-related mission costs (for example, related to field travel, workshops, recruitment of local researchers and consultants, etc.).

During the project completion mission

a) Solicit feedback from primary and secondary stakeholders regarding their perceptions of the efficiency and effectiveness of project services, key problems or shortcomings and their appraisal of project outcomes, results and impacts. This can be achieved at the field level through informal dialogue, semi-structures interviews, focus group meetings, village meetings, etc.
b) Workshops might also be convened at the regional/national level to assemble groups of stakeholders to share their views. (See Chapter 4 for a description of methods).
c) Recruit local researchers, facilitators or translators as necessary.
d) To the extent possible, directly involve project staff and government counterparts in these participatory activities.
e) In order to understand project impact on different stakeholder groups, be sure to consult with women as well as men, poor people as well as those that are better off, ethnic minorities, etc.

After the project completion mission

a) Ensure that stakeholder inputs are fully reflected in the PCR.
b) If possible, include in the report an assessment of the effectiveness of participatory approaches utilized and their impact on project quality and sustainability. Outline any lessons learned with regard to promoting participation in future projects.

3.10 Portfolio Review

3.10.1 Portfolio review missions are an important opportunity to collect stakeholder feedback on Bank operations in the country, assess the level of stakeholder participation in the overall portfolio, and discuss with government the importance and benefits of participatory approaches to the national development process.

Proposed actions

Before the portfolio review mission

➢ In collaboration with concerned TMs, review provisions for stakeholder participation in each of the projects in the portfolio.
➢ Ask TMs to identify key stakeholder representatives for each project. Together, compile a list of key stakeholders for the overall portfolio (including, for example, representatives of government counterparts, project staff, executing agencies, NGOs and beneficiaries).

During the portfolio review mission

a) To the extent possible, visit project sites and meet with primary and secondary stakeholders to solicit feedback on the progress of individual projects. Invite government counterparts to participate in these visits.
b) Share with government counterparts the stakeholder list prepared prior to the mission. In collaboration with them, consider organizing a stakeholder workshop to explore key issues and concerns regarding the overall portfolio (or priority sectors/projects).
c) Ensure that the results of stakeholder consultations--particularly specific problems raised, or recommendations made, are discussed with government and reflected in portfolio review reports.

CHAPTER IV: METHODS AND TOOLS

4.1 Introduction

4.1.1 The field of participatory methods and tools is large and growing. Hundreds of participatory methods and techniques have evolved over the past twenty years, many of them with some similarity and overlapping in their application. In selecting an appropriate participation strategy, handbook users are advised to bear in mind that there is no one superior method or technique that can address the various participation needs of a specific project or sector. Conversely, all of the methods, techniques, and processes described below complement one another, and can be adapted to address a wide range of circumstances and needs of a given sector or specific project.

4.1.2 The selection of the most appropriate participation methodology, whether for a specific project or a sector, must derive directly from the purpose of the project or activity. Thus, staff should be clear about the objective of participation--what it is intended to achieve within the particular project environment. A clearly defined participation objective provides a valuable guide to the selection of a correct methodology and 'best-fitting' techniques.

Practical tips for choosing a methodology

4.1.3 The following is a list of questions and issues that must be addressed in the selection of an appropriate participation methodology:

- ➢ What is the nature of the program/project being contemplated?
- ➢ What goal does the proposed program/project hope to achieve?
- ➢ Who and what kind of stakeholders are expected to be involved in the intervention?
- ➢ Where in the socioeconomic and political hierarchy are these stakeholders placed?
- ➢ What kind of social relationships exist, including latent and active conflicts?
- ➢ What is the capacity stakeholders to effectively participate and benefit from it? and
- ➢ Are there institutions and instruments to organize, and facilitate participation?

4.1.4 This section presents a brief overview of the commonly used methods and techniques.

- ➢ **Participatory Stakeholder Analysis**

- ❑ **Participatory Meetings and Workshops**
- a) Preparation and Facilitation of Participatory Meetings
- b) Focused Conversation Method
- c) Brainstorming

- ❑ **Participatory Research/Data Collection**
- a) Participatory Interviewing
- b) Mapping
- c) Ranking
- d) Trend and Time Analysis
- e) Transect Walks

- ❑ **Participatory Planning**
- a) SWOT Analysis
- b) Objectives-Oriented Project Planning (ZOPP)
- c) Participatory Activity Planning
- d) Target Group Exchange Visits

(A glossary of commonly used participatory tools is presented in Annex I.)

4.1.2 In some cases, Bank staff will themselves utilize the methods described here. More often, however, they will be used by specialized staff or consultants. The purpose of this chapter is to

introduce and familiarize Task Managers with some of the methods they can use themselves (for example, organizing a participatory meeting) and also to familiarize them with methods that might be used by participatory specialists (more in-depth participatory research and planning activities). While this chapter offers a useful introduction to some key methods and techniques, the best way to learn a participatory technique is to experience it by doing it first-hand--guided by someone who is already proficient in participation. To further enhance existing skills in this area, staff members are also encouraged to attend participatory training events (currently being planned by OESU/CADI) and/or to seek advice from participation specialists in OESU, experienced in using such techniques.

4.1.3   No method or technique is inherently participatory. The methods described here offer the potential to facilitate genuine participation and empowerment, but they can be also be implemented in a top-down manner that merely pays lip service to participation. As repeatedly mentioned throughout this handbook, participation is above all an "attitude or mindset", based on a genuine willingness to listen, learn, and respect the views and knowledge of others. Therefore, the successful use of these methods and the mainstreaming of participatory methods largely relies on the individual user.

4.2   Participatory Stakeholder Analysis

Introduction

4.2.1   Stakeholder analysis is a methodology for identifying and analyzing the key stakeholders in a project and planning for their participation. It is, therefore, the starting point of most participatory processes and provides the foundation for the design of subsequent stakeholder activities throughout the project cycle. A thorough stakeholder analysis should be carried out in the early planning stages of all Bank-supported projects, and reviewed and refined from time to time as the details of project design become more detailed and definite.

4.2.2   Stakeholder analysis seeks answers to the following fundamental questions:

➢ Who are the key stakeholders (primary/secondary) of the proposed project?
➢ What are the interests of these stakeholders?
➢ How will they be affected (positively/negatively) by the project?
➢ Which stakeholders are most important for the success of the project?
➢ How will various stakeholder groups participate throughout the life of the project?
➢ Whose capacity needs to be built to enable them to participate?

Proposed methodology

4.2.3   Participatory stakeholder analysis can initially draw on secondary data (desk study) but, to accurately identify interests and plan subsequent participation, requires direct collaboration with key stakeholder groups. Workshop-based and/or field-based methods can be used to gather primary data, brainstorm with stakeholders regarding their interests and expectations and to jointly plan for stakeholder participation throughout the project cycle. In many countries, experienced national institutes, research centers, government officials, social scientists, academics, or NGOs can be recruited to assist in carrying out stakeholder analysis. (See Annex II).

Step 1 - Stakeholder Identification
4.2.4   The first step of stakeholder analysis is to identify relevant stakeholder groups. Key questions to ask are:

➢ Who are the project's targeted beneficiaries?
➢ Who might be adversely impacted?
➢ Will the project impact (positively or negatively) any vulnerable groups?
➢ Who are the projects main supporters and opponents?
➢ Who is responsible for carrying out planned activities?

> Who can contribute financial and technical resources?
> Whose behavior has to change for the intervention to succeed?

4.2.5   An initial list of stakeholders can be drawn up on the basis of a desk review of secondary data (publications and documents) and existing staff knowledge of the project, sector and country. This preliminary list must then be verified, modified and enhanced at the country level through: interviews with key informants (government officials, donor representatives, sectoral experts, NGO staff, community leaders); consultations with already identified stakeholders, and; site visits (during which methods of participatory research/data collection may be used as necessary. See section 4.4) Special care must be taken at this stage to ensure that the scooping exercise is wide-sweeping and that no marginal groups are inadvertently excluded.

Step 2 - Analysis of Stakeholder Interests and Project Impacts

4.2.6   Once relevant stakeholder groups have been identified, the next step is to analyze their interests (overt and hidden) and to assess the potential impact of the proposed project on their interests. Key questions to be answered include:

> How does each group of stakeholders perceive the problem at hand and proposed solutions? What are their key concerns and interests with respect to the project?
> What are stakeholders' expectations of the project?
> What does each group of stakeholders stand to gain/lose as a result of the project?
> What conflicts might a group of stakeholders have with a particular project strategy?
> How do different groups of stakeholders relate to each other?
> Where is there convergence/divergence between their interests and expectations?

4.2.7   These questions are best answered by stakeholders themselves in the context of a stakeholder workshop. Such a workshop requires careful preparation and could require a full day (depending on the complexity of the project and stakeholder interests). See section 4.3 for tips on designing and facilitating such a workshop.

Step 3 - Stakeholder Prioritization

4.2.8   The analysis of stakeholder interests and project impacts should allow the project team to categorize different groups of stakeholders and to determine the relative priority that the project should give to each stakeholder group's interest. Key questions are:

a) Who is the project's targeted primary beneficiaries?
b) What is the importance of each stakeholder group to the success of the project?
c) What is the degree of influence of each stakeholder group over the project?
d) Are special measures needed to protect the interests of primary stakeholder groups that are weak or vulnerable?

4.2.9   The results of the first three steps of stakeholder analysis can be represented in table form (See Table II) to provide a clear and comprehensive picture of stakeholder interests, importance and influence. The first three columns can, ideally, be completed during the first stakeholder workshop. An assessment and comparison of the importance and influence of various stakeholders can be done during the workshop or completed later by the project team.

Step 4 - Stakeholder Action Planning

4.2.10   The ultimate goal of stakeholder analysis is the definition and development of a stakeholder action plan that outlines the specific activities to be carried out by each stakeholder group (including agreed timelines, inputs and resources, progress indicators, etc.). Some stakeholder groups will have active and continuous roles to play, while others may only need to be kept informed of progress or be

involved at certain key moments of planning/implementation. A stakeholder action plan is best drawn up in direct collaboration with those concerned. Again, a participatory workshop (or series of workshops) is often the best way to proceed.

Table II
Stakeholder Analysis Table for a Hypothetical Girls' Education Project
Identification of Stakeholder Groups, Their Interests, Importance and Influence

Stakeholder Groups	Interests at stake in relation to project	Effect of project on interests	Importance of Stakeholder for Success of Project	Degree of Influence of Stakeholder over Project
		+ 0 -	U=Unknown 1=Little/No Importance 2=Some Importance 3=Moderate Importance 4=Very Important 5=Critical player	U=Unknown 1=Little/No Influence 2=Some influence 3=Moderate Influence 4=Significant Influence 5=Very Influential
	Achievement of target	+		
Ministry of Education	Control over resources, activities	-	4	5
	Patronage of First Lady	+		
	Job security	?		
Teachers	Support from community	+	3	2
	Preference for urban posting	-		
	School available in community	+		
Parents	Accountability of teachers	+	5	1
	Girls' help with housework	-		
	Employment opportunities	+		
School-age girls	Socializing with peers	+	5	1
	Free time	-		
Traditional religious leaders	Concern over erosion of traditional values	- (?)	2	4
	Attendance at religious schools	- (?)		
	Increased literacy	+		
Adult literacy NGOs	Financial viability	0	1	1
	Improved links with MOE	?		

Source: Rietbergen-McCracken and Narayan, 1997.

4.3   Participatory Meetings and Workshops

Introduction

4.3.1   Participation is about communication and collaboration amongst different groups of people. It is about diverse stakeholders coming together to collaboratively agree on their expectations, share information, discuss ideas, plan, implement, monitor and evaluate development actions. Very often, such communication and collaboration takes place in the context of meetings or workshops. Methods for designing, organizing and conducting effective meetings and workshops are, therefore, a fundamental aspect of participation.

4.3.2   Participatory meetings are best distinguished from non-participatory ones in terms of the way they are designed and led. Non-participatory meetings are often top-down, with the chairperson deciding what will be talked about. Often the speaking time is directly proportional to the rank and power of the speaker. Participatory meetings are planned and conducted in such a way that ensures everyone has the opportunity to participate on an equal level.

4.3.3   Meetings come in a variety of shapes and sizes and can serve many different purposes. In the context of the Bank's work, staff may be called on to convene:

➢ *Large scale/public meetings* – These include, for example, conferences, public consultations, "town hall meetings" and large-scale seminars. Such meetings are useful for disseminating information and clarifying issues. They tend, however, to be dominated by the most vocal and powerful stakeholder groups.
➢ *Workshops* – Workshops are smaller scale, action-oriented events, where diverse stakeholders come together to address an issue, not just to study it. In project and policy work, ranging from pre-planning to evaluation stages, stakeholder workshops are used to initiate, establish, and sustain collaboration with stakeholder groups. With the assistance of a facilitator, a workshop goes beyond information-sharing to resolve differences, build consensus, seek solutions, make decisions and plan actions. A large-scale meeting or conference may include several workshops in which small groups of participants work on specific problems or sectoral issues.
➢ *Focus groups* – These are small, often informal discussion groups whose participants are selected to represent either a cross-section or specific category of project stakeholders. Through guided discussions, the interests and concerns of participants are identified and analyzed. Such meetings are often held at the field level, near stakeholders' home base.
➢ *Standing bodies* – These include, for example, project boards, advisory groups, management or steering committees and task forces. Participatory project management frequently involves the formation of such groups (composed of diverse stakeholder representatives) at the local, regional and/or national level.

Box 9
How the Size of Meetings Impacts Participation

3-6 people:	Everyone speaks
7-10 people:	Almost everyone speaks - Quieter people speak less - One or two may not speak at all
11-18 people:	5 or 6 people speak a lot, 3 or 4 join in occasionally
19-30 people:	3 or 4 people dominate
30+ people:	Little participation in a discussion is possible

Source: Pretty et. al., 1995.

4.3.4   Specific methods used in designing and leading meetings will depend upon the size of the gathering, the nature of the participants, the meeting's purpose and expected outcomes, etc. The following are some general guidelines for preparing and conducting participatory meetings and a few basic methods that can be adapted to a wide range of different contexts.

a)   **Preparation and Facilitation of Participatory Meetings**

Preparation of participatory meetings

4.3.5   Preparation is key to the success of any meeting and, in particular, for participatory meetings. The following are some practical tips for planning and preparing participatory meetings and workshops:

➢ If possible, meet with groups of participants before the meeting (particularly important if this is the first time participants are meeting and little is known about their views). In the case of large

workshops, it may be useful to organize a series of small preparatory meetings with individual stakeholder groups.

➢ Distribute relevant information ahead of time (in a language and format that is understandable to all participants).

➢ When feasible, ask participants to submit information about their organization's expectations of the meeting and their preliminary views on the issues at hand.

➢ Take into account participants' availability, convenience and comfort in planning the venue and timing of the meeting. In the case of a meeting of very diverse stakeholder groups, ensure that a "neutral" location is chosen.

➢ Decide, whether you need an outside neutral facilitator for the meeting. If so, involve him/her as early as possible in the planning process.

➢ Prepare a detailed draft agenda (including the objective, expected results, format, duration, etc. of each item or session).

➢ Send the draft agenda to participants, asking for their comments. Some stakeholders may be asked to prepare the introduction to specific agenda points.

➢ Make special arrangements as necessary to ensure that groups with particular needs (for example, women's groups, linguistic minorities or illiterate stakeholders) are able to participate effectively.

➢ Visit the meeting location ahead of time in order to ensure adequate space, appropriate seating arrangements, and the necessary for the meeting (such as name tags, flip-charts, paper, pens, markers and handouts).

Box 10
S.T.E.P.S. for Successful Participatory Meetings

The acronym S.T.E.P.S. stands for five key aspects of planning and conducting successful participatory events. These are:

Space - The physical space of a meeting is important for setting the mood of a meeting and influencing group dynamics. Pay attention to: location and room selection, seating arrangements, temperature, light and sound quality, availability of essential equipment, etc.
Time - Appropriate scheduling and disciplined time management are essential to a successful meeting. Be sure to adapt date and time to participants' availability, allow adequate time for different agenda items, keep an eye on the clock and stick to agreed agenda time frames.
Eventfulness - Pay attention to human aspects of group interaction. Use humor, ice-breaking exercises, etc. to put people at ease and create a sense of eventfulness.
Product – Always clearly define the aim or expected outcome of the meeting. Refer to this aim frequently throughout the meeting to keep people focused.
Style – The facilitator's image, role and way of relating to the group can have strongly influence the end product. Try to adapt your personal style according to the nature of the task at hand, the relative formality or informality of the event, the type of participants present, etc.

Source: Adapted from Spencer, Winning through Participation, 1989.

Facilitation

4.3.6   The facilitation of meetings and workshops aims to establish an environment conducive to participatory communication. Participatory communication is built on trust and a feeling of joint responsibility for the outcome among the participants. The challenge is to accept and respect that different people perceive their reality differently, but still try to build bridges between them. In situations where participants are not used to the active involvement of all present in discussions, special efforts have to be made to explain the participatory way of working and its importance for effective discussions.

4.3.7   The role of the facilitator is to guide the meeting or event. The facilitator uses his/her expertise in participatory approaches to ensure that the group functions in a logical and transparent manner and that all members of the group have the opportunity to actively participate. The facilitator does not engage in discussions and does not pass judgement. He/she facilitates discussions and has the prerogative to ask questions but does not intervene as an expert. In some cases, Bank staff may be

called upon to play the role of facilitator. For large meetings or those where controversial or complex issues will be discussed, the use of an external and professionally trained facilitator is recommended.

Box 11
Working Assumptions for Holding Participatory Meetings

1. Everyone has wisdom.
2. We need everyone's wisdom for the wisest result.
3. There are no wrong answers.
4. The whole is greater than the sum of the parts.
5. Everyone will hear others and be heard.

Source: Canadian Institute of Cultural Affairs, 1995.

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b) Focused Conversation Method

4.3.8 This is a technique that can be used in the context of a meeting or workshop used to discuss a specific question. The objective of a focused conversation (also known as a structured discussion) is to give a clear direction and focus to the discussion, ensuring that all relevant aspects of an issue are discussed in a logical sequence.

4.3.9 The facilitator of focused conversation asks a series of questions at four levels:

➢ Objective level (questions about facts, data and external reality);
➢ Reflective level (questions that elicit participants' personal reactions to the facts, their internal responses and feelings);
➢ Interpretive level (questions to draw meaning, significance and implications of facts) and;
➢ Decisional level (questions to elicit decisions and next steps).

Proposed methodology[2]

4.3.10 Preparing a focused conversation

a) Focus the topic and intent of the conversation – Identify clearly the aim of the conversation and the expected outcome.
b) Plan the time – Individual conversations usually take no more than one-half hour. Complex problems, however, may need smaller conversations to address separate issues.
c) Study the participants – Make sure that the participants represent diverse stakeholder interests.
d) Select relevant questions – Based on the defined aim of the conversation, identify three or four questions for each of the four levels. Then select the best one or two questions for each level (those that are most likely to achieve the defined aim). Choose open-ended questions that cannot be answered by "yes" or "no".
e) Test your design – Rehearse the conversation in your head, imagining the range of answers from participants. Check to see if the flow of questions and answers will get you to the defined aim.
f) Prepare your opening and closing remarks – Opening remarks should welcome participants, define the topic of the conversation, describe the context and identify expected outcomes. Closing remarks should thank participants, summarize outcomes and indicate any follow-up.

4.3.11 Conducting a focused conversation

a) Getting started – Grab the participants attention during the first few minutes of the session. Make it clear from the outset what the procedures of the meeting are. Ask each person to answer the first one or two questions so that everyone's voice is heard early on.
b) Putting the group in charge - Keep reminding the group that they are responsible for the outcome of the meeting, not the facilitator. Make clear that your role is facilitating the meeting, not dominating it.

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[2] Source: Adapted from Spencer, Winning through Participation, 1989.

c) Keeping track of ideas – Ask one or two participants to take notes during the conversation. Keep your own notes and use them to recap and report.
d) Ensuring equitable participation - Give attention to everyone and try to let everyone participate in the discussion as equally active as possible (encourage the "silent ones").
e) Maintaining focus – If participants get off topic, repeat the question. If someone strays off subject or talks for a long time, ask them for a specific example of what they mean. Then invite input from another participant.
f) Closing the conversation – Review what was discussed. Agree to next steps.

Table III
Overview of a Focused Conversation

Steps	Content	Type of questions
OPENING	Welcome participants. Have participants introduce themselves. Define the aim of the conversation. Agree to the ground rules.	
Step 1 **OBJECTIVE** **Level questions**	Ask one or two questions that direct attention to objective data and facts about the topic at hand. These questions should allow participants to share their concrete knowledge and experiences. Do not allow values or judgement at this stage. Equally, do not allow analysis of causes and effects. Their turn will come in Step 3.	What are the facts? What have you seen/experienced? What is the problem? When did it start? What do we know about the problem? How does the problem manifest itself?
Step 2 **REFLECTIVE** **level questions**	Ask two or three questions that aim to bring out people's immediate reaction and internal associations with the fact. The purpose here is for participants to share their personal feelings about the subject of discussion – their subjective or "gut" reactions.	What is each participant's personal reaction to the facts? How does it make them feel? What emotions or internal images does it trigger? What are their associations with earlier experiences? What is each participant's reaction to the views of others? What is the importance that participants attach to certain aspects and why?
Step 3 **INTERPRETIVE** **Level questions**	Ask two or three questions that seek to analyze and reveal the meaning of the data that has been given. What meaning or significance do participants attach to the subject?	Why is the current situation as it is? What are the causes and consequences/ effects (e.g. of a problem or situation)? What is the significance of the subject/problem? What does it mean? What actions have been taken to solve the problem? Why have they succeeded or failed?
Step 4 **DECISIONAL** **Level questions**	Ask questions that allow the group to propose responses to the situation/problem. To the extent possible, direct attention to concrete decisions and actions.	What are possible solutions? What should be done? What first, by whom? What resources are available? What problems need more looking into? What decisions can be taken now? What will be the agenda for next time?
CLOSING	Summarize conclusions and outcomes. Agree to follow-up actions. Thank participants.	

c)   Brainstorming

4.3.12 Brainstorming (also known as "workshop method") can be used in small or large groups to initiate discussion, rapidly generate ideas, stimulate creative thinking and encourage collective analysis. Participants are encouraged to let ideas flow freely. Initially, these ideas are recorded exactly as they are stated without judgement or rejection. The ideas are then collectively organized into categories and analyzed.

4.3.13 The workshop method: (i) encourages creativity (by encouraging a free flow of ideas); (ii) ensures realism (by giving voice to a wide range of different perspectives) and; (iii) increases the likelihood of efficient implementation (by fostering commitment among participants to the final product). This method usually leads to a very animated and energetic discussion. Even more reserved participants usually feel bold enough to contribute.

Proposed methodology

Step 1 - Set the Context

a) State clearly the aim of the brainstorming session and the expected outcome.
b) Outline the timeline and ground rules.
c) Highlight the focus question. A clear and relevant focus question is essential to a successful brainstorm. The facilitator should carefully think through the wording of the focus question prior to the session, ideally in consultation with other participants. The focus question should:
➢ be an open-ended question;
➢ draw specific responses from each person; name the subject as specifically as possible;
➢ be simple and clear enough for the participants to answer with a minimum of explanation.
➢ examples of focus questions: What are the key constraints to private sector development in the country at this time? What can we do to promote girls' education in the community? What needs to be done to allow the Bank to work in a participatory manner?

Step 2 – Brainstorm ideas

a) Brainstorm individually – Ask each person to jot down 5-6 ideas in response to the focus question. Allow sufficient time for participants to think and write. Then ask them to select their 3-4 best and clearest ideas.
b) Brainstorm in a small group (this may be omitted if the group is small or the subject simple). Ask participants to share their best/clearest ideas in groups of 3-5 people. Eliminating overlap but honoring diversity, the group selects 5-7 "key-ideas" to share with the whole group. These are printed in marker on large memo cards (or large sized "Post-its").

Step 3 - Cluster ideas based on similarity of content

a) Gather ideas from each group, read the cards out loud, and randomly post them on a wall.
b) Do 2-3 rounds of small groups passing up their cards to get a variety of (approx. 15) cards. For example, first ask for their "clearest" cards, then their most "innovative" ones, then "any that don't fit". Accept and affirm each input, make clear that there are no "wrong answers". Admit only the explanation of a card by its "owner". Avoid discussion concerning content at this stage. For some people, remarks or comments may mean the end of their active participation. If the meaning of a card is unclear, ask neutral questions. Do not try to interpret by yourself.
c) After each round of gathering cards, ask the group which cards belong together and, based on responses, move cards around into different clusters or columns.
d) With every card you move, ask the group whether they are satisfied with the result. If there is even one person who is not satisfied, he/she must get ample opportunity to explain his/her reasons. If an item doesn't fit into any group, don't force it. Categories are redefined each time an item is added. This often expands the definition of a category, allowing some of the "difficult to place" items to be included.

Step 4 – Name the clusters

a) Discern the focus of each cluster . Ask participants what each of the clusters represent, and what the key idea is that unites the cards in this cluster?

b) Ask participants to agree to a name (3-5 words) for each cluster. Make the name as specific as possible. Ideally, the chosen name is a combination of proposals of more than one person. A rule of thumb in arriving at consensus is to not allow participants to reject a proposed name without offering an alternative suggestion. In this way, the group will eventually get to the "That's it!" stage.

c) Write the name of the cluster on a separate memo card and post it at the top of the column.

Step 5 - Evaluate

a) Together with the group, look at what you have done so far and explore the options for how to go on from here. A brainstorming session often leads naturally to small group work, with each small group working on a specific cluster. For example, to explore solutions to identified constraints, discuss the feasibility of proposed actions or develop action plans on the basis of recommendations made.

4.4   Participatory Research/Data Collection

Introduction

4.4.1   Participatory research and data collection methods can be used throughout project preparation and implementation for needs assessments, feasibility studies, identifying priorities for development projects, and collecting base-line and subsequent data for purposing on monitoring and evaluation. Participatory research is characterised by its rapid, flexible and iterative process. Its aim is to enable development practitioners, government officials and local people to collect information, learn, plan and evaluate together. Participatory research and data collection techniques are often grouped under the name "Participatory Rural Appraisal" (PRA).

4.4.2   Participatory research and data collection:

➢ is cost-effective (compared to traditional surveys and studies);
➢ helps ensure that the project is based on client-driven needs and priorities;
➢ facilitates disaggregation of data by gender, location, age, ethnicity, etc.;
➢ creates a positive learning experience for potential beneficiaries and other stakeholders and promotes continued participation throughout the project cycle;
➢ emphasizes communication and listening skills;
➢ can build the confidence and capacity of local groups and institutions.

4.4.3   Key techniques of participatory research (described in this section) include:

➢ participatory interviewing;
➢ mapping;
➢ ranking;
➢ trend and time analysis, and;
➢ transect walks.

4.4.4   In some cases, Task Managers themselves may carry out participatory research activities (for example, participatory interviewing). Most often, however, these tasks will be undertaken by social specialists on the project team or locally recruited consultants or researchers. Annex 1 contains contact information for institutions with expertise in participatory research techniques in RMCs.

Table IV
Participatory Research versus Traditional Questionnaire Research

Participatory Appraisal	Questionnaire Research
Short time	Long time
Low cost	High cost
Flexible	Fixed
High participation	Low participation
On-the-spot analysis	Analysis in the office
Little statistical analysis	Heavy statistical analysis
Semi-structured interviews	Formal questionnaires
Opportunity sample	Random sample
Multi-disciplinary team	Enumerators
Non-hierarchical	Hierarchical
(Best for learning and understanding rural peoples' opinions, behaviors and attitudes)	*(Best for gathering representative, quantitative and statistical data)*

Source: IDB, Resource Book on Participation, 1997.

Practical tips for conducting participatory research

➢ Not all tools are equally successful in different cultural, social and economic settings. Select and adapt tools according to local circumstances, preferences, and capacity.
➢ Start all field visits by explaining who you are and why you are there. Repeat this as necessary.
➢ Stress the importance of the research activities for the participants themselves (for example, in terms of awareness raising, consensus building and participatory techniques).
➢ Leave names and contact details of local relevant government or project authorities that participants can contact for follow-up information.
➢ Do not make assumptions. There is no such thing as "self-evidence" in participatory research.
➢ Use "triangulation" to cross-check information, for example, by asking many different people the same question or by re-asking the same question in a different way.
➢ Make arrangements for translation services as necessary. Beware of using untrained translators that can lead to misunderstandings and inaccurate findings.
➢ There is a danger of participatory research activities raising the expectations of participants. Outsiders arriving and asking a lot of questions raises hopes among the local population that active support is forthcoming. Lack of follow-up can lead to disappointment and cynicism on the part of the local population.

a)	**Participatory Interviewing**

4.4.5	The central technique on which participatory research and data collection is based is participatory interviewing (also known as semi-structured interviewing). Participatory interviewing does not involve a formal questionnaire but instead a flexible checklist of issues that the interviewers use to focus the conversation while at the same time allowing the possibility for participants to introduce and discuss issues they judge important.

4.4.6	Participatory interviews can be carried out with individuals, focus groups or larger community groups. *Individual interviews* are useful in eliciting information about individual needs and experiences and are likely to bring underlying problems and/or conflicts to light, especially if repeated with many individuals. *Focus group interviews*, conducted with 6-12 people with shared interests and concerns, are well-suited for revealing group-specific concerns (for example, those of women or youth) and for eliciting group discussion on particular issues or problems. *Larger group interviews* will bring out community-level concerns or, sometimes, the concerns of the most powerful participants (for example, male elders or community leaders who may tend to dominate). Such

interviews often lead to insightful discussion and can be revealing of organisational structures, lines of authority and social relations within the community.

Practical tips for participatory interviewing

➢ Ensure that members of the interview team (ideally 2 or 3 people from different backgrounds) understand and are experienced with participatory interviewing.
➢ Agree on a checklist of key issues and questions to be addressed.
➢ At the beginning of the interview, introduce yourself and explain your purpose (emphasizing that you are here to *learn).*
➢ Ask open-ended questions, for example, Who? What? Why? Where? When? How?
➢ Avoid closed questions that can be answered with 'yes' or 'no'.
➢ Avoid leading questions and value judgements of the responses given.
➢ Use key words the interviewee(s) used.
➢ Use moments of silence to draw out more ideas from interviewees.
➢ Mix questions with informal discussion.
➢ Encourage the use of visual methods (drawings or diagrams) to facilitate communication.
➢ Verify responses through triangulation (cross-checking).
➢ Record responses and observations fully.

b) Mapping

4.4.7   Mapping is a generic term for representing in pictorial form data on a variety of indicators. Maps can used to collect information regarding the physical characteristics of a community, but also information about socio-ecomonic factors, institutions, resources and different groups' perceptions of their environment. Mapping is an excellent starting point for participatory work in small community level projects. At the field, it allows people involved in creating a visual output that can be used immediately to bridge verbal communication gaps and to generate lively discussion. Maps are drawn by villagers themselves (either on the ground using chalk or on a large sheet of paper).

4.4.8   Common types of participatory maps include the following:

➢ *Physical Maps* (of a neighborhood, community, site or region).
➢ *Social Maps* illustrate the socio-economic profile of different households within the community (relative levels of wealth, education, resources, family size, membership etc.).
➢ *Institutional Maps* (sometimes called Venn diagrams) represent different groups and organizations (within and community, region or country) and their relations and importance for decision-making. These maps use, for example, circles to represent different groups, with the size of different circles indicating the importance of the group and the proximity or distance between circles the extent of collaboration between them.

Practical tips for participatory mapping[3]

➢ Decide with participants what sort of map will be drawn (social, institutional, etc.).
➢ Conduct the exercise with participants who know the area and issues being addressed, and are willing to share their knowledge.
➢ Let the participants choose a suitable place (ground, floor, paper) and medium (sticks, stones, pens) for the mapping.
➢ Help participants get started but let them draw the map themselves. It's their map!
➢ Observe the process of mapping and take note of differences of opinion among participants, those issues given the most attention, etc.
➢ Having different groups (e.g. women and men; poorer and wealthier individuals) prepare maps separately can reveal important differences in perceptions, realities and priorities.
➢ Once the map is drawn ask questions about what is shown.
➢ Keep a record of the map (photo or transcribe onto paper) and of participants' name.

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[3] Adapted from Theis and Grady, 1991.

c)   Ranking

4.4.9   Problem ranking is used to discover people's perceptions of the most important problems they face. A simple method is to ask people to list the six or so main problems in their community. Write these on cards then ask participants to rank them in order or importance. Once this has been done, ask questions and discuss why participants made the choices they did.

4.4.10 Preference ranking involves participants assessing different items or options, using criteria that they themselves identify. It can be used, for example, to know participants' preferences with regard to proposed project activities, sources of income, different crops, alternative forms of health care, etc. Gender differentiation is particularly worth exploring, as men and women often have quite different preferences and criteria for those preferences. Once the topic of the ranking has been identified, a simple method is to ask participants to list the range of possible alternatives/options. Ask what is "good" and "bad" about each option and list the various criteria that participants name. Then, with the help of a matrix (criteria listed down the side and options across the top) ask participants to assign scores to each option according to each criterion. At the end of the exercise, discuss participants overall ranking of each of the options.

4.4.11 Wealth ranking (also known as wellbeing ranking or vulnerability analysis) involves community members identifying and analyzing the relative wealth of different groups in the community. It enables development practitioners to learn about the socio-economic structure of the local population (to facilitate targeting efforts) and local people's definitions and indicators of well-being. With participants, list all the households to be ranked on different cards. Ask participants to divide cards into different piles based on relative wealth. Let participants decide how many piles to make. Once this has been done, discuss the characteristics of each grouping and the criteria participants used to distinguish between the different groups (these may include, for example, factors such as ownership of or access to productive assets, the dependency ration within the household, relationship of the household to locally powerful people, availability of labour, and indebtedness). Record the results. In some communities where relative poverty/wealth is a sensitive topic, this technique may need to be conducted in private.

Box 12

Adapting Materials/Methods to the Local Context

In a workshop context, maps, diagrams, calendars, etc. can be prepared using flipchart paper, coloured markers, etc. In a village setting, visual outputs are more often created on the ground, using readily available materials (sticks, stones, leaves, etc.) to construct maps, matrices and diagrams. Villagers often feel more comfortable expressing themselves with materials they know and control. Experience has shown that surprisingly detailed and sophisticated information and ideas can be expressed in this way. In such cases, facilitators can photograph or film the resulting product or transcribe it onto paper for future reference.

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d)   Trend and Time Analysis

4.4.12 Calendars, diagrams and time-use charts are useful tools with which to understand historical, annual or daily activities of specific groups of stakeholders. An annual calendar, for example, (drawn by participants as a table, chart or diagram, on paper or on the ground) can be used to reveal stakeholders' key activities, problems, and opportunities throughout the annual cycle. By charting factors such as agrarian seasons, marketing activities, income and expenditures, labour demand, human diseases, social events and migration periods, it can help to identify the months of greatest difficulty and vulnerability or other significant seasonal variations which have an impact on people's lives throughout the year. The same can be done to depict daily patterns of activity of individuals or focus groups (for example, to determine women's daily time-use as compared to men's). Historical calendars, charting significant events and changes in past years, decades or generations can reveal important (social, economic, political or ecological) trends in the area over time.

e)   Transect Walk

4.4.13 A transect walk involves local people leading development practitioners on a walk through the identified project area (urban or rural) to observe and understand the main features, resources, uses, and problems of the project zone. It can focus on the physical or social characteristics of the area (for example, topography, natural resources, soils and vegetation, infrastructure and services, population density, household/neighbourhood structures, etc.) During a transect walk, the practitioner observes, takes note of the commentary of the local "guides' and asks open-ended questions.

4.5   Participatory Planning

a)   SWOT Analysis

4.5.1   SWOT stands for **S**trengths – **W**eaknesses – **O**pportunities – **T**hreats. The objective of SWOT analysis is to identify "strengths" and "weaknesses" (positive and negative attributes of the group, activity, or site) and "opportunities" and "threats" (favorable and negative external factors affecting the organization, community, activity, or site in question).

4.5.2   SWOT analysis results in valuable information that can be used, for example, to: define project strategy; assess the relevance of a proposed project or activity; assess the capability of a group (community or organization) to carry out a particular project or activity, or; assess the suitability of a proposed project site (or choose between alternative sites). SWOT analysis can also be used in the context of conducting a stakeholder analysis and in participatory monitoirng and evaluation.

Proposed methodology

a) Identify the subject/activity to be assessed.
b) Prepare a SWOT matrix (as illustrated below in Table V) and invite stakeholders to contribute to filling in the four quadrants.
c) Once the matrix is complete, brainstorm on strategies and action to:
➢ build on strengths;
➢ overcome weaknesses;
➢ maximize opportunities, and
➢ minimize threats.
➢ Prioritize proposed strategies and actions.
➢ Draw up an action plan indicating chronological sequence and who does what.

Table V
SWOT Matrix

Strengths	Opportunities
Positive attributes of the group, activity or site	Favorable factors in the external environment
+	+
+	+
+	+
Weaknesses	**Threats**
Negative attributes of the group, activity or site	Negative factors in the external environment
-	-
-	-
-	-

4.5.3   A simplified version of SWOT analysis is "force field analysis", in which participants review the causes of problematic situations, analyze the factors that are helping or hindering and identify strategies to achieve desired goals.   This method is particularly suitable in projects with a limited number of goals/results and for use with groups with a low literacy level. solutions. The tool is based on diagrams or pictures.

Table VI
Force Field Analysis Matrix

Present Situation	Hindering Forces ←	Helping Forces →	Goal
Description of present situation	- - -	+ + +	Description of desired goal

b)   Objectives-Oriented Project Planning (ZOPP)

4.5.4   ZOPP is a project planning and management methods which is based on two key techniques – matrix building and stakeholder workshops. ZOPP is not a one-off exercise. It is a method which encourages participatory planning and analysis throughout the project cycle with a series of stakeholder workshops. Normally, a total of five stakeholder workshops are held – three of these during project planning and the other two during project implementation.

4.5.5   Central to the ZOPP method is the creation and use of a Project Planning Matrix (similar to the project Logical framework used by the Bank.. See OM 600, Annex 2 of the Operations Manual). A common misuse of the Logical Framework Approach is to design the project first and to attempt to "fill in" the Logical Framework Matrix as an afterthought. ZOPP method aims to develop the Project Planning Matrix in a systematic and participatory manner with the active and continued involvement of relevant stakeholders.

4.5.6   Stakeholder workshops follow the following five forms of analysis, resulting in the development of a Project Planning Matrix that is logical, realistic and represents collective stakeholder views:

a) *Stakeholder analysis* – The first step in ZOPP method is to identify key stakeholders and analyze their interests, concerns and potential project impacts. (See section 4.2 on Stakeholder Analysis).
b) *Problems analysis* – At this stage, key problems which the project is meant to address are identified, grouped and prioritized, and their causes and effects are brought to light. This is often done through the creation of a "problem tree" using brainstorming techniques. (See Section 4.3 on Brainstorming).
c) *Objectives analysis* – In a corresponding "objectives tree" (also created through brainstorming) problem statements are converted into objectives statements. Possible solutions are also articulated, clustered and prioritized.
d) *Alternatives analysis* – The objectives tree usually shows a large number of possible solutions. At this stage, participants examine the various possibilities and, based on factors such as priority needs and available resources, select the most promising alternative.
e) *Assumptions* – Here participants identify and analyze conditions that are necessary for the successful transformation of problems into objectives.

c)   Participatory Activity Planning

4.5.7   This method uses brainstorming techniques to help stakeholder groups translate project objectives into a concrete activities plan.

Proposed methodology

a) *Clarify expected project results* – Refering to the project matrix, review with participants the specific results that the proposed project aims to achieve. (Results may even be revised or expanded at this stage on the basis of stakeholder inputs.)
b) *Identify key activities* – Hold a brainstorming session to identify key activities required to achieve each desired result, and possible constraints.
c) *Prioritize and sequence activities* - For each cluster of activities, form a task group. The role of each task group is to: prioritize and sequence identified activities; add any "missing" activities and indicate who is responsible for implementing and monitoring each activity.

d) *Draw up an activities plan* – In plenary, have each task group present their results. Combine these into an overall project activities plan. (A large chart or timeline posted at the front of the room, onto which individual activities can be written or posted on memo cards, is useful for this purpose.) Once all activities have been charted and scheduled, collectively fix dates for monitoring and evaluation exercises and the submission of progress reports.

d)   Target Group Exchange Visits

4.5.8   Target group exchange visits consist of arranging for target group representatives to pay a visit to a community or area that has dealt with similar or comparable situations/ problems/ activities/projects. An exchange visit is a powerful tool. It provides target group members with the opportunity to: share experiences and how other groups solved problems similar to their own; to reflect on their project plans and visualize physical results, and potentially, to establish ongoing relations with other groups/communities with shared problems/interests.

4.5.9   An accompanying facilitator may play a modest role by:

➢ organizing the logistics of travel and accommodation
➢ creating opportunities for the exchange of experiences and ideas;
➢ helping the groups to identify key similarities/differences between their situations;
➢ stimulating discussion of which techniques have worked well and less well;
➢ facilitating discussion on conclusions and lessons that can be learnt, and;
➢ after the visit, planning a session to discuss questions that may have arisen from the experience and their consequences for project planning.

CHAPTER V: CONCLUSIONS AND THE WAY FORWARD

5.1   BACKGROUND

5.1.1   The materials presented in this handbook underscore the fact that effective stakeholder participation is a well planned, managed, and focused process engaging a widely representative group of stakeholders--particularly the poor, and not the most number of people. For this reason, the work on mainstreaming participation has to be guided by sustainable impact on the ground, and judged against its value-added in the way programs and projects are designed and implemented. The handbook has also attempted to highlight the risks and opportunities, costs and benefits of the participatory approach--to all sides. The reality that participation can not be realized by the action of one actor alone is used to underscore the imperative partnership, while the fact that not all activities are auspicious to participation highlights the need for informed selectivity.

5.1.2   Institutional mainstreaming of participatory practices is not a static undertaking. It is, instead, a work in progress. Likewise, the methods and tools presented in this handbook are subject to ongoing revision and updating as best practices are distilled, and lessons are drawn from experience on the ground.

5.2   Participatory Corporate Culture

5.2.1   As indicated earlier in this handbook, participation is first and foremost an attitude or mindset. In this respect, the culture, core values, and operating strategy espoused by an organization are key to determining its capacity to promote participatory development. For many large and complex organizations, instilling participatory corporate policy and practices is a major challenge—to both staff and management, to be addressed over the medium and long-term.

5.2.2   *Internal Management* – Management structures and operating procedures of large and complex development institutions do not easily adapt to participatory practices. All the same, ongoing organization realignment initiatives should be carried out with a view to facilitate participatory management through enhanced decentralization and delegation of authority, and nurturing effective bottom-up communication channels. Such adjustments must allow management to further delegate authority, listen to and value staff knowledge and experience; reward creativity and innovation, and; empower staff, at all levels, to participate in the planning and decision-making process.

5.3   Institutional Procedures

5.3.1   Promoting participatory practices requires minimal bureaucratic rigidities and delays, while maximizing flexibility, adaptability, and field presence. The existing operational instruments and procedures of many large development organizations require continuous fine-tuning and adaptation to make them more compatible with the demands of participatory approaches.

5.3.2   *Operations Environment* - Institutional innovations designed to make interventions and instruments more flexible and adoptive to changing stakeholder circumstances are being strengthened and mainstreamed in most large development institutions. Building stakeholder ownership of the development process implies frequent and lengthy field visits as well as extended field presence by staff. It also requires identifying and engaging relevant stakeholders before critical project decisions are made, and calls for a deliberate strategy to build beneficiary trust and confidence towards other stakeholders. Moreover, institutional adaptations are required in the form of adjusting mission schedules where stakeholder consultations are planned, empowering staff with the critical flexibility and resources required to organize focused and effective consultations, improved role sharing and responsibilities with countries, and complementing project missions with participation/social experts.

5.4   Knowledge and Skills

5.4.1   *Building institutional capacity* – Experience shows that mainstreaming participation requires a *critical mass* of staff with a unique set of knowledge, skills, and expertise. Large development institutions are able to acquire these core competencies through the appropriate deployment of staff into the key priority areas--including stakeholder participation. Additionally, existing staff should benefit from ongoing training on the principles, methods, tools, and techniques of stakeholder participation. Similar training program should also be extended to relevant staff of member countries and NGO/CSO partners. In exceptional circumstances where the nature of the operation requires specialized types of skills not available in an institution, in-house expertise should be supplemented through the use of external consultants. Where such specialized skills are required, the expertise can be drawn from local practitioners, consulting firms, research institutions, and other development partners.

5.4.2   *Ongoing Learning* – In addition to staff training, a number of possibilities exist for promoting ongoing learning of participation in large development institutions. These include, for example:

➢ the creation of an informal participation network (to share information and advice);
➢ internal dissemination of best practices and lessons learned (electronic or hard copy);
➢ organizing keynote speakers or informal seminars on participation related themes and;
➢ subscription to relevant publications and the collection of operations tools in a resource center.

5.4.3   *Building Stakeholder Links* – Effective promotion of participation requires establishing linkages with a broad range of stakeholders, some of which may have not been a part of an organization's traditional contact networks. In this respect, particular steps should be taken to expand and enhance relations with Civil Society Organizations (CSOs). An institution can also broaden its knowledge of, and relations with relevant non-governmental organizations (NGOs) and community-based organizations (CBOs) active on the ground. As part of the networking initiative, an institution can also develop database of relevant NGOs/CSOs, designed to provide project staff with key linkages with NGO/CSO partners at the country level.

5.5   Resources

Participatory programs and project will require additional resources *up-stream* in the project cycle. Research has shown that smooth negotiations, quick project uptake, and decreased operational costs make up for the extra time and resources, *downstream* the project cycle. The added cost required to undertake participatory work in policy and projects work can be partially financed through grants and other resources. Furthermore, such initiatives require additional resources--financial and in terms of staff time in the field. Experience has shown that such costs must be mainstreamed into an institution's project operating budget if the work on stakeholder participation is to be deepened and broadened.

Glossary of Selected Participation Tools

The methods described in this chapter are composed of a collection of participatory tools. The following glossary provides a brief definition of some the key tools used by practitioners of participatory development.

Analysis of gender division of labor - A gender analysis tool that raises community awareness about the distribution of domestic, productive/market, and community activities according to gender. It familiarises planners with the degree of role flexibility that is associated with different tasks. Such information and awareness is necessary to prepare and execute development interventions that will benefit both men and women.

Beneficiary Assessment - A qualitative and consultative method of information gathering, which assesses the value of an activity as it is perceived by its principal users. It aims at making the voices of beneficiaries and other local level stakeholders heard by those managing or formulating a project. Key techniques used are participant observation, semi-structured interviewing, and focus group discussions.

Logical Framework or LogFRAME - A matrix that illustrates a summary of project design, emphasising the results that are expected when a project is successfully completed. These results or outputs are presented in terms of objectively verifiable indicators. The Logical Framework approach to project planning has been adapted for use in participatory methods such as ZOPP (in which the tool is called a project planning matrix).

Participant Observation - A fieldwork technique used by anthropologists and sociologists to collect qualitative and quantitative data that leads to an in-depth understanding of peoples' practices, motivations, and attitudes. Participant observation entails investigating the project background, studying the general characteristics of a beneficiary population, and living for an extended period among beneficiaries, during which interviews, observations, and analyses are recorded and discussed.

Participatory Needs Assessment - A tool that draws out information about people's varied needs, raises participants' awareness of related issues, and provides a framework for prioritising needs. This tool is an integral part of gender analysis to develop an understanding of the particular needs of both men and women and to do comparative analysis.

PPA - Participatory Poverty Assessment is a tool for measuring and analyzing poverty through the direct involvement of a broad range of stakeholders, including poor people. It produces information that can be used for defining poverty reduction strategies and for translating them into programs and services.

RAAKS - Rapid Appraisal of Agricultural Knowledge and Information Systems is a method of participatory research based on the principle that development processes take place by sharing knowledge, skills and perspectives among diverse stakeholders.

Role-playing - Enables people to creatively remove themselves from their usual roles and perspectives to allow them to understand choices and decisions made by other people with other responsibilities. Ranging from a simple story with only a few characters to an elaborate street theatre production, this tool can be used to acclimatise a research team to a project setting, train trainers, and encourage community discussions about a particular development intervention.

SARAR – Stands for self-esteem, associative strength, resourcefulness, action planning and responsibility. This is a method for empowering stakeholders at different levels to assess, prioritise, plan, create, and evaluate initiatives.

Secondary Data Review - Also called desk review, an inexpensive, initial inquiry that provides necessary contextual background. Sources include academic theses and dissertations, annual reports, archival materials, census data, life histories, maps, project documents, and so on.

Social Assessment - Social assessment is a process for collecting, analyzing, prioritizing and incorporating social information and participation into the design and delivery of development operations. It's purpose is to: identify stakeholders; ensure that relevant social issues (such as poverty, gender, age, ethnicity) are taken into account in project design; assess the social impact of proposed projects, and; plan for stakeholder participation in the project. Social assessment can be carried out by a single social scientist or, in the case of complex projects, by a team. It can take place at different stages in the project cycle but it is best to begin as early as possible (during project identification).

Socio-cultural Profiles - Detailed descriptions of the social and cultural dimensions that in combination with technical, economic, and environmental dimensions serve as a basis for design and preparation of policy and project work. Profiles include data about the type of communities, demographic characteristics, economy and livelihood, land tenure and natural resource control, social organisation, factors affecting access to power and resources, conflict resolution mechanisms, and values and perceptions. Together with a participation plan, the socio-cultural profile helps ensure that proposed projects and policies are culturally and socially appropriate and potentially sustainable.

Surveys - A sequence of focused, predetermined questions in a fixed order, often with predetermined, limited options for responses. Surveys can add value when they are used to identify development problems or objectives, narrow the focus or clarify the objectives of a project or policy, plan strategies for implementation, and monitor or evaluate participation.

Tree Diagrams - Multipurpose, visual tools for narrowing and prioritising problems, objectives, or decisions. Information is organised into a treelike diagram that includes information on the main issue, relevant factors, and influences and outcomes of these factors. Tree diagrams are used to guide design and evaluation systems, to uncover and analyse the underlying causes of a particular problem, or to rank and measure objectives in relation to one another.

Village Meetings - Meetings with many uses in participatory development, including information sharing and group consultation, consensus building, prioritisation and sequencing of interventions, and participatory monitoring and evaluation. When multiple tools such as resource mapping, ranking, and focus groups have been used, village meetings are important venues for launching activities, evaluating progress, and gaining feedback on analysis.

Organizations and Institutions with Expertise in Participation in Africa

The following is a list of selected organizations with expertise in participation. They are potential sources of information and advice for Bank staff. Some may also be able to provide or recommend consultants, trainers or other participation specialists. The list focuses on organizations based in Africa but also includes some international contacts.

Africa-wide

Action Aid

Leading PRA practitioners and trainers in the region with various country offices

North Africa

Centre for Development Services
Monatasser Kamal,
4 Ahmed Pasha St (Citibank Bldg.) 6th Floor,
Garden City, Cairo.
Egypt
Phone: (+20)-2-3546599, Fax: (+20)-2-3548686.

Institute for Cultural Affairs
Middle East and North Africa
Hala El Kholy
10 Road 23 Maadi El Sarayat, Cairo
Egypt
Phone: (+20)-2-3751320 or –2-3750088, Fax: (+20)-2-3751756, Email: ica@link.com.eg

Institut Agronomique et Veterinaire, Hassan II
Khadija Bourarach,
BP 6202, Rabat Institut, Rabat.
Morocco
Phone: (+212)-7-771745/771758, Fax: (+212)-7-775838.

NEF Sudan
Ismail Sharif,
123 Block 11, El Mashtal Street (Riyadh District),
PO Box 48, Khartoum
Sudan
Phone: (+249)-11-22166/67, Fax: (+249)-11-70898.

West Africa

AGRI-SERVICE PLUS
Idi Ango Oumarou,
BP 10557 Niamey
Niger
Phone: (+227)-73 49 47, Fax: (+227)-73 43 47.

ActionAid The Gambia
Karafa K Manneh,
PO Box 725, Banjul
Gambia
Phone: (+220)-92420, Fax: (+220)-92425.

CEDA (Centre pour l'environnement et le développement en Afrique)
Philip Langley
BP 7060 Cotonou
Bénin
Phone: (+229)-331917, Fax: (+229)-331981

Centre for Development of People
Tony Dogbe,
P.O. Box 371, UST-Kumasi,
Ghana
Phone: (+233)-51-4581, Fax: (+233)-51-4329.

ENDA-GRAF
Pierre Jacolin; Jean Pierre Perier; Emmanuel Ndione
BP 13069, Dakar
Senegal
Phone: (+22)-1-242025
Publications on participatory approaches and popular education.

ENEA
Prof. Bara Gueye
BP 5084
Dakar
Senegal
Phone: (+221)-253176/244417, Fax: (+221)-244413.
Offers courses on PRA

GRAAP (Groupe de Recherche et d'Appui pour l'Autopromotion Paysanne)
BP 785, Bobo-Dioulasso
Burkina Fasso.
Has developed audiovisual material for illiterate farmers.

GRAD
Idrissa Maiga,
BP 5075 Bamako
Mali .
Phone: (+223)-228873, Fax: (+223)-222359.

IRED West Africa
Oluwayomi David Atte,
19 Balogun Street, Anifowose,
PO Box 326, Ikeja - Lagos.
Nigeria
Phone: (+234)-1-4938014, Fax: (+234)-1-4937723.

ISODEC
Kofi Marrah, Programme Officer,
PO Box 8604, Accra-North
Ghana .
Phone: (+233)-21-301064, Fax: (+233)-21-231687/773857.

PAF
Mathieu Ouedraogo,
BP 200 Ouahigouya.
Burkina Faso
Phone: (+226)-550268, Fax: (+226)-550007.

PRAAP (Programme de Recherche et Appui des Associations Paysannes)
Lynn Ellsworth, Saran Kourouma
CP 13, Dakar-Fann
Senegal
Phone: (+221)-254953, Fax: (+221)-225590
Provides training and research support, publishes a newsletter and holds other publications.

World Neighbors
B.P. 1315, Ouagadougou
Burkina Faso,
Experience across West Africa in participatory training and research.

Central Africa

OXFAM Royaume-Uni et Irlande
Bureau Regional Rwanda,
Efrance Kalenzi M,
B.P. 1298 Kigali
Rwanda .
Phone: (+250)-8-2912.

East Africa

Action Aid
Various country offices.

ARUNET - **African Research Utilization Network**
Nancy A George
PO Box 43864, Nairobi
Kenya
Phone: (+254)-2-726255/722194, Fax: (+254)-2-718406/728493
Is establishing a network for participatory development in East and Southern Africa.

ETC East Africa
P.O. Box 76378, Nairobi
Kenya
Phone: (+254)-2-445421/2/3, Fax: (+254)-2-445424, E-mail: etc-ea@africaonline.co.ke
Experience in participatory energy and forestry projects.

Forest Department (FORI-NARO)
Makerere University
John Aluma (Head)
P.O.Box 7062, Kampala
Uganda
Phone: (+256)-41-259626, Fax: (+256)-41-234252
Information about PRA and training opportunities.

Institute of Cultural Affairs
Kenya The Leadership Team,
P.O. Box 21679, Nairobi
Kenya.
Phone: (+254)- 2- 724314/729, Fax: (+254)-2- 729375

Network for Water and Sanitation (NETWAS)
Isaack Oenga, Pauline Ikumi
P.O.Box 15614, Nairobi
Kenya
Phone: (+254)-2-890555/6/7, Fax: (+254)-2-890554, E-mail: net-csr@nbnet.co.ke
Resource centre, extensive experience in promoting participation in water management.

PAMFORK, c/o Water Aid
Margaret Kitonga
PO Box 58684, Nairobi
Kenya
Phone: (+254)-2-447382, Fax: (+254)-2-442136.

Uganda Community Based Health Care Association
Ben Osuga
PO Box 325, Entebbe
Uganda
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Southern Africa

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Marconi Street 57, PO Box 24576.
Namibia
Phone: (+264)-61-221232, Fax: (+264)-61-221232.

Action Aid
Various country offices

CACE (Centre for Adult and Continuing Education)
Shirley Walters, Director
University of Western Cape
Private Bag X17, Bellville 7530
South Africa
Phone: (+27)-21-9592798, Fax: (+27)-21-9592481
Carries out action research and training, publications on gender, participation and popular education.

Lesotho Participatory Development Forum
Brian Motherway/Bernie Connolly,
Private Bag A67, Maseru 100
Lesotho
Phone: (+266)-316752, Fax: (+266)-310524.

Midnet PRA Interest Group
c/o AFRA, 123 Loop Street, Pietermaritzburg 3201
South Africa
Phone: (+27)-331-457607, Fax: (+27)-331-455106.

National Rural Development Forum, PRA Unit
Phineas Mohajane

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Email: ksingh@aztec.co.za

SAFIRE
Saiti Makuku
PO Box BE 398,
Belvedere, Harare
Zimbabwe
Phone: (+263)-4-795461, Fax: (+263)-4-790470, Email: safire@mango.zw

International

FAO-People's Participation Programme
John Rouse
ESH Via della Terme Caracalla, 00100 Roma
Italy
Phone: (+39)-6-57971/57973918; e-mail: John.Rouse@fao.org
PPP is one of the few official UN sponsored programmes using a participatory approach in projects in about ten different countries. A handbook for field staff has been written in which participatory approach and methodology is explained.

GRET (Groupe de Recherche et d'Echanges Technologiques)
Didier Pilot; Marc Rodriguez
213 Rue de la Fayette, 75010 Paris
France
Phone: (+33)-1-40056161, Fax: (+33)-1-40056110 - 11
Experience in PRA in French-speaking Africa.

IIED-Sustainable Agriculture Programme
International Institute for Enivironmental Development
3 Endsleigh Street, London, WC1H ODD
England
Phone: (+44)-71-3882117, Fax: (+44)-71-3882826
The programme promotes and supports the development of socially and environmentally aware agriculture through research, training, advocacy, networking and information dissemination. Notably is their PLA Notes series, which aims at sharing PRA and RRA field experiences and methodological innovations throughout the world.

Institute of Development Studies - (IDS)
Robert Chambers, John Gaventa
University of Sussex
Brighton BN1 9RE
United Kingdom
Phone: (+44)-273-606261, Fax: (+44)-273-621202
Extensive database of participation resources.

Institute for Low External Input Agriculture (ILEIA)
Wietse Bruinsma
c/o ETC Foundation
Kastanjelaan 5, P.O.Box 64, 3830 AB Leusden
The Netherlands
Phone: (+31)-33-943086 Fax: (+31)-33-940791
Publications on participatory technology development and database of organizations in developing countries.

Program for International Development
Clark University
950 Main Street, Worcester, Massachusetts 01610
USA
Phone: (+1)-508-7937336, Fax: (+1)-508-7938881
Case studies and publications on village approaches to natural resources management.

UNDP-PROWWESS
UNDP/World Bank and Sanitation Programme
1818 H Street N.W., Washington, D.C. 20433
USA
Phone: (+1)-202-473-1304, Fax: (+1)-202-477-0164
Gender program and participatory tools in development education and research.

World Neighbors Development Communications
Ronald Bunch
4127 NW 122 Street, Oklahoma City, OK 73120
USA
Phone: (+405)-752-9700, Fax: (+405)-752-9393
Extensive experience in participatory development. Videos, publications and visual aids available.

World Resources Institute
Lori Ann Thrupp
1709 New York Ave NW, Washington DC 20006
USA
Phone: (+1)-202-6386300, Fax: (+1)-202-6380036
Case studies and publications on participatory approaches to sustainable development.

Information about Participation on the Internet

http://www.parnet.org
The Participatory Action Research Website, located at Cornell University, Ithaca, U.S.A, contains information on:

-        PRA events at Cornell and around the world;
-        institutions, course offerings and faculty;
-        publications, and
-        practical advice and techniques.

http://www.oneworld.org/iied/resource
The Participatory Learning and Action Website, located at Sustainable Agriculture Program, IIED, London, UK, contains:

-        information on the application on PRA methods (sectoral and regional examples);
-        lists of PRA practitioners, and;
-        information on various other participatory methodologies.

http://www.ids.ac.uk/eldis/eldis.html
Eldis is a gateway to information on development and the environment. Iit contains:

-        a large collection of descriptions & links to databases, full text materials, library catalogues, gopher sites, discussion lists, and;
-        participation/PRA information sources.

http://www.fao.org/waicent/faoinfo/sustdev/ppdirect/pphomepg.htm
The Food and Agriculture Organisation Website, located in the People's Participation section of Sustainable Development Dimensions which is a service of the Sustainable Development Department of FAO, in Rome, Italy, contains:

-        Plan of Action for people's participation in rural development;
-        FAO People's Participation Program, and;
-        a description of ongoing participatory project and research activities supported by FAO's rural institutions & participation service.

http://www.worldbank.org/html/edi/sourcebook/sbhome.html
The web site provides on-line access to the World Bank Participation Sourcebook.

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