

**ASIAN DEVELOPMENT BANK**

**TAR: OTH 37748**

**TECHNICAL ASSISTANCE**

(Cofinanced by the Cooperation Fund in Support of the Formulation and Implementation of National Poverty Reduction Strategies, and by the Poverty Reduction Cooperation Fund)

**FOR**

**BUILDING CAPACITY FOR PARTICIPATORY APPROACHES**

**TO POVERTY REDUCTION IN ADB OPERATIONS**

**July 2004**

## ABBREVIATIONS

ADB	–	Asian Development Bank
CSP	–	country strategy and program
DMC	–	developing member country
NGO	–	nongovernment organization
PAM	–	project administration memorandum
RRP	–	report and recommendation to the president
SWAp	–	sectorwide approach
TA	–	technical assistance

## TA CLASSIFICATION

<b>Poverty Classification</b>	Other
<b>Sector</b>	Multiple sectors
<b>Thematic</b>	Inclusive social development, Governance

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## I. INTRODUCTION

1. The Poverty Reduction Strategy and the Report on the Redesign of ADB's Operational Business Processes, both issued in 1999, and the Long-Term Strategic Framework, 2001, all note the importance of participatory approaches for enhancing the impact of Asian Development Bank (ADB) activities. They build on the Framework for Incorporating Participatory Processes into Bank Operations, December 1996. Staff members who received funding under regional technical assistance (TA 5692 and 5894)<sup>1</sup> found participatory activities to be beneficial and cost effective, and called attention to the need for more training for all stakeholders in the RETA evaluation studies. Capacity building has been prioritized in the recent Poverty Reduction Strategy review, as well. Special evaluation studies by the Operations Evaluation Department (OED) in 2000 and 2003 pointed to the need for enhanced knowledge and skills in participation to optimize its benefits<sup>2</sup>. Representatives of resident missions who attended a participation workshop in headquarters in November 2002 were emphatic about the need for participation training in their countries. This TA is a direct response to policy initiatives, stated demand, and lessons learned from evaluation of participation activities in the past several years.

2. ADB proposes TA to build the capacity of selected developing member country (DMC) personnel for pro-poor, participatory approaches in (i) project design and implementation, and (ii) strategy development. The TA was endorsed for funding by the Cooperation Fund in Support of the Formulation and Implementation of National Poverty Reduction Strategies and by the Poverty Reduction Cooperation Fund in July 2003. This regional TA will build on previous successful experience with in-house training in participatory development while expanding the scope to include DMC stakeholders in up to 10 countries (part A). It will also support participatory strategy development in 2 DMCs (part B). The TA has been prepared in consultation with selected ADB staff in headquarters and resident missions. The TA framework is in Appendix 1.<sup>3</sup>

## II. ISSUES

3. Among ADB's partners in DMCs, lack of sufficient experience with planning participatory processes for projects that engage a full range of stakeholders appropriately (in light of existing capacity, contextual factors, etc.) affects project quality and may contribute to slowdowns during implementation. Similarly, limited experience with employing participation during strategy development, whether for country strategy and program (CSP), program, sector development program, or sectorwide approach (SWAp) lending, or national sector or thematic strategies, typically means less efficient implementation of new strategies. This situation continues (i) despite the realization that project designs that include participatory approaches in both planning and implementation are associated with greater impacts (for example, participation, when conducted well and sustained through time, has been shown to be the single most important factor in project success in rural water supply projects<sup>4</sup>); and (ii) despite recognition

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<sup>1</sup> ADB. 1996 and 1999. *Technical Assistance for Facilitating Capacity Building and Participation Activities I and II*. Manila.

<sup>2</sup> ADB. December 2000. *Special Evaluation Study on Participatory Development Processes in Selected Asian Development Projects in Agriculture, Natural Resources, and Social Infrastructure Sectors*. (SST: OTH 2000-07) and ADB. December 2003. *Special Evaluation Study on Participatory Approaches in Forest and Water Resource Operations in Selected Developing Member Countries*. (SST: REG 2003-32)

<sup>3</sup> The TA first appeared in *ADB Business Opportunities* (Internet Edition) in November 2003.

<sup>4</sup> Narayan, D. 1995. *The Contribution of People's Participation; Evidence from 121 Rural Water Supply Projects*. Environmentally Sustainable Development Occasional Paper Series no.1. Washington DC: World Bank.

that engagement of stakeholders in planning strategy formulation and implementation broadens the acceptability of strategies and increases the efficiency of their adoption.<sup>5</sup>

4. There is lack of clarity about the scope for applying participatory tools and expected outcomes of their use. They may be used in communities for assessments or for planning and managing activities. They may also be used in far more complex design and management processes involving diverse institutions to create project goals and plans for implementation and monitoring. Though the participatory approaches applied at each institutional level and at each stage of a development activity are based on the same principles (of respect, flexibility, shared learning, etc.), specific tools may differ for distinct groups of stakeholders with contrasting institutional capacity, for different types of decisions, and in varying contexts.

5. DMC partners and stakeholders also need to be clear about distinctions among basic modes of participation. These are information sharing and gathering activities; consultation (which is generally regarded as limited participation); and more collaborative forms of interaction, such as consensus building and participatory approaches to monitoring, budgeting, and conflict management, that empower both citizens and members of organizations, foster social capital, and contribute to institutional capacity enhancement. Choosing the best mode of participation for decision making with particular stakeholders, during design or implementation of a project or strategy development process, requires understanding of the alternatives, their applications including resource requirements, and the implications for the outcomes of activities.

6. Whether participatory approaches are employed only at the community level or in a hierarchy of institutions, and during design or implementation or both, support is required to follow through on all the planned activities. For example, local nongovernment organizations (NGOs) that are expected to lead participatory exercises will need some training to ensure that they share an understanding of the project and use the same methods; and officials in the district or provincial governments who oversee the work may require enhanced capacity to fulfill the roles they are expected to play in support of local decision making. To achieve the greatest poverty reduction impacts, support for sustained engagement of stakeholders in decision making, especially through monitoring their own progress in projects or in implementing strategies they developed together, is needed. The requirements of time, finance, and skills must be assessed early, and plans must be adapted to fit the social and institutional context.

7. Communication among ADB staff, including those in resident missions, and DMC partners and other stakeholders on the above issues in participatory planning and management (tools, modes of participation, institutional levels, phase of project, and follow-through) is crucial to improving the quality of ADB work and effectively reducing poverty. Enhancing the skills of local facilitators for working at multiple levels and with various stakeholder groups is another key to promoting participatory development and to ensuring more effective and cost-efficient projects and strategy development activities.

### **III. THE TECHNICAL ASSISTANCE**

#### **A. Purpose and Output**

8. The purpose of the TA is to help DMC stakeholders comprehend and successfully employ pro-poor participatory approaches in ADB projects or in strategy development activities

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<sup>5</sup> Brinkerhoff, D. W., and B. L. Crosby. 2002. *Managing Policy Reform; Concepts and Tools for Decision-Makers in Developing and Transitioning Countries*. Kumarian Press, Inc.

(e.g.: CSP; program, sector development program, or SWAp loans; sector or other national strategies) and derive lessons for expanded and more effective application of these processes in the future. The output of the training component (part A), will be that DMC partners in government, other DMC stakeholders, project team members (as resource persons), and consultants, will learn about options, benefits, and requirements for applying participatory approaches to improve poverty reduction impact of projects, and be able to select appropriate participatory approaches and tools and include these in their work. In the strategy development component (part B) participatory processes for strategy development will be designed and facilitated; consensus on major issues will be reached, local facilitator-trainees will be coached; and lessons identified and shared. Indicators for evaluating the impact of the participatory process on strategy implementation will also be defined. Evaluation (part C) and a final workshop will generate recommendations for scaling up this training and strategy development effort to further disseminate learning and enhance poverty reduction in ADB projects. It will focus on the impact of skills development and capacity building on the participants, draw comparisons with similar cases in which participatory approaches were not employed, and provide case studies for future training and discussions.

## **B. Methodology and Key Activities**

9. Part A involves relevant, immediately applicable (“just-in-time”) 3-day training workshops with a range of DMC partners and other stakeholders in government, civil society, and the private sector, who are working together on an ADB-supported project, or are key to ADB-supported activities in the DMC more generally. ADB resident mission staff, representatives of international funding agencies, and resource persons from the project teams at ADB headquarters will also attend. The workshops will be held in the relevant borrowing country. No activities will be financed and no consultants will be fielded in countries that have not expressed prior agreement through provision of no-objection letters. Projects at early stages of design are preferred, but projects at early stages of implementation may also be included. Selection criteria stress the interest of the project team and regional department, specific features of the projects such as emphasis on participation, and practical considerations like availability of facilities and personnel at the appropriate time. Efforts will be made to ensure that workshops are offered in a wide range of sectors and countries. Highly qualified trainers will introduce fundamental concepts of participatory development, stakeholder analysis, institutional and context analyses, participation planning, and a small number of tools and methods. Preparing budgets for participatory activities, terms of reference (TORs) for facilitators, and indicators for monitoring the efficacy of participation will be covered to the extent feasible. The training will build on highly rated workshops at ADB headquarters in 2002 and 2003.

10. Additional workshops may be scheduled to cover tools and methods for community- and institutional-level research, planning, monitoring, etc. in greater depth. Examples include participatory learning and action/participatory rural appraisal; strength-weakness-opportunity-threat (or challenge) analysis; force field analysis; appreciative inquiry; and varying approaches to facilitating large meetings or workshops. It is hoped there will be opportunities for working with poor citizens in these workshops. Another option is a follow-up workshop for participants in a basic workshop who desire more advanced training or coaching. Though this is expected to be less common than the introductory and tool workshops, the trainers will accommodate this demand whenever feasible. In all workshops, a local facilitator-trainee will be sought to work with the lead trainers to improve the local trainee’s skills through exposure to new training methods and target groups.

11. Part B of the TA will build capacity in using participatory approaches to developing strategies, including planning their implementation. Support will be offered to two countries in connection with CSP preparation; strategy development related to program, sector development, or SWAp lending; or national sector or thematic strategy development or implementation. Interest among country or project team members and their regional departments, plus suitability of the specific activity and its context will be the selection criteria. Selection will be made in consultation with the regional departments. No activities will be financed and no consultants will be fielded in countries that have not expressed prior agreement through provision of no-objection letters. For each strategy development initiative, one highly qualified international consultant will be hired for 3.5 person-months to help DMC partners plan a process for building consensus among appropriate stakeholder groups (such as poor and excluded citizens, plus government officials, NGOs and other civil society organizations, and private sector actors – all at local, district, provincial, and national levels). In a series of participatory meetings or workshops, stakeholders will analyze the existing situation, the policy environment, institutional capacities, issues of particular relevance to citizens, and various options to formulate recommendations for both the strategy and its implementation. The final events in the series will synthesize the recommendations into an integrated strategy proposal and implementation plan. Four domestic facilitator-trainees, two in each country, will be engaged to work with the international consultant to practice and improve their facilitation skills and to gain experience in planning a collaborative strategy development process. They will work for up to 6 months each and may be offered additional training at institutions that offer appropriate workshops, preferably within the region.

12. The international consultant will ensure that participants at all levels, and key stakeholders such as central Government officials, stay informed about the process and its overall results to maximize shared learning about applying participation in strategy development. At the end, these key stakeholders will meet to review the process, derive lessons for future strategy development activities, and develop indicators for assessing effectiveness, ease, and speed of implementing the new strategy.

13. Part C, a critical evaluation of parts A and B, will generate case studies and recommendations for building capacity for participatory development in ADB projects and strategy development initiatives. An international consultant will work for 2.5 person-months to review documentation and meet with participants in parts A and B and other stakeholders at local to national levels in selected countries to assess the processes, learning, outcomes, and proposals for future activities. Where feasible, the consultant will develop comparisons with similar cases that did not use participatory approaches. The consultant will help facilitate and present the preliminary report and recommendations for future ADB operations at a workshop in ADB headquarters. The consultant will prepare the final report based on discussions at the workshop. Results of the evaluation study, case studies, and training materials – in regional languages as well as English – will be disseminated both electronically and in hard copy.

### **C. Cost and Financing**

14. The total cost of the TA is estimated at \$600,000 equivalent. The TA will be funded on a grant basis by the Cooperation Fund in Support of the Formulation and Implementation of National Poverty Reduction Strategies and by the Poverty Reduction Cooperation Fund. Each will contribute \$300,000 equivalent. ADB will administer the TA. The detailed cost estimates and financing plan are in Appendix 2.

#### **D. Implementation Arrangements**

15. In the training component, relevant stakeholders in the national and regional governments, civil society, and the private sector in a DMC, plus ADB resource persons from the project teams (in headquarters) and resident missions, and representatives of international funding agencies, will be invited to attend 3-day workshops in the borrowing country. Projects will be selected in consultation with the regional departments and project teams, and participants will be selected based on discussions with the project team and resident mission staff about the candidates' connection with ADB-supported projects. The workshops will focus on projects on which the participants are working and cover fundamental dimensions of pro-poor participatory development. Additional workshops will focus on tools and methods or provide follow-up support to a group that requests additional inputs. One international firm will be selected and engaged on the basis of the quality and cost-based selection method using a biodata proposal. The firm will be responsible for all workshops. It will send one international facilitator-trainer and one assistant facilitator-trainer (preferably from the region) to each workshop, and also invite or hire a domestic facilitator-trainee when feasible.

16. In the strategy development component, one highly qualified individual international consultant will be hired in each country to work with DMC stakeholders for 3.5 person-months. The consultant will coordinate with others who are involved with planning or implementing the initiative, and will have a role in selecting two domestic facilitators-in-training, guide and give them opportunities for practice, involve them in planning and managing the overall process, and possibly deputize them to carry out local consultations or other activities for some time between the consultant's (possible) two separate trips to the country. Thus, each domestic facilitator-trainee may work for up to 6 months.

17. One international consultant with appropriate expertise will be hired for 2.5 person-months to evaluate the capacity building efforts under this TA, develop recommendations for future improvements and expansion of the initiative, assist with the workshop at ADB headquarters, and prepare the final report and case studies. All consultants will be selected and engaged by ADB in accordance with ADB's *Guidelines on the Use of Consultants* and other arrangements satisfactory to ADB for selecting and engaging domestic consultants.

18. The final report including recommendations after discussion and possible revision at the workshop, plus case studies and training materials, will be processed, edited, and translated into selected regional languages, and disseminated in both electronic and hard copy formats. The TA will be implemented from 1 July 2004 to 30 June 2006.

19. The Executing Agency for the TA is ADB through the Regional and Sustainable Development Department, Poverty Reduction and Social Development Division.

### **III. THE PRESIDENT'S DECISION**

19. The President, acting under the authority delegated by the Board, has approved ADB administering technical assistance not exceeding the equivalent of \$600,000 to be financed on a grant basis by the Cooperation Fund in Support of the Formulation and Implementation of National Poverty Reduction Strategies, and by the Poverty Reduction Cooperation Fund, each for the equivalent of \$300,000, for Building Capacity for Participatory Approaches to Poverty Reduction in ADB Operations, and hereby reports this action to the Board.

### TECHNICAL ASSISTANCE FRAMEWORK

Design Summary	Performance Indicators/Targets	Monitoring Mechanisms	Assumptions and Risks
<p><b>Goal</b></p> <p>Enhanced capacity of developing member country (DMC) partners and stakeholders to employ participatory approaches in projects and in strategy development to promote effective poverty reduction</p>	<p>Application of pro-poor participatory approaches in projects and in strategy formulation, plus review of own work, efforts to improve relevant skills, and sharing lessons are standard practice.</p>	<p>Project design, implementation and monitoring documents and records</p> <p>Evaluation studies of projects, special topics, country assistance program evaluations (CAPEs)</p>	
<p><b>Purpose</b></p> <p>Help DMC stakeholders comprehend and successfully employ pro-poor participatory approaches in Asian Development Bank (ADB) projects or in strategy development activities (e.g.: country strategy and program (CSP); program, sector development program, or sectorwide approach (SWAp) loans; sector or other national strategies) and derive lessons for expanded and more effective application of these processes in the future</p>	<p>Records of participation planning decisions based on stakeholder analysis, institutional and context analysis, and participation planning; and of choices made to (i) promote inclusion of voices of the poor and excluded; (ii) empower the poor through project activities; and (iii) engage local, intermediate (meso) and national institutions to support empowerment of the poor. Workshops in up to 10 countries</p> <p>Records of planning, executing and reviewing the strategy development processes of consensus building to derive lessons for the future and develop indicators for</p>	<p>Evaluation study covering records of workshops, documents of resulting projects, and the strategy development process; critical retrospection by participants on their ability to apply new approaches, challenges they encountered, need for additional training or support; and participant views on the contribution of participatory processes to poverty reduction, empowerment, and creation and implementation of new strategies</p>	<p>Institutional support (cf: time and resource requirements) allow stakeholders to attend training and consensus-building activities.</p> <p>Support for implementing pro-poor, participatory activities is available.</p> <p>Risk: Training is inadequate to institutionalize change (though awareness and demand may increase).</p> <p>Risk: Unpredictable events interfere with agreed-upon processes for implementing strategies.</p>

Design Summary	Performance Indicators/Targets	Monitoring Mechanisms	Assumptions and Risks
	assessment of their implementation in two countries		
<p><b>Outputs</b></p> <p>1. DMC partners in government and other stakeholders, project team members (as resource persons), consultants, etc., aware of options, benefits, and requirements for applying participatory approaches to improve poverty reduction impact of projects on which they are working and able to select appropriate participatory approaches and tools and include these in their work</p> <p>2. Participatory process for strategy development designed</p>	<p>By June 2006</p> <p>Ten workshops attended by an average of 20 stakeholders connected with ADB projects under design (preferably) or implementation</p> <p>Report and recommendation of the president (RRP) and project administration manuals (PAM) documents include more specific plans for use of participation in implementing projects</p> <p>Budget allocations for support of participation during PPTA and/or project implementation clearly specified and of sufficient size</p> <p>Indicators of participation effectiveness included in project designs</p> <p>For workshops during implementation, adjustments made to optimize project through participation</p> <p>Pro-poor strategies developed through sequenced negotiation</p>	<p>Workshop reports and evaluations</p> <p>RRPs and PAMs including participation plans, budgets, logical frameworks and terms of reference (TORs)</p> <p>Evaluation study</p> <p>Workshop records and evaluation</p> <p>Project review mission reports</p> <p>Records of strategy development planning, workshops, methods,</p>	<p>There is support for full participation by relevant stakeholders.</p> <p>Communication among participants during workshops is sustained and helps to facilitate design and implementation processes.</p> <p>Sustained stakeholder engagement in strategy development process</p>

<b>Design Summary</b>	<b>Performance Indicators/Targets</b>	<b>Monitoring Mechanisms</b>	<b>Assumptions and Risks</b>
<p>and facilitated; consensus on major issues reached; local facilitator-trainees coached; lessons identified and shared</p> <p>3. Indicators for evaluation of the impact of the participatory process on strategy implementation defined</p> <p>4. Recommendations for scaling up this training and strategy development effort to further disseminate learning and enhance poverty reduction in ADB projects</p>	<p>and consensus-building processes among groups of relevant stakeholders</p> <p>Local facilitator-trainees enabled to contribute effectively to the overall process</p> <p>Indicators defined and included in documentation of the CSP, loan, and implementation documents</p> <p>Critical evaluation study and discussion at final workshop</p>	<p>analyses, information gathered, agreements reached</p> <p>Evaluation of local facilitator-trainees contributions by lead consultant and others</p> <p>Record of review of the process with key stakeholders to derive and share lessons</p> <p>Indicators as identified</p> <p>Evaluation study</p> <p>Evaluation study and workshop report</p>	<p>is feasible and supported.</p> <p>A highly competent evaluator is available.</p> <p>Evaluator is able to access records and meet with stakeholders.</p> <p>Workshop is well attended and lessons are shared effectively.</p>
<p><b>Activities</b></p> <p>Part A</p> <p>1. Relevant, just-in-time training workshops with DMC partners, preferably early in (ADB-supported) projects (covering basic concepts, modes of</p>	<p>Start : July 2004 Completion: February 2006 Responsibility: Facilitation-training firm</p>	<p>Detailed workshop records and evaluations</p> <p>Facilitator-trainers reports</p> <p>Evaluation study</p>	<p>Facilitators with sufficient ADB and regional experience are available.</p> <p>Scheduling of workshops is synchronized with</p>

Design Summary	Performance Indicators/Targets	Monitoring Mechanisms	Assumptions and Risks
<p>participation, stakeholder and institutional analyses, participation planning including budgeting, TORs, and monitoring indicators)</p> <p>2. Additional training workshops on participatory methods and tools (e.g.: participatory rural appraisal, appreciative inquiry, search conference, alternative meeting structures) with information on when to use each, how to select good facilitators, techniques and indicators for evaluating their application</p> <p>3. Possible follow up training with groups that took part in initial workshops on project activities</p> <p>Part B</p>	<p>Start: July 2004 Completion: February 2006 Responsibility: Facilitation-training firm</p> <p>Start: January 2005 Completion: February 2006 Responsibility: Facilitation-training firm</p>	<p>Records of planning, workshops, of analyses carried out, of proposals put forward, and of keeping participants informed</p> <p>Evaluation study</p>	<p>availability of facilitator-trainers.</p> <p>There is support for institutional stakeholders to attend and then to apply what they learn.</p> <p>Suitable venues, transport, etc. are available..</p> <p>Training materials are available in a timely manner.</p> <p>Knowledge of methods and tools for those primarily engaged in process management perceived as relevant.</p> <p>Demand emerges for follow up facilitation / support with participatory processes in specific projects involved</p>
<p>1. Development and execution of a facilitated process involving appropriate stakeholders in sequenced exercises to develop an inclusive, pro-poor strategy</p>	<p>Start: July 2004 Completion: December 2005 Responsibility: Individual consultants</p>	<p>Records of process planning, stakeholder and institutional analysis, consensus-building and negotiation activities including evaluations</p>	<p>Experienced, highly qualified consultants are available at appropriate times.</p> <p>Suitable venues, transport, etc. are available.</p>

<b>Design Summary</b>	<b>Performance Indicators/Targets</b>	<b>Monitoring Mechanisms</b>	<b>Assumptions and Risks</b>
<p>(CSP; program, sector development program, or sectorwide approach(SWAp) loan; or national sector strategy, etc.) involving analyses of stakeholders, existing policy, and institutional capacity, and planning for implementation of the strategy</p> <p>2. Consensus-building to attain agreement on most important issues and clarify plans for implementation of the strategy</p> <p>3. Key stakeholders take part in review of the process undertaken, capture lessons learned, and develop indicators for assessing effectiveness, ease, and speed of implementation of the new strategy</p> <p>Part C</p> <p>Critical evaluation of both training and strategy development components to derive lessons for further development and application in ADB activities, followed by workshop at ADB in Manila and dissemination of output</p>	<p>Start: July 2004 Completion: December 2005 Responsibility: Individual consultants</p> <p>Start: July 2004 Completion: December 2005 Responsibility: Individual consultants</p> <p>Start: March 2006 Completion: June 2006 Responsibility: Evaluation consultant</p>	<p>Facilitators' reports</p> <p>Records of final review of the work undertaken including indicators developed and lessons learned</p> <p>Report covering parts A and B with specific case studies, lessons, and recommendations</p> <p>Effective workshop presentation</p>	<p>Sufficient institutional support for inclusive process to develop strategy and plan its implementation exists.</p> <p>Agreement is possible on most issues within a reasonable time period.</p> <p>Unpredictable natural and sociopolitical complications are minimal.</p> <p>Highly competent evaluator is available and is given access to records, participants, and other stakeholders for study.</p> <p>Workshop logistics run smoothly.</p>

Design Summary	Performance Indicators/Targets	Monitoring Mechanisms	Assumptions and Risks
<p><b>INPUTS</b></p> <p>1. International consultants</p> <p>a. International consultant facilitator-trainers (one firm to manage all workshops in part A)</p> <p>b. International strategy development consultants (one individual for each of two activities in part B)</p> <p>c. Evaluation specialist</p> <p>2. Domestic consultants</p> <p>Two local facilitator-trainees in each country (under part B) to work with consultant, receive coaching, probably lead some of the consensus-building sessions</p> <p>3. Training and workshops</p> <p>a. Basic workshops, tool workshops, follow-up workshops (part A training component)</p> <p>b. Consensus-building meetings and workshops (part B)</p>	<p>Fifteen weeks including 10 three-day workshops (with preparation and travel time). Lead facilitator-trainer plus co-facilitator and local trainer in training</p> <p>Each consultant to work 3.5 person-months possibly in two trips up to 3 months apart (total of 7 months for two countries)</p> <p>2.5 months</p> <p>Each consultant to work up to 6 months (total of 24 months --- two facilitator-trainees in two countries)</p> <p>10 workshops in up to ten countries</p> <p>Multiple as planned by consultant with key stakeholders</p>	<p>ADB disbursement documents</p>	<p>Recruitment of consultants is timely.</p> <p>Scheduling of workshops is synchronized with availability of lead facilitator-trainer.</p> <p>Candidates with adequate preparation and initiative are available.</p>

<b>Design Summary</b>	<b>Performance Indicators/Targets</b>	<b>Monitoring Mechanisms</b>	<b>Assumptions and Risks</b>
strategy development)  c. Headquarters workshop  d. Publication (paper and electronic) and dissemination with some translation	At end of project, 1 to 2 days  Training materials – development and production  Final report with results, recommendations, case studies		

**COST ESTIMATES AND FINANCING PLAN**  
(\$'000)

Item	Total Cost
<b>Financing from the Cooperation Fund in Support of the Formulation and Implementation of National Poverty Reduction Strategies and the Poverty Reduction Cooperation Fund<sup>a</sup></b>	
1. Consultants	
a. Remuneration and Per Diem	
i. International Consultants	191.3
ii. Domestic Consultants	48.0
b. International and Local Travel	46.0
c. Reports and Communications	3.5
2. Training, Seminars, and Workshops	
a. Facilitators and Resource Persons	150.0
b. Training and Workshop Expenses	60.7
3. Publications (including editing, electronic formatting and translations)	25.0
4. Miscellaneous Administration and Support Costs	15.5
5. Contingencies	60.0
<b>Total</b>	<b>600.0</b>

<sup>a</sup> Funding of \$300,000 equivalent each from the Cooperation Fund in Support of the Formulation and Implementation of National Poverty Reduction Strategies and the Poverty Reduction Cooperation Fund administered by the Asian Development Bank (ADB).  
Source: ADB estimates.

## **OUTLINE TERMS OF REFERENCE FOR CONSULTANTS**

### **A. Training Component**

1. One international firm will be hired to lead 10 workshops in various countries. One highly skilled participatory development trainer with knowledge of ADB operations and the Asia Pacific region, working with a co-facilitator, preferably from within the region, will lead 3-day workshops on participatory development covering fundamental concepts; stakeholder, institutional, and context analysis; participation planning; and introduction of a few tools. Budgeting, TORs, monitoring, and indicators will be included, as feasible. DMC stakeholders in government, civil society, and the private sector who are working on an ADB-supported project – preferably early in the design phase but perhaps early in implementation as well – will focus on the tasks on which they are working together. Alternate forms of workshops focus on tools and methods, and provide follow-up training for groups that request special coaching after taking part in an introductory workshop.
2. Resource persons from the project teams in ADB headquarters and resident missions will participate in the workshops, as required. Representatives of international aid organizations may also attend.
3. A local facilitator-trainee will be invited or hired to work with the international and regional facilitators in each country to build his/her capacity.
4. The trainers will keep records on each workshop, solicit evaluations from participants at the close of each workshop, and submit a final report on the work, including recommendations for future training on participatory development in the region.

### **B. Strategy Development Component**

5. The technical assistance will require the services of international and domestic consultants. Their tasks follow.

#### **1. International Consultants**

6. One international consultant for each country selected under the strategy development component will
  - (i) work closely with key stakeholders in the country for 3.5 person-months (possibly divided into two trips no more than 3 months apart) to plan and facilitate a participatory strategy design process for a country strategy and program; a program, sector development or sectorwide loan; or a national sector or thematic strategy;
  - (ii) ensure that stakeholders, relevant existing policies and the institutional context are analyzed so that participants can assess the affects of various strategy alternatives on individuals and groups;
  - (iii) make sure that all relevant groups are represented in the strategy development

process, and organize and lead a series of participatory consensus-building workshops to develop recommendations for a pro-poor strategy and its implementation;

- (iv) ensure that participants receive feedback about how their suggestions have been incorporated into the final recommendations;
- (v) assist in selecting two domestic facilitators. The consultant will coach the facilitators and may delegate leadership of some constituent consensus-building sessions to them (especially between the [possible] two trips by the international consultant), evaluate their work, and recommend whether one or both should be given additional facilitation training preferably within the region;
- (vi) facilitate a review process with key stakeholders at the end of the engagement to evaluate the activities undertaken, derive lessons for future strategy development efforts, and identify indicators for assessing the effectiveness, ease, and speed of implementing the new policy; and
- (vii) keep records of all planning meetings, workshops and other participatory events, and of the final review process; and prepare a comprehensive and reflective final report of the processes undertaken. If the consultant divides his or her time into two visits to the country, clear instructions must be left for actions to be undertaken by the facilitator-trainees during his or her absence and a midterm report submitted within 1 week of departure at the end of the first phase of the work.

## **2. Domestic Consultants**

7. In each of the two selected countries, two facilitators will work with the international consultant. They will assist with all phases of the design and execution of the planning process for participatory strategy development and implementation. Each may work for up to 6 months. They will practice and improve their skills as facilitators and learn to apply them to strategy initiatives under the supervision of the international consultant and may accept responsibility for leading some of the workshops. They will help with local arrangements, planning and managing the workshops, taking notes and preparing summaries, correspondence with stakeholders at all levels, and maintaining positive relationships with all stakeholders. They may also be asked to contribute in preparing the final report.

8. The facilitators may be nominated for additional international training in facilitation based on their performance and the assessment of the international consultant of their skills and commitment to participatory processes.

## **C. Evaluation Component**

9. One international consultant will be hired for 2.5 months to critically examine both the strategy development and training components; assess the effectiveness of processes, learning, and outcomes; identify opportunities for improvement; and formulate recommendations for further development of these or related initiatives. The consultant will review documents and visit selected countries to meet with participants in both components and other stakeholders from local to national level. The consultant will develop case studies and, as feasible,

comparisons with similar projects or strategy development activities where participatory approaches were not used.

10. The consultant will help present a preliminary report of his or her findings in a final workshop at ADB headquarters where staff and selected representatives of participating countries will present their experiences and review and further develop the evaluation consultant's recommendations. The consultant will also help facilitate the workshop. After the workshop, the consultant will prepare the final report.

#### **D. Publication and Dissemination**

11. Translators for regional languages, editors, and computer technicians to convert training materials into electronic format will be hired to help prepare and disseminate the training materials, final report, case studies, and other documents from this TA.