

# Tools for Applying C&P

54. Many C&P tools and mechanisms are available to ADB, with many being regularly applied in development activities in the Asia and Pacific region. As mentioned earlier, tools should be selected on the activity's context, objectives, and breadth, and the depth of C&P required and time and resource constraints.

55. Following are nine tools for using C&P to strengthen ADB project and program quality.


## **Tool 1: Checklist for Conducting a Stakeholder Analysis**

Stakeholder analysis is fundamental to C&P work at any level. It provides an understanding of the interests of individuals, groups, and institutions that have something to win or lose through an ADB activity. In the case of projects, stakeholder analysis helps identify which groups are supportive and which groups may oppose the project strategy and subsequently obstruct project implementation. This provides a sound basis for taking appropriate actions to gain the support of opponents and to get key supporters more involved. Stakeholder analysis plays an important role in identifying the development problem.

Use the analysis to first identify all the stakeholders and then to engage key ones to find out more about their interests and capabilities in order to strengthen project design and implementation.

Typical ADB stakeholders include target/beneficiary groups, community members, government officials at various levels, CSOs (including NGOs), universities, private sector groups, other donors, and ADB regional department staff at the headquarters and at resident missions.

Key stakeholders are typically clients/beneficiaries, groups that control important resources for implementation, and/or groups



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that are negatively affected or may lose out if not included. It is important to also consider particularly disadvantaged groups that may not usually be consulted such as ethnic minorities, poorest groups, women, migrant workers, etc. Stakeholder analysis may also consider catalyst groups and service providers.

Stakeholder analysis ideally begins early in preparation for TA fact finding, and is typically supported by a social development/poverty specialist or economist. A first cut at the analysis involves listing stakeholders and their potential interests or concerns. The analysis can be firmed up during fact finding, preparation, and appraisal, using it to help shape design and to tap local capabilities to support implementation. Stakeholder analysis tends to work well if carried out with others who have an in-depth knowledge of the project and country context, such as ADB colleagues, representatives of donor agencies, community leaders, or government officials.

There are different levels of, and approaches to, stakeholder analysis. A basic approach is outlined in the DMF Guidelines:

At a facilitated workshop or brainstorming session with a first selection of stakeholders, follow these steps:

**Step 1:** Confirm the initial development problems, possible target area and/or sector, and the beneficiaries.

**Step 2:** Prepare a blank stakeholder table.

**Step 3:** List all the stakeholders on cards and sort them<sup>19</sup> by categories of stakeholders, e.g., population groups, public sector organizations (including local government agencies), civil

Name of Group	Stakeholder's Interest	Perception of Problems	Resources	Mandate

## Key Questions for Understanding Stakeholder Interests

- What are stakeholder expectations of the project?
- Have the interests of poor and marginalized groups been identified?
- What benefits are there likely to be for each stakeholder group?
- What are the capacities and resources of key stakeholder groups to support/hinder implementation?
- Does the stakeholder have other interests that may conflict with the project?
- Where and how do stakeholder interests align or diverge?

society, private sector, donor agencies. Place each group on a separate row (column 1).

**Step 4:** Discuss the interests of each group with reference to the development problem—how and why they are involved. Complete one card for each group reflecting their dominant interest (column 2).

**Step 5:** Clarify how each group perceives the development problem (column 3). Use one card per group and state the perceived problem as clearly as possible. The phrase should be a negative statement and not an implication of a solution, e.g., roads are poorly maintained (correct), no road maintenance system (incorrect).

**Step 6:** State the resources a group puts forth in support or in opposition<sup>20</sup> to the development problem. Resources are financial and nonfinancial. While formal organizations have both financial and nonfinancial resources, population and civil society groups have predominantly nonfinancial resources. These can include labor, political influence, volunteers, votes, strikes, and public pressure (column 4).

**Step 7:** List the mandates or formal authority that stakeholders have to carry out a particular function. Generally, population groups, such as low-income groups, farmers, and women, do not have mandates (column 5).

## Checklist for Stakeholder Analysis

- Have all the relevant stakeholders been listed?
- Have marginalized and vulnerable groups (especially poorest groups, ethnic minorities, female-headed households, and migrant groups) been identified?
- Have the main client/beneficiary groups been identified?
- Have groups who will be negatively affected by the project been identified?
- Have all potential supporters and opponents of the project been identified?
- Should gender analysis be used to identify different kinds of male and female stakeholders?
- Should these stakeholders be divided into user, occupational, age, income or ethnic groups?
- Have resident missions (e.g., the NGO/CSO anchor) helped identify stakeholders?

To learn more about conducting stakeholder analysis, see *Stakeholder Methodologies in Natural Resource Management* (Natural Resources Institute, University of Greenwich, 1998),<sup>21</sup> the stakeholder analysis page of the Overseas Development Institute website,<sup>22</sup> and *AusGuideline 3.3 – the Logical Framework Approach* (Australian Agency for International Development, October 2005).<sup>23</sup>

Example: An ADB team for an urban development project in the Philippines used stakeholder analysis to decide which groups would participate in project design. Likelihood of being affected, positively or negatively, by the project was the key criterion for selection.

### Tool 2: Checklist for Developing a C&P plan

During and after PPTA-ff is a good time to develop a C&P plan to help guide preparation. Use the stakeholder analysis to determine which groups are most important to engage more fully in preparation work, what kinds of inputs/decisions are needed, and whether information sharing, consultation, collaborative decision making, or empowerment is the best modality given the country context, project objectives, and time and resource constraints.

Developing a C&P plan is recommended for most projects, programs, and strategies. A simple plan is adequate for less complex and less risky projects/stakeholder scenarios. A more elaborate plan can be expected for higher risk (Category A) projects and those that promote participation as central objectives.

If the project is a bond market project, consultation with key firms and ministry of finance may be enough. If the project is a participatory rural development activity, collaborative planning with an array of rural groups may be required. If the goal is to institutionalize participatory planning and management at the municipal level, then an empowerment-based approach requiring deep and extensive participation might be best. A large dam project with risks related to resettlement will require more and deeper levels of C&P, especially with affected groups. In the case of some sector or multi-tranche projects, stakeholders may change over the life of the loan and the C&P plan will have to be developed with this feature in mind.

There is no simple formula for how much C&P is required. This is determined through professional judgment about what is needed to ensure adequate and systematic engagement of key stakeholders, given context-specific opportunities and constraints.

That being said, a solid and defensible C&P plan explicitly addresses each of the following checklist criteria:

- Specifically, which stakeholder groups will be engaged in C&P processes based on the stakeholder analysis?
- What decisions need to be made through C&P, and how?
- What is the anticipated breath and depth of stakeholder engagement at each stage of the project cycle?
- How will C&P be linked to the SPRSS and safeguards requirements?
- How will C&P be used during implementation?
- What C&P methods will be used (Tool 3: Selecting C&P Tools and Methods)?

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- What is the timeline for C&P activities?
- How will C&P methods be sequenced?
- How have roles and responsibilities for conducting C&P activities been distributed among the resident missions, consultants, NGOs, and the executing agency?
- Are C&P facilitators/experts required?
- What will the C&P plan cost to implement and what budget will be used (usually project preparatory or other technical assistance, and possibly part of the loan)?

Examples of C&P in projects varying in scope, scale, type, and sector are included in Chapter IV and in the Staff Toolkit on Consultation and Participation.

*Tip:* Record the C&P plan for the project file. Develop a separate summary of stakeholder consultations (Tool 4) to report which stakeholders have been consulted, key themes/concerns that have emerged, and ADB responses to those concerns. The record provides a resource for later C&P work, and it should be defensible if problems arise.

## **What can you do if Government is Not Open to CSO Engagement?**

In cases where CSO consultation is opposed or mistrusted, ADB has to be sensitive to its government interlocutors, but can still use its influence—especially when working alongside other donors—to encourage changes in the policy environment and highlight the benefits of broader participation.

In some situations, ADB can invite reluctant government officials to consultations and encourage their participation in discussions. ADB can also speak directly with selected CSO leaders on the basis that it leads to better, more informed judgments.

Staff should be mindful that in such situations, preparation may require more time.

### **Tool 3: Selecting C&P Tools and Methods**

As mentioned earlier, tools should be selected on the basis of project's context, objectives, and breadth, as well as the depth of C&P required and time and resource constraints.

A first set of tools is for strengthening projects, programs, and policies.

A second set is for institutionalizing participation and increasing social accountability of power holders—such as governments, private sector actors and donors—to everyday citizens.

### **Tool 4: Summarizing Stakeholder Consultations**

To ensure that stakeholder concerns are considered during project or CSP preparation and available for future reference, it is useful to briefly summarize consultations, e.g., in a matrix format. Such a matrix would typically include columns for the date of the consultation, location, organizer (e.g., government agency, consultant), type and number of participants, main issues, and, where provided, ADB's response. A sample table for recording stakeholder consultations appears on next page.\*

In the case of the review of ADB policies and strategies, comments of external stakeholders are typically posted on a dedicated webpage. This was done, for example, during the review that led to the adoption of the PCP.<sup>24</sup>

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\* For an example of a table used to record stakeholder consultations on an ADB-financed project, see Appendix 16 (pages 56-57) of the RRP for the Dali-Lijiang Railway Project (PRC), 11 November 2004, at <http://www.adb.org/Documents/RRPs/PRC/rrp-prc-36432.pdf>.

### A Partial Menu of C&P Tools and Methods in ADB's Project Cycle

Stages where most useful: 1=Concept; 2=PPTA; 3=Loan Processing; 4=Implementation;  
5=Evaluation

C&P Tools/Methods	Definition and Purpose	Stage
Key Informant Interviews	A series of one-on-one interviews used to collect information from a wide range of people who have in-depth knowledge of selected development issues.	1–5
Focus Groups	A group interview, usually conducted with a relatively homogenous group of 8–12 participants. Used to understand participant attitudes, feelings, beliefs, and perceptions about a development activity. May be used as prelude to quantitative study.	1–5
Participatory Learning and Action	A broad array of participatory methods—such as community meetings and mapping activities—to identify development priorities and to catalyze learning and action, especially for illiterate and semi-literate groups.	1–2, 4,5
Design and Monitoring Framework (DMF) Workshop	A facilitated stakeholder workshop used to reach consensus on priority problems, project design elements, and monitoring plan. 2	Visioning
Workshop A	facilitated stakeholder workshop used to create a common vision and commitment to address an organization, community, or development challenge.	1–2
Strategic Planning Workshop	A facilitated stakeholder workshop used to build group understanding of opportunities, challenges, and strategic options to focus and address development priorities.	1–2,4
Write shop	A facilitated stakeholder workshop to review, create, and shape new development policies, strategies, or procedures.	1–2
Participatory Monitoring and Evaluation	A range of participatory tools and methods used to boost learning of local groups and their ability to assess and improve ongoing development efforts.	4–5

C&P Tools/Methods	Definition and Purpose	Stage
Electronic Consultation	Consultation via websites, web-based discussion groups, and e-mail to gain inputs from wide range of electronically connected groups and networks on proposed or ongoing interventions.	1–5
<b>Approaches for Institutionalizing C&amp;P</b>		
Community-driven Development	An approach that gives control over planning decisions and investment resources to community groups and local governments.	4
Participatory Public Budgeting/Budget Tracking	An approach that empowers citizens to influence and monitor public budget decisions based on local priorities.	4
Citizen Scorecards	An approach to hold governments and utilities more accountable for providing quality service delivery through citizen ratings of service quality.	4
Popular Participation Laws	Development and implementation of legislation to increase citizen participation in local government.	4

Date	Location	Organizer	Type and # of Participants	Main Issues Discussed	ADB's Response

### **Tool 5:** **Tips for Effective Consultation**

The main objective of consultation with CSOs, governments, the private sector, and residents of affected communities is to improve the quality of ADB decisions by capturing the experience of these groups, and give voice to the poor or others who have specialized sector knowledge.

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Added objectives of consultations are to understand the different needs of different population groups, get executing agencies more involved to support effective implementation, set the stage for downstream C&P activities, and support governments in becoming more transparent and involving citizens in decisions that affect their lives.

- Preparations:
  - Plan carefully and make sure adequate time and resources are available to support the consultations (refer to Tool 2: Developing a C&P plan)
  - Be clear from the outset about what the C&P process is attempting to achieve in terms of specific outputs and their indications
  - Work closely with resident missions
  - Engage governments to the fullest extent possible, encouraging a spirit of collaboration and country ownership
  - Ensure diversity and representativeness among stakeholders (e.g., do not invite only those known to be favorable toward the project under consideration)
  
- Provide information and feedback:
  - Provide information to key groups on the process and timeline *before* consultations begin in the local language and style
  - Ensure ample time and resources for quality translation
  - Keep groups fully informed of the process
  - Maximize transparency, making as much information available as possible
  
- Conducting the Consultation:
  - To avoid unrealistic expectations, be clear from the start of the meeting what is, and what is not, under consideration; state clearly what ADB can do and what it can only influence
  - Make sure that the group rules are clear and acceptable and that views are seriously considered

- Use a skilled facilitator where necessary; in many cases, a local facilitator will be best but in others, a local-international facilitation team may be better
- Do not dominate the discussion; listen carefully and note experience and opinions
- Focus on future actions where possible
- Follow-up:
  - Send participants a summary of the meetings shortly afterward and invite corrections and changes
  - Give further feedback on which points have been accepted and which ones have not been and explain why
  - Follow up after the process concludes, especially if there appear to be opportunities for added collaboration

### **Tool 6:** **Process Tips for the Field**

For participatory assessments—such as participatory poverty assessments, participatory development of the DMF, or participatory appraisals—mission leaders will largely contract out

## **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 six people speak a lot, 3 or four join in occasionally.
19–30:	3–4 people dominate. Use breakout groups of 4–8 to discuss issues in more depth.
30+ people:	Little participation in a discussion is possible unless breakout groups are used.

Mixing men and women and people of different status or backgrounds may be useful in meetings designed to listen to and incorporate a variety of perspectives and experiences. However, this may not be possible or appropriate everywhere, and you should be sensitive to power relationships and cultural norms. In other meetings designed to seek in-depth perspectives from each group, it may be better to separate groups into homogeneous subgroups.

*Source:* Rogers, J. 1989. *Adults Learning*. Open University Press. Milton Keynes. UK.

the work to facilitators and experts. If one does become involved in some of this work directly, it is important to keep the balance between process and product. Here are several tips to help:

- Use the stakeholder analysis to help plan participatory activities
- Beware of the risk of elite capture—ensure adequate representation and voice for key groups, including the most vulnerable
- Work with a skilled facilitator (see Tool 7: Hiring a Good C&P Facilitator)
- Be mindful of time constraints of local people—such as harvest and planting seasons—and schedule around these
- Employ a minimum team of two: animator/facilitator and recorder of process and product
- Be mindful of body language
- Do not rush people, but do facilitate and help when requested
- Avoid leading questions. Instead, ask *open* questions, such as “What else?”
- Do not expect or force a consensus unless this was the specific purpose of the workshop; even then, it may only be achieved after several stages of C&P
- Ask, ask, ask ....and listen!

### **Tool 7:** **Hiring a Good C&P Facilitator**

Capable facilitators support ADB’s project, program, and policy design work. The quality of facilitation—including the design of the process—very much influences the quality of the products that inform ADB decisions.

The role of the facilitator is to assist with a process of information exchange, and to help workshop participants collectively focus on the issues and reach decisions. The facilitator also makes sure that the time invested by participants in the consultation is well-spent.

## A Partnership to Fight Poverty in the Philippines

The Country Poverty Analysis (CPA) for the Philippines was prepared during the second half of 2004 as an input to the Philippines Country Strategy and Program 2005–2009, one of ADB’s first results-based CSPs. *Poverty in the Philippines: Income, Assets, and Access* was published in January 2005 to broad press coverage, discussion, and debate. This was always one of the goals of publishing the CPA: to spark interest and raise awareness of the issues surrounding poverty in the Philippines.

The debate and discussion had originally begun with a half-day consultation meeting for external stakeholders, organized at ADB in November 2004. The workshop was attended by 36 participants from government agencies such as the National Anti Poverty Commission (NAPC) and the National Statistical Coordination Board (NSCB), NGOs, international organizations, bilateral development agencies, and embassies. Participants were given a copy of the draft CPA, along with printouts of a summary of CPA highlights in PowerPoint presentation form. The presentation was kept brief, given the main goal of sparking discussion among participants. Among the themes discussed were analysis of the latest poverty data, inequality, assets and “access poverty,” the causes of poverty in the Philippines, the Millennium Development Goals, and an overview of the Government’s poverty reduction programs.

The CPA greatly benefited from inputs received at the consultation workshop. One of the most significant comments had to do with a perceived omission from the list of major causes of poverty. The representative to NAPC for persons with disabilities pointed out that an estimated 10% of the population has some form of disability, and that the disabled in the Philippines are overwhelmingly poor. Exclusion and marginalization of disabled people reduce their opportunities to contribute productively to the household and to the community, which in turn increases the risk of poverty. Not only does disability cause poverty, but poverty causes disability as well. The NAPC representative’s poignant observations hit home with the CPA team. After further research, disability was added as a seventh major cause of poverty in the Philippines.

The consultation workshop also served to build a relationship with the Government of the Philippines on poverty issues. A month after publication of the CPA, the NSCB released the newest poverty data for 2003. Results conflicted with what had been predicted in the CPA, which naturally caused some discussion in the press. Building on the ties that had been established during the November 2004 CPA consultative workshop, ADB and the government agreed to host a joint public forum on poverty

## A Partnership to Fight Poverty in the Philippines *(cont'd.)*

estimates, organized at ADB in May 2005. More than 220 participants attended the forum, where various stakeholders deliberated poverty definition and measurement issues, and discussed the latest numbers. The CPA and other documents were circulated to participants. Attendees included 54 representatives from civil society and academe, 15 NAPC “basic sector” representatives (e.g., urban poor, persons with disabilities, fisherfolk, senior citizens, etc.), international organizations, and 129 representatives of various parts of the public sector.

*Source:* Southeast Asia Regional Department.

- Select facilitators who have a demonstrated donor track record with the particular C&P tools that are envisioned for use
- Ask the resident mission and other donors for recommendations for skilled local facilitators to keep cost down and to ensure local knowledge
- Draft a clear TOR including clear objectives, deliverables, and milestones for C&P work. Be clear about roles and responsibilities for C&P logistics
- Interview potential consultants—ask them how they build group consensus, manage conflict, and how donors have used the results of their work
- For grassroots work, make sure the facilitator has language skills, knowledge and successful experience at that level
- Request writing samples
- Ask C&P facilitators to produce a clear process design as one of their first deliverables. Review and improve as needed
- Actively manage the C&P facilitator, review quality of interim reports, and push for improvements as necessary

COSO maintains a roster of DMC facilitators whom it has trained in participatory project design.

## **Tool 8:**

### **Tips for Effective Consultations in Country Strategy and Program**

- Basic principles:
  - Build on existing participatory processes, mechanisms, and assessments, especially in PRSP countries
  - Start C&P from the preparatory stage of sector/thematic/poverty diagnostics
  - Use local resources as much as possible
  
- Before CSP consultations:
  - Complete a thorough stakeholder analysis
  - Have a supportive country team with strong leadership
  - Consider seeking trust fund support as needed
  - Ensure senior DMC counterparts understand and are committed to a participatory approach
  - Set up an ADB, DMC team to develop an initial C&P plan
  - Select CSOs from credible civil society networks
  - Provide information on the process and timelines
  - Develop a dissemination strategy
  - Provide background information on the strategy
  
- During the CSP formulation:
  - Use skilled neutral groups to conduct C&P work
  - Include line ministries and local government officials in C&P work
  - Engage poor and marginalized groups in the process
  - Coordinate efforts with other donors to identify areas of comparative advantage
  - Link C&P work to development of a good results framework
  - Communicate and provide feedback at all stages of the CSP
  
- After the C&P phase:
  - Provide feedback on why certain stakeholder suggestions were/were not incorporated
  - Translate the final document into the local language
  - Institutionalize the process.

The role of the facilitator is to assist with a process of information exchange, and to help workshop participants collectively focus on the issues and reach decisions

Example: The PRC—Catalyzing First Steps Toward Inclusive Poverty Reduction

ADB's work with the CSP for the PRC exemplifies some good practices in helping government make incremental steps toward more inclusive poverty reduction. A participatory poverty analysis was undertaken to provide data to support the development of the CSP. A national poverty workshop held at the end of the activity was the first of its kind organized by an international donor, bringing together representatives of poor communities, government, NGOs, and the private sector. Participatory and traditional appraisal work took place in two poor communities. Several community representatives attended the national workshops and their voices were heard on local poverty issues and priorities. Due to this exposure, the State Council Leading Group Office of Poverty Alleviation and Development incorporated participatory methods as part of its poverty assessment toolkit and 10-year poverty reduction strategy.

### **Tool 9: Managing Risks of C&P**

Using participation well is always a challenge. This Guide has cited some common risks, such as raised expectations, costs, reluctance to share decision making, elite capture, government mistrust, and ensuring the quality of C&P. Here are several tips to help team leaders better manage these risks:

- From the Outset:
  - Be prepared to demonstrate leadership
  - Draw on the lessons learned from similar projects, and confer with colleagues with knowledge in applying C&P, both in and outside of one's department
  - Try to designate a portion of the TA or loan itself to defray participation costs, remembering that such costs are likely to be repaid through improved results
  - Plan for C&P as early as possible; fact finding TA is a good entry point

- Identifying and Engaging Stakeholders
  - Reach out to local and national level government officials, and seek their support for participation of key stakeholders who wish to be involved
  - Use a stakeholder analysis and C&P plan to ensure adequate representation and engagement from the right groups
  - Set clear objectives for C&P, being upfront with stakeholders about what can and cannot be delivered or considered by ADB
  - Be wary of capture by elites or aggressive interest groups, and make extra efforts to hear the voices of poor and vulnerable groups, who are often the intended beneficiaries of the project
  
- Bolster Support for C&P
  - Where possible, build on local institutions and traditions to reinforce C&P and project quality
  - Use skilled C&P facilitators/consultants with a suitable approach and relevant skills; manage them actively
  - Ask that the executing agency include a brief update on the implementation of the C&P plan in its quarterly reports to ADB
  - Confirm that agencies involved in project management and implementation are answerable to the people being directly affected or involved
  
- Additional Tips
  - Share information openly so that stakeholders can provide input based on informed views, and to maintain their trust and support as implementation proceeds
  - Understand the strengths, weakness of the C&P methods chosen, including time, cost, facilitation, and reporting requirements
  - Be sensitive to local social and cultural norms of stakeholders
  - Do not expect immediate consensus; this may take time to nurture
  - Avoid using C&P as an afterthought or as window dressing as this devalues people and undermines ADB's credibility