

# Endnotes

- <sup>1</sup> The *ADB Consultation and Participation Toolkit* (2006) provides additional documentation on C&P, including templates, sample terms of reference, case studies, and participation-related resources of other development agencies. The Toolkit builds on the *Handbook for Incorporation of Social Dimensions in Projects* (ADB, 1994), available at: [www.adb.org/Documents/Handbooks/Social\\_Dimensions](http://www.adb.org/Documents/Handbooks/Social_Dimensions).
- <sup>2</sup> The Guide does not impose new requirements on staff and is not subject to compliance under ADB's Accountability Mechanism.
- <sup>3</sup> See, for example, Renfro, Raymond Z., "The Value of Participation in Development – Relevance to Soil and Water Conservation," keynote address delivered at the International Symposium on Participatory Strategy for Soil and Water Conservation in Tokyo on 27 November 2004. See: [www.adbi.org/speeches/2004/11/27/828.soil.water.conservaion/](http://www.adbi.org/speeches/2004/11/27/828.soil.water.conservaion/).
- <sup>4</sup> The rationale for C&P is also underscored in ADB's *Special Evaluation Study on Participatory Development Processes in Selected Asian Development Projects in Agriculture, Natural Resources, and Social Infrastructure Sectors* (February 2001). The study highlights the need for ADB to modify and strengthen project identification and preparation processes and procedures to incorporate deeper levels of stakeholder participation in order to improve project quality at entry and performance. See: [www.adb.org/Documents/PERS/SS43.pdf](http://www.adb.org/Documents/PERS/SS43.pdf).
- <sup>5</sup> See: [www.adb.org/Documents/Policies/Poverty\\_Reduction](http://www.adb.org/Documents/Policies/Poverty_Reduction).
- <sup>6</sup> The Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD) defines participation as "a process by which people take an active and influential hand in shaping decisions that affect their lives." See DAC Expert Group on Aid Evaluation (1997) *Evaluation of Programs Promoting Participatory Development and Good Governance – Synthesis Report*, 22. Paris:

- OECD. Available at: [www.oecd.org/dataoecd/31/13/2755291.pdf](http://www.oecd.org/dataoecd/31/13/2755291.pdf).
- <sup>7</sup> OECD, p. 23.
- <sup>8</sup> See: [www.adb.org/Documents/Guidelines/PPMS/Guidelines-on-Preparing-a-Design-and-Monitoring-Framework.pdf](http://www.adb.org/Documents/Guidelines/PPMS/Guidelines-on-Preparing-a-Design-and-Monitoring-Framework.pdf).
- <sup>9</sup> The C&P plan is referred to as the “participation strategy” in Section C of the Initial Poverty and Social Assessment.
- <sup>10</sup> For example, see Appendix 16 (pages 56–57) in the RRP for the Dali-Lijiang Railway Project (PRC), 11 November 2004, at [www.adb.org/Documents/RRPs/PRC/rrp-prc-36432.pdf](http://www.adb.org/Documents/RRPs/PRC/rrp-prc-36432.pdf).
- <sup>11</sup> For more on the evaluation of C&P in projects, see Karl, Marilee (November 2000) “Monitoring and Evaluating Participation in Agriculture and Rural Development Projects: An Annotated Bibliography,” Food and Agriculture Organization website, [www.fao.org/sd/PPdirect/PPre0074b.htm](http://www.fao.org/sd/PPdirect/PPre0074b.htm).
- <sup>12</sup> OM E4/OP recognizes that “NGO knowledge and perspectives similarly can be applied to project benefit or impact monitoring and evaluation. Where appropriate, ADB review, monitoring, and evaluation missions may contact NGOs to gain their views and gather additional information.”
- <sup>13</sup> Armytage, Livingston, “Pakistan’s Law and Justice Sector Reform Experience: Some Lessons,” *Law, Social Justice & Global Development Journal*, 2004. See: [www2.warwick.ac.uk/fac/soc/law/elj/lgd/2003\\_2/armytage/](http://www2.warwick.ac.uk/fac/soc/law/elj/lgd/2003_2/armytage/).
- <sup>14</sup> Staff Instructions on Policy and Strategy Development in ADB, approved 22 July 2004, apply to the procedures for identifying, preparing, and processing policy and strategy papers.
- <sup>15</sup> *ADB-Government-NGO Cooperation: A Framework for Action, 2003–2005* was prepared using the writeshop methodology. See: [www.adb.org/NGOs/Framework/framework\\_development.asp](http://www.adb.org/NGOs/Framework/framework_development.asp).
- <sup>16</sup> The team that managed the review of ADB’s Inspection Function created a detailed website for consultation purposes. See: [www.adb.org/inspection/review.asp](http://www.adb.org/inspection/review.asp).
- <sup>17</sup> Although they have not been set up for external consultations on ADB policies and strategies, e-mail or web-based discussion groups have used by other intergovernmental organizations to promote deliberation among stakeholders on proposed policy changes. For example, in May 2004, the World Bank Institute and the International Finance Corpora-

tion designed and organized a 12-day global multi-stakeholder e-discussion on disclosure of information and consultation in private sector projects.

- <sup>18</sup> For example, see the treatment of external comments received on ADB's Information Policy and Strategy, and Policy on Confidentiality and the Disclosure of Information: [www.adb.org/Disclosure/compilation\\_external\\_comments.pdf](http://www.adb.org/Disclosure/compilation_external_comments.pdf). Another example of responding to stakeholder inputs is provided by the review of the implementation of the Water Policy: [www.adb.org/Water/Policy/comprehensive-review.asp#feedback](http://www.adb.org/Water/Policy/comprehensive-review.asp#feedback).
- <sup>19</sup> Use meta cards, post-it, or index cards for this exercise. It helps to visualize the results, facilitates group discussions, and makes changes to the presentation easy. A sample toolkit is available from COSO.
- <sup>20</sup> If a stakeholder group has interests contrary to a proposed project, it is reasonable to expect that it would use resources at its disposal to counter the execution of such a project. To identify such possible obstacles, and work out ways of avoiding them, is part of the strategizing and institutional diagnostics that stakeholder analysis can facilitate.
- <sup>21</sup> See: [www.dfid.gov.uk/pubs/files/BPG02.pdf](http://www.dfid.gov.uk/pubs/files/BPG02.pdf).
- <sup>22</sup> See: [www.odi.org.uk/RAPID/Tools/Toolkits/Communication/Stakeholder\\_analysis.html](http://www.odi.org.uk/RAPID/Tools/Toolkits/Communication/Stakeholder_analysis.html).
- <sup>23</sup> See: [www.ausaid.gov.au/ausguide/pdf/ausguideline3.3.pdf](http://www.ausaid.gov.au/ausguide/pdf/ausguideline3.3.pdf). In particular, note Section 2.2 (Stakeholder Analysis) and Annex B (Stakeholder Analysis Tools).
- <sup>24</sup> See: [www.adb.org/Disclosure/compilation\\_external\\_comments.pdf](http://www.adb.org/Disclosure/compilation_external_comments.pdf).
- <sup>25</sup> Kottak, Conrad Philip (1991), "When People Don't Come First: Some Sociological Lessons from Completed Projects," in Cernea, Michael M. (ed.), *Putting People First: Sociological Variables in Rural Development*, New York: Oxford University Press.
- <sup>26</sup> Rudqvist, Anders and Prudence Woodford-Berger (1996). *Evaluation and Participation: Some Lessons*, SIDA Studies in Evaluation 96/1. Stockholm: SIDA.
- <sup>27</sup> Bhatnagar, Bhuvan (1992) "Participatory Development and the World Bank: Opportunities and Concerns," in Bhatnagar, Bhuvan and Aubrey C. Williams (eds.), *Participatory Devel-*

*opment and the World Bank: Potential Directions for Change*, World Bank Discussion Paper 183, Washington, D.C.: The World Bank.

<sup>28</sup> Karl, Marilee.

<sup>29</sup> IFC (1998). *Doing Better Business through Effective Public Consultation: A Good Practice Manual*. Washington, D.C. Available at: [www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/p\\_pubconsult/\\$FILE/PublicConsultation.pdf](http://www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/p_pubconsult/$FILE/PublicConsultation.pdf).