

C&P in ADB's Project Cycle

28. Integrating stronger C&P in ADB's project cycle leads to improved quality and performance at incremental cost. C&P in ADB operations can begin during project identification and extend through implementation and ex-post evaluation. In the case of projects supported by the Private Sector Operations Department, it may not be possible to carry out C&P at the early project identification stage due to business confidentiality considerations. The type of C&P that is appropriate will vary by type of project and can be categorized during preparation of the IPSA (see below).

29. Given the government's role as the owner of most ADB-financed projects, it is important that the government be involved in the application of C&P throughout the project cycle.

Stage 1: Concept Paper

30. C&P methods may be applied during project identification and PPTA-fact finding (PPTA-ff), and in drafting the Initial Poverty and Social Assessment (IPSA). The IPSA provides one of the first entry points for C&P.

31. At this stage, an initial stakeholder analysis (Tool 1) is typically developed to identify a) which groups have an interest in the project, and b) their interests and capacities to support or hinder implementation. The analysis can also bring to light potential conflicting interests *between* different stakeholders.

32. Stakeholder analysis is fundamental to the design of any ADB project, program, or strategy, and additional guidance is provided in the *DMF Guidelines*.

33. When ready, the results of stakeholder analysis and a summary of the proposed C&P plan⁹ (see Tool 2 below) can be included in Section C (Participation Process) of the IPSA, which is submitted with the TA paper. The C&P plan defines which specific stakeholders the Mission Leader has determined should



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be engaged—and how deeply—at each stage of the project cycle, taking into account time and resource constraints.

34. A great variety of C&P Tools and Methods (Tool 3) can be used during project preparation, each with unique advantages and costs. The approximate staff time and financial costs for supporting the C&P plan are typically built into overall mission costs.

35. Depending on the C&P strategy and tools involved, and the nature of the project, stakeholders may have a high degree of influence in the design process or a relatively minor one.

Stage 2: Project Preparation Technical Assistance (PPTA)

36. If the initial stakeholder analysis and C&P plan cannot be prepared as part of PPTA, they can instead be included in the consultant's terms of reference (TOR) and provided in their inception report, assuming that the consultant has sufficient knowledge this early in the process. Stakeholder views and inputs at this stage can help ensure that the project design responds to local demand. It can be useful to record a Summary of Stakeholder Consultations (Tool 4) for the project file to demonstrate implementation of the design stage C&P plan.

37. ADB is gaining experience in the organization of design and monitoring framework (DMF) workshops with stakeholders to reach consensus on project design. The use of

ADB's Public Communications Policy Reinforces C&P in Projects

ADB's Public Communication Policy (PCP) calls for facilitating dialogue with affected people and organizations and sharing information about a public or private sector project or program with affected groups. The PCP indicates that this should start early in project preparation. For projects likely to generate a high level of public interest, the PCP recommends jointly developing a communications plan with the DMC governments.

problem and objectives trees analysis during strategic planning workshops has also proven useful. Where appropriate, these approaches can be used more widely to improve project quality and local ownership. ADB's Central Operations Services Office (COSO) offers training on how to apply the DMF to both ADB staff and government officials. COSO also trains facilitators in developing countries with the aim of creating a pool of local resource persons who can be drawn upon when conducting various forms of consultation using the tools described in the DMF, including stakeholder analysis.

Stage 3: Loan Processing

38. Consultations with stakeholders can be included as an appendix in the draft RRP.¹⁰ Section C of the Summary Poverty Reduction Social Strategy (SPRSS), which is a common appendix to the RRP, can be used to describe what stakeholder analysis has been carried out, and to report on implementation of the C&P plan. On this basis, the Management Review Meeting can make a final determination as to whether C&P has been adequate and whether sufficient measures are planned for implementation.

Stage 4: Implementation

39. Implementation provides the opportunity to enhance project performance and local ownership through C&P-based approaches. Some projects, such as community-driven development activities, will seek to institutionalize participation and empowerment as central objectives, whereas this is less likely for government-implemented infrastructure projects. The C&P plan for project implementation will reflect these differences, as well as the differing criteria for judging C&P adequacy during monitoring and review missions.

40. Given the central role of the executing agency in project implementation, its quarterly reports could report on C&P progress against C&P plans. In addition, since the PAM sets out the project or program's implementation agreements and details, it is a logical place to record any agreements and details concerning C&P activities that involve the borrower, executing

ADB's growing experience with the results-based CSP provides an opportunity to use C&P to improve programming quality and performance

Senior Staff Questions

During the development of a project, division directors and other senior staff may want to ask the following questions to promote quality at entry:

- What is your C&P plan for project design and how has it been implemented to date?
- What did you learn through C&P and how did this help shape/improve the design?
- Are there potential risks to the project identified through the C&P process thus far, and have measures to mitigate these risks been developed?
- What is the C&P plan for implementation?

agency, or implementing agency. If staff and budgetary resources permit, ADB project teams can use participatory midterm review workshops to increase local involvement and ownership, and to generate commitments to improve project performance. Community involvement in projects also tends to increase sustainability by giving beneficiaries a stake in nurturing continuation of the project after the formal completion date.

41. One way that C&P can be strengthened during project implementation is through the engagement of an NGO, research institution, or university to carry out independent monitoring.

Stage 5: Evaluation

42. Findings on C&P results can be included in project completion reports, not just for safeguards, but for overall project implementation. Results can be assessed against the C&P plan to generate lessons for further activities in the same sector. Common objectives and expected benefits of C&P include improving the efficiency, effectiveness, sustainability, and coverage of the project; and promoting stakeholder capacity, self-reliance, and empowerment.¹¹ Performance targets and indicators for these C&P-related aims can be included in the DMF.

43. OED selectively evaluates projects—including C&P aspects—and prepares project performance and audit reports. The RSDD reviews these reports and highlights lessons learned and good practices to improve the quality of future ADB projects.

44. In preparing evaluations, OED often interviews and collects data from residents of project areas, community-based organizations, local governments, and NGOs.¹²

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C&P Entry Points in Project Cycle

