



ADB



STRENGTHENING PARTICIPATION FOR DEVELOPMENT RESULTS

An Asian Development Bank Guide to Participation

Asian Development Bank

The logo consists of a solid black square with the letters 'ADB' in a white, serif font centered within it.

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An Asian Development Bank Guide to Participation

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Printed in the Philippines.

ISBN 978-92-9092-526-2

Publication Stock No. TIM113389

Cataloging-In-Publication Data

Asian Development Bank.

Strengthening participation for development results: An Asian Development Bank guide to participation.
Mandaluyong City, Philippines: Asian Development Bank, 2012.

1. Participation. 2. Civil society. 3. Asian Development Bank. I. Asian Development Bank.

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Printed on recycled paper.

Contents

BACKGROUND	iv
CREDITS	iv
FOREWORD	v
ABBREVIATIONS	vii
INTRODUCTION	1
PARTICIPATION IN THE REVIEW OF ADB POLICIES, STRATEGIES, AND COUNTRY PROGRAMS	11
PARTICIPATION IN ADB'S PROJECT CYCLE — GUIDANCE AND TOOLS	15
Tool 1: Stakeholder Analysis and Consultation	25
Tool 2: Maximizing Participation in the Design and Monitoring Framework	33
Tool 3: Participatory Assessment	37
Tool 4: Developing a Participation Plan	41
Tool 5: Developing a Stakeholder Communications Strategy	47
Tool 6: Working with Civil Society Organizations	51
Tool 7: Participatory Monitoring and Evaluation	57
PARTICIPATION IN ADB OPERATIONS — EXPERIENCES AND RESOURCES	61
1. Safeguards	63
2. Gender Equity	69
3. Good Governance and Capacity Development	71
4. Infrastructure – HIV and AIDS Prevention	75
5. Infrastructure – Water and Sanitation	79
APPENDIXES	85
1. ADB's Mandate for Participation	85
2. Examples of Participation in ADB's Operations Manual	89
3. Frequently Asked Questions	95
4. Resource Inventory	98
ENDNOTES	106

Background

This Guide replaces *Strengthening Participation for Development Results: A Staff Guide to Consultation and Participation* (2006). This revision by the NGO and Civil Society Center (NGOC) of the Asian Development Bank (ADB) expands the practical information and tools to enable meaningful participation in ADB operations under Strategy 2020. The updated content reflects ADB's new business processes. Expanding the audience beyond staff to include developing member country (DMC) partners, private sector clients, consultants, and civil society organizations recognizes their important roles in implementing ADB-funded projects.

Credits

The Guide was completed under the oversight and overall direction of Sandra Nicoll, director, Public Management, Governance, and Participation Division of the Regional Sustainable Development Department. The work was conducted by a team led by Lainie Thomas, social development specialist (civil society and participation), and comprised Amy Kesterton, consultant. An interdepartmental working group, led by Chris Morris, principal social development specialist (NGOC), helped steer this process. The group included ADB staff Madhumita Gupta, Sri Wening Handayani, Parvez Imdad, Jocelyn Munsayac, Suzanne Nazal, Makoto Ojiro, Jayantha Perera, Nogendra Sapkota, Indira Simbolan, and three civil society representatives, Kathy Mulville, Fely Rixhon, and Malou Sevilla. DMC officials in the Lao People's Democratic Republic and the Philippines also provided valuable advice and information. More than 100 people have provided input through the working group, follow-up meetings, informal feedback, an online survey, and interdepartmental reviews of drafts.

Foreword

The overarching goal of the Asian Development Bank (ADB) is to achieve sustainable results in reducing poverty in the Asia and Pacific region. To be effective, development operations must respond to the needs of the people, especially the poor. And engagement with stakeholders must take place at all stages of the operational cycle including policy and strategy formulation, project development, implementation, monitoring, and evaluation.

Over the years, ADB has been pursuing this course of stakeholder engagement. Indeed, ADB's long-term strategic framework Strategy 2020 underscores the importance of participation in ADB operations and emphasizes that partnerships in general are a key driver of change in development. Participation is essential for building strong relationships between a state and its citizens for mutual accountability, responsive public service delivery, and social and economic inclusion of disadvantaged groups. In ADB operations, participation enables support and ownership by a range of stakeholders, improves project processing and quality of entry, improves quality during implementation, and strengthens sustainability of development results. Civil society and other stakeholders play a key role with their expertise and knowledge of participatory processes to improve the quality of participation in ADB's operations.

Participation involves transaction costs. We firmly believe, however, that the benefits of effective participation outweigh the costs. As ADB operations continue to increase and expand, it is important for ADB staff, and participating developing member country (DMC) governments and private sector and civil society stakeholders, to have a range of approaches and tools to adapt and use to ensure effective participation.

This second edition of the Guide offers updated information and an expanded range of tools to support ADB staff and stakeholders to implement participatory approaches effectively. It highlights the key opportunities for participation in policy development, in regional and country programming, and throughout the project cycle, and advises on methods and approaches and pitfalls to avoid.

In this edition of the Guide, special attention is given to safeguards, gender, governance, HIV/AIDS and infrastructure, and water and sanitation. A wealth of participation resources developed by a wide range of organizations exists online, and the Guide includes an inventory of references for those seeking further information.

Furthermore, this new edition of the Guide is designed for a wider audience, for all stakeholders of ADB-supported projects. ADB recognizes that meaningful participation of all stakeholders promotes equity and inclusiveness, a development approach anchored in Strategy 2020.

The Guide complements other initiatives for improving ADB's engagement of stakeholders and its overall performance. These include the Managing for Development Results initiative, continuing efforts to improve design and monitoring frameworks, information disclosure and communication through the Public Communications Policy, and broader work on social analysis. The Guide is a welcome addition to ADB's resources for improving the quality of services to our DMCs.

Ursula Schaefer-Preuss

Vice-President for Knowledge Management and Sustainable Development

Abbreviations

ADB	– Asian Development Bank
BA	– beneficiary assessment
CBM	– community-based monitoring
CBO	– community-based organization
CDD	– community-driven development
COSO	– Central Operations Services Office
CPS	– country partnership strategy
CRC	– citizens report card
CSO	– civil society organization
DAG	– disadvantaged group
DDC	– district development committee
DMC	– developing member country
DMF	– design and monitoring framework
EA	– executing agency
FI	– financial intermediary
GACAP II	– Second Governance and Anticorruption Action Plan
GAP	– gender action plan
IED	– Independent Evaluation Department
IFC	– International Finance Corporation
INGO	– international nongovernment organization
IP	– indigenous people
IPSA	– initial poverty and social analysis
LNGO	– local nongovernment organization
M&E	– monitoring and evaluation
MFF	– multitranches financing facility
MPA	– methodology for participatory assessment
MSC	– most significant change
NGO	– nongovernment organization
NGOC	– Nongovernment Organization and Civil Society Center
OCRCP	– Office of the Compliance Review Panel
PAM	– project administration manual
PCP	– Public Communications Policy
PHAST	– participatory hygiene and sanitation transformation
PIPA	– participatory impact pathway analysis
PM&E	– participatory monitoring and evaluation
PPA	– participatory poverty assessment
PPMS	– project performance management system
PPTA	– project preparatory technical assistance

PRA	–	participatory rapid assessment
RRP	–	report and recommendation of the President
SC	–	significant change
SCS	–	stakeholder communications strategy
SPRSS	–	summary poverty reduction and social strategy
SPWN	–	small piped water network
SPF	–	Special Project Facilitator
SPS	–	Safeguard Policy Statement
TA	–	technical assistance
TOR	–	terms of reference
VBFT	–	village-based field team
VDC	–	village development committee
WUA	–	water users association
WUG	–	water user group

INTRODUCTION

1 Introduction

Stakeholder participation supports good governance, citizenship, and accountability and promotes innovation, responsiveness, and sustainability, linked directly to development effectiveness. Partnerships, including those with civil society, are a driver of change in ADB's Strategy 2020. The Strategy outlines how ADB will address the challenges facing the region, and meet the many different requirements for achieving inclusive growth, environmentally sustainable growth, and regional integration. Partnerships with more diverse institutions including nongovernment organizations, community-based organizations, and foundations will become central to planning, financing, and implementing ADB operations.

Source: ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020*. Manila.

Purpose of the Guide

This second edition provides information and tools to build capacity in participatory approaches and promote their implementation in the operations of ADB, its developing member countries (DMCs), and private sector clients.¹ It supports fulfillment of strategic objectives to promote participation in Strategy 2020, ADB's long-term strategic framework.² The Guide includes tools tailored to ADB business processes and also highlights other organizations' resources.

The Guide reinforces and offers practical guidance to support implementing requirements for participation outlined in ADB's policies, strategies, and other documents. It builds on existing resources such as the *Handbook on Social Analysis*, the *Guidelines for Preparing a Design and Monitoring Framework* (DMF Guidelines), and the *Civil Society Organization Sourcebook*.³

Structure of the Guide

The Guide employs four main tabbed sections with supporting appendixes. The first section introduces participation, what it is and why it is important. The second and third sections explore the importance of participation in policy, strategy, country program reviews, and through the operations project cycle. The third includes seven project cycle tools covering techniques such as stakeholder analysis and consultation, participatory assessment, and developing a participation plan. The fourth section looks specifically at participation in safeguards and four key operational areas prioritized in Strategy 2020: gender equity, good governance and capacity development, HIV and AIDS prevention, and water and sanitation.

The appendixes include background on the mandate for participation laid out in ADB's guiding documents, examples of participation in ADB's Operations Manual, a list of frequently asked questions, an inventory of participation resources, and endnotes for reference and further information.

Who is the audience?

This Guide is for those responsible for participation in designing and implementing projects and in developing and reviewing policies and country programs. This includes ADB staff, DMC officials, private sector clients, consultants, and civil society organizations (CSOs). It focuses on ADB-assisted operations, but the tools also support broader participatory development activities.

ADB or recipients and/or clients regularly contract consultants and civil society organizations (CSOs) to help with project design, implementation, and evaluation. Responsibility for executing agreed activities and reporting to ADB lies with the recipient and/or client.⁴ By targeting ADB staff and others involved in implementing ADB-assisted operations, the Guide supports good development practice among a range of actors.

What is participation?

In this Guide, participation in ADB-assisted operations refers to the processes through which stakeholders influence or contribute to designing, implementing, and monitoring a development activity.

Participation, rather than merely a goal in itself, helps achieve improved development results. By ensuring stakeholders understand and can participate in the decisions, resource allocations, and activities that affect their lives, it ensures attainment of the benefits from this engagement.

In ADB-assisted operations, stakeholders fall into three main groups: government, the private sector, and civil society (including affected people). Civil society is the realm of public activity outside of government and the private sector. While civil society organizations often

Different Approaches and Depths of Participation

Approach	Definitions	Processing	Implementation
Information Generation and Sharing	Information is (i) generated by ADB/recipient/client and shared with stakeholders; (ii) independently generated by stakeholders and shared with ADB/recipient/client; or (iii) jointly produced.	<p>Low: ADB/recipient/client shares information with stakeholders</p> <p>Medium: Opportunity for stakeholders to share information with ADB/recipient/client</p> <p>High: Joint generation and sharing of information to meet shared objectives (e.g., improved understanding)</p>	<p>Low: ADB/recipient/client shares information with stakeholders</p> <p>Medium: Opportunities for civil society to share information with ADB/recipient/client</p> <p>High: Joint generation and sharing of information to meet shared objectives (e.g., improved understanding)</p>
Consultation	Stakeholder input is requested and considered as part of an inclusive policy, program, or project decision-making process.	<p>Low: Web-based/written consultation only</p> <p>Medium: Opportunities for two-way face-to-face exchanges (e.g., workshop, focus group)</p> <p>High: Views of marginalized groups incorporated into design (e.g., use participatory methods)</p>	<p>Low: Web-based/written consultation only</p> <p>Medium: Opportunities for two-way face-to-face exchanges (e.g., workshop)</p> <p>High: Regular feedback from marginalized groups integrated during implementation (e.g., use participatory methods)</p>
Collaboration	Stakeholders and ADB/recipient/client work jointly, but stakeholders have limited control over decision making and resources.	<p>Low: Inputs from specific key stakeholders sought in project design</p> <p>Medium: Significant stakeholder representation on project design body</p> <p>High: Stakeholder influence on project design body and agreement of role for stakeholders in project implementation</p>	<p>Low: Stakeholder input in monitoring and evaluation</p> <p>Medium: Stakeholder organization (e.g., CSO) implementation of a project component</p> <p>High: Significant stakeholder representation on project implementation body and participation in implementation activities</p>
Partnership	Stakeholders participate in decision-making process and/or exert control over resources, through a formal or informal agreement to work together toward common objectives.	<p>Low: Agree a stakeholder organization will partner in ADB-funded project</p> <p>Medium: Memorandum of Understanding (MoU)/partnership agreed or stakeholders take some degree of direct responsibility</p> <p>High: MoU/partnership agreement negotiated including cofinancing and management, or stakeholders assume high level of ownership/responsibility</p>	<p>Low: Stakeholder organization routinely provides inputs and is recognized as a partner in ADB-funded project</p> <p>Medium: MoU/partnership agreement implemented, or stakeholders take some degree of direct responsibility</p> <p>High: MoU/partnership agreement implemented including financing and management, or stakeholders assume high level of ownership/responsibility</p>

Note: These generic definitions can be developed for particular types of projects, e.g., rural water supply; and for priority operational themes, e.g., gender, or individual projects.

represent many of the stakeholders in this public realm, it is important to recognize that there may be others that are not yet well represented by existing civil society organizations or in local governance processes. Additional efforts will be needed to engage those stakeholders to enhance participation in formal and informal governance processes in relation to ADB projects.

Ultimately, it is the recipient and/or client, whether government or private sector, that ensures appropriate participation of the other two groups. Tool 1: Stakeholder Analysis and Consultation, page 25, details important stakeholders.

In ADB, participation encompasses four main approaches: information generation and sharing, consultation, collaboration, and partnership. These cover a continuum of relationships between decision makers and stakeholders, in which the level of each party's initiative and activity differs considerably. Implementation of each approach can occur with varying depth. In this Guide, "participation" refers to any combination of the four approaches.

What are the core principles of participation?

The approach and depth of participation vary depending on the development context and activity, but several principles remain constant:

- **Promote accountability and transparency:** Participatory mechanisms hold decision makers accountable to their stakeholders. They promote communication and openness about activities, and transparency in the objectives of participation and degree of stakeholder influence.
- **Allow for participation at all levels:** People participate at any and all levels of decision making (policy, program, and project) through timely, flexible activities that suit their skills, abilities, and interests.
- **Make participation accessible to all:** All people are valued equally, opportunities for participation are adequately communicated and offered fairly, and barriers that stop particular groups getting involved are challenged.
- **Value diversity:** The diversity of people's experiences, backgrounds, beliefs, and skills offer a unique resource for society. Celebrating and capitalizing on this is key to participation.
- **Ensure participation is voluntary:** People involve themselves in decision making because they believe in the importance of issues at stake and that their participation will make a difference. Avoid coercion.
- **Encourage stakeholders to create their own ideas and solutions:** In community-led participatory approaches people take action themselves in ways they choose.

What is civil society participation?

Civil society is an important stakeholder in ADB and recipient and/or client operations.

It is distinct from government and the private sector and consists of diverse individuals, groups, and nonprofit organizations. These operate around shared interests, purposes, and values with varying degrees of formality. They range from informal unorganized community groups to large international labor unions.

Status as an organization requires certain levels of formality (registration, financial reporting, etc.), but CSOs still vary in their size, interest area, and function. Particularly relevant to ADB are nongovernment organizations (NGOs), community-based organizations (CBOs) and people's organizations, foundations, professional associations, research institutes and universities, labor unions, mass organizations, social movements, and coalitions and/or networks of CSOs, and umbrella organizations. See further information on different CSOs in Tool 6: Working with CSOs.

Civil society participation engages this diverse range of stakeholders in development activities. In particular, it enables the inclusion of the poor, women, and other potentially marginalized groups, not commonly involved in decision making that affects their lives. Civil society participation is also fundamental to strengthening relations between states and their citizens and building institutional accountability.

Why is participation important?

Participation fundamentally supports good governance, citizenship, and accountability of the state. It promotes social inclusion of disadvantaged groups and equitable economic growth. The importance of participation cuts across the five themes of the Paris Declaration on Aid Effectiveness: ownership, harmonization, alignment, managing for results, and mutual accountability. It is further supported by the Accra Agenda for Action, in which civil society played a greater role in developing.⁵ ADB works with DMC governments as primary counterparts, but also with private sector clients, and all are obliged to ensure other stakeholders are involved in the processes which affect their lives. In fragile and conflict-affected states, issues relating to government capacity or the effects of conflict often demand heightened attention to the participation of intended beneficiaries in determining development priorities.

Institutional Accountability: Making Services Work for the Poor

The World Development Report 2004 specifically focused on putting poor people at the center of public service provision by enabling them to monitor service providers and by amplifying their voice in policy making.^a In services where the state is responsible for provision and indirect payment such as through taxation, citizens or clients cannot use payment to exact provider accountability; participatory mechanisms enable them to influence policy makers and providers.

ADB promotes incorporating rigorous stakeholder and accountability relationship analysis into economic analysis to inform design of public service projects; using citizen report cards, and other tools, for holding providers directly accountable; and adopting approaches to influence government decision-making such as participatory expenditure tracking surveys.^b

Approaches to strengthen relations between state institutions and their citizens are proven to promote accountability and improve public service delivery. Civil society organizations can assist the process by representing the voice of different sections of society or by providing a bridge to organize the participation of the wider population of whom they are a part.

^a World Bank. 2004. *World Development Report. Making Services Work for Poor People*. Washington, DC.

^b ADB. 2004. *Sector Diagnosis in Education*. Manila; ADB. 2005. *Improving the Relevance and Feasibility of Agriculture and Rural Development Operations: How Economic Analyses Can Help*. Manila.

Participation requires time, but at the policy, country program, and project level it can increase identification and understanding of issues from different perspectives, build the level of support from a range of stakeholders, and increase ownership, effectiveness, and sustainability in implementation.

At the project level, participation reduces challenges during implementation. It can also improve coordination with other development partners. The participation of civil society particularly promotes innovation and responsiveness and is directly linked to more positive development effectiveness.⁶ It uses civil society expertise and knowledge and helps tailor activities to meet citizens' needs more closely.

ADB is judged on its ability to deliver quality projects that help reduce poverty. Ultimately participation can improve performance and development effectiveness. A series of Independent Evaluation Department (IED) evaluations highlights progress over time in mainstreaming participatory approaches and involving CSOs and affected people in ADB's operations.⁷ The IED evaluations consistently show the high value of participation and the continuing need to strengthen and improve its implementation in ADB operations.

“Participatory approaches can add value to natural resources management project design, implementation, and operation, and when well applied, participation can increase ownership and sustainability and offer major potential benefits to rural income and poverty reduction.”

Source: ADB. 2003. *Special Evaluation Study: Participatory Approaches in Forest and Water Resource Operations in Selected Developing Member Countries*. Manila.

What is adequate participation?

Most of ADB's operations stand to benefit from participation, but a one-size-fits-all approach is inappropriate. The Mandate for Participation appendix outlines the requirements for participation in different ADB policies and strategies; the Guide provides tools to support these. The approach and depth of participation vary depending on the sector, local conditions, and the participation objectives. With ADB's emphasis on achieving measurable results, it is useful to specify the desired outputs of the participation process and target indicators.

Yet, in all cases, adequate participation involves

- **analyzing stakeholders** to understand who is interested in ADB-assisted activities and their relationships (Tool 1: Stakeholder Analysis and Consultation);
- **consulting with stakeholder groups** in reviewing a policy or strategy or in designing a project to understand their views (Tool 1: Stakeholder Analysis and Consultation, Tool 2: Maximizing Participation in the DMF, and Tool 3: Participatory Assessment);
- **engaging stakeholders** systematically through an agreed Participation Plan (Tool 4: Developing a Participation Plan) and Stakeholder Communications Strategy (Tool 5: Developing a Stakeholder Communications Strategy). Engagement varies and can include service provision or involvement in monitoring and evaluation (Tool 6: Working with CSOs and Tool 7: Participatory Monitoring and Evaluation); and
- **informing stakeholders** of the Accountability Mechanism.

Certain project types particularly benefit from high levels of participation: notably those aimed at reducing poverty through rural and livelihood development, women’s empowerment, improvements in local governance, and better educational and health outcomes. Civil society participation can improve public service delivery. For example, a project creating water user groups (community-based organizations) with tariff-setting or water-distribution responsibilities involves civil society participation in decision making.

Projects with high social risk, such as those involving the involuntary resettling of many people or activities in an area populated by indigenous peoples, require meaningful consultation to avoid negative impacts, as outlined in ADB’s Safeguard Policy Statement.⁸ See page 65 for an ADB definition of “meaningful consultation.” ADB’s experience in infrastructure shows the importance of this, demonstrating that involving communities avoids problems and improves design and implementation effectiveness. Communities should also be aware of how to engage the Accountability Mechanism if problems occur.

A participation plan is an essential planning and processing tool for guiding everything from small-scale activities through to large multifaceted project components. It may be flexible and stand-alone, or included more formally in a resettlement, gender, or other plan. Use this Guide during peer review of projects to decide if plans for participation in project implementation are appropriate and to check the adequacy of participation in preparation.

What are the challenges of participation?

Successful participation requires commitment to the process, adequate capacity and resources, and the flexibility to work with stakeholders and incorporate their inputs. The absence of an enabling environment (legal, political, or cultural) can make it particularly challenging. If not transparent, participation falsely raises expectations, and stakeholders can suffer from participation fatigue if they see no reflection of their concerns in ADB’s or the government’s actions. It may

also exacerbate existing social conflicts if participation is unfair; and may unintentionally maintain and legitimize existing power relations if insufficient understanding of stakeholder groups and their relations exists. This is particularly true in sensitive areas in fragile and conflict-affected states (FCAS). ADB and borrowers and/or clients may have concerns that stakeholder demands will threaten operational interests or result in conflict if stakeholders strongly oppose plans. In resolving conflicts it is vital to listen to concerns and to assess legitimacy fairly and quickly. This often requires a neutral third party.

In general, flexible and creative approaches tailored to the context help manage challenges, as shown in the examples throughout this Guide. If done well, participation leads to more appropriate policy, program, and project design and smoother implementation.

Who Participates?

One of the reasons some are skeptical of participatory development is that it has come to be thought of as a fully democratic process in which all stakeholders should influence and to some degree control development and management. However, participatory development does not imply full and direct democracy. For example, consulting all 200,000 farmers in the area around a proposed ADB-financed irrigation system about the design would not be useful or affordable. At the other extreme, only involving village leaders would not necessarily protect the rights of the disadvantaged. Between these two approaches lie a range of options that provides the potential for appropriate levels of participation for different purposes and aims to offer opportunities fairly. The Guide explores these options in-depth, including the use of representative surveys, participatory assessment methods (e.g., focus group discussions, transect walks), and consultation meetings.

Each sector and project needs to define the optimal approach and depth of participation that will allow adequate stakeholder representation, including of the poor and disadvantaged, without becoming unwieldy or expensive. Implementers must ensure that participation in project activities by the disadvantaged is effective and contributes to reducing poverty.

Source: ADB. 2003. *Special Evaluation Study: Participatory Approaches in Forest and Water Resource Operations in Selected Developing Member Countries*. Manila.

How much does participation cost?

Adequate participation at the policy, country program, and project level requires additional time and financial resources at the start. However, over the entire project cycle, no additional resources are anticipated. Using participatory processes should expedite project implementation, with fewer changes in project scope, and fewer delays.⁹ The costs of no participation include financial loss (e.g., through compensation and delays) and reputational damage.

International evaluations of the costs and benefits of participation in development projects support this. They indicate that the relatively higher costs of participatory projects in their early phases pay off with fewer delays and greater effectiveness and sustainability in later phases.¹⁰ Question 2 of the Frequently Asked Questions section provides examples of these studies.

No standard formula can determine the cost of applying participation. The review of certain ADB sector or thematic policies or strategies may demand a substantial budget for international consultations and communications. This will be less costly for country partnership strategies focused on single countries.

At the project level, costs vary substantially by project type. Costs include the share of the project preparatory technical assistance (PPTA) budget needed to involve stakeholders in project design and to develop a participation plan (e.g., stakeholder workshops). They also include the portion of review missions and other follow-up activities dedicated to executing and monitoring. Projects with relatively modest participation plans will not require much additional time or cost. However, high-profile infrastructure projects or highly participatory social development projects that seek to institutionalize participation will require more significant investment of grant or loan funds.

Mission teams often point to tight processing deadlines and shrinking technical assistance (TA) funds as constraints to actively involving stakeholders in lending operations. This Guide answers basic questions about participation and identifies tools and tips to ensure good use of limited resources. The numerous examples of good practice in participation in ADB-assisted activities show a range of proven ways to approach the challenge.

An unpublished 2007 NGO and Civil Society Center (NGOC) study into the cost of incorporating participation investigated ADB projects with substantial participation in their design. It found, as expected, that the cost varied depending on the approach. For example, the cost of information-sharing and consultation activities as part of PPTAs ranged from 11%–22% of the PPTA budget while those featuring collaboration ranged from 16%–55% of the PPTA budget. Collaboration can also include contracting external stakeholders to contribute to project preparation.¹¹

**PARTICIPATION IN THE REVIEW
OF ADB POLICIES, STRATEGIES,
AND COUNTRY PROGRAMS**

2 Participation in the Review of ADB Policies, Strategies, and Country Programs

Multi-stakeholder consultation in policy and strategy development and review is vital to ensure that policies reflect international best practice and incorporate the opinions and needs of those they intend to support. The participation process builds understanding and ownership of the policies and eases implementation.

Source: ADB. 2006. *Staff Instructions on Definition of Directional Documents and Processing of Policy and Strategy Papers*. Manila.

Introduction

ADB increasingly solicits views from external experts and stakeholders in developing and reviewing its policies, strategies, and country programs (guided by country partnership strategies [CPS]). This includes the 2009 Safeguard Policy Statement (SPS) and the 2011 Public Communications Policy (PCP).

Why is participation important in reviewing ADB policies, strategies, and country programs?

Participation through consultation elicits input and advice from a range of stakeholders who the document will affect, as well as from experts in the subject area. Participatory approaches produce outputs that

- relate better to the local context;
- stand technically superior;
- follow international good practice;
- harmonize with other development partners (endnote 5); and
- reflect a broad range of information and perspectives.

In short, the paper benefits from the knowledge and experiences of those who contributed to consultations.¹²

Consultation also improves interested parties' understanding of ADB and DMC objectives and operations and ensures documents benefit from greater ownership and support from a spread of stakeholders. Ultimately, this eases and improves implementation and maximizes policy impact.¹³

How to carry out a participatory development or review process

The tips for successful stakeholder analysis and consultation in Tool 1, page 26, apply to ensuring an effective participatory development or review process for a policy, strategy, or program. The sections below explain how participation fits into the respective review processes.

Policies and Strategies

The most substantive opportunities for participation usually occur at the start and end of the policy period: when developing a new policy, or reviewing or updating an existing policy.

Papers benefit from supplementing internal ADB comments with external stakeholders' views. However, the exact need for and nature of external review depend on the topic and the consultation objectives. CSOs often voluntarily monitor implementation. They may contact ADB or government officials with concerns but should also be consulted during any external review.

The ADB Staff Instructions on Definition of Directional Documents and Processing of Policy and Strategy Papers recommend the active guidance of key stakeholders, internal and external, when processing policy or strategy papers.

Good practice in external consultation combines electronic and written consultations with face-to-face methods in a representative sample of ADB member countries, both donor and DMC. At least two drafts should be made available for public comment during the review, allowing sufficient time for stakeholder comments. More participatory methods enable the most marginalized to express their views and avoid excluding those without English language skills or access to the internet.

ADB's experience includes a number of innovative models: running participatory "write shops"; engaging internal and external stakeholders in writing draft action plans; and holding more traditional face-to-face and electronic consultations.¹⁴

Tool 1: Stakeholder Analysis and Consultation guides on analysis and consultation methods to help identify key stakeholders and choose the right approach to reach different groups.

These methods are relevant to policy review and project development. Additionally the ADB *Civil Society Organization Sourcebook* details information on good practice in engaging CSOs in policy development.¹⁵

Once internal and external consultations are complete, Management discusses the draft based on the consultation feedback before revision, editing, and submission for Board approval.¹⁶

The 2010 review of ADB's Public Communications Policy and the 2005 review of the Water Policy offer examples of approaches to external consultation.

Stakeholder Consultation in the Review of the 2011 Public Communications Policy (PCP)

- **Background:** ADB was required to review the PCP approved in September 2005 within 5 years.
- **Objectives:** Consultation enables internal and external stakeholders to input their views into the policy review and ensure the new policy meets international best practice.
- **Methodology:** Stakeholder analysis resulted in a comprehensive consultation plan combining web and face-to-face consultation over 9 months.
 - The 2005 PCP and two new drafts were uploaded on adb.org/PCP-Review for public comment
 - Consultation workshops in the capitals of seven developing member countries (DMCs) and six non-DMCs with representatives from government, academia, other multilateral finance institutions, civil society organizations, private sector, think tanks, the media, and others; translated copies of the first draft sent to participants in advance
 - Consultation with affected people in ADB project sites in four of the DMCs with key informant interviews and group discussions, some with facilitators of nongovernment organizations

Consultation transcripts were uploaded on the web with matrixes showing responses to comments.

Stakeholder Consultation in the 2005 Review of ADB's Water Policy Implementation

- **Background:** ADB stipulated a comprehensive review of the policy's implementation 5 years after its approval.
- **Objectives:** The review offers ADB and its stakeholders an assessment of progress in implementation and recommendations to improve ADB's water operations.
- **Methodology:** A consultation plan outlined the following main components to reach all key stakeholders:
 - A review panel to oversee the process consisting of developing member country officials, civil society, donors, and private sector experts
 - Consultation meetings with stakeholders including civil society, in each of ADB's five regions and separate consultations with civil society and the private sector in Manila
 - Feedback from stakeholders through surveys circulated at conferences
 - Workshops for ADB staff and consultants

Key findings from consultations, including the review panel final report, were published on the web with ADB's response on how to adopt them in ongoing operations.

Country Programs and Country Partnership Strategies

CPS preparation starts with looking at national development plans and carrying out pre-CPS analyses and sector assessments or road maps (e.g., gender, poverty, infrastructure, education, etc.). These road maps are the first opportunity to consult with stakeholders and use participatory assessment methods (see Tool 3). Harmonizing with the government's policy and planning cycle and that of other development partners is beneficial.

The Country Partnership Strategy (CPS) Guidelines state that the CPS process will fully involve government and nongovernment stakeholders to ensure broad commitment and ownership of the CPS.

The next step is usually the country team retreat, which also allows for stakeholder consultation. The CPS Guidelines recommend first identifying key stakeholders and then structuring consultations accordingly.¹⁷ Tool 1: Stakeholder Analysis and Consultation details this process.

Meetings with NGOs, academia, and other stakeholders around a draft paper have proven highly valuable. An informal board seminar discusses the initiating paper and consultation outcomes. The document is then revised and final amendments occur before confirmation with the government and endorsement (endnote 17). The CPS starts the project cycle (See Tab 3: Participation in ADB's Project Cycle, page 15).

The 2011 Cambodia CPS example below demonstrates one approach to civil society participation.

Consultation with Civil Society in Developing the Cambodia Country Partnership Strategy (CPS)

- **Background:** The Cambodia Country Strategy and Program (2005–2009) was updated to become the Cambodia CPS (2011–2014), reflecting ADB's new business processes and the Government of Cambodia's Poverty Reduction Strategy Paper.
- **Objectives:** Civil society organizations (CSOs) in Cambodia indicated that ADB needs to better target its consultations and focus on opportunities for meaningful consideration of inputs. ADB therefore decided to focus civil society consultations at the level of sector assessments, which feed in to the CPS. ADB benefited from civil society expertise and CSOs could influence ADB's strategy and learn about other opportunities for collaborating.
- **Methodology:** In-depth consultation workshops focused on assessments in the decentralization and de-concentration, education, environment, and agriculture sectors, where significant civil society expertise exists. Nongovernment organization networks in each sector recommended that CSOs participate, and these sectors were chosen because of the clear complementarities and strengths for ADB and civil society to build on. Participants received feedback on plans to adopt inputs after the meetings. The uploading of a summary draft CPS, in Khmer, on the Cambodia Resident Mission's website allowed for written comments.

**PARTICIPATION IN ADB'S
PROJECT CYCLE —
GUIDANCE AND TOOLS**

3 Participation in ADB's Project Cycle — Guidance and Tools

ADB considers nurturing public, private, and civil society participation in all areas of operations vitally important to poverty reduction. Integrating participation through all project cycle stages maximizes impact and sustainability through shareholder input and ownership.

Sources: ADB. 2004. *Enhancing the Fight against Poverty in Asia and the Pacific. The Poverty Reduction Strategy of the Asian Development Bank*. Manila; ADB. 2004. *Disaster and Emergency Assistance. Operations Manual*. OM D7/BP. Manila.

Introduction

In this Guide, “projects” refers to loans (investment and policy-based), grants, and technical assistance. While sovereign entities represent ADB’s main clients, nonsovereign (including private sector) operations continue to grow after Strategy 2020 prioritized them.

Integrating stronger participation into ADB’s project cycle leads to improved quality and performance. Participation should begin during the CPS development process and continue through individual project concept development, preparation, approval, and implementation. Given the government’s role as the owner of most ADB-financed projects, it is important that ADB and DMCs work together to ensure participation throughout the project cycle. The Participation Responsibilities in Sovereign Projects table outlines their responsibilities. Similarly, in private sector operations, ADB is required to work closely with its nonsovereign clients (see page 22).

Participation will vary by project type, financing modality or type of operation (sovereign or nonsovereign), and institutional environments. For example, in fragile and conflict-affected states, ethnic minority participation is crucial for strengthening ownership of assistance and minimizing risk of social tension or conflict.

“In loan and technical assistance activities, ADB can benefit from knowledge that nongovernment organizations possess and expertise they have developed.”

Source: ADB. 1998. *Policy: Cooperation between ADB and NGOs*. Manila.

Participation Responsibilities in Sovereign Projects

Developing Member Country Recipient/Client	ADB
<p>Country Programming</p> <ul style="list-style-type: none"> Negotiate and agree on objectives and plans for participation in the Country Partnership Strategy (CPS) with ADB 	<ul style="list-style-type: none"> Discuss participation with developing member country (DMC) officials and ensure overarching objectives and plans included in the CPS
<p>Project Processing</p> <ul style="list-style-type: none"> Discuss and agree on participation in project preparation with ADB team members, contribute to preparing initial policy and social analysis (IPSA) Support consultation in project preparation and development of plans for participation in implementation; provide information for completion of summary poverty reduction and social strategy (SPRSS) Contribute to and agree on documents for approval including those about participation (e.g., Stakeholder Communications Strategy in Project Administration Manual) 	<ul style="list-style-type: none"> Work with DMC officials to complete the IPSA Include participation responsibilities in terms of reference for project preparatory technical assistance consultants Develop a participation plan (for preparation and implementation); carry out consultation in project preparation, and complete SPRSS Capture participation in project design and plans for participation in implementation in documents for approval (see Participation in ADB Sovereign Project Cycle table for further details)
<p>Operational Planning</p> <ul style="list-style-type: none"> Executing and implementing agencies coordinate with ADB project team and other project stakeholders 	<ul style="list-style-type: none"> Ensure recipient/client readiness for implementation; focal points established for participation plan and stakeholder communications strategy
<p>Implementation, Monitoring, and Reporting</p> <ul style="list-style-type: none"> Take lead on project implementation, including participatory project components; submit project progress reports to ADB 	<ul style="list-style-type: none"> Review project implementation and progress on participation against participation plan, through DMC executing agency reports, review missions, and independent monitoring; update project management system
<p>Self-Evaluation and Post-Evaluation</p> <ul style="list-style-type: none"> Submit own project completion report including status of participation; contribute to ADB's completion report when visiting project site on completion and any later independent evaluation 	<ul style="list-style-type: none"> Review and evaluate implementation of participatory activities; write project completion and independent evaluation department reports

Note: See page 64 for details on responsibilities for participation in safeguards.

Project-affected persons may engage the Accountability Mechanism at any stage of the project cycle (up to the point at which the project completion report is submitted). (ADB's Accountability Mechanism provides access for people adversely affected by ADB-assisted projects to voice and seek solutions to their problems and also report alleged noncompliance with ADB's operational policies and procedures.)

Participation in the project cycle

This section is based on ADB's standard project cycle for sovereign loans, which represent the most commonly used financing instrument.¹⁸ Processing a TA loan usually follows the same procedures as for project loans, and TA grants processed with a loan are processed under the procedures for loan proposals.¹⁹ Yet, there are many types of loans and other financing modalities and ADB's website details their project cycles.²⁰ The following tips and tools can be

Participation in ADB Sovereign Project Cycle

Project Cycle	Participation	Tools	Approach/Example	Key Actors
1. Country Programming (Country partnership strategy [CPS])	Stakeholder analysis, consultation and sector road maps, or assessments developed with participatory methods feed into CPS	<ul style="list-style-type: none"> Tool 1: Stakeholder Analysis and Consultation (page 25) Tool 3: Participatory Assessment (page 37) 	Information generation/sharing and consultation ADB/government share ideas and consult with stakeholders	ADB review team, government officials, and key country stakeholders
2. Project Processing (Project concept paper, project preparatory technical assistance [PPTA], and loan/grant fact finding)	<ul style="list-style-type: none"> – Discuss participation with government – Initial stakeholder analysis and consultation part of concept paper reconnaissance mission and initial poverty and social analysis preparation – In PPTA include stakeholder participation in analysis and development of the design and monitoring framework (DMF); participation, gender/social and safeguard plans (summarized in the summary poverty reduction and social strategy [SPRSS]); and the stakeholder communications strategy (captured in the project administration manual [PAM]). – DMF, SPRSS, and PAM linked to report and recommendation of the President for approval 	<ul style="list-style-type: none"> Tool 1: Stakeholder Analysis and Consultation Tool 2: Maximizing Participation in the DMF (page 33) Tool 3: Participatory Assessment Tool 4: Developing a Participation Plan (page 41) Tool 5: Developing a Stakeholder Communications Strategy (page 47) 	Information generation/sharing and consultation ADB/government share project ideas; civil society organizations (CSOs) and other stakeholders share research and experience Collaboration CSOs contracted to carry out participatory assessments Partnership Joint project design	ADB project team (including social development and PPTA consultants), government officials, and key stakeholders
3. Operational Planning (project readiness/work planning)	After project approval coordinate with project stakeholders to prepare for implementation. Finalize any contracts and partnership agreements	<ul style="list-style-type: none"> Tool 1: Stakeholder Analysis and Consultation Tool 6: Working with CSOs (see page 51) 	As above for project processing	ADB project team, developing member country (DMC) officials, and project stakeholders
4. Implementation, Monitoring, and Reporting	Implement participatory approaches and monitor and review application, e.g., through executing agency (EA) quarterly reports, back-to-office mission reports, project progress, performance, and independent monitoring. ADB Accountability Mechanism in operation	<ul style="list-style-type: none"> Tool 6: Working with CSOs Tool 7: Participatory Monitoring and Evaluation (M&E) (see page 57) 	Information generation/sharing and consultation As above, plus CSOs share voluntary M&E Collaboration CSO contracted for independent M&E or to implement a project component Partnership Community-driven development, cofinancing, etc.	DMC executing agency and other DMC implementing agencies, stakeholders involved in implementation, and ADB project review team(s)
5. Self-Evaluation	Participatory self-evaluation through midterm and project completion reports, e.g., consult with stakeholders, contract independent monitor	<ul style="list-style-type: none"> Tool 1: Stakeholder Analysis and Consultation Tool 6: Working with CSOs Tool 7: Participatory M&E 	Consultation Participatory M&E with affected people; CSO inputs into evaluation Collaboration CSO contracted to evaluate project and sustain activities	EA, ADB project and completion review team, post-evaluation team, independent evaluators, and stakeholders
6. Completion and Post-Evaluation (project/sector/country)	Participatory post-evaluation by the ADB Independent Evaluation Department or recipient/client, consult with stakeholders	As above for self-evaluation	As above for self-evaluation	As above for self-evaluation

adapted and applied in most contexts. In some projects, particularly strong opportunities for participation exist; for example, the multitranche financing facility (MFF) allows for building long-term partnerships with financing in tranches over time. Private sector operations, which follow a different credit approval process, are outlined separately.

The Participation in ADB Sovereign Project Cycle table shows opportunities for participation through the project cycle. It then highlights the tools available at each stage, examples of different types of participation, and the likely actors at each step.

Stage 1: Country Programming

A CPS identifies planned projects; the annual business operational review then initiates participatory processes for projects requiring extra time.

Stage 2: Project Processing

Participation builds on objectives and plans for participation in the CPS and starts early in the concept paper phase. The initial poverty and social analysis (IPSA) provides one of the first entry points for participation.²¹ In the IPSA form, Section B of the part on social development issues looks at participation.

At this stage, an initial stakeholder analysis identifies a) which groups have interest in the project, and b) their interests and capacities to support or delay implementation. The analysis can also identify potential conflicting interests between different stakeholders (see Tool 1: Stakeholder Analysis and Consultation, page 25). The IPSA captures an initial list of stakeholders and information on what participation will take place during project processing and whether developing a participation plan will be required (endnote 21).

For MFFs there is no requirement for preparing a new IPSA for second and future tranches. However, approval of subsequent tranches requires evidence of compliance with safeguard plans outlined in the MFF framework agreement (which applies to all tranches). This allows for further stakeholder participation when needed.

Promoting Participation in Project Preparation

During the development of a project, ADB and developing member country (DMC) staff should ask themselves and colleagues the following questions to promote quality at entry:

- What is included in the project design phase of your participation plan, and how has it been implemented to date?
- Has participation been adequate? Are time and resource allocations sufficient?
- What did you learn through participation, and how did this help to shape/improve the project design?
- Are there potential risks to the project identified through the participation process so far, and have you developed measures to mitigate these risks?
- What is included in your participation plan for implementation?

Community-Driven Development for Urban Poor in Ger Areas, Mongolia

(participation approach: collaboration and partnership; depth: high)

Community-driven development (CDD) gives control of decisions and resources to community groups. These, often informal groups, partner with support organizations and service providers such as local governments, the private sector, and nongovernment organizations (NGOs); to develop social and infrastructure services, organize economic activity and resource management, and improve governance. For example, through resources from an ADB CDD grant, communities in the *ger* (traditional tent housing) areas of Mongolia were able to build needed infrastructure (including waste water treatment and street lighting), undertake income-generating activities (dairy producing, beekeeping), and take control of developing their neighborhoods. Community subproject proposals were evaluated by the level of community-wide benefits, community commitment, and pledged contributions (cash and in-kind) from the local government. Communities were expected to contribute at least 20% (17% in-kind or labor and 3% in cash) of the grant amount and to deposit the cash contribution in a community bank account. The project contracted the Urban Development Resource Center (UDRC), an Ulaanbaatar-based NGO, to develop local capacities to conduct community-based development projects. UDRC carried out consultation to identify issues, prepare proposals, and select possible projects for participatory implementation.

Source: ADB. 2007. *Grant to Mongolia for Community-Driven Development for Urban Poor in Ger Areas*. Manila.

Stakeholder participation continues with further project preparation and design of the design and monitoring framework (DMF). Depending on the project, stakeholder influence on the design process ranges from high to relatively low. In some, such as the community-driven project in Mongolia described above, participation is central to the core objective. In others, including most infrastructure projects, safeguard implications make participation essential to understanding the impacts on people's lives and ensuring plans are best adapted and people best compensated. Finally, projects exist in which more limited opportunities for and benefits of participation in design exist. This includes support to build government capacity in a specific technical skill such as engineering or accountancy.

Tool 1 guides stakeholder analysis and consultation (page 25), while Tool 2 looks specifically at maximizing participation in the DMF (page 33).²² ADB and DMCs are gaining experience in organizing DMF workshops with stakeholders to reach consensus on project design, and in using problem and objectives tree analyses to improve project quality and local ownership. Participatory assessment can also inform project design and Tool 3 provides an overview (page 37). Participation in the DMF has two separate but linked dimensions: engaging stakeholders in its development and integrating participatory objectives and activities for implementation.

ADB's Central Operations Services Office (COSO) trains ADB staff and government officials in applying the DMF. COSO also trains facilitators in DMCs, creating a pool of local resource persons to support consultations.

Participation should also be incorporated into poverty, social, and other analyses or impact assessments, to inform project preparation and development of participation, gender, social,

and safeguard plans. For example, including rigorous stakeholder and accountability relationship analysis into economic analysis to design public service projects has proven effective.²³ Opportunities for participation in safeguard assessment and mitigation are detailed in the separate Safeguards section of this Guide. This all feeds into completing a summary poverty reduction and social strategy (SPRSS).

The SPRSS includes a section on participation (Section B of Social Analysis and Strategy).²⁴ It seeks a summary of the participation process during project preparation and whether a participation plan was prepared. A description of the key features is given if the answer is “yes,” and if “no,” an explanation why.

A participation plan does not have to stand alone and is commonly integrated into other action plans (e.g., safeguards, gender, social). However, it should define the engagement of specific stakeholders and the approach, depth, and methods for use at each stage of the project cycle, considering time and resource constraints. Tool 4 details guidance on developing a plan (see page 41) and the other project cycle tools explain particular methods (e.g., participatory monitoring and evaluation). The approximate staff time and financial costs for supporting the participation plan are typically built into overall mission costs.

Preparing the project administration manual (PAM) then occurs at loan fact-finding. This sets out the project’s implementation agreements and details, including safeguards, gender, and other social dimensions. The PAM for every project includes a stakeholder communications strategy describing “what project information will be communicated, the means of communication, who will provide the information, the audience(s), and frequency.” This augments participation plans but focuses on information sharing and consultation. Tool 5 outlines the process for developing a stakeholder communications strategy (see page 47). Specific Project Administration Instructions exist for “implementing small projects with community participation.”²⁵ This outlines simplified mechanisms for collaborating with community-based organizations (CBOs) and local NGOs.

ADB’s Public Communications Policy Reinforces Participation in Projects

The policy aims to facilitate dialogue with affected people and other interested stakeholders, including women, the poor, and other vulnerable groups. Information about sovereign or nonsovereign projects or programs (including environment and social issues) shall be made available to them in a manner, form, and language(s) understandable to them and in an accessible place. ADB shall work closely with the borrower or client to ensure that such information is provided and feedback on the proposed project design is sought, and that a focal point is designated for regular contact with project-affected people and other interested stakeholders. This process will start early in the project preparation phase, allowing their views to be adequately considered in the project design, and continue at each stage of project or program preparation, processing, and implementation. ADB shall ensure that the project or program design allows for stakeholder feedback during implementation. ADB shall ensure that relevant information about major changes to project scope and likely impacts is also shared with affected people and other interested stakeholders.

Source: ADB. 2011. *Public Communications Policy 2011*. Manila.

A PPTA consultant's terms of reference (TOR) can include some or all of these outputs. All should be developed with stakeholders to help ensure the project design responds to local demand. The DMF, SPRSS, PAM, and gender, social, and safeguards plans all form appendixes to the report and recommendation of the President (RRP), submitted for negotiation and approval before a project begins.

Stage 3: Operational Planning

Before project implementation, approval is followed by operational planning. Any contracts or partnerships are finalized and communication between project stakeholders resolves any issues and ensures readiness for the project inception mission and implementation.

Stage 4: Implementation, Monitoring, and Reporting

Participatory approaches boost project performance and local ownership during implementation. Some projects, such as livelihood or community-driven development (CDD) initiatives, institutionalize participation. Others, such as government-implemented infrastructure projects, focus on communicating plans with stakeholders. The participation plans for project implementation reflect these differences. Participation plan activities include ongoing consultation, involving stakeholders on a project implementation body, focusing on community mobilization, or using a CSO to provide services or monitor independently. Tool 6 guides on working with CSOs to support participatory components in project implementation.

The PAM contains a project implementation plan to record outputs with key implementation activities (monthly or quarterly), including those relating to the DMF, gender, social, and safeguards plans (including participation) and the stakeholder communications strategy. Recipients and/or clients submit the plan to ADB annually with contract and disbursement projections for the following year. Executing agency (EA) quarterly reports should also include progress against the project's participation plan and related performance targets and indicators included in the DMF.

Stage 5: Self-Evaluation

Ongoing participatory monitoring and evaluation is useful in projects with higher levels of participation. See Tool 7 for further guidance, page 57. Yet, all midterm and project completion reviews should include participatory activities. Workshops, focus groups, and other methods allow for a wide range of stakeholder inputs and increase local involvement and ownership. Over time this can increase sustainability by giving beneficiaries a stake in continuing the project after the formal completion date.

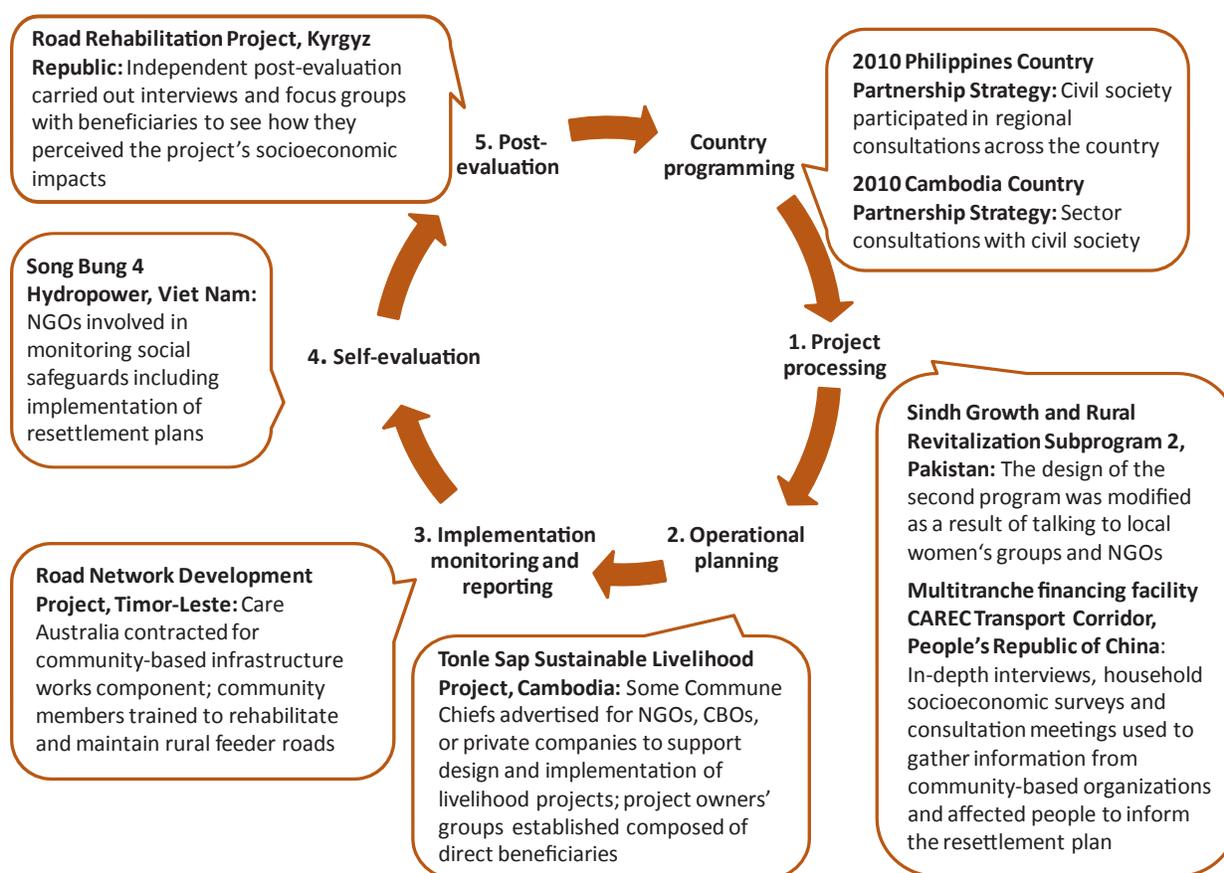
Midterm and project completion reports are appropriate places to include findings on approaches to participation implemented and depth achieved for each. Assessing results, outcomes, and adequacy of participation against participation objectives and plans generates lessons for further activities in the same sector.

Stage 6: Post-Evaluation

ADB's IED reports commonly include stakeholders', including civil society's, views on projects. In preparing evaluations of projects (project performance and audit reports)—including participation aspects—they often interview and collect data from residents of project areas, CBOs, local governments, and NGOs.²⁶

Examples of Participation in the ADB Project Cycle

This figure shows how a variety of sovereign projects have implemented participatory approaches at different stages of the project cycle:



Participation in private sector operations

Nonsovereign operations in the private sector generally focus on (i) infrastructure, and (ii) capital markets and finance (including financial intermediaries [FIs] such as banks, securities firms, and investment funds). Private sector operations follow a different credit approval process compared with sovereign operations but this also includes opportunities for participation, particularly for infrastructure projects. The FI client's environmental and social management system includes guidance on participation for projects involving FIs.

The following applies to infrastructure projects only. Private sector clients may have undertaken participation activities before ADB involvement, and ADB's role focuses on conducting due diligence and advising to ensure participation activities meet international good practice. Where confidentiality agreements have been signed, ADB does not disclose information or involve civil society at project identification and project concept development stages. The International Finance Corporation (IFC) has developed a useful good-practice manual on effective consultation and disclosure and another on addressing the social dimensions of private sector projects.²⁷

Stage 1: Concept Review

During concept review, the ADB project team obtains preliminary information on project design and determines if a proposed transaction complies with ADB policies and principles before negotiating with a client on general terms and conditions. ADB signs a confidentiality agreement with the client, and the team then prepares the concept review paper for the investment committee to approve. If information the private sector client offers the project team is sufficient, an IPSA is drafted for finalization during due diligence. At this stage, clients review the extent and coverage of consultations with stakeholders (See Tool 1: Stakeholder Analysis and Consultation, page 25).

Stage 2: Transaction Review

The private sector client may have started or completed the feasibility studies and related environmental and social assessments. At this stage, ADB runs comprehensive due diligence to evaluate the key transaction risks including environmental and social-related risks, verifies that participation activities took place during project design, and checks arrangements were made for future participation, including grievance redress mechanisms. The client pays for assessments and due diligence. Participation plans are typically integrated into the environmental and social assessment reports and plans. During the course of due diligence for projects with significant environmental and social safeguards impacts, the ADB project team participates in consultation activities to understand affected people's concerns and ensure their incorporation in project design and safeguard plans.

Stage 3: Final Review

The project team prepares and circulates a draft RRP for interdepartmental review. As with sovereign operations the RRP includes a linked SPRSS with a section on participation (See Tool 4: Developing a Participation Plan, page 41).

Stage 4: Board Approval

With the RRP, the environmental and social documentation posted on the ADB website detail further stakeholder consultations the private sector client carried out during project preparation and the arrangements for future consultations, including grievance redress mechanisms.

Stage 5: Closing

Legal agreements signed with the borrower refer to implementing environmental and social plans and include the participatory activities during the project implementation stage.

Stage 6: Credit Monitoring and Management

The private sector client reports on progress against participation plans in their quarterly or semiannual environment and social monitoring reports. Goodwill and rapport generated between local stakeholders and the recipient and/or client during project implementation contribute to the increased sustainability of operations. Community development initiatives implemented as part of corporate social responsibility programs are often more successful with participatory approaches.

Tanggung Liquefied Natural Gas Project, Indonesia

(participation approach: consultation, collaboration, partnership; depth: high)

As part of preparing environmental and social assessments and plans, BP Berau Limited carried out extensive public consultation and disclosure activities through a variety of means. These include use of printed and electronic media at the national and local levels; consultations with interested groups in Jakarta and Papua; presentations to various stakeholder groups, including local communities, local government, community leaders, nongovernment organizations, local universities, and the media; and workshops with affected people. Since the project's inception at least 1,622 people have participated in consultations and more than 1,600 comments were incorporated in the final implementation plans.

Committees were created to represent the resettlement-affected villages in selecting resettlement locations, design, construction, and management of the transition. Each, with approximately 20 members elected by villagers, was trained in community development, women and development, the environment, etc., by local nongovernment organizations. During implementation of the Land Acquisition and Resettlement Action Plan, BP assisted the affected people to form livelihood cooperatives and outsourced the implementation of livelihood restoration programs, including agricultural extension programs to civil society organizations (CSOs), mostly local universities. Mayri Cooperative is being assisted to take over operating and maintaining the electricity and water utilities in Tanah Merah Baru and to manage the funds from BP and the Kabupaten Government (or regency, which is a level of local government smaller than a province).

As part of the Integrated Social Program, the project also supported strengthening CSOs in the Bird's Head Region of Papua to enable them to represent their constituents and address their needs. A program seeking to strengthen *adat* institutions^a was also designed to ensure they will be able to respond to the changes that the Tangguh Project induces as well as bring together the historical influences on *adat* systems and the new recognition and status of *adat* as defined by the Papuan Special Autonomy Law.

^a *Adat* institutions are a system of cultural values and ideology on important aspects of life, providing valuable guidance, direction, and orientation to the lives of local people.

Sources: BP Berau Limited. 2006. *INO: Tangguh LNG Project – Summary EIA, Land Acquisition and Resettlement Plan, Integrated Social Program*; GHD. 2010. *Tangguh Liquefied Natural Gas Project—Seventh Compliance Monitoring Report*. Available from www.adb.org/projects/project.asp?id=38919

■ Tools for Participation in the Project Cycle

Applying evidence-based participatory approaches and methods improves project impact and sustainability. Many participatory tools and approaches suit ADB and recipient and/or client operations. This section highlights seven tools tailored around the ADB project cycle. Several, particularly Tool 1: Stakeholder Analysis and Consultation, are also highly relevant for reviewing policies, strategies, and programs.

Tool 1 Stakeholder Analysis and Consultation

Stakeholder analysis and consultation ensures inclusion of views from a range of interested parties in developing and reviewing policies, programs, and projects. It helps resolve complex issues, gain consensus and support from stakeholders, reduce problems in implementation, and increase impact.

Introduction

Stakeholders are individuals, groups, and institutions interested in a given ADB or recipient and/or client activity. They may be affected by, able to significantly influence, or be important to achieving the stated outcome.

When reviewing a policy, strategy, or country program (guided by a CPS) and designing and implementing a project, stakeholder analysis and consultation

- identifies who has an interest in a given activity;
- determines stakeholder group interests (perceptions, capacity, resources);
- capitalizes on stakeholders' experience and expertise;
- gains consensus on key issues, increases ownership, and gets stakeholders more involved in supporting effective implementation; and
- sets the stage for downstream participatory activities.

Stakeholder analysis is the process of identifying and exploring stakeholders' interests. Consultation overlaps with and builds on analysis. Identified stakeholder inputs are requested and considered as part of an inclusive policy, program, or project development or review process. The Safeguard Policy Statement defines meaningful consultation (see Guide section on Participation in Safeguards, page 63) (endnote 8).

Ultimately, analysis and consultation improves the quality of decisions, minimizes disruption during implementation, and by involving citizens in decisions that affect their lives makes a key contribution to good governance.

How does stakeholder analysis and consultation fit in the ADB project cycle?

Stakeholder analysis and consultation occur in developing and reviewing country programs and most projects, including loans, grants, and technical assistance (endnotes 17 and 22). In particular, integrating the exploration of stakeholder relations into economic and other analyses improves project design (endnote 23). Tool 2: Maximizing Participation in the DMF explains better how it fits into ADB project design.

Analysis and consultation should continue through the project cycle and remain dynamic. Tools 4 and 5 look at developing a participation plan and stakeholder communications strategy, which can outline plans for forms of consultation during project implementation, monitoring, and evaluation (see pages 41 and 47).

Stakeholder analysis and consultation is also vital to developing and reviewing any policy or strategy. The exact need for and nature of external review depends on the type and topic of the paper (endnote 13). See Tab 2: Participation in the Review of ADB Policies, Strategies, and Country Programs.

Tips for Successful Stakeholder Analysis and Consultation

- **Work closely with partners:** Ensure counterparts (ADB staff, resident missions, developing member country officials, private clients) commit to a participatory approach.
- **Develop a thorough stakeholder analysis:** This will identify and highlight key stakeholder interests and help structure the consultation process. Ensure stakeholders' diversity and representativeness (use checklist below). Outreach to marginalized and neglected groups and include supporters and potential opposition to avoid problems later in implementation.
- **Set clear objectives for consultation:** In designing the consultation, confer with internal and external groups with special knowledge of the policy, strategy, or project area. To avoid unrealistic expectations, be clear from the start what is and is not under consideration and what only ADB or the recipient and/or client can influence.
- **Plan carefully:** Think through opportunities for consultation in the key steps of the design or review process. Based on this and the stakeholder analysis, design a consultation plan. Arrange adequate time and resources (including for translation). Use local resources wherever possible and identify opportunities for harmonizing with other donors.
Tailor approach to consultation: Choose methods to reach different key groups by considering language, literacy, and exposure to the issues and location (see Tool 1: Stakeholder Analysis and Consultation, page 25 and Tool 3: Participatory Assessment, page 37). Ensure the atmosphere enables stakeholders to participate openly and with their views taken seriously.
Take a gendered approach: Men and women both require consultation and in certain cultures this should occur separately, with family and work commitments determining timing. A local women's organization can enable consultation with women in a community.
Start consultation early: Start before the first draft is written for policies, in the preparatory stage of sector roadmaps and diagnostics for country programming, and during the project concept stage. Build on existing processes, e.g., for country programming use Poverty Reduction Strategy Paper processes.
- **Maximize transparency:** Use the web and other channels to reach those without web access or knowledge of English (e.g., leaflets, information sessions in local language) to disseminate the plan detailing the consultation process, objectives, and draft content. Ensure understanding of the Accountability Mechanism.
- **Follow up and keep process dynamic:** To maintain credibility and integrity provide feedback on how inputs have or have not been adopted and explain why. Share a summary of the consultation with participants shortly afterward and invite corrections. Translate into the local language and make the final documentation accessible. Institutionalize the process of consultation in the life of the policy, country program, or project (see Tools 4 and 5) to capture the stakeholders' changing circumstances and interests.

Identifying stakeholders

Start with a checklist to identify key stakeholders. The three main groups are government, the private sector, and civil society. Each has many subgroups. ADB lends primarily to governments but also has private sector clients. The recipient and/or client must ensure the other groups participate. Civil society engagement is vital to meaningful participation. Some typical stakeholders include the following (at national, intermediate, and local levels):²⁸

Civil Society

- General public: directly or indirectly affected population groups and subgroups (e.g., youth, girls, and women's groups), and ethnic minority groups (ethnic minorities in fragile and conflict-affected states are often particularly vulnerable and overlooked)
- Civil society organizations: national and international NGOs, community-based organizations, foundations, labor unions, and independent research institutes

Government

- Government: civil servants in ministries, cabinets, etc.
- Representative assemblies: elected government bodies (e.g., parliament, national and local assemblies, and elected community leaders)
- Bilateral and multilateral government institutions: international financial institutions (e.g., World Bank), bilateral government donors (e.g., USAID), etc.

Private Sector

- Private sector: private companies, umbrella groups representing groups in the private sector, and chambers of commerce

Disseminate the initial stakeholder list and explain how additions can be suggested and stakeholders can put themselves forward. Seek advice from experts, community leaders, and colleagues. A credible umbrella organization, ADB NGO Anchor, or NGOC staff member can assist in reaching civil society stakeholders.

Analyze the list of key stakeholders to determine current inclusion in ADB and government processes. For excluded groups, or at least those not participating, identify the constraints to these groups' inclusion and how to overcome them. Avoid focusing on easy to reach stakeholders and those with whom relations already exist. Contact and include disadvantaged groups who rarely access decision-making processes. Ethnic minorities, the very poor, and women may need special support to be heard. Use outreach and consultation activities to promote their engagement (e.g., participatory methods not requiring literacy). Involve those who might have negative or opposing views on the issues and ensure all are in the analysis. Before determining stakeholder interests answer the following questions.

Final Checklist for Identifying Stakeholders

- **Have resident missions (e.g., the NGO anchor) and other key informants helped identify stakeholders?**
- **Are all relevant stakeholders identified and listed?**
 - Marginalized and vulnerable groups (especially poorest groups, ethnic minorities, female-headed households, and migrant groups)?
 - Main client/beneficiary groups?
 - Groups who will be negatively affected by the project?
 - All potential supporters and opponents of the project?
 - All different kinds of male and female stakeholders (using gender analysis if necessary)?
- **Should these stakeholders be divided into user, occupational, age, income, or ethnic groups?**

Determining stakeholders' interests

The next stage is determining stakeholders' interests in the policy, program, or project; exploring their perception of the development problems it is seeking to resolve, and their capacity and resources to participate in (or to oppose/undermine) it. This requires carefully chosen methods to build rapport and ensure meaningful feedback. It works best if carried out with stakeholders participating to increase consensus and ownership.

Stakeholder Group	Stake's Interest	Perception/Pro.	Resources	Mandate
1) Govt	- Receive and pay back - Resettlement - EA - EIA - Public Consultation meeting - Demine - UXO	- Limited cross-border trade. - Under-developed road infrastructure - Environmental pollution - local-based devel... - Safety.	ADB Grant + loan (67 mil)	- Oversee budget - Manage activities infrastructure sect - To protect env - To coordinate - To demine - Training - Hoan provision for house - Forest protect - Monitoring + Training
2) Civil Society	- HIV/AIDS Training Education. - Building house - Forest conservation vs Development - Human Trafficking	- Widespread of HIV/AIDS. - Livelihood - Forest conservation impact - Concern of more human Trafficking		
3) Private Sector	- Road Rehabilitation + maintenance - Supervision.	- loss of income		- Represent own interest - support client in DC
4) ADB (donor)	- financing support	will improve economic growth		

Stakeholder analysis from participation training with government officials in Phnom Penh, Cambodia, March 2011

There are many ways of consulting, and many conditions influence which methods will provide the most useful information. Carefully consider the aim of the consultation, the nature of those being consulted (language, literacy, location, exposure to issues), and timescale/resources available when developing a consultation plan. For example, international NGO staff can engage differently from local affected community members. Sometimes talking to people is more valuable than writing to them. Using more than one method yields better responses—in quality and quantity. Different methods can also produce different results. The key is to get the best spread of views from those most likely to be affected, and from those with the most to contribute.

The table below outlines some common consultation methods and approaches, and the circumstances in which they are particularly useful.

Consultation Methods

Method	Description
Online and Written Consultation	This typically involves using a specific consultation web page to introduce the policy, strategy, or project and the aim of the consultation. The consultation structure varies. A draft document, broad topics, or open-ended questions can be used to guide comments or a survey style with closed questions. Public comments allow discussion between stakeholders. Social media can be used. Online consultation enables open public consultation, but it only reaches those who are literate and with internet access, and therefore not the most disadvantaged. Written feedback posted or e-mailed is also common.
Public Meeting	Meetings are an open accessible method of consulting with the public. They take place at any level (community, regional, national, etc.). Ensure they are fully accessible and give adequate notice to interested bodies. Also meeting size affects participation. Groups of under 20 people ensure everyone can speak. Breakout sessions and participatory methodologies (e.g., ranking, diagrams) can help capture all viewpoints.
Workshop	Workshops involve gathering a group to gain their feedback in a structured format. The face-to-face format allows for brainstorming and testing ideas. Preferable to a single workshop, a series produces greater output. Try different workshop types (e.g., open space, write shop, participatory methods). Facilitation is important, and a skilled neutral individual can help ensure group rules are clear, views are taken seriously, and no participant dominates. For more information, see the inventory of resources in this Guide and Tool 3: Participatory Assessment.
Focus Group Discussion (FGD)	Semi-structured qualitative discussions with a small homogenous group (generally 5–12 participants plus 1–2 skilled facilitators). Open discussion explores people's attitudes, concerns, and preferences toward a specific issue, with the range of viewpoints collated at the end. The mix of people depends on the purpose but numbers are typically restricted to 15 or fewer. Community members not used to formal meetings may feel more comfortable expressing themselves in a FGD (e.g., women, ethnic minorities, or disadvantaged castes; the disabled; or poor individuals and households).
In-Depth Interview	Qualitative phone or face-to-face interviews with individuals (e.g., community members, key informants, or civil society leaders) can get a sense of stakeholders' perspectives. They can be structured (formal, and closely following a written interview guide), semi-structured (partially directed by an interview guide, but open and conversational to allow interviewees to introduce other topics of interest), or unstructured (organized around a few general questions or topics, but informal and open-ended) depending on the context. Structured interviews are likely to yield information that can be compared and generalized, while less structured ones can explore an issue in depth and permit related issues to be raised. Interviews with key informants possessing particular knowledge of an issue are especially useful.
Survey	Surveys provide specific responses on certain issues. They can rapidly show who is interested and why and provide quantitative data. They indicate the weight of different views. Conduct surveys by post, online, or face to face.

Sources: Government of the United Kingdom. 2008. *The Compact. Consultation and Policy Appraisal Compact Code of Good Practice*. London; World Bank. 2007. *Consultations with Civil Society. A Sourcebook*. Working Document. Washington, DC.

Using the simple stakeholder analysis template below helps capture findings. The steps outlined guide exploring stakeholder interests. Although particularly suited to a facilitated workshop or brainstorming session it can be adapted to use with other methods.²⁹

Stakeholder Analysis Key Steps

Sample Stakeholder Analysis Template

Stakeholder Group	Stakeholder Interest	Perception of Problem	Resources	Mandate

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 stakeholders on cards and sort them by stakeholder categories, e.g., civil society, private sector, donor agencies, and government. Place each group on a separate row (column 1).

Step 4: Discuss the interests of each group by referring to the development problem—how and why they are involved, their expectations, and potential for them to benefit or suffer as a result of changes. Each group completes one card reflecting its dominant interest (column 2).

Step 5: Clarify how each group perceives the development problem (column 3). Use one card per group, and ask the group to state the perceived problem clearly. Request negative statements, not implications of solutions, e.g., roads are poorly maintained (correct), no road maintenance system (incorrect).

Step 6: Discuss the capacities and resources a group can raise for or against the development problem. Consider financial and nonfinancial resources. While formal organizations have financial and nonfinancial resources, population and informal 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 for a particular function. Generally, population groups, such as low-income groups, farmers, and women, do not have mandates (column 5).

Step 8: The workshop may go on to discuss the design of a proposed policy or project in more detail or may use follow-up consultation.

Example stakeholder analysis and consultation

The following box shows how ongoing stakeholder analysis and consultation was vital to the Dhaka Clean Fuel Project succeeding.

Stakeholder Analysis and Consultation in Reducing Pollution in Dhaka

- **Background:** In Dhaka “baby-taxis” are convenient and cheap for point-to-point transportation but are a source of pollution with serious health impacts.
- **Key stakeholders:** These include baby-taxi passengers, owners of baby-taxis, owners of filling stations, nongovernment organizations (NGOs), and government and international aid donors.
- **Objectives:** First, understand the problem better and explore stakeholder views on demand, affordability, and the project needs and impact. Second, gain public and key stakeholder support for replacing current baby-taxis with clean vehicles.
- **Methodology:** Identify, meet, and maintain dialogue with key stakeholders. For example, use a study tour to meet manufacturers and users; continue liaison with the media; and pursue dialogue with owners, drivers, families, etc. (clinics for baby-taxi drivers to document effects of pollution and discuss possible solutions). Lead a public awareness campaign on the benefits of using compressed natural gas including reduced air pollution and better health.
- **Outcome:** Widespread support for an overnight phase-out successfully gained through stakeholder consultation.

Source: ADB. 2001. *Loan to Bangladesh for the Dhaka Clean Fuel Project*. Manila.

The following is a possible stakeholder analysis template for this or a similar project:

Stakeholder Analysis and Consultation: Taxi conversion component of urban clean fuel project

Stakeholder Group	Stakeholder Interest	Perception of Problem	Resources	Mandate
Government				
Ministry of Finance	Recipient of ADB loan, responsible for repayment	Expensive dependency on imported liquid fuel; poor air quality due to 2-stroke engines affecting health	ADB loan (\$80 million)	Manage and oversee government budget
Ministry of Energy and Mineral Resources	Owns and supervises national oil company	Expensive dependency on imported liquid fuel; domestic natural gas needs promoting	Energy Ministry budget and staff	Manage and oversee government activities in the energy sector
Ministry of Communication	Responsible for transport in city	2-stroke engines in "taxis" are contributing to poor air quality but are a cheap, convenient form of transport	Ministry budget and staff	Manage and oversee government activities in the transport sector
Gas Company	Executing agency, recipient of re-lent ADB loan	Infrastructure for domestic gas is underdeveloped including use of 4-stroke engines	\$80 million and company staff	Company deals with compressed natural gas (CNG) and is owned by the national oil company
Civil Society				
Taxi Driver Association	Project plans to ban taxis with 2-stroke engines	Ban on 2-stroke engines will destroy taxi drivers' livelihoods; if it goes ahead drivers need support to convert vehicles to 4-stroke	Membership fees, drivers	Represent the interests of taxi drivers
Taxi Users	Project plans to ban vital transport service	Ban on 2-stroke engines will disrupt transport service in the city	Public pressure	Represent own needs
Greenpeace International (nongovernment organization [NGO])	Share project goal to reduce pollution and improve environment	2-stroke engines highly damaging to the environment and should be banned	Finance from donations/grants; public pressure, political influence	Run public campaigning and activism to protect the environment
Community Life National (NGO)	Share project goal to reduce pollution; avoid other negative impacts on quality of life	2-stroke engines highly polluting and causing health problems for city residents, but cheap and convenient	Finance from donations/grants; staff, volunteers	Carry out advocacy and community development projects to support residents
Doctors' Union	Share project goal to improve health; ensure people know benefits of 4-stroke engine	2-stroke engines in taxis causing increased breathing disorders in city	Membership fees, professional status/influence	Protect the health and well-being of their patients
Private Sector				
"Taxi" Manufacturers	Project ban on 2-stroke taxis will damage business	Ban on 2-stroke engines unnecessary; taxis are popular	Business profits, staff	Run a profitable business manufacturing taxis
Filling Station Owners	Project ban on 2-stroke taxis will damage business	Ban on 2-stroke engines unnecessary; taxis are popular	Business profits, staff	Run a profitable business selling liquid fuel and other commodities and services
International Donors				
World Bank	Project supports goals of their own work	Ban on 2-stroke engines will help their work on environmental health	Member government contributions	Support development in developing member countries

Tool 2 Maximizing Participation in the Design and Monitoring Framework

Involving stakeholders in designing development assistance projects is critical to making aid more effective, and helping to achieve results. In fact, achieving results largely depends on stakeholder involvement, cooperation, and consensus which strengthens the design, builds ownership, improves governance, and promotes sustainability. All projects should therefore be based on a participatory approach to developing the design and monitoring framework.

Source: ADB. 2007. *Guidelines for Preparing a Design and Monitoring Framework*. Manila.

Introduction

The ADB Guidelines for Preparing a DMF (2007) describe a participatory process following the five main steps below. The DMF design and management tool builds consensus with stakeholders and creates project ownership. Stakeholders participate in the different diagnostics (e.g., stakeholder analysis, problem analysis) through workshops, focus groups, brainstorming sessions, etc. Involvement takes place in all phases, from analysis and conceptualization through feasibility to final design and implementation.

Phase 1: Situational Analysis

1. Stakeholder Analysis

- Identify and delineate the important stakeholders' roles, e.g., for a development problem or sector

2. Problem Analysis

- Identify a starter problem: initial issue to resolve
- Define the starter problem and underlying causes
- Clarify the problem's effects

Phase 2: Project Identification

3. Objectives Analysis

- Convert each problem into an objective—future solution for the problem—with stakeholders

4. *Results-Chain Analysis*

- Stakeholders specify results chains
- Stakeholder owners assess the feasibility of achieving their results chain and decide on inclusion in project design

Phase 3: Finalization of DMF

5. *DMF Matrix*

- Stakeholders declare which results chains they can work on
- Consolidate results chains and agree a project outcome (contributing to the impact) with stakeholders
- Complete the DMF matrix as in the guidelines
- Revise the DMF regularly to reflect changes in project scope, or appearance of new problems or stakeholders

The Guidelines recommend using different diagnostic tools (e.g., stakeholder analysis, problem analysis), with the stakeholders participating through workshops, focus groups, brainstorming sessions, etc. After designing the participatory process continue it through implementation when different stakeholders and problems may appear.

Participation in the DMF

Participation in the DMF has two dimensions, and managing the first effectively makes the second more likely:

- i. engaging stakeholders in the design process; and
- ii. integrating participatory elements (activities, outcomes, etc.) into the actual DMF.

The tips below complement the Guidelines and support meeting their recommendations for participation in DMF design.

Tips to Maximize Participation

- **Avoid a top-down approach:** Ensure that preconceived problems or solutions do not dominate analysis and that the project team is receptive to new ideas. Analysis should include the perspectives of community members, civil society organizations, and other stakeholders with firsthand experience of local realities. Resolve any significant differences in views before finalizing the design. Gaining consensus on the project design should include various forms of stakeholder consultation, participatory planning workshops, and brainstorming sessions over time; single planning sessions are less effective.
- **Engage stakeholders in stakeholder, problem, and objective analyses:** Use workshops, focus groups, brainstorming sessions, and other methods. A series of consultations with skilled facilitators may cover all these steps and ensure methods suit the different groups' language, literacy, and experience.
- **Review and revise outputs of stakeholder, problem, and objective analyses:** Commonly uncovering new issues during analysis requires consulting other stakeholders or technical experts. Problems may need verifying or the feasibility of different objectives may need clarifying and resolving amongst stakeholders. Problem and objective trees often undergo revisions. A flexible participatory process ultimately enables a clear shared understanding of actions required, their sequence, and desired results. It strengthens ownership and a shared vision.
- **Discuss each alternative (results chain) with appropriate stakeholders:** Each stakeholder group, the executing agency, and the project team need to understand how a particular results chain will affect them—positively or negatively. This avoids team members choosing solutions they prefer or are familiar with, but which may be irrelevant to the local circumstances or invalid against desirable stakeholder criteria. Agreement may require returning to the problem or objective trees and re-thinking.
- **Jointly agree the design and monitoring framework (DMF) and next steps:** Agreeing on the indicators and targets among the designers, those who implement, and those who benefit, increases transparency and ownership. Involving stakeholders in DMF development should also support including participatory elements and boost their willingness to contribute. This could include having targets for participation of particular groups in project activities; engaging community mobilizers; including client/beneficiary representatives in project review missions and workshops; using citizen scorecards to assess project implementation; and engaging local civil society organization to independently monitor the project.

Example of a participatory DMF

The following example shows how a DMF for a participatory road project might appear:

Design and Monitoring Framework – Rural Infrastructure Project with Social Development Focus

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions/Risks
Impact Improved education and health care in selected local communities along the Road Network Development project	<ul style="list-style-type: none"> Education attainment rate (for both boys and girls) increased in project areas by 5% by 2020 from a 2007 baseline of 'x' Rates of those receiving antenatal care and assistance during delivery increased in the project areas by 10% by 2020 relative to 2007 baseline of 'x' 	<ul style="list-style-type: none"> Education Department annual report Survey of Living Standards and Demographic Health Survey Millennium Development Goal indicator review and assessment 	Assumption Commitment of government, local authorities, and communities to pursue policy reforms Risk Political instability and security situation
Outcome Increased access to social services for communities in 'x' region	<ul style="list-style-type: none"> Travel time to schools and health clinics reduced in project areas by 10% by 2015 from a 2007 baseline of 'x' Health care services received increased from a 2007 baseline from 'x' to 'y' by 2015 	<ul style="list-style-type: none"> Education Department annual report Health Department annual report 	Assumption Availability of nongovernment organizations and civil society to work on the project Risk Slowdown in ongoing process of decentralization
Outputs* Roads and small-scale infrastructure rehabilitated and maintained by community workers	<ul style="list-style-type: none"> 90 km of rural feeder roads 20 small-scale health and education infrastructures rehabilitated by 2015 800 rural poor and vulnerable people (at least 30% of them women) participate in maintenance of small-scale infrastructure by 2015 	<ul style="list-style-type: none"> Road Authority annual road network report District Health and Education Authority quarterly report District/local authority road maintenance reports 	Assumption Allocated district funds for rural road rehabilitation and maintenance Risk Lack of coordination from line departments
Activities with Milestones Output 1 <ul style="list-style-type: none"> Select rural road sites for rehabilitation and maintenance (Q3 2011) Participating communities prepare rapid assessment of community road conditions (Q4 2011) Communities develop community-based contracts for road rehabilitation and maintenance for road works and basic infrastructure (Q1 2012) Select community workers (at least 30% female) under the supervision of suco chiefs, district administration, and community development specialists. The selection criteria will include vulnerability and gender considerations (Q1 2012) Communities implement civil works (Q4 2013) District administrations agree on implementation and monitoring for community rural infrastructure works (Q4 2013) Lessons from piloting decentralized management of community small-scale infrastructure works by local government institutions presented and shared through workshops and publications (Q4 2014) 			Inputs Japan Fund for Poverty Reduction: \$3.0 million Government: \$456,000 Communities: \$14,400

* Note: Only one output is given as an example. A full DMF would include more. Possibilities include:
Output 2: Selected communities develop awareness on road safety, primary health, and education.
Output 3: Project managed timely and efficiently.

Tool 3 Participatory Assessment

Participatory assessment enables stakeholders to examine their own problems. It uses local knowledge, strengthens stakeholders' influence on decision making, and encourages ownership by people whose lives the project will affect. Participatory assessment includes a spectrum of approaches that vary in their level and extent of participation.

Introduction

Participatory assessment methods and approaches have been developed to better understand the social and cultural context of development and to design interventions for local conditions. Increasingly being recognized as integral to assessment, participation involves working closely with stakeholders to ensure programs and projects respond to their needs.³⁰ The ownership that emerges when people decide together how to mend their own problems boosts the effectiveness and sustainability of operations.

Core Principles of Participatory Assessment

- Involves stakeholders as active participants—not just as passive sources of information
- Promotes learning between ADB/recipient/client and stakeholders at various levels
- Builds local people's capacities to analyze, reflect, and act
- Catalyzes commitment into actions

When to use participatory assessment in ADB's project cycle

Data collection using participatory assessment methods can contribute to project design and support broader poverty and social analysis. Specific opportunities for participatory assessment exist in the country programming (CPS development) and project preparation phases of the project cycle. The participation level depends on the project type and classification.³¹

- **Country programming:** Country poverty analysis, country gender assessments, governance risk assessments, and sector roadmaps should include participatory assessment approaches (e.g., participatory poverty assessment).
- **Project preparation:** In preparing an IPSA, useful secondary participatory data and resources from NGOs, researchers, and other stakeholders can be used. Limited use of participatory methods to collect primary data may also be possible for projects targeting

households or individuals, e.g., focus groups with population groups, community leaders, NGOs, and CBOs.³² When preparing the SPRSS, gender, social, poverty, and other assessments (depending on project classification) further opportunities for incorporating participatory assessment exist.³³ For example, develop socioeconomic or beneficiary and/or client profiles and gain beneficiaries' views through beneficiary assessment.

Tips for Successful Participatory Assessment, Monitoring, and Evaluation (see Tool 7)

- **Specialist skills:** In project processing involve a staff, consultant, or community-based organization with participation experience. Specialists then promote the participatory assessment and/or monitoring and evaluation (M&E) process. Many nongovernment organizations are experienced in these methods. Sample terms of reference (TORs) for participatory activities including participatory monitoring and evaluation consultants are available on ADB's website.^a
- **Resources:** Participatory assessment and M&E requires sufficient dedicated time and funds. They take longer than conventional approaches, but foster smoother more effective implementation and build communities' analytical skills and understanding of accountability.
- **Flexibility and sensitivity:** Participatory assessment and M&E can challenge donors and executing agencies to be flexible, to have their initial preconceived ideas and assumptions tested, to reexamine what constitutes progress, and face up to problems highlighted. Much depends on the implementers' level of self-reflection, continuous learning, and cultural sensitivity.
- **Stakeholder analysis to determine stakeholder involvement:** The analysis identifies stakeholders' needs, interests, and capacities and inform who is involved and how.
- **Clear objectives and planning:** Implementing agencies must make the objectives of participatory assessment and M&E clear, plan carefully, and ensure beneficiaries avoid unrealistic expectations. Possible objectives include giving legitimacy to project design and monitoring, improving efficiency, or building stakeholder capacity. This in turn determines the level and form of participation.
- **Follow-up process:** A process is needed to ensure follow-up on participatory assessment and M&E findings and their contribution to improving ongoing work. Principles of learning, flexibility, and transparency are integral to follow-up.

^a ADB. 2007. *Handbook on Social Analysis*. Manila. p. 67 (Sample TOR for IPSA) and p. 69 (Sample TOR for social analysis in project design; TOR for Consultation/Participation Specialists: www.adb.org/participation/toolkit-term-reference.asp).

Methods and tools

The range of participatory assessment methods are distinct from conventional research methods (e.g., representative surveys) in helping beneficiaries achieve some control over analyzing their problems and creating solutions.³⁴ ADB uses the term "Participatory Rapid Assessment (PRA)" to capture this range of methods.

Participatory Rapid Assessment is aimed at enabling stakeholders to analyze their own problems and participate in the planning, implementing, and evaluating of agreed-upon solutions. The techniques emphasize visual and verbal analysis to ensure that data collection and discussion processes are public, transparent, and group-oriented.

Source: ADB. 2007. *Handbook on Social Analysis*. Manila.

The table below describes a selection of common PRA methods. The type of assessment and its objectives will determine the best choice of methods; more information is available in the inventory of resources, *Handbook on Social Analysis*, and on ADB's website.³⁵ Many of the methods explained below are graphic and interactive and do not require literacy for participants to contribute and engage. They can also be adapted for well-educated groups and combined with other traditional research methods.

Participatory Assessment Methods

Method	Description
Calendar	Collect information on how activities change over a day or through the seasons.
Critical Incident Analysis	Collect incidents of critical significance (positive or negative) through participant storytelling. Further facts are then collected and issues identified. Afterwards decide how to resolve the issues based on various possible solutions and their likely success at tackling the root cause evaluated.
Decision Tree	Use tree diagrams to visualize relationships and help support decision making, e.g., problem trees depict the causes and effects of a given problem, while objective trees convert problems to objectives and create a means–end relationship (see Tool 2).
Field and Participant Observation	Extended close involvement with people in their natural environment and observing their practices promotes in-depth understanding. This may use other qualitative methods such as interviews and group discussions.
In-Depth Interview and Focus Group Discussion	See Tool 1: Stakeholder Analysis and Consultation, consultation methods table, for descriptions.
Mapping or Modeling	Local inhabitants, usually in a focus group or larger group setting, create a pictorial description of a local area. They may draw by hand or mark on a ready prepared map. Common types of maps include resource maps, health maps, and institutional maps. Maps provide baseline data for further participatory analysis to explore issues, indicate areas of concern, and explore possible solutions.
Oral History/Time Line	Record, preserve, and interpret the personal experiences and opinions of individuals or key resource people (church leaders, village heads, elders, etc.) on changes over time and historical events.
Ranking/Scoring	Conduct ranking or scoring exercises in a focus group or larger group setting. In preference ranking, people identify what they like/dislike about a particular set of goods, services, or activities; rank them; and explore the reasons for local preferences. Wealth ranking includes identifying locally appropriate criteria for measuring wealth/poverty (e.g., type of house, ownership of assets, community status, indebtedness), followed by ranking individuals and households using these criteria. In a problem census, groups identify, analyze, and rank problems, and suggest possible solutions.
Storytelling	Individuals and groups tell their stories directly or through theater and role-play. Storytelling can provoke interesting discussion with a wider audience of different stakeholders. Video and photography can also be used to depict changes through a sequence of images used to capture on film how people see and interpret what has happened in their lives and their communities.
Transect Walk	Walk along a designated path through a local area taken by a researcher with one or more male and female informants to appreciate the local environment, location of resources, land use, and other features. Information and impressions gathered through direct observation, questioning of informants, and impromptu interviews with people encountered along the way.
Trend Analysis	Share and collect basic information along a spectrum, from one extreme to another. Alternatively, share ideas on a single dimension of an issue (degree, amount of something). Trend analysis can look at both objective and subjective extremes (I live 'x' km from the nearest health center versus I live too far from the nearest health center).

Sources: ADB website: www.adb.org/participation/toolkit-methods-approaches.asp; Food and Agriculture Organization of the United Nations. 1990. *The Community's Toolbox. The idea, methods and tools for participatory assessment, monitoring and evaluation in community forestry*. Rome; World Bank. 1996. *Participation and Social Assessment. Tools and Techniques*. Washington, DC.

Systematically combining particular participatory methods forms structured approaches and tools for participatory assessment (e.g., participatory learning and action, participatory rural appraisal, beneficiary assessment) (endnote 34). At the most participatory end of the spectrum are community mobilization approaches. The descriptions below outline tools ADB uses and refer to further information.

- **Participatory Poverty Assessment (PPA):** PPA is an instrument for including poor people's views in analyzing poverty and formulating strategies to reduce it through public policy.³⁶ In 2004–2005 ADB and the World Bank supported the National Statistical Office of Mongolia in conducting a PPA to deepen the understanding of poverty and its trends. Discussions were held with groups of men, women, young adults, seniors, and vulnerable people. Community groups and key community leaders (e.g., social workers, doctors) were consulted. Assessments have also been supported in Cambodia and the Lao People's Democratic Republic (Lao PDR).³⁷
- **Beneficiary Assessment (BA):** BA is a qualitative participatory tool that improves the impact of development operations by gaining intended beneficiaries' views on a planned or ongoing intervention. It seeks to complement quantitative methods by providing reliable, qualitative, in-depth information on the sociocultural conditions and perceptions of the project's target group through focus groups, interviews, and other methods.³⁸ BA was used as part of the participatory project evaluation for ADB's community action in a hygiene promotion project in Shandong Province, the People's Republic of China. The assessment involved consulting project beneficiaries and other stakeholders to define problems from their viewpoint, design project activities, and lay the foundation for ongoing participatory development work.³⁹
- **Community Mobilization Learning Circle Approach:** Community mobilization approaches use a cyclical style of participatory planning, taking action, observing, and evaluating that continues through the project cycle. Live & Learn Environmental Education (LLEE) developed the learning circle approach as part of ADB TA-6123, Promoting Effective Water Management Policies and Practice.⁴⁰

The inventory lists further resources as does Tool 7: Participatory Monitoring and Evaluation, page 57. Assessment methods often double as monitoring and evaluation methods if implemented through project implementation.

Tool 4 Developing a Participation Plan

A participation plan, whether stand-alone or integrated into other project documents, guides stakeholder participation through the project cycle. The plan captures activities and enables their documentation and evaluation.

Introduction

In ADB, participation encompasses four main approaches: information generation and sharing, consultation, collaboration, and partnership. These cover a range of relationships in which the different parties' level of initiative and activity vary.

A participation plan (formerly a Consultation and Participation Plan) involves systematically deciding which stakeholders to engage, how, and when throughout the project cycle.

How do participation plans fit into ADB's project cycle?

The IPSA completed during the concept phase indicates if a participation plan will be developed. A strong argument for inclusion, in some form, can be made for most projects. According to the IPSA template guidance, "the participation plan is required where social safeguard issues are considered significant. A participation plan is highly recommended when participation of individuals and groups is considered important." In project preparation the SPRSS requires information on the level of participation planned for implementation and whether a participation plan has been designed and its key features. See Tab 3: Participation in the Project Cycle for the IPSA and SPRSS template sections on participation.

Participation plans should remain dynamic. The first phase of a plan will guide participation during project design, with a more detailed implementation phase, then gradually developed during project preparation.

Plans can stand alone, or be integrated into the gender action plan, social development action plan, resettlement plan, and other safeguard mitigation plans. The social development plan for the Nam Theun 2 Hydropower Project Development Project in Lao PDR provides a useful example with its inclusion of a detailed section on public consultation, participation, and disclosure.⁴¹

Developing a participation plan

A participation plan summary chart is in the *Handbook on Social Analysis* (updated version below) with a template timeline summarizing each task.⁴²

Stakeholder Group	Objective of Their Intervention	Approach to Participation (information generation/sharing, consultation, collaboration, or partnership) and Depth (low, medium, high)	Participation Methods (e.g., workshop, participatory assessment, survey, community mobilization or service provision by CSO, participatory M&E)		Timeline		Cost Estimate
	Why Included		Method	Who Is Responsible	Start Date	End Date	
Government							
Civil Society							
Private Sector							

Participation plans build on stakeholder analyses which guide the choice of groups to engage. Development then occurs with the stakeholders themselves. This may involve an initial workshop to outline participation in project design and further meetings to develop plans for implementation. The other project cycle tools in this Guide assist with engaging stakeholders in different ways (e.g., through using CSOs [Tool 6] or with implementing participatory monitoring and evaluation [Tool 7]).

Ultimately, the key stakeholders, the objectives of their participation, and its dimensions (approach/depth and methods) need agreeing to and capturing in a dynamic plan with timeline and resource estimates. Stakeholders typically include the DMC recipient and/or client body leading implementation of participatory activities. This often means local government closest to the community level and people themselves. They also include civil society stakeholders (CSOs, affected people, etc.) being consulted or implementing participatory activities themselves. Sometimes private sector organizations are engaged.

The following checklist ensures the plan incorporates key issues and components:

Checklist for Developing a Participation Plan

- Which stakeholder groups are engaging in participatory processes based on the initial stakeholder analysis?
- What decisions are being made through participation? And how?
- What is the anticipated breadth and depth of stakeholder engagement at each stage of the project cycle?
- How will participation be linked to summary poverty reduction and social strategy and safeguards requirements?
- How will participation be used during implementation?
- What participation methods will be used?
- What is the timeline for participatory activities?
- How will participation methods be sequenced?
- How have roles and responsibilities for conducting participation been distributed among the resident mission, executing agency, consultants, nongovernment organizations, and others?
- Are participation facilitators required?
- What will the participation plan cost to implement and under what budget?

The participation plan should feed into developing the stakeholder communications strategy (SCS). The PAM that guides project implementation includes developing an SCS for all projects (see Tool 5: Developing a Stakeholder Communications Strategy, page 47).

In implementation, regular reviews of the plan, what has been undertaken and how successfully helps manage ongoing work (endnote 42). Project monitoring via review missions, EA quarterly reports, and other mechanisms should report on progress.

An example participation plan

The following template summarizes the plan for the ADB Nepal Community Irrigation Project.⁴³

Main Stakeholders from the Stakeholder and Social Analysis

Central Government Ministries/Local Government Officials	
District officials	Officials from the Department of Local Infrastructure Development, Agriculture and Roads (DOLIDAR) (executing agency)
Representative Assemblies and Committees	
District leaders	Representatives of District Development Committees (DDCs) (part of development ministry)
District disadvantaged group (DAG) representatives	Representatives of DDCs DAG groups
Village Development Committee (VDC) leaders	VDC lowest administrative level of Nepal's local development ministry; each district has several VDCs responsible for government–public interaction
Ward and disadvantaged group representatives	Representatives of DAG and ward groups in VDCs (each VDC is divided into wards)
Beneficiary/Poor and Vulnerable Groups	
<i>Ethnic/Caste/Religious Groups</i>	
Brahmin-Chhetri, advantaged indigenous people (IP) (Newar, Thakali), Terai Middle Caste	Mainstream groups do not require support to participate
Hill and Terai Dalit, disadvantaged IP (Sherpa, Rai, Gurung, Magar), marginalized IP (Tamang, Kumal, Tharu), endangered and highly marginalized IP (Majhi, Rajbanshi), religious minorities (Muslims)	Marginalized and indigenous groups require support to participate
<i>Geography</i>	
Main beneficiary villages, neighboring potentially affected villages	Mainstream groups do not require support to participate
Remote villages (>1 hour walk to road)	Isolated villages require support to participate
<i>Economic Status</i>	
Mainstream beneficiary population, households with food security	Mainstream groups do not require support to participate
Ultra-poor (below poverty line), landless (or small land owners) system users, ex-bonded labor	Low economic status require support to participate
<i>Gender</i>	
Men	Do not require support
Women, female-headed households, seasonally/de facto female-headed households	Require support to participate
Civil Society Organizations (CSOs)	
CSOs	CSOs working at the district level in project areas

Key stakeholder groups: Stakeholders to participate include government officials, members of representative bodies, mainstream beneficiaries, potentially disadvantaged groups, and CSOs.

Objectives of participation: The project is conceptualized as highly participatory and aims to build users' capacity to ultimately own and be responsible for all aspects of operations and maintenance. Overarching objectives include

- ensuring local ownership;
- including all types of user stakeholder groups in participation processes and benefit distribution; and
- disseminating results and lessons learned to the wider community, including government, and CSOs.

Dimensions of participation: Participation involves training, construction, and participatory decision making in the following:

- i. selecting *llakas* by district level stakeholders (districts are divided into *llakas*)
- ii. selecting subprojects by VDC level stakeholders;
- iii. deciding the system design;
- iv. deciding the operations and maintenance system, level of financial contributions;
- v. deciding mode and management of construction;
- vi. deciding participation in water users association (WUA) and water user groups (WUG);
- vii. deciding representation from disadvantaged subgroups to the WUA, training; and
- viii. ensuring meaningful participation in all meetings, groups, and activities above.

Village-based field teams (VBFT) act as community mobilizers and facilitators to build user capacity to design, implement, and raise awareness about project activities.

Participation Plan: Nepal Community Irrigation Project

Stakeholder Group	Objective of Their Intervention	Approach to Participation and Depth	Participation Methods		Timeline		Cost Estimate
	Why Included		Method	Who Is Responsible	Start Date	End Date	
Local Government Officials, District Leaders, Representatives	Representatives of government executing agency (EA: DOLIDAR) responsible for project implementation; and local decision makers representing districts' interests	Partnership (high)	<ul style="list-style-type: none"> Selection of <i>llakas</i>: Officials, leaders, and disadvantaged group (DAG) representatives assist district development committees (DDCs) select four most disadvantaged <i>llakas</i> to include in project Monitoring: DOLIDAR submits three monthly progress reports (project surveys and participatory assessments conducted) Annual district review/plan: Review and planning meeting with district/village development committee (VDC) stakeholders 	<ul style="list-style-type: none"> District officials District leaders District DAG reps 			
Village Development Committees (and village-based field teams)	Members of VDCs with responsibility for government–public interaction on local development	Partnership (high)	<ul style="list-style-type: none"> Selection of subprojects: Village-based field teams (VBFTs) hold public meetings at ward level; explain the project, its participatory approach, and subproject selection criteria; invite ward citizen groups and water users associations (WUAs) to submit proposals; VDC selects projects and gets DDC endorsement Monitoring: VDCs contribute to progress reports Annual VDC review meeting: Review meeting with VDC stakeholders, including WUAs Annual district review/plan: See above 	<ul style="list-style-type: none"> VDC leaders VDC ward and DAG reps 			
Beneficiary/Poor and Vulnerable Groups	Beneficiaries and ultimately owners of the project	Partnership (high)	<ul style="list-style-type: none"> Decisions on participation in the WUAs and water user groups (WUG): Communities determine participation with support from VBFTs; ensure they are inclusive and include representatives of disadvantaged subgroups Decisions on system design, operation, and mode of construction: WUAs develop irrigation subproject proposals assisted by VBFT and technical support team (TST) WUA capacity building: VBFTs provide training in construction monitoring and supervision; National Federation of Irrigation Water Users Association, Nepal provides management training Monitoring: WUAs establish a construction monitoring committee Agriculture and livelihoods training: Communities receive training on agriculture and microcredit with specific focus on meeting needs of women and DAGs Annual VDC review meeting: See above 	<ul style="list-style-type: none"> WUA/WUG Irrigation subproject (ISP) main users ISP DAG ISP women 			
Civil Society Organizations (e.g., non-government organizations [NGOs], unions, etc.)	Representatives of civil society Expertise in community development	Collaboration (high) Collaboration (medium)	<ul style="list-style-type: none"> CSO representatives on DDCs Project management and implementation: NGOs contracted to support DOLIDAR and DDCs; services include identifying and screening potential subprojects, strengthening WUAs, and undertaking participatory feasibility assessments of subprojects 	<ul style="list-style-type: none"> District CSOs NGO 			

Tool 5 Developing a Stakeholder Communications Strategy

A stakeholder communications strategy builds on and expands participation plans and focuses on information sharing and consultation. It guides communications with stakeholders during project implementation.

Introduction

Stakeholder communication involves integrating strategic communication into development projects. It includes information dissemination, education and awareness raising; and also goes further to encourage dialogue, foster behavior change, and mitigate risks. It entails getting information to particular audiences (communities, government officials, CSOs, the private sector, etc.), listening to their feedback, and responding.

Communication links closely to participation, and of ADB's four approaches (see Introduction) it encompasses information generation/sharing and consultation. Strategic communication is a powerful tool that supports project operations and improves the chances of success. Regardless of the sector or type of project the objective focuses on building consensus through raising public understanding and generating well-informed dialogue among stakeholders.⁴⁴

How does stakeholder communication fit into ADB's project cycle?

The PAM, which outlines project implementation arrangements, includes developing a stakeholder communications strategy (SCS). It requires project officers to identify key communication objectives and risks, formulate key messages, and identify effective communication channels to engage key audiences. This strategy builds on and supports broader participation plans (see Tool 4: Developing a Participation Plan). The ADB Public Communications Policy 2011 highlights its importance and ADB's commitment to assisting DMC governments and private sector clients in developing a project or program communications strategy, which will be an integral part of participation by affected people and other interested stakeholders.⁴⁵ The SPS requires that DMCs communicate with project-affected people (see Guide section on participation in safeguards, page 63).

Components in an SCS serve varied purposes and may include communicating with the media and other external stakeholders, engaging with communities and supporting community development, and coordinating with environmental and social impact (e.g., resettlement) teams.

Developing a stakeholder communications strategy

The PAM includes a template for developing a stakeholder communications strategy (see below).

Objective(s)	Key Risks/Challenges	Audience/Main Stakeholders	Messages (information to be communicated)	Means of Communication (channels/languages/activities)	Timeline/Frequency	Responsibility	Resources (human, \$)
•	•	•	•	•	•	•	•
•	•	•	•	•	•	•	•

The communication planning process includes the following steps:

Step 1: Objectives

Identify two to three key communication objectives. What perspectives/actions/changes should be promoted for project success? Improve stakeholder feedback on implementation? Extend stakeholder support for the project? Change stakeholder behavior (e.g., increased hand washing through a better understanding of transmission and prevention of waterborne infections)?

Example: Share information and consult with communities the project may affect. Seek their views regularly to avoid unintended negative consequences in implementation.

Step 2: Key Risks/Challenges

Identify the key obstacles to achieving the objectives. Risks can arise from stakeholder perceptions, the country environment (social, economic, cultural risks), project implementation (implementation capacity, weak governance), and other project-specific concerns (e.g., design, safeguards). What are the communities' main concerns? What expectations need managing?

Example: Communities are worried about their land being taken. Listen to their concerns; assess if the impact can be minimized; and communicate clearly any entitlement to compensation.

Step 3: Main Stakeholders

Who are the essential stakeholders to engage to achieve key objectives and lessen risks? These are typically nongovernmental stakeholders that ADB or the government must reach.

Example: Widely trusted and respected traditional community leaders are an essential audience. Use them to disseminate information to the wider community and gather their views.

Step 4: Messages

Hone messages for each stakeholder group. Messages should be accurate, consistent, clear, relevant, and culturally sensitive. Pre-test the messages.

Example: The key message that the community must understand is that all families who have to move off their land will be given new plots of equal or better size/quality in the community.

Step 5: Means of Communication (channels/languages/activities)

What communication channels are best for reaching key stakeholders (different channels may be needed to reach different stakeholders)? Which languages are needed to communicate with identified stakeholders? What activities will best provide key stakeholders—especially project-affected persons—with easily understandable and accessible information? What activities will best ensure that key stakeholders can provide meaningful feedback about project planning and implementation?

Many of the consultation methods or activities included in the table in Tool 1 also enable communication. The World Bank's Development Communication Sourcebook lists additional channels such as electronic media (e.g., radio, television), printed media (e.g., newspapers, leaflets), traditional channels (e.g., theater, storytelling), and individual opinion leaders.⁴⁶

Example: Local project staff with community knowledge can communicate face-to-face with traditional leaders. The leaders then share the information with their community members through village meetings and established structures (e.g., farmers' groups, women's groups, water user groups).

Step 7: Timeline

When will each activity be implemented, over what time, and how often?

Example: After the initial contact, schedule follow-up visits every quarter to share information and receive feedback.

Step 8: Responsibility

Who will be responsible for leading and implementing each activity? Does the party identified have the capacity to effectively implement the communications strategy?

Example: Responsibility for these activities lies with local-level members of the project implementation team.

Step 9: Resources Required

Identify what human and financial resources are required for implementation.

A sample stakeholder communications strategy

The following is a stakeholder communications strategy for a typical ADB project:

Sample Stakeholder Communications Strategy

Objective(s)	Key Risks/Challenges	Main Stakeholders	Messages	Means of Communication (channels/languages/activities)	Timeline	Responsibility	Resources (human, \$)
Ensure a regular flow of reliable project information (one-way)	<ul style="list-style-type: none"> Trust of information source Language/culture Literacy Managing expectations 	<ul style="list-style-type: none"> Project-affected persons Community members Civil society organizations (CSOs), e.g., nongovernment organizations (NGOs), women's groups, etc. Local private sector Local government Local media 	<ul style="list-style-type: none"> Key project benefits Main impacts (good and bad) Project implementation process Entitlements Means of sharing concerns/problems <p><i>Adapt for different stakeholders</i></p>	<ul style="list-style-type: none"> Small groups Community forums Media outreach (radio, newspaper, web, etc.) Local leaders Religious networks Print material (brochures, etc.) Information/sensitization workshops Cultural/religious events <p><i>Focus certain channels/activities on reaching particular stakeholders</i></p>	<ul style="list-style-type: none"> From outset of project Regularly scheduled events to update on developments (every 2 months) 	<ul style="list-style-type: none"> Project implementation team Subproject managers 	<ul style="list-style-type: none"> Content development and publication/dissemination costs (\$) Cost of community liaison officers and subproject communications manager (\$) Logistical costs (\$) Event costs (\$)
<ul style="list-style-type: none"> Establish two-way information sharing/dialogue mechanisms 	<ul style="list-style-type: none"> Identifying valid community representatives Timing Language/culture Mechanisms ready to respond to concerns 	<ul style="list-style-type: none"> Project-affected persons Community members CSOs, e.g., NGOs, women's groups, etc. Local private sector Local government Local media 	<ul style="list-style-type: none"> Importance of dialogue; incorporation of stakeholder views into project Explain feedback process and how feedback is used Identification of key issues to discuss <p><i>Adapt for different stakeholders</i></p>	<ul style="list-style-type: none"> Existing CSOs (NGOs, women's groups, water user groups, etc.) Local government mechanisms Local media Multi-stakeholder advisory groups/committees Local stakeholder workshops Local outreach workers <p><i>Focus certain channels/activities for reaching particular stakeholders</i></p>	<ul style="list-style-type: none"> From outset of project Regularly scheduled meetings/workshops (every 2 months) 	<ul style="list-style-type: none"> Project implementation team Subproject managers Community-level organizations 	<ul style="list-style-type: none"> Content development and publication/dissemination costs (\$) Cost of community liaison officers and subproject communications manager (\$) Logistical costs (\$) Event costs (\$)

Tool 6 Working with Civil Society Organizations

Civil society organizations share ADB and developing member countries' goal to reduce poverty. Their knowledge and expertise make them invaluable partners in development projects.

Introduction

CSOs differ in size, interest area, and function, but can be described broadly as organizations distinct from the government and the private sector which operate around shared interests, purposes, and values. The table following shows the main types:

A Typology of Civil Society Organizations (CSOs)

Type	Definition
National/Local or International Nongovernment Organizations (LNGOs/INGOs)	These professional, intermediary, and nonprofit organizations provide or advocate providing services for economic and social development, human rights, public welfare, or emergency relief. Their various names include mass organizations (in the People's Republic of China and the former Soviet Union) and private voluntary organizations. International NGOs are international organizations not founded by an international treaty. They are typically headquartered in a developed country. ^a E.g., Red Cross societies, National Women's Federation (LNGO), WWF, Oxfam International (INGO)
Community-Based Organizations (CBOs)	These grassroots organizations seek to directly resolve their members' concerns and advance their members' well-being. Their functions include activities on economic, social, religious, and recreational issues. E.g., water user groups, microcredit associations
Informal or Unorganized Civil Society Groups	These civil society groups arise spontaneously as bottom-up responses to a particular issue or need. They are not legally registered and therefore not subject to regulatory mechanisms. E.g., informal community networks
Foundations	These nongovernmental entities, as nonprofit corporations or charitable trusts, offer grants to unrelated organizations, institutions, or individuals for scientific, educational, cultural, religious, or other charitable purposes. E.g., Ford Foundation, Aga Khan Foundation
Professional Associations	These organizations represent their members' interests who engage in certain occupations or professions. They may also enforce standards on their members' profession. E.g., associations of engineers, chambers of commerce
Independent Research Institutes/Academia	These independent nonprofit organizations conduct research and analysis and disseminate their findings and recommendations. E.g., Public Works Research Institute
Labor Unions	These formally organized associations of workers unite to advance their collective views on work-related issues, often organized by industry or occupation. They frequently associate themselves with umbrella federations, congresses, and networks. E.g., Trade Union Congress of the Philippines
Coalitions/Networks of CSOs/Umbrella Organizations	These CSOs unite by a common geography, membership, set of objectives, or area of activity. E.g., NGO Forum on Cambodia

^a UNESCO definition in ADB. 2008. *Civil Society Organization Sourcebook: A Staff Guide to Cooperation with Civil Society Organizations*. Manila.

Note: See *ADB Civil Society Organization Sourcebook* for further details.

This tool outlines how to identify and assess the capacity of CSOs, and highlights their different roles.

When can civil society organizations add value?

Different CSOs suit different functions in ADB and DMC operations. Representation of CSOs with local expertise and language skills and independence from government interests is important.

CIVIL SOCIETY ORGANIZATION	NON-CIVIL SOCIETY PRIVATE or GOVERNMENT
CDRI - research inst	ADB
Learning Institute	Commercial chamber - Cambodia
Independent analysts	World Bank
Labour union	JICA
Marginalized group eg ethnic group.	Central bank Cambodia
CBO - eg. water user group	Micro finance - for profit
Rice miller	Cambodian federation of employers + businesses
Teacher association	GIMACs
Newspaper	
Human rights organization	
CTN Foundation	
eg Camb HRs	
Human Rights Watch	
LCADHU	

Participation training with government officials in Phnom Penh, Cambodia, March 2011

- **Consultation and advisory:** CSOs have deep understanding of local development issues and firsthand experience of problems on the ground. They provide valuable input into consultation in project design and implementation.
 - International NGOs (INGOs) draw on international experience and best practice while national NGOs and CBOs offer local perspectives.
 - Professional associations provide specialized technical expertise in their area.

Civil Society in Kyrgyz Republic Advises on Education for Children with Special Needs

In the Kyrgyz Republic, ADB is working with several civil society organizations to help pilot an integrated approach to improving access to quality education for children with special needs. The Association of Parents of Disabled Children serves as advisor, providing expertise on disabled children's needs. Four rural community-based organizations consult regularly with parents of disabled children through roundtables and meetings.

Source: ADB. 2007. *JFPR Grant to Kyrgyz Republic Improving Access to Quality Basic Education for Children with Special Needs*. Manila.

- **Linking ADB, governments, and communities:** When links are weak CSOs can build bridges between people and communities, and governments, development institutions, and donors.
 - INGOs, large national NGOs, labor unions, and umbrella organizations can connect their constituents with national governments and many have existing relations. Smaller NGOs and CBOs are more likely to connect at the local and regional levels.
- **Community mobilization:** CSOs have great experience of strategies to help mobilize local communities in achieving important development outcomes.
 - Many INGOs and LNGOs have had great success in mobilization. Some INGOs are better informed of the latest strategies used internationally while LNGOs understand local culture better. Both can be contracted to help in forming CBOs.
 - Labor unions can also mobilize, especially if they have a large membership and represent a significant sector in the workforce.

Nongovernment Organizations in Bangladesh Help Mobilize Communities

In Bangladesh, ADB has partnered with the Center for Indigenous Peoples' Development (CIPD), Assistance for the Livelihood of the Origins (ALO), and other local nongovernment organizations to mobilize rural communities in identifying and implementing small schemes (e.g., community development, irrigation), microcredit operations, and beneficiary training in the Chittagong Hills Tract (CHT).

Source: ADB. 2000. *Loan to Bangladesh for the Chittagong Hill Tracts Rural Development Project*. Manila.

- **Innovation:** When flexibility, responsiveness, or innovation is needed CSOs can often react quickly to changing circumstances and are keen to experiment with new approaches.
 - INGOs and LNGOs have been effective in pilot programs maximizing community participation.
 - Some research institutes pride themselves on innovating and developing new solutions.
- **Service provision:** CSOs can be service providers at different levels. They often fill gaps when government services are unavailable and governments sometimes contract them.
 - INGOs and LNGOs can be service providers at a regional or national level (e.g., basic social services).
 - CBOs are involved at the community level, often managing local water supply, microcredit groups, and other community level services.

Nongovernment Organizations in the Pacific Pilot Social Service Programs

To help mitigate the impact of the global economic crisis and recent natural disasters in the Pacific, nongovernment organizations and church groups are providing a range of pilot social service programs targeting vulnerable groups, including unemployed youth and women.

Sources: ADB. 2009. *Grant to Tonga for the Economic Support Program*. Manila; ADB. 2010. *Grant for Social Protection of the Vulnerable in the Pacific*. Manila.

- **Assessment, monitoring, and evaluation:** Some CSOs can carry out participatory assessments in project design and independent M&E. However, do not use the same organizations as implementing partners and independent evaluators. Civil society monitors are important in promoting good governance (see Guide section on good governance and capacity development, page 71).
 - Some INGOs, LNGOs, and research institutes specialize in rapid participatory research techniques and have huge experience in implementing assessments and M&E.

Civil Society Organizations in Kyrgyz Republic Support Service Delivery and Monitoring at the Community Level

ADB is working with local self-governing bodies and community-based organizations to help provide critical water supply and sanitation services in 200 villages serving 300,000 people in rural areas of the Kyrgyz Republic. Taza Tabigat, a local nongovernment organization, is carrying out independent monitoring.

Source: ADB. 2008. *Grant to the Kyrgyz Republic for Community-Based Infrastructure Service Sector Project*. Manila.

Identifying civil society organizations

A thorough stakeholder analysis should have highlighted CSOs interested in a particular activity and involved them in consultation during project design and when developing participation plans. Once a CSO role has been established, combine the following routes to identify further potential partners:

1. **Accreditation bodies:** These exist internationally and in some countries and may provide self- or independent accreditation. For example, in Cambodia, the Cooperation Committee for Cambodia has set up a voluntary NGO certification system. In the Philippines, the Philippine Council for NGO Certification certifies CSOs that meet established minimum criteria for financial management and accountability. In Pakistan, the Pakistan Center for Philanthropy maintains a list of nonprofit organizations that meet standard governance, program delivery, and financial management parameters.⁴⁷
2. **Umbrella organizations:** Many countries have umbrella organizations with in-depth knowledge of their members' capacities often in publicly available directories. There may also be specific sector networks or working groups (e.g., gender, HIV).
3. **Civil society maps and reports:** In many countries, work has been done to map civil society or report on the status of the sector. Access these on the web.
4. **International NGOs:** Many INGOs work closely with partner CSOs at national, regional, and grassroots levels and retain information on credible organizations in-country. The CIVICUS civil society index assesses civil society in a particular country. Access their reports through their website.⁴⁸

5. **ADB staff and partners:** Resident missions often have knowledge of CSOs working in-country, particularly track records of those involved in previous projects. Some have an inventory of potential partners. Specialists in HQ may also know about credible CSOs working in their area and so may colleagues working for other development partners, particularly bilateral donors. The NGO and Civil Society Center (NGOC) also develops country civil society briefs and maintains NGOLink which includes a database of NGO profiles. Lessons learned from participatory approaches are also available on the IED Evaluation Information System database.
6. **Government sources:** Some staff know the reputation and capacity of CSOs working in different sectors.

Assessing civil society organizations

The questions below support assessing CSOs' capacities to collaborate or partner with ADB or a DMC. These guide rather than operate as a checklist. Where civil society is underdeveloped, few organizations that fulfill these criteria exist. Judgment is required to decide which exceptions to make and whether capacity building is required to support developing the sector. Also the criteria should not lead to excluding the poorest and most marginalized or involving groups that are less formally organized.

Further investigation may be needed to evaluate an organization's capacity to implement a specific role, e.g., research or evaluation.⁴⁹ Many information sources exist including internet searches (CSO's website), interviews with staff, and talking to government, other development partners, and CSOs. Further in-depth capacity assessment resources appear in the inventory.

Questions to Guide Assessing Civil Society Organization's Capacity for Collaboration or Partnership

- **Legal status:** Is the CSO legally established and registered?
- **Credibility:** Is the CSO accredited (in countries with schemes), listed in CSO directories, and transparent about its funding sources and activities?
- **Mission and governance:** Is the CSO clear about its vision, objective, and role? Is it transparent about its organizational and governance structure?
- **Constituency and support:** Are the CSO's constituents informed and supportive? Is it a member of sector/thematic or umbrella groups? Does it have partnerships with other reputable development organizations?
- **Technical capacity:** Does the CSO apply effective approaches to reach its target and have an effective presence in the field?
- **Managerial capacity:** Does CSO documentation show a strong strategic plan translated into well-designed projects and evaluations?
- **Administrative capacity:** Does the CSO have adequate physical and logistical infrastructure and procurement capacity?
- **Financial capacity:** Does the CSO have the procedures in place to manage required sums of money, and a track record of doing this successfully? Does it maintain well organized, accurate, and informative accounts?

Avoiding potential issues

Throughout the project cycle from the initial stage of deciding to work with CSOs to actually implementing the project, several potential issues may arise. Most can be overcome with good planning and project management.

Tips for Good Relations with Civil Society Organizations

- Establish dialogue with CSOs early in the design phase. Treating them purely as commercial subcontractors in implementation may lead to tensions. NGOs typically see their donors as partners and may enter a contractual relationship with different expectations than ADB. If possible, establish shared decision making in operations to help build mutual understanding and avoid conflicts.
- Ensure transparent bidding for contracting services.
- Set clear indicators and milestones for monitoring CSOs activities. CSOs tend to focus on process rather than outputs in short time frames.
- Be aware that some CSOs suffer from high staff turnover. Where this is recognized as a risk, compensate for it by ensuring relationships do not rely only on one or two key contacts. Equally, some CSOs are driven by a few motivated long-term individuals.
- Be aware that CSOs have limited overhead budgets and therefore require timely disbursement of funds.
- Be realistic about capacity. In post-conflict or contexts where CSOs have only recently formed, it may require incorporating capacity building into project design before contracting.

Tool 7 Participatory Monitoring and Evaluation

Participatory monitoring and evaluation (PM&E) is a process through which stakeholders engage in monitoring or evaluating a project, program, or policy; share control over the content, process, and results; and help in taking or identifying corrective actions. By involving local people affected by the project rather than relying solely on external experts, PM&E can reveal lessons about the project's implementation for different stakeholders and increase people's involvement in and ownership of development activities.

Introduction

PM&E developed to actively engage those affected by projects in the monitoring and evaluation process. It offers new ways of assessing and learning from change that are more inclusive and responsive to stakeholders' needs and aspirations. This mirrors the rationale for participatory assessment and the two share core principles and many of the same methods (see Tool 3: Participatory Assessment, page 37). The tips in Tool 3 also apply to PM&E.

Main Differences between Conventional and Participatory Monitoring and Evaluation

Differences	Conventional Monitoring and Evaluation	Participatory Monitoring and Evaluation
Who plans and manages the process?	Typically ADB staff, executing agency staff, and consultants	An ADB staff writes the initial terms of reference, ideally with community representatives. Consultant(s) act(s) as facilitator(s). Local people, project staff, local government officials, and other stakeholders are central to managing specific aspects of the process.
Stakeholders' role	Provide information	Help design the participatory monitoring and evaluation (PM&E) framework, collect and analyze information, share findings, and develop future proposed action. To engage the uneducated or illiterate in this role requires substantial support and capacity building.
Consultants' role	Provide expertise in measuring performance against objectives using standardized methods/tools	Help the stakeholder team carry out PM&E requires good communication, facilitation, and analytical skills.
Measuring success	Externally-defined/assessed; often against initial program assumptions	Internally-defined; explore multiple viewpoints and disagreements; ensure voices of beneficiaries are clearly articulated and heard.
Approach	Predetermined and fixed	Indicative and adaptive; emphasize learning.

Source: NZAID. 2006. *Guideline on Participatory Evaluation*. Auckland.

When to use participatory monitoring and evaluation in ADB's project cycle

During project preparation a consultant gathers information on potential indicators and targets. The consultant explores existing information systems and if necessary to collect additional data he or she will investigate

- i. how to collect the information, e.g., sample or full surveys, project records, participatory rural appraisal methods, focus-group discussions, or field observations.
- ii. who will collect the data, e.g., project staff, other government agencies, beneficiary communities, contracted agencies, NGOs, or consultants.

At this point, decide whether to take a participatory approach to M&E. Implementation of PM&E appears most appropriate in projects that have involved local stakeholders in the initial planning. The people feel greater ownership over a project and are more willing to invest time in monitoring its implementation and reflecting on its worth. PM&E builds on stakeholder consultation and participatory assessment and promotes participation in implementation. Without ongoing engagement, people may mistrust that their opinions were really valued.

While each PM&E process differs, below are some key steps in a standard PM&E process:⁵⁰

During project processing

1. **Stakeholder consultation at project site:** Explain why stakeholders should get involved in M&E and determine who will participate in the PM&E team. Discuss getting a gender balance and which different interest groups should get involved.
2. **Determine key evaluation questions and methodology:** Run an initial workshop with the PM&E team to determine key objectives, indicators, and methods.
3. **Develop DMF and project performance management system (PAM, etc.):** Outline in the project performance management system how beneficiaries and other project-affected groups will be involved in PM&E. Engage local research institutes or civil society organizations to independently monitor a project (or aspects of a project, such as a resettlement plan).

During project operational planning

4. **Training/discussion:** Train a wider participatory M&E team in participatory tools and methods. Discuss guiding principles, such as attitude and behavior.
5. **Develop detailed implementation plan:** Decide who will do what, where, which samples, which interventions to visit, by when, and how.

During project implementation

6. **Monitoring, analysis, and feedback:** The PM&E team monitors, records activities, and shares information. Periodically analyze and evaluate impacts against initial objectives. Verify and give feedback on findings to wider stakeholders.

7. **Project improvements:** Discuss and implement project adaptations based on findings.
8. **Discussion/learning on evaluation process:** Discuss methodology and overall analysis with the wider stakeholder team. Share reports.

Tools and methods

Varied tools and methods support PM&E, creating a spectrum of participation levels. At the most participatory end, stakeholders manage the PM&E and allocate resources. The process aims to measure a project's effectiveness, develop the capacity of beneficiaries, and improve accountability and transparency. The CRC and CBM tools below show how a form of PM&E promotes the institutional accountability of public service providers. Conventional evaluation can also become more participatory by using open-ended qualitative analysis to learn about unexpected outcomes, or by employing participatory approaches to draw out multiple viewpoints while not handing over management.

Tool 3: Participatory Assessment includes a table of key participatory assessment methods (e.g., focus group discussions, transect walks, mapping, and ranking), commonly also used in PM&E. However, most important is not the method used, but the space created for honest sharing of the intervention's impact on people's lives.⁵¹

Combining particular participatory methods forms structured approaches to PM&E. Some approaches used in ADB operations are outlined below. Beneficiary assessments and participatory poverty assessments explored in Tool 3: Participatory Assessment can also be used for PM&E. The inventory provides further resources.

Most significant change technique

The most significant change (MSC) technique is a qualitative PM&E approach. It involves project stakeholders in deciding the sorts of change to be recorded and in analyzing the data. The process involves collecting significant change (SC) stories in the field, and panels of designated stakeholders and staff systematically selecting the most significant of these.⁵² MSC has been used in the ADB research project *Making Markets Work Better for the Poor* (MMWB4P) in Viet Nam. Project staff collect SC stories from the funded researchers and from participants in dissemination workshops. The stories clarify the relevant policy-making process (this will be an MSC domain) and define the network between policy makers and the project.⁵³

Participatory impact pathways analysis

Participatory impact pathway analysis (PIPA) is a PM&E approach designed to help the people involved in a project, program, or organization explain their theories of change (how they see themselves achieving their goals and having impact).⁵⁴ A project's impact pathways describe how the project will develop its knowledge product outputs and disseminate its lessons and

who outside the project needs to use them to achieve developmental impact. Their development takes place in a participatory workshop with stakeholders (e.g., construct problem trees, carry out visioning exercises). The pathways are then articulated in two logic models. The outcomes logic model describes the project's medium-term objectives as hypotheses: which actors need to change, what those changes are, and which strategies are needed to realize these changes. The impact logic model describes how, by helping to achieve the expected outcomes, the project will impact on people's livelihoods. Participants derive outcome targets and milestones which are regularly revisited and revised as part of project M&E.⁵⁵ PIPA was used in an ADB-supported rice post-harvest project in Viet Nam. A stakeholder workshop identified the project's impact pathways and developed an impact evaluation plan.⁵⁶

Citizen report cards

A citizen report card (CRC) consists of a citizen-developed quantitative survey or report card on the performance of government services. They collect information at the household and/or individual level through questionnaires and explore performance on a macro scale, with surveys typically conducted over 3–6 months. A simple but powerful tool to exact public accountability, CRCs provide a proactive agenda for communities, CSOs, or local government to dialogue with service providers and provide them with systematic user feedback on the quality and adequacy of public services. Extensive media coverage and civil society advocacy accompanies disseminating the findings. ADB has developed a toolkit on using this methodology (see Guide section on governance for more information, page 71).⁵⁷

Community-based monitoring

Community-based monitoring (CBM) consists of an interested community monitoring and evaluating community development initiatives. It uses a range of participatory methods such as surveys, maps, focus groups, or town and/or village meetings.⁵⁸

If the monitoring focuses on public services, a community scorecard can track performance. This has a similar purpose to a CRC in exacting accountability and responsiveness from service providers. However, data collected is qualitative (through focus groups), on a local scale, and includes direct interaction between service providers and the community (through an interface meeting) and therefore allows immediate feedback.

ADB's rural health project in Viet Nam supports the Ministry of Health initiative in CBM as a tool to involve the community in planning and improving commune-level services.⁵⁹ The Philippines has a well developed CBM system in many areas and is working on national coverage. Communities gather data and identify social issues and solutions. The process engenders camaraderie and encourages community action.⁶⁰

PARTICIPATION IN ADB OPERATIONS — EXPERIENCES AND RESOURCES

4 Participation in ADB Operations — Experiences and Resources

Participation is important across all ADB and/or developing member country operations. Strategy 2020 highlights five core areas (and three additional areas) and five drivers of change to focus activities. ADB has particular experience in implementing in-depth participatory approaches related to the change drivers, gender equity, and good governance, and in the core infrastructure sector.

Introduction

This section explores approaches and tools to support participation in the following five important areas from Strategy 2020. Gender equity and good governance are highlighted as drivers of change while infrastructure is a core operational area:

1. Safeguards
2. Gender equity
3. Good governance and capacity development
4. Infrastructure – HIV prevention
5. Infrastructure – water and sanitation

There are many synergies among the areas. All require inclusive consultation for effective projects to be designed and implemented, all can benefit from participatory analysis and assessment techniques, and all can engage CSOs to implement participatory project components. The project cycle tools in this Guide explore these crosscutting approaches, while this section focuses on tips and tools to specifically support participation in these five areas and promote the adaptation of best practice.

1. Safeguards⁶¹

Note: The tips in this section are recommendations of possible ways for ADB and DMCs to meet the requirements for participation in the SPS. Please see the SPS for exact details of what the policy requires.

As in the SPS, the terminology borrower and/or client rather than recipient and/or client is used in this section due to the focus on loan activities.

The ADB Safeguard Policy Statement highlights that consultation and participation, and in particular consultation, is central to achieving safeguard policy objectives. “ADB requires borrowers/clients to engage with communities, groups, or people affected by proposed projects, and with civil society through information disclosure, consultation, and informed participation in a manner commensurate with the risks to and impacts on affected communities.”

Source: ADB. 2009. *Safeguard Policy Statement*. Manila.

Introduction

In the Asia and Pacific region, there is a positive trend toward more socially and environmentally sustainable development and heightened expectations for accountability, transparency, and citizen participation. ADB’s 2009 Safeguard Policy Statement (SPS) focuses on avoiding, minimizing, or mitigating the adverse impacts of development projects on affected people (endnote 8).⁶² The majority of ADB projects (approximately 70%–80%) have some safeguard implications.

Participation is central to the SPS and it requires gradually increasing levels of consultation and participation in three key areas: environment, resettlement, and indigenous peoples (IPs). EAs are to communicate to people what the project is doing and how it is expected to affect them, but also to go beyond this. They must consult affected people to explore how to minimize negative impacts and gain the consent of IPs for certain projects. Affected people are entitled to compensation and it requires creativity to promote the equitable distribution of benefits from development programs. Independent monitoring and a credible grievance redress mechanism will help ensure all this.



ADB consultation process for relocating affected people (ethnic Co Tu) for the Song Bung 4 Hydropower Project, Viet Nam

The SPS clearly states the joint safeguard responsibilities of ADB and its borrowers and/or clients.

Safeguard Responsibilities	
The borrower and/or client must:	ADB will:
<ul style="list-style-type: none"> • undertake social and environmental assessments • carry out consultations with affected people and communities • prepare and implement safeguard plans • monitor the implementation of these plans • prepare and submit monitoring reports 	<ul style="list-style-type: none"> • provide capacity-building programs • ensure due diligence and review • provide monitoring and supervision

Source: ADB. 2009. *Safeguard Policy Statement*. Manila.

The safeguard steps at each project cycle stage are integrated into the Guide section on participation in ADB's project cycle. The following tips support meeting the general requirements for information disclosure and consultation, consent, livelihoods, monitoring, and reporting and grievance redress mechanisms.

Tips to Maximize Participation in Safeguards

- **Plan carefully:** Meaningful consultation requires careful planning to ensure adequate resources, clear objectives, correct choice of methods, an early start to consultation, and feedback to participants (see Tool 1: Stakeholder Analysis and Consultation, page 25). This is particularly important for safeguards with sensitive issues (such as loss of land, resettlement, etc.) at stake. A stakeholder communications strategy is included in the project administration manual and should clearly lay out plans for disclosing information and communicating with stakeholders (see Tool 5: Developing a Stakeholder Communications Strategy, page 47).
- **Work with a local person or organization to organize consultation with affected communities:** A leader (e.g., village elder, head teacher), community worker, or civil society organization (CSO) (e.g., community-based organization [water user group, women's group] or nongovernment organization with existing relations) can effectively support culturally sensitive consultation.
- **Use face-to-face qualitative consultation methods:** Use community-based public meetings, focus groups, and participatory methods to supplement using media to maximize consultation reach. More meaningful exchange is possible with these methods, and it is easier to tackle and respond to difficult issues.
- **Take advantage of CSO skills and experience:** Many have significant experience in implementing livelihoods and income restoration programs. They are well placed to act as communication points between ADB, executing agencies, and communities during implementation (e.g., inform affected people of their reimbursement rights in resettlement) or have relevant skills and in-depth knowledge of the local context to provide independent monitoring or promote participatory monitoring and evaluation (see Tool 7: Participatory Monitoring and Evaluation, page 57).
- **Use local knowledge and structures in grievance redress:** The grievance redress mechanism is an important opportunity to work with local leaders and community-based organizations. It is difficult to prepare a mechanism without tapping into local organizations and decision-making bodies (e.g., *panchayats*, water users associations).

Information disclosure and consultation

Meaningful consultation refers to a process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

ADB is committed to meaningful consultation. This involves sharing information with stakeholders and enabling them to contribute to project design and safeguard plans. It means going beyond posting required documents on the web and may include meetings in the community, developing information leaflets, or setting up information kiosks of informed project staff. See Tool 1: Stakeholder Analysis and Consultation and Tool 5: Developing a Stakeholder Communications Strategy for further guidance. Consultation is the minimum bottom line and will determine later participation.

Padma Bridge Project, Bangladesh

A resettlement brochure containing information on compensation and resettlement benefits in Bangla was distributed among affected people. Information was also disseminated through community meetings.

Source: ADB. 2010. *Loan to Bangladesh for Padma Multipurpose Bridge Project*. Manila.

Guangxi Wuzhou Urban Development Project, the People's Republic of China

Information was provided to affected people on the project and the draft resettlement plan through community meetings and focus group discussions, and feedback was sought. Public meetings then advised people of their entitlements and disbursement dates. An entitlements quiz was developed to check that people properly understood the information.

Source: ADB. 2008. *Guangxi Wuzhou Urban Development Project – Pingminchong Geohazard Resettlement and Prevention Project Resettlement Plan*. Manila.

Consent

The principle of prior consent is most relevant to indigenous peoples. In September 2007, the 61st United Nations General Assembly adopted the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), signed by many countries in Asia and the Pacific. It refers to obtaining indigenous communities' free, prior, and informed consent prior to the approval of any project affecting them. The SPS requires the consent of affected indigenous peoples' communities for three particular project types. Consent refers to a collective expression by the affected IPs communities, through individuals and/or their recognized representatives, of broad community support for such project activities.

A decision on consent requires a transparent process of meaningful consultation, involving transparent sharing of information with IPs, opportunity for clarifying questions and concerns, and maintaining an atmosphere free of intimidation or coercion. In judging whether broad community support exists, ADB must be satisfied that engagement has gone beyond traditional community leaders and power groups and that minority or marginalized groups have been listened to sufficiently. If EA documentation is insufficient, this may involve asking for further details or communicating directly with stakeholders.

Livelihoods

This is most relevant in involuntary resettlement. The recipient and/or client will ensure that no physical or economic displacement will occur until displaced persons receive full compensation, and a comprehensive income and livelihood rehabilitation program exists to help them improve, or at least restore, their incomes and livelihoods. Borrowers and/or clients are also encouraged to engage affected persons as widely as possible as project beneficiaries. The social impact assessment should identify individuals and groups who will be disproportionately affected and propose targeted measures so that they are not disadvantaged in sharing the benefits and opportunities resulting from development.

Capacity Development for Income Restoration, Cambodia

As part of a supplementary income restoration technical assistance project a nongovernment organization was recruited to design and implement community-based development initiatives. This included setting up people's organizations and designing livelihood development initiatives such as microfinance and community-based adult education.

Source: ADB. 2009. *Technical Assistance to Cambodia for Capacity Development for Income Restoration Programs*. Manila.

Infrastructure Development Investment Program for Tourism, India

Affected people participated meaningfully in developing the entitlement matrix. It includes supporting training and local entrepreneurship to channel economic benefits directly into surrounding communities.

Source: ADB. 2010. *Loan to India for the Infrastructure Development Program for Tourism*. Manila.

Monitoring and reporting

The borrower and/or client and ADB have separate monitoring responsibilities. ADB requires borrowers and/or clients to establish and maintain procedures to monitor the progress of implementation of safeguard plans. This will involve retaining qualified and experienced external experts or qualified NGOs to verify monitoring information for projects with significant impacts and risks. It uses independent advisory panels to monitor project implementation for highly complex and sensitive projects. ADB's monitoring and supervision activities include periodic site and supervision visits and reviewing monitoring reports the borrower and/or client submits and working with them to rectify any problems.

Resettlement Activities of the Southern Transport Development Project, Sri Lanka

A response to a request to the ADB Compliance Review Panel from a group of affected people recommended engaging an independent institution to review resettlement progress and identify deficiencies for immediate correction. A nongovernment organization was contracted as a monitor, another prepared and implemented an income restoration program, and affected people can now access effective grievance redress mechanisms.

Source: ADB. 2005. *Technical Assistance to Sri Lanka for the Independent External Monitoring of Resettlement Activities of the Southern Transport Development Project*. Manila.

Local grievance redress mechanism

ADB requires that the borrower and/or client establish and maintain a grievance redress mechanism to receive and help resolve affected peoples' concerns and grievances about the borrower and/or client's social and environmental performance. The mechanism reflects the project's risks and impacts. It should lessen affected people's concerns and handle complaints promptly, using an understandable and transparent process that is gender responsive, culturally appropriate, and readily accessible to all segments of the affected people at no costs and without retribution. The affected people will be appropriately informed about the mechanism. Adversely affected people can also submit complaints to ADB's Accountability Mechanism.⁶³

The Earthquake and Tsunami Emergency Support Project

Grievance redress mechanisms include a village-level component. Grievances, comments, and queries from individuals, communities, civil society organizations, etc., are forwarded directly or through existing community leadership, e.g., religious leaders, village leaders, subdistrict heads, or by partner nongovernment organizations to designated focal point village facilitators.

Source: Grievance Mechanisms under the Earthquake and Tsunami Emergency Support Project: www.adb.org/Documents/Books/Complaint-Handling-Rehabilitation/Smidt.pdf

Resources

The handbooks which support implementing the SPS for the environment, involuntary resettlement, and indigenous peoples are on ADB's website. These useful resources detail the participation requirements for each area.

Oxfam Australia contributed to SPS consultations; and their publication *Understanding the Asian Development Bank's Safeguard Policy* is a useful resource, especially in regards to civil society's monitoring of the SPS implementation.⁶⁴

2. Gender Equity

Gender and participation

Gender equity is a driver of change in Strategy 2020 and is crucial for inclusive participation (endnote 2). ADB's Gender and Development Policy adopted mainstreaming as a key strategy in promoting gender equity.⁶⁵ The Gender and Development Plan of Action 2008–2010 supports a participatory approach to policy implementation.⁶⁶

ADB uses gender action plans (GAPs) to ensure women participate effectively in projects.⁶⁷ The GAP is an overarching tool for mainstreaming gender and has resulted in increased female participation in loan activities, particularly through CBOs. The following box outlines this, and other tips for maximizing participation when addressing gender concerns in projects.

Tips to Maximize Participation in Addressing Gender Concerns in Projects

Project Design

- **Make gender analysis participatory:** Questions must comprehensively cover issues of participation (e.g., identify any legal, cultural, or religious constraints to women or girls participating in the project). See *Handbook on Social Analysis* and *Sector Gender Checklists*.^a Analysis also includes using participatory analysis methods to gain feedback from stakeholders who due to literacy, language, and technology issues may be unable to otherwise engage. They are most useful for reaching women and girls (see Tool 3: Participatory Assessment, page 37).
- **Take a gendered approach to consultation:** Consult meaningfully with men and women. The cultural environment may require separate consultations. Timing should be chosen carefully and determined by availability due to family and work commitments. A local women's organization could help carry out consultation with women in a community (see Tool 1: Stakeholder Analysis and Consultation, page 25).
- **Develop a gender action plan:** Involving stakeholders (men and women) in developing a plan is essential. It will include features to ensure the project is gender-inclusive and has components to directly benefit women or girls. See ADB *Briefing Note: Project Gender Action Plans*.^b

Project Implementation

- **Address gender issues in implementation:** This may take a wide range of forms such as ongoing consultation with women's groups, community mobilization activities, delivery of training and livelihoods development programs to women, and provision of women's health services. Civil society organizations (CSOs) with experience in gender issues can deliver project components.^c
- **Take a gendered approach to monitoring and evaluation:** Include targets and indicators for women's participation and access to project benefits in the design and monitoring framework and gender action plan (GAP), such as number/percentage of beneficiaries and implementers (community mobilizers, nongovernment organization facilitators, etc.) that are female (see Tool 7: Participatory Monitoring and Evaluation). Participatory monitoring and evaluation involving women is also valuable as is independent monitoring by CSOs looking at a project's gender impacts.

General

- **Employ people with gender and participation expertise:** People or organizations chosen to carry out gender analyses, develop GAPs, or implement project components need specialist skills and experience in gender and participation.^d CSOs themselves can be highly effective partners. Many have a specific focus on women and gender issues and long experience and relations with communities.
- **Allocate sufficient time and resources to gender and participation issues:** Dedicated resources are needed if gender and participation is to be effectively managed in project design and implementation. This requires ensuring a gender specialist is part of the ADB project team, potentially hiring additional expertise, and allocating resources to enable women and girls to participate. See *Handbook on Social Analysis and Gender Checklist in Project Design* ("Has a separate budget been set aside for advancing the participation of women and/or girls?") and sector checklists.^a

^a ADB. 2007. *Handbook on Social Analysis*. Manila. pp. 123–127; ADB. Sector Gender Checklists. <http://beta.adb.org/themes/gender/checklists-toolkits>

^b ADB. 2009. *Briefing Note. Project Gender Action Plans*. Manila. www.adb.org/Documents/Brochures/Project-Gender-Action-Plans/gender-briefing-note.pdf

^c Examples of ADB projects addressing gender concerns. <http://beta.adb.org/themes/gender/checklists-toolkits>

^d ADB. 2007. *Handbook on Social Analysis*. Manila. pp. 67–72 (sample terms of reference for contracting consultants with gender and participation expertise in the IPSA and social analysis in project design).

The following boxes outline examples of highly participatory projects with a gender equity theme.

Women’s Economic Empowerment Pilot Project, the People’s Republic of China

(participation approach: participation; depth: high)

The project aims to improve women’s household income and decision-making power in target areas. This will involve setting up women’s agricultural production groups operating with microfinance and linked to existing farmer associations; establishing a self-owned and managed organization for women’s micro-savings and loans, and providing demand-driven training to women on agricultural skills, alternative income options, participatory approaches, and decision making. Additionally, training in participatory community development approaches will increase local government agency capacity to support and empower poor women.

Source: ADB. 2009. *Grant to the People’s Republic of China for the Women’s Economic Empowerment Pilot Project*. Manila.

Commune Council Development Project, Cambodia (participation approach: partnership; depth: medium)

This project supports targeted commune councils to better perform their assigned public service roles. Activities include strengthening public understanding of democratic rights and accountabilities and their access to justice, increasing the effectiveness of elected women councilors, and activating women networking forums at the district and commune levels.

Source: ADB. 2006. *Grant to Cambodia for Phase II of the Commune Council Development Project*. Manila.

Gender and participation tools

ADB has tools to support gender mainstreaming, which also look at participation issues.

Beyond available ADB tools, many external resources support gender mainstreaming and encourage the synergies between gender and participation. This Guide’s inventory lists those most relevant to ADB. They cover a range of skills such as developing gender-sensitive indicators, participatory gender assessment, and gender-sensitive budget analysis.

ADB Gender and Participation Tools

Tool	Description
Gender, Law, and Policy in ADB Operations: A Toolkit^a	The toolkit outlines gender issues in law and policy development, and the rationale for special measures to lessen gender disparities and discrimination. It looks at gender in country partnership strategies (gender ratings for country performance assessments, country gender assessments, country gender strategies, and sector road maps) and in ADB operations.
Handbook on Social Analysis (HSA)^b	The HSA includes gender checklists for initial poverty and social analysis, project design, project fact-finding or appraisal, and guidance on developing gender plans. These concern participation and should be followed along with the available sector checklists to ensure adequate participation in project design and implementation.
Sector Gender Checklists^c	The checklists include gender-related considerations (including women’s participation) in agriculture, education, health, resettlement, urban development and housing, and water supply and sanitation projects. Questions include: Are the strategies and targets for women’s participation included in the project design and monitoring framework (DMF)? Which policies and programs (of government departments, the executing agency, nongovernment organizations, etc.) aimed at ensuring women’s participation could affect the project?
Briefing Note: Project Gender Action Plans (GAPs)^d	The briefing note highlights that project GAPs should be prepared during the design of all projects that directly benefit communities and provides lessons for developing effective project GAPs. It guides on incorporating development of a GAP into project preparation and the report and recommendation of the President (this includes ensuring any targets and quotas for female participation and benefits from the project GAP are included in the DMF), into loan inception (turning the project design GAP into a detailed implementation GAP) and loan implementation, monitoring, and review (following up to ensure GAP is implemented and any problems resolved).

^a ADB. 2006. *Gender, Law and Policy in ADB Operations: A Tool Kit*. Manila. www.adb.org/Documents/Manuals/Gender-Toolkit/Gender-Law-Policy-Toolkit.asp

^b ADB. 2007. *Handbook on Social Analysis*. Manila. pp. 123–127 (Appendix 6. Gender and Development).

^c ADB. Sector Gender Checklists (agriculture, education, health, resettlement, urban development and housing, and water supply and sanitation): <http://beta.adb.org/themes/gender/checklists-toolkits>

^d ADB. 2009. *Briefing Note. Project Gender Action Plans*. Manila. www.adb.org/Documents/Brochures/Project-Gender-Action-Plans/gender-briefing-note.pdf

3. Good Governance and Capacity Development

Good governance and participation

Good governance and capacity development are a driver of change in Strategy 2020 and link closely to participation as reflected throughout this Guide (endnote 2). Participation is one of four mutually supporting action areas in ADB's Governance Policy.⁶⁸ The policy states that participation derives from accepting that people are at the heart of development. They are not only the ultimate beneficiaries, but are also the agents of development. Participation includes: participation of beneficiaries and affected groups, public sector/private sector interface, decentralization of public and service delivery functions (empowerment of local government), and cooperation with NGOs.

The Second Governance and Anticorruption Action Plan (GACAP II) outlines three priority areas for ADB, which are all important regardless of the sector: public financial management, procurement, and vulnerability to corruption.⁶⁹ In implementing this Action Plan ADB carries out governance risk assessments and risk management plans (RAMPs) at three levels—national, sector, and program/project. The assessments look at the strength of formal (government) and informal institutions, processes, and stakeholder relations in the three areas, and evaluate the extent to which they form a risk for ADB.

The Second Governance and Anticorruption Action Plan (GACAP II) emphasizes involving civil society organizations to promote links between developing member country governments and citizens to strengthen participation and improve accountability. It encourages promoting participation of civil society.

Source: ADB. 2006. *Second Governance and Anticorruption Action Plan (GACAP II)*. Manila.

A deep understanding of incentive structures within the country and/or sector is needed for defining risk mitigation actions to effectively change stakeholder behavior.⁷⁰ In mitigating risks ADB works on the supply side with government capacity development measures. On the demand side, ADB introduces civil society participation and social accountability.

Tips to Maximize Participation in Assessing and Addressing Governance Issues

Governance Risk Assessments

- **Ensure assessments are participatory and look at informal as well as formal structures:**
A stakeholder analysis examines relationships among stakeholders (e.g., nongovernment organizations, labor unions, industry associations, and the media). This must involve the stakeholders themselves through interviews, focus groups discussions, or brainstorming sessions, to fully identify where risks may lie and opportunities for increased participation exist (see Tool 1: Stakeholder Analysis and Consultation, page 25). Stakeholder analysis promotes (i) a demand for accountability from stakeholders and (ii) a supply of governance (where actors in power share information, take decisions within a clearly defined regulatory framework, allocate resources transparently, offer space for participation, and are accountable for their actions).^a
- **Partner with experienced civil society organizations (CSOs):** A CSO with expertise in participatory risk assessment gives the process deeper traction and enables greater understanding of incentive structures and stakeholder relations. This was found in Mongolia where ADB partnered with a well-established international nongovernment organization to conduct the Governance Risk Assessment and Risk Management Plan.^b

Addressing Governance Issues

- **Combine government capacity development with promoting social accountability mechanisms:**
Setting up specific mechanisms to ensure more participatory decision making and enable greater civil society scrutiny complement government training. This can affect informal as well as formal structures (see Tools for Good Governance and Participation).

^a ADB. Sector Risk Assessment Guidance Notes: Education Guidance Note: www.adb.org/Documents/Guidelines/Education-Sector-Risk-Assessment/Guidance-Note-Education-Sector-Risk-Assessment.pdf; Road Transport: www.adb.org/Documents/Guidelines/Road-Transport-Subsector-Risk-Assessment/default.asp; Urban Water: www.adb.org/Documents/Guidelines/Urban-Water-Sector-Risk-Assessment/Guidance-Note-Urban-Water-Supply-Sector-Risk-Assessment.pdf; Electricity: www.adb.org/Documents/Guidelines/Electricity-Sector-Risk-Assessment/Guidance-Note-Electricity-Sector-Risk-Assessment.pdf

^b ADB. 2009. *The Governance Brief. Risk-Based Governance Assessment: An Approach to Assist in Mainstreaming Governance*. Manila.

Following are examples of ADB risk management interventions which have included social accountability and civil society participation.

Social Accountability Monitoring Mechanisms

Nepal: A risk assessment in the urban development sector identified major risks in public financial management, procurement, and corruption. ADB's mitigation and management plan combines government capacity development with support for a Commission for the Investigation of Abuse of Authority and support for anticorruption organizations and civil society groups.

Pacific: Country risk assessments indicated that few mechanisms exist to encourage civil society participation in the resource allocation process through the annual budget formulation. Typically there is not a constructive relationship. A regional technical assistance was therefore set up to encourage stakeholders to engage together in the debate, analysis, prioritization, and monitoring decisions about public expenditures and investments.

Sources: Philippine ref; ADB. 2009. *Nepal: Sector Level Risk Assessment and Risk Management Plan to Assess Public Financial Management, Procurement and Corruption Risks in the Urban Sector*. Consultant's report. Manila; ADB. 2003. *Technical Assistance for Civil Society Participation in Budget Formulation in the Pacific*. Manila.

There are also important linkages between participation in the sectors of governance and gender. For example, in Pakistan, ADB technical assistance supported strengthening the implementation of gender policy commitments in poverty reduction and governance reform programs. Activities included policy dialogue with a wide range of stakeholders, promotion of women’s participation in political and administrative governance structures, and funding for government and CSOs to implement components of gender reform action plans.⁷¹

Tools for Good Governance and Participation

ADB supports the development of tools to promote participation in good governance.

ADB Tools for Good Governance and Participation

Tool	Description
Citizen Report Card (CRC) Toolkit^a	The CRC Toolkit guides users through the following key stages in the CRC process: <ul style="list-style-type: none"> • Stage 1 Assess Local Conditions: Determine if suitable to implement CRC. • Stage 2 Ensure Pre-Survey Groundwork: Identify CRC scope and plan implementation. • Stage 3 Conduct the Survey: Train investigators, interview respondents, and record data. • Stage 4 Post-Survey Analysis: Determine key findings on availability, usage, satisfaction, etc. • Stage 5 Disseminate Findings: Share with key stakeholders (press, citizens, and providers). • Stage 6 Improve Service: Use CRC findings to improve services (e.g., service provider workshops to exchange best practice, public forums, pilot new reforms).
Sector Risk Assessment Guidance Notes^b	Sector-specific guidance notes have been drafted in the priority sectors of energy, urban water supply, education, and road transport. These clarify each sector’s distinguishing features and highlight opportunities for participation in the risk assessment process. They all include a stakeholder analysis that examines the formal and informal relationships among stakeholders to help identify where risks may lie as well as opportunities for increased participation. <ul style="list-style-type: none"> • In education, the guidance notes recognize that “lack of participation of teaching staff, students, parents, and other civil society representatives can weaken accountability and lead to misuse of funds.” • In urban water and electricity, it is similarly identified that “limited capacity for informed participation by customer groups, industry and professional associations, and other [civil society organizations] CSOs in sector planning processes can weaken the responsiveness of plans.”
Guide to Executing Agency (EA) Procurement Capacity Assessment^c	This tool supports identifying any implementation risks present for procurement resources and EA structure and processes. It also proposes mitigating measures for ADB and its borrowers to consider.
Procurement Review for Effective Implementation (PREI)^d	PREI is an ADB methodology using indicators to assess and monitor EA or implementing agency (IA) procurement practices, activities, systems, and institutional arrangements. It supports identifying and resolving procurement-related risks and vulnerabilities, to strengthen project implementation.

^a The Citizen Report Card Toolkit. www.citizenreportcard.com/index.html

^b ADB. Sector Risk Assessment Guidance Notes: Education Guidance Note: www.adb.org/Documents/Guidelines/Education-Sector-Risk-Assessment/Guidance-Note-Education-Sector-Risk-Assessment.pdf; Road Transport: www.adb.org/Documents/Guidelines/Road-Transport-Subsector-Risk-Assessment/default.asp; Urban Water: www.adb.org/Documents/Guidelines/Urban-Water-Sector-Risk-Assessment/Guidance-Note-Urban-Water-Supply-Sector-Risk-Assessment.pdf; Electricity: www.adb.org/Documents/Guidelines/Electricity-Sector-Risk-Assessment/Guidance-Note-Electricity-Sector-Risk-Assessment.pdf

^c ADB. Guide to ADB Procurement Capacity Assessment. Manila (accessible via My ADB cosopedia).

^d ADB. Procurement Review for Effective Implementation User’s Guide and Manual. Manila.

This Guide's inventory enumerates useful resources developed by external organizations for promoting social accountability in ADB operations. There is also significant overlap with the methods described in the project cycle tools in this Guide, which reflects the close relationship between governance and participation.

Useful examples of organizations working on civil society participation and governance in the region are the Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP), a regional network promoting the practice of social accountability; and the South Asia Social Accountability Network, a World Bank initiative to develop broader understanding amongst governments and CSOs about using social accountability tools in promoting good governance.⁷²

4. Infrastructure – HIV and AIDS Prevention

HIV and AIDS prevention and participation

Infrastructure is a core sector for ADB. While the economic benefits are clear there is increasing recognition of the need to mitigate unintended negative consequences and do no harm. In 2005, ADB laid out its *Strategic Response to the Growing Epidemic of HIV and AIDS* and this is supported by the 2008 Operational Plan for Health under Strategy 2020. Moreover, the Sustainable Transport Initiative launched in 2010 also recognizes the need to mitigate any adverse impacts associated with infrastructure development and HIV and AIDS. The Operational Plan prioritizes support for health outcomes through infrastructure operations and specifically recommends mainstreaming HIV prevention into infrastructure projects, particularly road projects.⁷³

In 2006, ADB signed the *Joint Initiative by Development Agencies for the Infrastructure Sectors to Mitigate the Spread of HIV/AIDS*. ADB implements this initiative at the country and regional levels in partnership with other development partner signatories, governments, and the private sector.

Source: ADB, African Development Bank, Department for International Development, World Bank, Japan Bank for International Cooperation, and KfW. 2006. *Joint Initiative by Development Agencies for the Infrastructure Sectors to Mitigate the Spread of HIV/AIDS*. Toronto.

ADB is committed to developing creative partnerships. This includes using participatory approaches and collaborating with CSOs and communities to support more effective grassroots mechanisms to assist vulnerable and marginalized groups.⁷⁴

Tips to Maximize Participation in Implementing HIV Prevention Projects

- **Ensure community participation in all stages of the project cycle^a:**
 - **Advocacy and capacity building:** Ensure meaningful involvement of all stakeholders, including women, migrant and mobile populations, and people living with or affected by HIV and AIDS, in designing interventions and delivering HIV education.
 - **Core HIV and AIDS services:** Ensure that information, education, and communication materials are developed and tested through stakeholder participation and behavior change communication activities are implemented using a participatory approach involving the community.
 - **Research, monitoring, and evaluation:** Establish a participatory monitoring and evaluation steering committee that involves local community leaders. Train selected community leaders and local government staff in participatory learning and action skills. Conduct mid- and end-of-project workshops with key stakeholders.
- **Use civil society organization skills and expertise (including nongovernment organizations):** Civil society plays a key role in the response to the AIDS epidemic around the world. In many countries, CSOs are the main provider of services. Their wide expertise makes them vital partners. Knowing their presence, core strengths, and geographic areas of operation are requisites to meaningful engagements.^b
- **Mainstream gender and participation in HIV prevention:** The people most vulnerable to HIV during infrastructure construction are skilled and semi-skilled male workers and young, rural, poorly educated women who move to the construction sites to sell sex. Understanding and addressing gender dimensions and ensuring high-risk groups participate in project design and implementation is essential.^c

^a ADB. 2010. *Practice Guidelines for Harmonizing HIV Prevention Initiatives in the Infrastructure sector*. Manila. p. 42. Appendix 3. www.adb.org/documents/guidelines/harmonizing-hiv-prevention-gms/harmonizing-hiv-prevention-gms.pdf

^b UNAIDS. Civil society partnerships. www.unaids.org/en/Partnerships/Civil+society/default.asp

^c ADB. 2009. *Intersections. Gender, HIV, and Infrastructure Operations. Lessons from Selected ADB-Financed Transport Projects*. Manila.

Examples demonstrating ADB's participatory work in tackling HIV and AIDS are as follows:

Examples of ADB's Work with Civil Society Organizations to Tackle HIV and AIDS

Role	Example
Research	In Viet Nam, an ADB-funded private research institute surveyed the knowledge, attitude, and practices relating to HIV and sexually transmitted infections of port laborers, watermen, and road and bridge construction workers. The survey informed the Ministry of Transport's Action Plan on HIV. ^a
HIV and AIDS Training and Service Provision	In Mongolia, ADB collaborated with the National AIDS Foundation, a local nongovernment organization (NGO), to develop and conduct training activities, while a large international NGO, Marie Stopes International, provided social marketing services for condoms in one province. ^b
Awareness Raising and Mobilization	In Yunnan, the People's Republic of China, the international NGO Humana People-to-People (HPP) trained young locally based field officers to provide intensive face-to-face education and counseling, build awareness, and mobilize local champions and entire communities to fight the virus in areas of high HIV incidence. ^c

^a ADB. 2008. *Regional Technical Assistance for the HIV Prevention and Infrastructure in Mekong Project*. Manila.

^b ADB. 2004. *Loan to Mongolia for the Regional Road Development Project*. Manila.

^c ADB. 2006. *Fighting HIV/AIDS in Asia and the Pacific Subproject Sustainable Networks for Local HIV/AIDS Prevention in the People's Republic of China*. Manila.

HIV and AIDS and participation tools

ADB has developed many tools with its project partners. The most relevant are highlighted here and all are available online:

- ADB website
www.adb.org/gms/HIV-Prevention-Infrastructure-Sector/default.asp
- Greater Mekong Subregion HIV & Infrastructure website (ADB and IOM)
www.hivinrastructure.info/index.php
- HIV and AIDS Data Hub for Asia-Pacific (UNAIDS, UNICEF, WHO, and ADB)
www.aidsdatahub.org/
- UNAIDS (with whom ADB collaborates closely through an MoU)
www.unaids.org and <http://unaidstoday.org/?tag=civil-soc>

External organizations have developed many other tools listed in this Guide's inventory.

ADB Tools for HIV and AIDS and Participation

Tools	Description
Practice Guidelines for Harmonizing HIV Prevention Initiatives in the Infrastructure Sector^a	The guidelines outline a shared approach to working in HIV prevention and infrastructure developed by key development partners. It contains core principles which include: “ensure community participation at all stages of the project (design, implementation, monitoring and evaluation, and post-construction), especially among women, migrant and mobile populations, and people living with HIV (where appropriate).” It also outlines the basic elements of an HIV prevention package using a participatory approach.
For Life, With Love: A Training Tool for HIV Prevention and Safe Migration in Road Construction Settings and Affected Communities^b	The tool consists of five interactive training modules with activities for each target group: construction workers, local communities, and entertainment venues. Topics covered include basic information on reproductive health; information on sexually transmitted diseases, including HIV and AIDS; communication; and dealing with relationships to reduce risky behaviors and living with people living with HIV. It also contains monitoring and evaluation tools for training sessions.
ADB, Roads, and HIV/AIDS: A Resource Book for the Transport Sector^c	This resource helps ADB staff and others design more effective HIV programs in the transport sector. It includes an overview of key issues, guidance on integrating HIV and AIDS issues into the ADB project cycle (e.g., includes looking for opportunities to collaborate with civil society), and gives examples of design and monitoring frameworks and project components from ADB projects.
More Safety: A Resource Manual for Health and Safety in Infrastructure^d	This manual provides HIV prevention tools and skills for project managers, occupational health and safety officers, worksite health workers, and other managers on the worksite responsible for workers’ health and well-being. This includes information on the basics of HIV and steps to guide HIV and AIDS prevention at the workplace (build a team, rapid assessment and planning, workplace activities to prevent HIV, and monitoring and evaluation).
Community Life Competence Process Tools. The Constellation for AIDS Competence^e	<p>The Constellation is an organization of facilitators who stimulate communities to act through an approach that uses their strengths and fosters local ownership. It is applied as part of a cycle called the community life competence process. At each step a facilitation team supports the community with an appreciative way of working and a set of tools. The five steps:</p> <ol style="list-style-type: none"> 1. Where do we want to be? (Tool: The dream) 2. Where are we now? (Tool: Self-assessment) 3. How will we get there? (Tool: Action planning) 4. Are we making progress? (Tool: Self-measurement of change) 5. We learn and share (Tool: Peer assist, knowledge fairs, etc.) <p>With ADB funding, the Constellation has worked with nongovernment organizations in Cambodia, India, Indonesia, the Philippines, Papua New Guinea, and Thailand. They have taught their staff about the AIDS Competence Process and how to adapt it and apply it in their own work with communities.</p>
Intersections. Gender, HIV, and Infrastructure Operations. Lessons from Selected ADB-Financed Transport Projects^f	This publication guides on gender mainstreaming in project design, project scope building partnerships, and quality interventions and improving monitoring and evaluation. It gives recommendations for pre-construction, during construction, and post-construction.

^a ADB. 2010. *Practice Guidelines for Harmonizing HIV Prevention Initiatives in the Infrastructure Sector*. Manila (developed in collaboration with AusAID, FHI, ILO, IOM, JICA, JUNIMA, Sida, UNESCO, USAID, and the World Bank).

^b ADB and International Organization for Migration (IOM). 2009. *For Life, With Love: A Training Tool for HIV Prevention and Safe Migration in Road Construction Settings and Affected Communities*. Manila.

^c ADB. 2008. *ADB, Roads, and HIV/AIDS. A Resource Book for the Transport Sector*. Manila.

^d ADB, MSI, and Baalong Health & Safe Action Project. 2008. *More Safety: A Resource Manual for Health and Safety in Infrastructure*. Manila.

^e Constellation for AIDS Competence. www.communitylifecompetence.org/en/94-resources

^f ADB. 2009. *Intersections. Gender, HIV, and Infrastructure Operations. Lessons from Selected ADB-Financed Transport Projects*. Manila.

5. Infrastructure – Water and Sanitation

Water and sanitation and participation

Water and sanitation falls under infrastructure, a core operational area in Strategy 2020. ADB’s “Water for All Policy” (2001) actively promotes participation in managing water resources and delivering water services at all levels and the fashioning of partnerships among governments, private agencies, NGOs, and communities.⁷⁵ This commitment is supported by the 2008 *Operational Plan for Improving Health Access and Outcomes under Strategy 2020*, which prioritizes partnerships and support for health outcomes through infrastructure operations, especially water and sanitation.⁷⁶ The following tips apply to rural and urban settings, but this section looks separately at participation in rural and urban water, and to a lesser extent sanitation, due to the different approaches in each context.

Tips to Maximize Participation in Rural and Urban Water and Sanitation Projects

Project Design

- **Carry out participatory consultation and assessment:** Meaningful consultation with all community stakeholders and use of participatory assessment techniques foster participation in implementation and ensure interventions meet beneficiaries’ needs (see Tools 1 and 3). For urban areas, ADB has developed a model terms of reference for participatory diagnostic city water assessments. The methodology for participatory assessment (MPA) is a useful tool for rural and urban areas (see Tackling Community Water Services and Health, Indonesia).

Project Implementation

- **Set up and support local community-based organizations (CBOs), e.g., water user groups:** Involve CBOs to ensure community ownership and participation. They take a variety of roles including representing community needs to the service provider, monitoring the quality of provision, or managing and operating the service themselves.
- **Include hygiene and sanitation community mobilization and education activities:** Combine “hardware” such as latrines and sanitation systems with education and demand generation “software” components to maximize their impact. Communities need to understand the facilities’ purpose, how to use them, and the importance of hygienic personal behavior such as hand washing, proper handling and storage of water, and proper disposal of wastewater. Activities can include training programs in schools, village workshops for women, men, and children, and developing posters and other materials. Participatory hygiene and sanitation transformation (PHAST) is a useful methodology (see Tackling Community Water Services and Health, Indonesia).

Source: ADB. Model TOR. Diagnostic City Water Assessments. www.adb.org/Water/tools/City-Water-Assessments.asp

– Rural water (and sanitation)

ADB has developed a successful community-centered approach to rural water supply and sanitation. It is demand-driven and based on needs identified by intended beneficiaries. The approach involves beneficiaries in the various project stages, from design to implementation and

evaluation. Unlike in urban areas where there is usually a formal service provider, communities in rural areas operate and maintain the system. Community participation is formalized by setting up CBOs (often called beneficiary associations, rural works, and sanitation associations or water user groups) of groups of people each representing beneficiary households.⁷⁷

It is through the CBO that beneficiaries

- choose the type of water supply and sanitation technology they want (household connections, communal faucets, point-source hand pumps, etc.);
- communicate the level of service they are willing and able to pay for;
- play a dynamic role in project planning and design;
- contribute time, labor, and materials to the project;
- operate and maintain the system to ensure sustainability; and
- develop hygiene and sanitation behavior change interventions.

Community-Centered Approach to Rural Water Supply and Sanitation, Sri Lanka

(participation approach: partnership; depth: high)

In Sri Lanka large-scale supply side-focused ADB water projects had been ongoing since the 1980s with only modest success. A third project which began in 1999 introduced a new community-centered approach. This focused on local engagement and knowledge to avoid unsuitable interventions and increase ownership and sustainability. The government changed from implementer to facilitator and the role of the community moved from passive beneficiary to active participant. Water user groups (WUGs) were set up with civil society organization partners assisting. They carried out consultation to determine the tariff and what service the community wanted, and to manage construction and operation, including hiring and supervising contractors. The local government provided backup and technical support. The WUGs also organized the community's contribution (20% of cost in cash and labor) and managed a small fund for income-generating activities so that the poor could make money to help get connected. As collecting water is primarily a woman's responsibility women's engagement and determination was vital to the project's success. Women were particularly supportive of hygiene education efforts, and with the help of facilitators sessions were set up for children in pre- and primary school classes. Subsidized toilets also encouraged community construction. Often women led this work.

Sources: ADB. 1999. *Loan to Sri Lanka for the Third Water Supply and Sanitation Sector Project*. Manila; <http://www.adb.org/water/actions/SRI/third-water-supply.asp> and <http://www.adb.org/participation/toolkit-water-sanitation-project.asp>

Tackling Community Water Services and Health, Indonesia

(participation approach: partnership; depth: high)

A community-centered approach in Indonesia adapted the hygiene improvement framework to develop and improve community-driven water and sanitation infrastructure in rural project areas. The integrated approach combines expanded access to hardware with hygiene promotion and support to an enabling institutional framework to reduce diarrheal disease. It also implemented health campaigns to change sanitation and hygiene behavior and reduce the incidence of water-related diseases. The project used the methodology for participatory assessment (MPA) developed by the Water and Sanitation Program and the participatory hygiene and sanitation transformation (PHAST) techniques, as well as building on the basic sanitation package of the United Nations Children's Fund (UNICEF) (see Water and Sanitation Participation tools). Behavior change activities include a school health and sanitation program, hygiene promotion at religious facilities, a community hygiene program, and a home water treatment and storage program. Activities consider issues of gender as well as indigenous people's culture and language.

Source: ADB. 2005. *Loan and Grant Assistance to Indonesia for the Community Water Services and Health Project*. Manila.

The community-centered approach shows that the extra time needed to meaningfully engage the community more than pays off in sustainability and impact. Communities take pride in successfully running their own schemes; and access to water and sanitation improves health and frees up time for income generation, child care, and other activities. Some communities have even managed to upgrade their water systems.

– Urban water (and sanitation)

In urban areas there is usually a formal water service provider. Examples of water service providers include Manila Water in the Philippines and the Bangalore Water Supply and Sewerage Board (BWSSB) in India. However, even when this is a monopoly utility there is still room for civil society participation. Participation starts with assessment. ADB's Model TOR for diagnostic city water assessments takes a participatory approach to looking at formal (water utilities, small private piped providers, consumers) and informal markets (water vendors, bottled water suppliers, consumers) to inform a potential investment in a utility.⁷⁸ Stakeholder consultation is very important and the approach looks specifically at highlighting the needs of the urban poor and at how a project can support the most underserved and disadvantaged. This can for example involve

- targeted subsidies (e.g., policy of cross-subsidy between rich and poor consumers) and
- contracts specifying utilities must service specific low-income areas.

Stakeholders are also important in establishing regulatory bodies for determining tariffs and tariff adjustments, and in monitoring any monopoly water utilities. Further, a more productive partnership between consumers and/or civil society and service providers is encouraged through discussion and agreement on a set of key performance indicators. This enables greater awareness of performance obligations for utilities (e.g., access, affordability) and consumers and/or civil society (e.g., paying agreed tariff, paying on time, service monitoring).

When poor urban communities have no access to the piped water system, small piped water networks (SPWNs) are projects for connecting these households. They can sometimes operate in rural areas but typically the absence of a provider and lower density of housing (meaning household connections are not economically feasible) makes the community-centered approach described above more appropriate. There are opportunities for participation in all key stages of an SPWN as outlined below, and ADB has a tool to support implementation of these schemes, *In the Pipeline: Water for the Poor*, available on the ADB website.⁷⁹

1. *Initial Stage*: This includes identifying target beneficiary groups and determining their willingness to undertake responsibilities and support the project. The government or community could initiate this. Either should welcome participation from all stakeholders including civil society. Agreement from all key stakeholders is needed before a viability study begins.

2. *Business Models and Instruments*: CSOs can be involved in a variety of business models. A main utility can enter an agreement with a CBO in which the CBO handles billing and collecting fees from households; or an NGO or CBO (e.g., water cooperatives or water users associations) may themselves be small-scale water providers.
3. *Financing*: Pilot projects in the Philippines, India, and Indonesia have demonstrated some capacity and willingness for poor communities to pay for piped water services.
4. *Sustainability and Acceptability Measures*: Successful efficient and sustainable projects result from effective partnerships between government and civil society. CBOs can mobilize and help local communities organize themselves to participate in projects, ensuring that the poor are served and services sustained. They can also be involved in technical operation, maintenance, or commercial operation. Their exact role will depend on the implementing arrangement or business model.
5. *Regulatory Measures*: Accountability mechanisms are also needed to ensure the fulfillment of all legal health and operational requirements. CBOs, as representatives of the communities can act as monitors.

Participation in Small Piped Water Networks, Metro Manila, Philippines

(participation approach: partnership; depth: high)

ADB piloted small piped water networks (SPWNs) in the Philippines, Viet Nam, and India during 2005–2008. Two pilots were carried out in Metro Manila. In the West Zone the beneficiaries were six homeowner associations. Each formed its own community-based organization (CBO) and the six CBOs formed an umbrella CBO to represent them. It was the CBO which recommended the nongovernment organization who became the operator of the SPWN. In the East Zone the utility was the operator of the SPWN, while the homeowner associations formed a CBO to handle the billing and collection of fees from households. In both cases, CBOs were used to galvanize the community into action but also to have leaders who could speak for and to the community in all negotiations with the beneficiaries, utility, banks, and economic regulatory office.

Source: ADB. 2005. *Regional Technical Assistance to implement Pilot Projects for Small Piped Water Networks*. Manila.

Water and sanitation and participation tools

ADB projects have produced useful tools to support participation in water and sanitation.

ADB Tools for Water and Sanitation and Participation

Tool	Description
In the Pipeline. Water for the Poor. Investing in Small Piped Water Networks^a	This tool kit is intended for use by governments, development agencies, utilities, and civil society who implement small piped water networks. The tool provides modules covering all the main project components (project study, business models, financing, sustainability, and acceptability measures, and regulatory measures) as well as case studies and sample terms of reference (TOR), contract agreements, and regulation guidelines. The tool highlights the importance of community and civil society participation and specific opportunities for ensuring this.
Model TOR Diagnostic City Water Assessments^b	The TOR lays out a framework for a model assessment in an urban area. It specifically encourages civil society involvement and guides on significant stakeholder consultation and participation.
Model TOR. Mainstreaming Small Scale Private Water Piped Network Providers^c	The TOR lays out a framework for integrating small-scale providers (including community-based organizations) into the design of public and private sector loans. There are five steps leading to appointing a network operator. These include participation through rapid diagnostic surveys of consumers and stakeholder consultation with target communities, the utility, providers, local governments, nongovernment organizations, and others.
Learning Circle Facilitators' Guide to Promote Sustainable Development in the Tonle Sap^d	A learning circle is a group of people who meet regularly to discuss and learn about issues that concern them, their communities, or the wider society. It is a community mobilization methodology to promote action to resolve concerns discussed. This Guide is a general resource to use with any learning circle, and it can easily be applied to water and sanitation and related issues of hygiene and poor health.

^a ADB. 2008. *In the Pipeline. Water for the Poor. Investing in Small Piped Water Networks*. Manila. www.adb.org/Documents/Books/Water-Pipeline/default.asp

^b ADB. Model TOR. Diagnostic City Water Assessments. www.adb.org/Water/tools/City-Water-Assessments.asp

^c ADB. Model TOR. Mainstreaming Small Scale Private Water Piped Network Providers. www.adb.org/Water/tools/TOR-SSPWP.asp

^d Live & Learn Environmental Education. 2004. (Prepared for ADB as part of TA-6123. Promoting Effective Water Management Policies and Practice). *Learning Circle Facilitators' Guide to Promote Sustainable Development in the Tonle Sap*. Phnom Penh. www.livelearn.org/resources/manuals/LC%20Facilitators%20Guide%20Tonle%20Sap.pdf

Organizations have developed many additional resources to support participation in the water and sanitation sector. This Guide's inventory lists some. A particularly useful resource is the website of the Water and Sanitation Program (WSP), a multi-donor partnership the World Bank administers to support poor people in obtaining affordable, safe, and sustainable access to water and sanitation services.⁸⁰

APPENDIXES

Appendixes

1. ADB's Mandate for Participation

Introduction

The mandate for participation in ADB operations is clear. Strategy 2020 outlines five core sectors for ADB's focus. These are complemented by five drivers of change. Each driver enables ADB to act more as an agent of change by stimulating growth and synergizing broader development assistance. It is now apparent that the pace and pattern of growth matters. Participation and working with civil society is recognized as integral to partnerships (endnote 2).

ADB Strategy 2020

Core sectors

- Infrastructure
- Environment (including climate change)
- Regional cooperation and integration
- Finance sector development
- Education

Other sectors

- Health
- Agriculture
- Disaster and emergency assistance

Drivers of change

- Private sector development and private sector operations
- Good governance and capacity development
- Gender equity
- Knowledge solutions
- Partnerships

Source: ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank 2008–2020*. Manila.

Strategy 2020 is reinforced by ADB's Enhanced Poverty Reduction Strategy (2004), stating that "the reach and sustainability of social development is improved when all people, especially the poor and excluded, have an opportunity to participate in shaping public policies and programs."

More broadly, participatory approaches, including working meaningfully with civil society, are supported by many other ADB policies, business processes, and staff guidelines and instructions.

"ADB considers that nurturing public, private and civil society participation in all areas of operations is vitally important."

Source: ADB. 2003. *Promotion of Cooperation with NGOs. Operations Manual. OM E4/BP*. Manila.

ADB has explicitly promoted cooperation with civil society since 1987, and this was reinforced in the updated 1998 NGO cooperation policy.⁸¹ This recognizes civil society's experience, knowledge, and expertise as valuable assets for ADB to meet people's needs in Asia and the Pacific. As part of the Compendium of Staff Instructions, a framework for mainstreaming participatory development processes into ADB operations was developed in 1996. This describes how participatory development processes fit into ADB's business practices.

The ADB's PCP and SPS also link closely to and support participation.

The Public Communications Policy (2011) aims to enhance stakeholders' trust in and ability to engage with ADB. The policy recognizes the right of people to seek and receive information about ADB operations. It supports knowledge sharing and enables participatory development or two-way communications with affected people.

The Safeguard Policy Statement (2009) requires borrowers/clients to engage with communities, groups, or people affected by proposed projects, and with civil society through information disclosure, consultation, and informed participation commensurately with the risks to and impacts on affected communities (for more information, see Safeguards section, page 63).

Sources: ADB. 2011. *Public Communications Policy 2011*. Manila; ADB. 2009. *Safeguard Policy Statement*. Manila.

Participation is also supported in ADB's sector and thematic policies, strategies, and operational plans. The following highlights the key ones.

ADB Policies Relating to Participation

The Sustainable Transport Initiative Operational Plan (2010) acknowledges that more effective approaches are needed for managing social dimensions of transport. These include adopting more participatory approaches to project planning and project strategies to protect against HIV/AIDS and human trafficking risks, incorporating community-based maintenance, and using tariff and subsidy options to increase access to vulnerable groups.

The Operational Plan for Sustainable Food Security in Asia and the Pacific (2009) states that good governance and capacity building will be supported by removing barriers to poor and vulnerable groups' participation. This includes emphasizing those that remain excluded from greater participation in economic activities to allow small producers adequate and fair access to markets, technologies, and information, and provide diverse incomes and job opportunities.

Achieving Development Effectiveness in Weakly Performing Countries (ADB's Approach to Engaging with Weakly Performing Countries, 2007) states that ADB will increasingly use project and program design methods that increase the role of intended beneficiaries in the absence of an adequately performing government.

Development, Poverty, and HIV/AIDS: ADB's Strategic Response to a Growing Epidemic (2005) states that governments are not well placed to do all that is needed in tackling HIV and AIDS, particularly in targeting and working with socially isolated and stigmatized groups. Nongovernment and community-based organizations have demonstrated their capacity to play an important complementary role in mobilizing resources and providing prevention and care.

Disaster and Emergency Assistance Policy (2004) states that ADB considers nurturing public, private, and civil-society participation in all areas of operations as vital, and nowhere is this imperative more critical than in emergency preparedness and crisis response. Civil society and relief and humanitarian agencies represent significant partners. ADB multi-shareholder consultation, popular participation, and local ownership of the reconstruction and development process are essential.

The Accountability Mechanism (2003) consists of a consultation phase to respond to specific problems of locally affected people in ADB-assisted projects through informal, consensus-based methods with the participation of all parties concerned; and a compliance review phase to investigate alleged violations of ADB's operational policies and procedures. The two are linked with the purpose of enhancing ADB's development effectiveness and project quality.

The Policy on Gender and Development (1998) adopts mainstreaming as a key strategy and this is defined as the "consideration of gender issues in all aspects of ADB operations, accompanied by efforts to encourage women's participation in the decision-making process of development activities."

The Policy on Education (2002) recognizes that nongovernment organizations (NGOs) at both the national and community levels must be involved more actively at all stages of the education development process. It also states that local communities should participate more actively in project design and implementation for successful sustainable education.

The Water for All Policy (2001) states that ADB will promote participation in managing water resources at all levels and collaborate in fashioning partnerships between governments, private agencies, NGOs, and communities. Participation is necessary to ensure that conflicting interests are harmonized and that inequities removed.

Governance: Sound Development Management (1995) states that people are the ultimate beneficiaries and agents of development. Participation is one of the four main areas of action and it requires that government structures are flexible enough to allow beneficiaries and others affected the opportunity to improve the design and implementation of public policies, programs, and projects. At the societal level, research has demonstrated that governments are most effective when they operate within a robust civil society. Governments can ally with NGOs to boost participation at the community level and foster a bottom-up approach to economic and social development.

ADB's Operations Manual contains many important references to participation (see Appendix Section 2). The section on Promotion of Cooperation with NGOs (2003) highlights NGOs as useful partners or project consultants in project identification, design, implementation, and monitoring and evaluation.

Finally, a series of practical handbooks and guidelines support participation, which this Guide reinforces. In the *Handbook on Social Analysis* (2007) participation is highlighted as one of four key social dimensions in ADB's policies and operations, along with gender and development, social safeguards, and management of other risks and vulnerabilities. The *Staff Guidelines on Preparing a Country Partnership Strategy (CPS) and Design and Monitoring Framework (DMF)* also highlight opportunities for participation and the *Civil Society Sourcebook* is a useful reference for working with CSOs as partners.⁸²

“ADB recognizes the importance of disseminating information and involving a wide range of stakeholders in the development of its country programs and the preparation and implementation of specific projects. These factors can improve the effectiveness, relevance, and sustainability of development activities, and can contribute to good governance and the inclusion and empowerment of disadvantaged groups.”

Source: ADB. 2007. *Handbook on Social Analysis. A Working Document*. Manila.

2. Examples of Participation in ADB's Operations Manual

For further information on each of these policies and their applications, please visit www.abd.org. Note that the paragraph references below are to the cited section of the ADB Operations Manual.

Accountability Mechanism, OM Section L1/BP

3. The consultation phase is to assist project-affected people with specific problems caused by ADB-assisted projects through a number of informal, consensus-based methods with the consent and participation of all parties concerned [...] The Special Project Facilitator (SPF) may suggest different approaches, including convening meetings with various stakeholders, organizing and facilitating consultation processes, or engaging in a fact-finding review of the situation. [...]
4. Specific activities of the Office of the SPF include the following: [...]
 - iii. conduct outreach programs to the public;
 - iv. review and assess complaints; [...]
 - vi. facilitate a consultative dialogue, use its offices, and/or facilitate the establishment of a mediation mechanism;
 - vii. inform the Board and other stakeholders about the results of specific consultation activities; [...]
71. OCRP's (Office of the Compliance Review Phase) functions include (i) carrying out information dissemination and conducting public outreach regarding the ADB accountability mechanism. [...] ⁸³
72. OCRP coordinates with the operational departments, the Nongovernment Organization and Civil Society Center, and DER, to ensure that such information dissemination and public outreach are integrated with ADB's activities designed to promote interaction with project beneficiaries or stakeholders including civil society groups.

Cooperation with NGOs, OM Section E4/OP

9. Consultation with NGOs has increasingly become a standard part of ADB project identification and design activities. Either as sources of information, partners, or project consultants, NGOs can provide alternative perspectives on development questions; new views on the needs, desires, and perspectives of intended beneficiary communities; and input on implementation modalities for ADB-funded loan and TA activities.

10. During project or TA implementation, NGOs with sufficient capacity may be engaged, where appropriate, and subject to government concurrence, as executing or implementing agencies, or can be contracted to deliver specific project components or services, including community mobilization, training, or the delivery of project services to selected communities or populations. NGOs may also have a role in monitoring program/project and TA implementation, and in helping address issues of project sustainability, such as ongoing operation and maintenance of community infrastructure. [...]

Country Partnership Strategy, OM Section A2/OP

7. The strategy formulation mission conducts dialogue with DMC stakeholders⁸⁴ on the draft CPS and the country operations business plan (COBP), normally for the first 3 years of the CPS. This concludes with a memorandum of understanding with the DMC. The CPS formulation mission also coordinates with other development partners.

Disaster and Emergency Assistance, OM Section D7/OP

25. Participatory processes are an integral part of ADB's work, with the focus on enhancing poverty reduction through shareholder inputs and ownership. ADB considers that nurturing public, private, and civil society participation in all areas of operations is vitally important, and nowhere is this imperative more critical than in emergency preparedness and crisis response. Even though the time frame may be more compressed than under normal circumstances given the exigencies of emergency assistance, ADB will continue to use an extensive consultative and participatory process in project design to the extent possible. Effective communications facilitate this process.

Gender and Development, OM Section C2/OP

6. The gender strategy may include policy dialogue, special studies, targeted investments to correct gender disparities, strategies for increasing women's participation in the development process, support to the DMC for promoting gender equality and the empowerment of women. [...]
11. A project GAP [...] includes (ii) the gender inclusive design features, mechanisms, targets and monitoring indicators included in the project design to facilitate and promote women's participation and/or tangible benefits from the project. [...]

Appendix 1

Gender and Development Section of IPSA

Gender issues should be addressed when

- there are striking disparities and inequalities between the access of men and women to and use of relevant services, resources, assets, opportunities, and participation in decision-making process; [...]

Appendix 2

Key Gender Considerations in Project Design

Gender Analysis

- [...] Have both women and men been consulted and involved in project design?
- Have cultural, social, legal, economic, and other constraints on women's potential participation and gender equal benefits been identified?
- Have strategies been formulated to address the constraints?
- Have local women's organizations been consulted and their capacity as service providers assessed? [...]
- Have the baseline key sex-disaggregated data (e.g., % of women in training, representation in decision-making bodies) been collected to inform the gender targets in the gender action plan and the project design and monitoring framework?

Project Design

- [...] Does the project design include outputs, strategies, design features, or targets to promote and facilitate women's active involvement in the project? [...]
- Has a separate budget been set aside for facilitating the participation of women?
- Are the strategies and targets for women's participation included in the design and monitoring framework of the project? [...]

Appendix 3

Project Gender Action Plan Format

Project Design. [...] The gender action plans needs to include specific design features in the majority of project outputs to facilitate and ensure women's participation and access to project benefits, with most of these outputs having at least three gender design features or mechanisms. [...] Any targets set for women's participation or access to project benefits – e.g., number of women to be trained, reserved seats for women on decision-making bodies such as water-user groups, number of scholarships for girls, involvement of women in operation and maintenance, monitoring and evaluation, etc. – should be mentioned and highlighted here.

2. Implementation. [...] This section should describe [...] (ii) engagement of nongovernment organizations to facilitate women's participation. [...]
3. Monitoring and Evaluation. [...] Any provision to involve women in the monitoring and evaluation of the project should also be described.

Governance, OM Section C4/BP

9. The principle of participation derives from an acceptance that people are at the heart of development. They are its ultimate beneficiaries, and the agents of development, acting through groups or associations, and as individuals. Participation implies that government structures are flexible enough to offer beneficiaries and others affected the opportunity to improve the design and implementation of public policies, programs, and projects.

10. Participation in economic life by agents other than the state includes the role of the private sector in working with governments and the activities of civil society, including nongovernment organizations (NGOs). NGOs offer an additional and complementary means of channeling the energies of private citizens. NGOs can be helpful in identifying people's interests, mobilizing public opinion in support of these interests, and organizing action accordingly. They can provide governments with a useful ally in enhancing participation at the community level and fostering a "bottom-up" approach to economic and social development.

Governance, OM Section C4/OP

15. **Consultation processes.** Governance projects and governance aspects of sector projects will be identified through a consultative process, including forums convened to seek opinions or to discuss the findings of governance risk assessments from a variety of stakeholders, including government and civil society organizations.
16. **Civil society involvement.** GACAP II emphasizes the need to involve civil society organizations to provide oversight and promote links between DMC governments and citizens. This will strengthen participation and improve accountability. Civil society should be consulted when preparing risk assessments and risk management plans during CPS preparation. Where feasible and based on an assessment of civil society capacity (conducted jointly with the government of the DMC), efforts should be made to enable grassroots civil society organizations to monitor governance project results during implementation.

Incorporation of Social Dimensions into ADB Operations, OM Section C3/BP

4. All ADB operations have social dimensions that need to be taken into account from the country programming and project processing phases onward. The key social dimensions, supported by specific ADB policies or strategies, include (i) participation; (ii) gender and development; (iii) social safeguards; and (iv) management of social risks, especially among vulnerable groups.
5. ADB operations incorporate social dimensions to ensure the following social development outcomes, especially for the poor, vulnerable, and excluded groups:
 - i. policies and institutions that recognize and promote greater inclusiveness and equity in access to services, resources, and opportunities;
 - ii. greater empowerment to participate in social, economic, and political life; and
 - iii. a greater sense of security and ability to manage risks.
6. In pursuing these social development outcomes, ADB
 - i. encourages consultation with and participation by stakeholders (including the government, executing and implementing agencies, clients and/or beneficiaries, people affected by ADB-supported projects); provides them with opportunities to engage in key stages of the country programming and project cycles; and actively seeks, where

appropriate, the cooperation of nongovernment organizations and other civil society groups in formulating, designing, implementing, monitoring, and evaluating projects; [...]

Project Performance Management System (PPMS), OM Section J1/BP

3. ADB's PPMS is a coherence and results-based approach to project planning, performance monitoring, and evaluation of results. During the design phase, PPMS emphasizes stakeholder participation. [...]

Project Performance Management System (PPMS), OM Section J1/OP

4. The design and monitoring framework is a results-based tool that provides structure to the project planning process contributing to robust project design and selection while providing the basis for project monitoring and evaluation. Prepared with stakeholder participation, the design and monitoring framework helps develop stakeholder understanding and ownership of projects.

Public Communications, OM Section L3/OP

16. To facilitate dialogue with affected people and other individuals and organizations, information about a public or private sector project under preparation (including social and environmental issues) shall be made available to affected people. ADB shall work closely with the borrower or project sponsor to ensure information is provided and feedback on the proposed project design is sought, and that a focal point is designated for regular contact with affected people. This should start early in project preparation, so that the views of affected people can be adequately considered in project design, and continue at each stage of project preparation, processing, and implementation. ADB shall ensure that the project's design allows for stakeholder feedback during implementation. ADB shall ensure that relevant information about any major changes to project scope is also shared with affected people.
17. To support the requirements in paragraph 16, developing member country governments and ADB may jointly develop communications plans for certain projects and programs, particularly those likely to generate a high level of public interest. Such plans could, for example, recommend how to engage in dialogue with affected people, broaden public access to information on economic and legal reforms, help governments and project sponsors involve affected people in the design and implementation of ADB-assisted activities, and increase involvement of grassroots and civil society organizations in the development process.

Safeguard Policy Statement, OM Section F1/OP

19. The project team advises the recipient/client that meaningful consultation with affected people will be carried out, and the consultation processes will be appropriately documented in the [Environmental Impact Assessment] EIA, [Initial Environmental Evaluation] IEE, resettlement plan, and/or [Indigenous People's Plan] IPP. The operations

department, through due diligence and review, determines how the recipient/client has met or will meet the requirements on consultation and participation outlined in Safeguard Requirements 1–4. The project team pays special attention to ensure that vulnerable groups have sufficient opportunities to participate in consultations. For projects classified as category A for environment, involuntary resettlement, or Indigenous Peoples, the project team participates in consultations to understand the main concerns of the project affected people so that these concerns and recommendations can be adequately addressed in project design and safeguard plans.

20. Safeguard Requirements 3 requires that the recipient/client and ADB ascertain whether there is broad community support from affected Indigenous Peoples communities under three circumstances. In such cases, ADB requires the recipient/client to document the processes and outcomes of consultation with, and participation of, affected Indigenous Peoples communities. Such documents are submitted to ADB for review. The operations department reviews the consultation process documentation done by the recipient/client, and also through its own investigation, verifies that broad community support for the project activities has been demonstrated. ADB does not proceed further with project processing if it is unable to determine that such broad support by affected Indigenous Peoples communities exists.

3. Frequently Asked Questions

Q1: *How have the benefits of participation been measured?*

A1: Several studies have quantified the benefits of participation. A cross-sector study of 68 World Bank projects indicates projects well aligned with sociocultural conditions had average rates of economic return that were more than twice as high as those for socially incompatible and poorly analyzed projects, or those with low levels of participation.⁸⁵ A multiagency statistical analysis of 121 rural water supply projects found that “beneficiary participation” was the single most important factor in determining overall quality of implementation. Of 49 projects with low levels of participation, only 8% were successful, while of the 42 projects with high levels of participation, 64% were successes.⁸⁶

Q2: *What are the costs of participation?*

A2: Costs in time and investment vary. A World Bank study of participatory projects found a cost increase of 10%–15% for preparation and supervision budgets, largely offset by use of trust funds.⁸⁷ The *World Bank Participation Sourcebook* illustrates several case studies where the added cost for participation was \$10,000–\$30,000 with the government and World Bank sharing the costs. Other World Bank studies show that although it may take longer to prepare projects with participation, no additional time is required to present them to the Board or to become effective.⁸⁸ Projects with relatively modest participation plans require little additional time or cost. Others, such as large dam projects, may require an extended and complex participation plan taking over a year and costing hundreds of thousands of dollars. Participation also has opportunity costs for the groups who participate.

Although the costs and extra time may appear overwhelming, project officers should consider the trade-offs of not including participation. The costs of dealing later with problems resulting from not including all stakeholders typically end up significantly higher than the front-end investment would have been. In extreme cases, they may include changes to a project’s design. Likewise, time spent resolving problems is likely to be significantly longer than that required for consultations in a project’s early stages.

Q3: *Which kinds of projects are amenable to participation?*

A3: Participatory methods can be used in all kinds of projects, including policy-based lending and large infrastructure activities, not just poverty reduction and social projects. A minimum requirement is that ADB, the government, and key stakeholders agree to implement a participatory process. The Guide provides guidance on participation through the project cycle (see Tab 3, page 15) and offers some sector/theme-specific guidance (see Tab 4, page 61).

Q4: *Are there places where participation works particularly well?*

A4: Yes—where stakeholders are willing to participate and where there are clear benefits, no conflicts over basic goals, and prior favorable experience with participation. Throughout the Guide there are replicable examples of good practice in ADB-supported projects.

Q5: *Are there situations where participation is inappropriate?*

A5: Very few. More limited participation may be all that is possible at the earliest stage of emergency response, in post-conflict situations, and where the government strongly opposes participation. The key is to design a participatory approach tailored to opportunities and constraints unique to the particular situation.

Q6: *How much participation is enough?*

A6: Development of a solid participation plan (meeting the checklist criteria for Tool 4) assesses adequacy. As a minimum, if a policy or project is going to impact people's lives or those of an organization's constituents they are entitled to share their views on it. The adequacy of participation does not occur in a vacuum however. It depends on the activity's scope and objectives, complexity of stakeholder interests, and other social and political factors in the setting. Activities that involve high social, economic, or environmental risks or central objectives promoting participation and empowerment will require more and deeper participation throughout the project cycle. Projects with few competing interests will require less participation. Participation in politically hostile environments may be challenging, but not impossible. In some such situations, ADB might choose to invest considerable participation resources to encourage reform and build local capacity.

Q7: *If a group refuses to participate, are we at an impasse?*

A7: First, the use of peaceful negotiation and persuasion can encourage a group back to the table. A third-party intermediary may be a useful partner to promote understanding on both sides. Ultimately, if the group is vital to the project and refuses to cooperate—even after repeated attempts at discussion—then consider more formal mediation, a significant change to the design, or last, abandoning the project.

Q8: *Who is responsible for participation in sovereign ADB-funded projects?*

A8: ADB and DMCs share responsibility for ensuring participation in ADB-funded projects. In project preparation, ADB collaborates with DMC officials to carry out consultation during design and make plans for participation in implementation. Consultants are commonly contracted to support this process. The DMC executing agency is then primarily responsible for implementing plans and submitting progress reports to ADB while ADB reviews and evaluates progress to ensure objectives are met.

Q9: *What about participation for private sector projects where the private sector clients have completed the feasibility studies and the related environmental and social assessments before ADB involvement?*

A9: For participation on environment and social safeguards issues, the recipient and/or client has responsibility for meaningful consultation with affected people. ADB conducts due diligence during transaction review to determine the adequacy of the consultation activities the client conducted before ADB's involvement. If the due diligence finds some gaps in what ADB's policies require, identify corrective measures and adopt them in the participation sections of the safeguard plans and corrective action plans.

Companies are now much more open about their practices on social and environmental issues. The International Finance Corporation (IFC) has published a manual for IFC clients *Doing Better Business through Effective Public Consultation* on managing the expectations of communities, tailoring consultation to a private sector context, and encouraging consultation between companies and their local stakeholders throughout a project's lifecycle.⁸⁹ Tab 3: Participation in ADB's Project Cycle includes a separate section on participation in private sector operations.

Q10: *Are there circumstances where projects should not be pursued if adequate participation is impossible?*

A10: If participation is essential to ensure appropriate project design and subsequent implementation, and it proves impossible, then delaying project processing, or project cancellation may be warranted. Environments not conducive to participatory approaches may reduce opportunities for undertaking certain categories of project. Yet, it is also ADB's role to encourage DMCs to increase participation of civil society and support them in doing this rather than simply avoiding confrontation.

Q11: *Where can I get training?*

A11: ADB provides workshops for staff in participation, including relations with CSOs, DMF development, and the safeguard policies. Also, there are many regional training programs and institutes expert in participatory methods, such as the International Institute for Rural Reconstruction in the Philippines, and the Institute for Participatory Practices (PRAXIS) in India.

4. Resource Inventory

Stakeholder Analysis and Consultation (Tool 1)		
Stakeholder Analysis	As an introduction to stakeholder analysis the resource outlines a four-step process: identifying key stakeholders, determining stakeholder interests, determining stakeholder power and influence, and formulating a stakeholder participation strategy.	World Bank. Website content: Social Analysis – Tools and Methods – Stakeholder Analysis. Washington, DC. http://go.worldbank.org/ZVLKD48760
Consultations with Civil Society Organizations: General Guidelines for World Bank Staff	The guidelines introduce civil society (functions and types), consultation, and its objectives. They advise on planning and carrying out consultations, dealing with potential problems, giving feedback and following up, and tips for effective consultation.	World Bank. 2000. Consultations with Civil Society Organizations. General Guidelines for World Bank Staff. Washington, DC. http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873204-1111663470099/20489515/ConsultationsWithCSOsGuidelines.pdf
Consultations with Civil Society: A Sourcebook	The sourcebook supplements the guidelines with information on why to consult (definitions of civil society organizations [CSOs], types of consultations and stakeholders) and how to consult. This includes designing the consultation, developing profiles/selecting participants, assisting expertly, providing training/soliciting feedback, offering public disclosure, interviewing focus groups, running workshops/roundtables/public feedback, e-discussions, public gatherings/hearings, recording, providing feedback, and evaluating the process. An annex outlines case studies.	World Bank. 2007. Consultations with Civil Society. A Sourcebook. Washington, DC. http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873204-1111663470099/20489462/ConsultationsSourcebook.pdf
Citizens as Partners: OECD Handbook on Information, Consultation and Public Participation in Policy-Making	The handbook assists government officials in strengthening relations between government and citizens. It looks at building a framework for this and the key elements including consultation, active participation, evaluation, selecting tools and activities, and use of information and communication technology. The handbook ends with 10 tips for action (take it seriously, start from the citizen's perspective, deliver what you promise, watch timing, be creative, balance different interests, be prepared for criticism, involve your staff, develop a coherent strategy, and act now).	OECD. 2001. Citizens as Partners. OECD Handbook on Information, Consultation and Public Participation in Policy-Making. Paris. www.oecdbookshop.org/oecd/display.asp?lang=EN&sf1=identifiers&st1=422001141p1
Towards a Reinforced Culture of Consultation and Dialogue – General principles and minimum standards for consultation of interested parties by the Commission	This agreement includes general principles (participation, openness and accountability, effectiveness, and coherence) and minimum standards for the Commission's consultations. These apply at the policy-shaping phase before decisions are taken: (1) the content of consultation is clear; (2) relevant parties can express their opinions; (3) the Commission publishes consultations widely to meet all target audiences; (4) participants are given sufficient time for responses; and (5) acknowledgment and adequate feedback is provided.	Commission of the European Communities. 2002. Towards a reinforced culture of consultation and dialogue – General principles and minimum standards for consultation of interested parties by the Commission. Brussels. http://ec.europa.eu/civil_society/consultation_standards/index_en.htm
International Association for Public Participation's (IAP2) Toolbox	The toolbox is a comprehensive inventory of techniques to share information (e.g., briefings, expert panels, information kiosks), techniques to compile and provide feedback (e.g., community facilitators, internet and in-person surveys), and techniques to bring people together (e.g., citizen juries, fairs and events, ongoing advisory groups).	International Association for Public Participation. (IAP2). IAP2's Toolbox. http://iap2.affiniscape.com/associations/4748/files/06Dec_Toolbox.pdf
Guide to Online Participation	This guide supports citizen participation via computing and internet means. The guide includes the International Association for Facilitators (IAF) Facilitator Competencies and IAF Code of Ethics for Group Facilitators.	New Zealand Government. 2007. Guide to Online Participation. Auckland. www.e.govt.nz/library/guide-to-online-participation-2007.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=guide-to-online-participation-2007.pdf

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Project Design and DMF Development (Tool 2)		
Tools for Policy Impact: A Handbook for Researchers	This handbook provides tools to bridge the link between research and policy. The context assessment tools are also very applicable in project design and include the planning cycle, force field analysis, problem tree analysis, stakeholder analysis, influence analysis, influence mapping, SWOT (strengths, weaknesses, opportunities, and threats) analysis, and triangle analysis.	Overseas Development Institute. 2004. Tools for Policy Impact. A Handbook for Researchers. London. www.odi.org.uk/Rapid/Tools/Toolkits/Policy_Impact/
Handbook on Stakeholder Consultation and Participation in African Development Bank Operations	The handbook looks at the underlying principles of participation and key entry points for participation in the project cycle. It also provides guidance on methods and tools such as participatory stakeholder analysis, participatory meetings and workshops, participatory research and data collection, and participatory planning.	African Development Bank (AfDB). 2001. Handbook on stakeholder consultation and participation in AfDB operations. www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Handbook%20on%20Stakeholder%20Consultaion.pdf
Enhancing Stakeholder Participation in National Forest Programmes: Tools for Practitioners	This resource looks at stakeholder participation in forest programs, yet the tools can be applied in other sectors and are particularly relevant to project design. Tools include: stakeholder analysis, visioning, participatory mapping, relationship mapping, problem analysis, solution analysis, SWOT analysis, hybrid tool (H-tool combines attributes of SWOT analysis with those of ranking exercises, to cover both qualitative and quantitative assessment), and developing a toolbox and action plan.	FAO. 2009. Enhancing stakeholder participation in national forest programmes. Tools for practitioners. Rome. ftp://ftp.fao.org/docrep/fao/012/i1037e/i1037e00.pdf
Participatory Development Planning Tools	This resource outlines the vast array of tools available for participatory development planning. Some of the more commonly used include: information sharing tools (e.g., newspaper, meetings, websites), consultation tools (e.g., community debates, focus groups, opinion polls), and collaborative planning tools (e.g., participatory action research and community planning).	CIVICUS & PG Exchange. Participatory Development Planning Tools. www.pgexchange.org/images/toolkits/PGX_F_Participatory%20Development%20Planning.pdf
Participatory Assessment (Tool 3)		
Beneficiary Assessment	This resource outlines how to carry out a beneficiary assessment (BA). BA is a qualitative research tool used to improve the impact of development operations by gaining the views of intended beneficiaries on a planned or ongoing reform. It seeks to provide reliable, qualitative, in-depth information on the sociocultural conditions and perceptions of the target group(s). The approach relies primarily on interviews, focus group discussions, and direct and participant observation.	World Bank. 2002. Beneficiary Assessment. Washington, DC. http://siteresources.worldbank.org/INTPSIA/Resources/490023-1121114603600/beneficiary_assessment.pdf
Participation and Social Assessment: Tools and Techniques	Module I of this guide explores social assessment as a process to ensure development operations are informed by and consider the key social issues; and incorporate a participation strategy for involving a wide range of stakeholders. It is an iterative cyclical process. The subsequent modules explain different tools. Module II looks at stakeholder analysis, Module III at participatory rural appraisal, Module IV at participatory monitoring and evaluation, Module V at beneficiary assessment, and Module VI at SARAR (self-esteem, associative strengths, resourcefulness, action-planning, and responsibility).	World Bank. 1998. Participation and Social Assessment: Tools and Techniques. Washington, DC. http://gametlibrary.worldbank.org/FILES/216_Guidelines%20for%20participation%20&%20social%20assessment%20-%20World%20Bank.pdf

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A Rough Guide to PPAs: Participatory Poverty Assessment – An Introduction to Theory and Practice	Participatory poverty assessment (PPA) is an instrument to include poor people's views in analyzing poverty, developing interventions for poverty reduction, evaluating the effect of projects and policies, and in formulating strategies to reduce poverty through public policy. This guide helps assess when a PPA will be useful, where it should be located institutionally, how to design the process, how to develop quality in fieldwork and analysis, and how to ensure influence on policy.	Overseas Development Institute. 2001. A Rough Guide to PPAs: Participatory Poverty Assessment – An Introduction to Theory and Practice. London. www.odi.org.uk/resources/details.asp?id=1747&title=rough-guide-ppas-participatory-poverty-assessment-introduction-theory-practice
Tool for Participatory Assessment in Operations	This tool outlines steps to guide participatory assessment: reviewing existing information; mapping diversity; using methods of enquiry (e.g., participatory observation, semi-structured discussion, focus group discussion); selecting themes; facilitating discussions; systematizing the information gathered; using follow-up actions; using comprehensive analysis and prioritization; recording meetings; and running participatory planning workshops.	UNHCR. 2006. Tool for Participatory Assessment in Operations. http://www.unhcr.org/450e963f2.html
The Community's Toolbox: The Idea, Methods and Tools for Participatory Assessment, Monitoring and Evaluation in Community Forestry	The toolbox contains a comprehensive collation of participatory assessment and monitoring and evaluation methods and tools (designed for community forestry projects but applicable in all sectors). It outlines a step-by-step process for participatory assessment, monitoring, and evaluation and highlights 23 useful tools including: group meetings; drawing and discussion; historical mapping; ranking, rating, and sorting; community environmental assessment; and participatory action research.	FAO. 1990. The Community's toolbox: The idea, methods and tools for participatory assessment, monitoring and evaluation in community forestry. Rome. www.fao.org/docrep/x5307e/x5307e00.htm
The PISA Action Guide: Community-Driven Tools for Data Collection and Decision Making	This guide introduces and explains the concepts and strategies for making well-informed, data-based decisions while empowering key stakeholders in the process. It outlines the participatory information systems appraisal (PISA) approach which adapts the established family of participatory rural appraisal (PRA) tools and uses available information communication technology.	PACT. 2004. The PISA Action Guide: Community-Driven Tools for Data Collection and Decision Making. Washington, DC. http://pactworld.org/galleries/resource-center/pisa_action_guide.pdf
Participatory Methods Toolkit: A Practitioner's Manual	This manual serves as a hands-on tool for starting up and managing participatory projects. It comprises 13 in-depth fiches on participatory methods, and outlines 50 other methods.	King Baudouin Foundation and Flemish Institute for Science and Technology Assessment. 2005. Participatory Methods Toolkit. A Practitioner's Manual. www.kbs-frb.be/uploadedFiles/KBS-FRB/Files/EN/PUB_1540_Participatory_toolkit_New_edition.pdf

Participation Plan Development (Tool 4)**See Tools above:**

– African Development Bank (AfDB). 2001. *Handbook on Stakeholder Consultation and Participation in AfDB Operations*. Includes guidance on development of a Participation Action Plan. www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Handbook%20on%20Stakeholder%20Consultation.pdf

– FAO. 2009. *Enhancing Stakeholder Participation in National Forest Programs. Tools for practitioners*. Includes guidance on developing an Action Plan. www.fao.org/docrep/014/i1858e/i1858e00.pdf

Stakeholder Communication (Tool 5)**Involving the Community: A Guide to Participatory Development Communication**

This guide explores how participatory development communication supports a participatory development process and outlines 10 steps for achieving this. The steps include establishing a relationship with a local community; involving the community in identifying a problem and its potential solutions; identifying communication tools; producing an implementation plan; monitoring and evaluating the communications strategy; and documenting the development or research process.

IDRC. 2004. *Involving the Community. A Guide to Participatory Development Communication*. www.idrc.ca/openebooks/066-7/

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Development Communication Sourcebook: Broadening the Boundaries of Communication	The sourcebook provides a comprehensive resource on two-way participatory development communication. Module 1 looks at the value-added of development communication; Module 2 reflects on the theory and practice of development communication; and Module 3 explores a development communication methodological framework and includes communication toolboxes for implementation, monitoring, and evaluation.	World Bank. 2008. Development Communication Sourcebook. Broadening the boundaries of communication. Washington, DC. http://siteresources.worldbank.org/EXTDEVCOMMENG/Resources/DevelopmentCommSourcebook.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=DevelopmentCommSourcebook.pdf
Participatory Communication: A Practical Guide	The guide explains the application of participatory communication in development projects. It outlines four phases of the communication program cycle: participatory communication assessment, participatory communications strategy design, implementation of communication activities, and monitoring and evaluation.	World Bank. 2009. Working Paper No. 170. Participatory communication. A practical guide. Washington, DC. http://siteresources.worldbank.org/EXTDEVCOMMENG/Resources/Participatorycommunication.pdf
Participatory Communication Strategy Design: A Handbook	The handbook gives guidance on creating a communications strategy. This involves selecting communication modes and approaches, creating messages, selecting media, and monitoring impact.	FAO. 2004. Participatory Communication Strategy Design. A Handbook. Rome. www.fao.org/sd/dim_kn1/docs/y5794e00.pdf
Working with CSOs (Tool 6)		
Resource Catalogue: A Brief Review of 20 Tools to Assess Capacity	This resource collates capacity assessment tools developed by donors and CSOs. The tools include a collaboration matrix (SNV), participatory organizational evaluation tool (UNDP), institutional assessment (IDRC), and a nongovernment organization (NGO) partner capacity assessment (Care International).	UNDP. 2005. Resource Catalogue. A brief review of 20 tools to assess capacity. New York. www.unpei.org/PDF/institutioncapacity/Brief-Review-20-Tools-to-Assess.pdf
A Users' Guide to Civil Society Assessments	This guide introduces CSOs assessment, available methods, their implementation and overcoming obstacles.	UNDP. 2010. A Users' Guide to Civil Society Assessments. Oslo. http://gaportal.org/sites/default/files/UNDP_Civil_Society_Guide.pdf
Introduction to Organizational Capacity Development	This training curriculum pulls together Pact's organizational development tools from their programs around the world. It covers Pact's approach to capacity building, key concepts in adult and organizational learning, a typical organizational development intervention from start to finish, and a range of tools and delivery methods for organizational development services.	Pact. 2005. Introduction to Organizational Capacity Development. Washington, DC. http://pactworld.org/galleries/resource-center/Intro%20to%20OD%20First%20Edition.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=Intro%20to%20OD%20First%20Edition.pdf
Effective Capacity Building in Nonprofit Organizations	The report gives insights into how nonprofits have built up their capacity and become stronger, more sustainable, and more able to serve their communities. A practical assessment tool is included to measure organizational capacity.	McKinsey & Company. 2001. Effective Capacity Building in Nonprofit Organizations. www.vppartners.org/learning/reports/capacity/full_rpt.pdf
Participatory Monitoring and Evaluation (Tool 7)		
The Most Significant Change Technique: A Guide to Its Use	The most significant change (MSC) technique is a form of participatory monitoring and evaluation. Project stakeholders are involved in deciding the sorts of change to be recorded and in analyzing the data. It occurs throughout the program cycle and provides information to help people manage the program. It contributes to evaluation because it provides data on impact and outcomes that can be used to help assess program performance. This guide provides step-by-step guidance on MSC.	Rick Davies and Jess Dart. 2005. The Most Significant Change Technique. A Guide to Its Use. www.mande.co.uk/docs/MSCGuide.pdf

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Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation	The guide discusses the rationale for community-based monitoring and evaluation and introduces the methodology for mutual learning through action research. A wide range of tools is included in an annex (e.g., signs of well-being table, internal and external organization charts, activity monitoring table, meetings calendar, and a service provider agreement).	World Bank. 2002. <i>Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation</i> . http://siteresources.worldbank.org/INTCDD/Resources/sleepingg.pdf
Participatory Impact Pathway Analysis (PIPA)	This resource includes an online manual which takes the reader through six key steps: 1) draw a problem tree; 2) derive project outputs; 3) create a vision; 4) draw network maps; 5) develop an outcomes logic model; and 6) develop a monitoring and evaluation plan.	Participatory Impact Pathway Analysis (PIPA). Wiki. http://boru.pbworks.com/w/page/13774903/FrontPage
Guidelines on Participatory Evaluation	This guideline explains what participatory evaluation is and how it differs from and complements conventional evaluation processes. It provides step-by-step guidance on carrying out a participatory evaluation process and tips on dealing with problems.	NZAID. 2006. <i>Guidelines on Participatory Evaluation</i> . http://nzaidtools.nzaid.govt.nz/participatory-evaluation
Toolkit for Practitioners: Gender and Poverty Targeting in Market Linkage Operations	This toolkit includes a section on poverty and gender sensitive monitoring and evaluation. Rapid impact assessment tools include the change matrix and wealth ranking matrix which both make: "before/after" and "without and with project" comparisons. These are gender sensitive participatory methodologies which can be done in the village with two separate groups of men and women.	IFAD. 2002. <i>Toolkit for Practitioners. Gender and Poverty Targeting in Market Linkage Operations</i> . Rome. www.ifad.org/gender/tools/gender/Toolkit.pdf
Policy Briefing: Participatory Monitoring and Evaluation	The briefing describes participatory monitoring and evaluation (PM&E), and the reasons for interest in it. It explores its practical application and the methods and tools commonly used to support this (e.g., maps, flow diagrams, diaries, matrix scoring). The briefing also looks at issues in choosing the best indicators and the implications of growing interest in PM&E for development agencies.	Institute of Development Studies (IDS). 1998. <i>Policy Briefing. Participatory Monitoring & Evaluation: Learning from Change</i> . www.ids.ac.uk/index.cfm?objectid=01D512C5-5056-8171-7BA528050E140ED9

See Tools above:

- World Bank. 1996. *Participation and Social Assessment: Tools and Techniques*. Includes module on participatory M&E. http://gametlibrary.worldbank.org/FILES/216_Guidelines%20for%20participation%20&%20social%20assessment%20-%20World%20Bank.pdf
- FAO. 1990. *The Community's Toolbox: The idea, methods and tools for participatory assessment, monitoring and evaluation in community forestry*. Includes monitoring and evaluation tools. www.fao.org/docrep/x5307e/x5307e00.htm

Gender Equity Tools

Gender and Development Cutting Edge Pack: Overview Report	This pack looks specifically at convergences between approaches to gender and to participation, and how they can be constructively integrated into projects, programs, policies, and institutions. It highlights that careful choice of participatory techniques is needed when looking at issues of gender relations. For example, women may be unable to depict issues of co-wives and domestic violence using a participatory map or matrices but instead require in-depth discussion.	Bridge. Institute of Development Studies. 2001. <i>Gender and Development Cutting Edge Pack. Overview Report</i> . www.bridge.ids.ac.uk/go/bridge-publications/cutting-edge-packs/gender-and-participation/
Gender Analysis Tools	Tools provided guide the use of participatory methods for each step in a gender analysis. These include an activity calendar, focus groups, and pair-wise ranking.	Status of Women Canada. 2004. <i>Gender Analysis Tools</i> . Gender and Poverty Project. www.crvawc.ca/documents/AREportontheGenderandPovertyProject.pdf

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Effective Strategies for Promoting Gender Equality: Practice Notes	These notes comprehensively guide promotion of gender equality in activity design, implementation, and monitoring. This includes using participatory strategies to involve both men and women in consultation and to ensure women's perspectives are not overlooked, using gender-responsive indicators of participation, and strategies to target women and their participation.	Gendernet. Effective Strategies for Promoting Gender Equality. Practice notes. www.oecd.org/dataoecd/20/16/44750309.pdf
Gender Mainstreaming in Practice: A Toolkit	The toolkit outlines ten steps to gender mainstreaming including a stakeholder analysis, gender analysis, designing interventions, and monitoring and evaluation. It looks specifically at participation issues, particularly the low participation of women in governance structures.	UNDP. 2007. Gender Mainstreaming in Practice. A Toolkit. http://europeandcis.undp.org/home/show/6D8DE77F-F203-1EE9-B2E5652990E8B4B9
Gender Mainstreaming Tools Marketplace	This resource collates tools from many organizations, grouping them by function (e.g., gender mainstreaming strategy tools, gender analysis tools, and tools for different sectors). Many of the tools look at issues of women's participation.	UNDP. Gender Mainstreaming Tools Marketplace. An annotated resource guide. www.undp.org/women/tools_marketplace.pdf
Good Governance and Capacity Development Tools		
Manual for Trainers on Social Accountability	This includes information and training resources on citizenship and civic engagement, decentralization of governance, social accountability, public financial management, participatory planning, budgeting and expenditure tracking, and procurement monitoring.	ANSA-EAP. 2010. Manual for Trainers of Social Accountability. www.ansa-eap.net/learning-in-action/manual-for-trainers-on-social-accountability/
Local Government Accountability: Power Tools	This describes ways to help rural citizens bring local authorities to account. It raises community expectations about the quality of service provision and resource management, and describes a set of steps to install improvements: 1) create awareness about control and use of resources; 2) carry out a participatory resource assessment; 3) set up credible village level structures; and 4) demand improved leadership and performance, e.g., transparency of government mission, goals, plans, and budget, and increased participation in management.	IIED. 2005. Local government accountability. Power tools. www.policy-powertools.org/Tools/Ensuring/docs/local_government_accountability_tool_english.pdf
Voice and Accountability Guide	This guide evaluates instruments and mechanisms for increasing voice and accountability or citizen engagement (e.g., citizen scorecards, public audits, incentive-based payments, community engagement in management committees, budget monitoring, participatory planning, gender budgeting, and social auditing). It highlights what works well, and what kinds of changes successful programs produce.	DFID Governance and Social Development Resource Centre. 2010. Voice and Accountability Guide. www.gsdr.org/go/topic-guides/voice-and-accountability
Citizen Voice and Action Guidance Notes	This guide describes phases to achieve citizen voice. First, it involves engaging citizens through mobilizing, use of scorecards, and analysis of findings. It then requires the building of networks and coalitions to set up an action plan and advocate for improved policy and services.	World Vision International. 2009. Citizen Voice and Action Guidance Notes. www.transformational-development.org/ministry/transdev2.nsf/QuickReferenceGuideforIPM.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=QuickReferenceGuideforIPM.pdf
Our Country Our Future: Working Together to Fight Corruption	This handbook educates public officials and individuals vested with an elective public office in Cambodia about what corruption is and how to fight it. This handbook also contains information that will be useful to all members of the public. It was produced as part of the Clean Hand campaign and provides education and awareness activities to reduce corruption in Cambodia.	Pact. 2006. Our Country Our Future. Working Together to Fight Corruption. http://pactworld.org/galleries/resource-center/our_country_our_future.pdf

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<p>Involving Citizens in Public Budgets: Mechanisms for Transparent and Participatory Budgeting</p>	<p>This publication brings together case studies from a program which worked with 10 Latin American CSOs to implement new and innovative projects aimed at opening public budgeting processes to citizen participation and creating mechanisms for greater budget transparency. The book includes lessons, as well as a substantial introduction to participatory and transparent budgeting.</p>	<p>USAID. Involving Citizens in Public Budgets. Mechanisms for Transparent and Participatory Budgeting. www.partners.net/Images/partners/English.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=English.pdf</p>
<p>Infrastructure – HIV and AIDS Prevention Tools</p>		
<p>Engaging Local NGOs in the Response to HIV and AIDS</p>	<p>This paper provides a comprehensive overview of all successful local partner engagement methodologies and models (including directly funding local NGOs through competitive processes, international and national NGOs partnering with local NGOs, and funding and support of community-based organizations [CBOs]). It aims to assist other organizations to engage local partners and guide donors and national decision-making bodies.</p>	<p>Pact. 2005. Engaging local NGOs in the response to HIV and AIDS. PACT. 2005. http://pactworld.org/galleries/resource-center/engaging_web.pdf</p>
<p>All Together Now! Community Mobilization for HIV/AIDS and Tools Together Now! A toolkit of 100 participatory tools</p>	<p>The toolkit takes communities through a process of starting together; assessing and planning together; acting together; monitoring, evaluating, and reflecting together; and scaling up together. It is supported by participatory tools to promote community mobilization. Used together, these two resources support organizations and communities to work more effectively together to address HIV and AIDS.</p>	<p>International HIV and AIDS Alliance. All Together Now! Community Mobilization for HIV/AIDS and Tools Together Now! A toolkit of 100 participatory tools. www.aidsalliance.org/Publicationsdetails.aspx?Id=228</p>
<p>Developing Materials on HIV/AIDS/STIs for Low-Literate Audiences</p>	<p>This guide provides a comprehensive methodology for developing materials for low-literate audiences as part of a strategic behavior change program. The key steps are audience research, message design and development, material production, and pre-testing and revision.</p>	<p>FHI. 2002. Developing Materials on HIV/AIDS/STIs for Low-Literate Audiences. www.fhi.org/NR/rdonlyres/ebk5qlqqaplq6f6wkiy2jtfx47bt2ytk7api7szj7zbjqud7onk3nxjs335etjo542fvvzkr3tmfqc/lowlitguide2enhv.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=lowlitguide2enhv.pdf</p>
<p>Monitoring HIV/AIDS Programs: A Facilitator's Training Guide</p>	<p>This training resource builds skills for conducting quality monitoring and evaluation (M&E) activities. The course is anchored by three core modules: Introduction to M&E; Collecting, Analyzing and Using Monitoring Data; and Developing an M&E Work Plan.</p>	<p>FHI. 2004. Monitoring HIV/AIDS Programs: A Facilitator's Training Guide. www.fhi.org/en/HIVAIDS/pub/guide/meprogramguide.htm#down</p>
<p>Project Cycle Management: CBO Training Toolkit</p>	<p>The toolkit builds the confidence and skills required by CBOs to develop and manage HIV/AIDS projects more systematically through project cycle management. It was developed for facilitators involved in training CBOs, and NGOs/CBOs can also use it themselves.</p>	<p>Care and the International HIV/AIDS Alliance. 2006. Project Cycle Management: CBO Training Toolkit. www.ngopulse.org/resource/project-cycle-management-toolkit</p>
<p>A Facilitator's Guide to Participatory Workshops with NGOs/CBOs Responding to HIV/AIDS</p>	<p>This guide is designed as an "ideas book" of shared experiences to help facilitators prepare for participatory workshops, meetings, and planning activities with NGOs and CBOs responding to HIV/AIDS in developing countries. Drawing on the practical experiences of the Alliance and its partners, it is packed with effective ideas such as drawing community maps and active listening exercises.</p>	<p>International HIV/AIDS Alliance. 2000. A Facilitator's Guide to Participatory Workshops with NGOs/CBOs Responding to HIV/AIDS. www.aidsalliance.org/publicationsdetails.aspx?id=150</p>
<p>Infrastructure – Water and Sanitation Tools</p>		
<p>Training Manual Good Water, Sanitation and Environmental Hygiene Practices for Primary Schools</p>	<p>The manual outlines participatory activities and tools to enable children to learn about personal sanitation and hygiene, water contamination and treatment, and environmental hygiene.</p>	<p>LLEE & UNICEF. 2008. Training Manual Good Water, Sanitation & Environmental Hygiene Practices for Primary Schools. www.livelearn.org/resources/manuals/WaterSanitation.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=WaterSanitation.pdf</p>

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<p>Methodology for Participatory Assessments: With Communities, Institutions and Policy Makers</p>	<p>This publication guides participatory assessment at the community, institutional, and policy levels. An appendix of participatory tools is included covering wealth classification, community mapping, transect walk, ladders, matrix voting, and many other methods.</p>	<p>WSP. 2003. Methodology for Participatory Assessments. With Communities, Institutions and Policy Makers. www.wsp.org/wsp/sites/wsp.org/files/publications/global_metguideall.pdf?bcsi_scan_7823DFCE46415F3E=0&bcsi_scan_filename=global_metguideall.pdf</p>
<p>Introducing SaniFOAM: A Framework to Analyze Sanitation Behaviors to Design Effective Sanitation Programs</p>	<p>This guide outlines a framework for analyzing sanitation behaviors (behavioral, opportunity, ability, and motivation determinants) and supporting the design of behavior change interventions to remedy these factors.</p>	<p>WSP. 2009. Introducing SaniFOAM: A framework to analyze sanitation behaviors to design effective sanitation programs. www.wsp.org/wsp/sites/wsp.org/files/publications/GSP_sanifoam.pdf</p>
<p>Building the Capacity of Local Government to Scale up Community-Led Total Sanitation and Sanitation Marketing (TSSM) in Rural Areas</p>	<p>The document outlines the TSSM approach including community-led sanitation approaches to create community-wide demand for improving sanitation. It shares success stories and guidance in building the capacity of local government.</p>	<p>WSP. 2010. Building the Capacity of Local Government to Scale up Community-Led Total Sanitation and Sanitation Marketing (TSSM) in Rural Areas. www.wsp.org/wsp/sites/wsp.org/files/publications/WSP_BuildingCapacity_TSSM.pdf</p>
<p>PHAST (Participatory Hygiene and Sanitation Transformation) Step-by-Step Guide: A Participatory Approach for the Control of Diarrheal Diseases</p>	<p>The guide provides an overview of PHAST and step-by-step information on a participatory approach to help communities improve their environments and manage their water and sanitation facilities, particularly for preventing diarrheal disease—Step 1: problem identification (community stories); Step 2: problem analysis (mapping water and sanitation and investigating practices); Step 3: planning for solutions; Step 4: electing options; Step 5: planning for new facilities and behavior change; Step 6: planning for M&E; and Step 7: participatory evaluation.</p>	<p>WHO. 1998. PHAST (Participatory Hygiene and Sanitation Transformation) Step-by-Step Guide: A participatory approach for the control of diarrheal diseases. www.who.int/water_sanitation_health/hygiene/envsan/phastep/en/</p>
<p>Other Operational Areas</p>		
<p>Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects</p>	<p>The report introduces a framework of seven principles for companies and financial institutions to improve their quality of community engagement while also enabling communities to demand better processes.</p>	<p>World Resources Institute. 2009. Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects. Washington, DC. http://pdf.wri.org/breaking_ground_engaging_communities.pdf?bcsi_scan_B90AE85AF6AB15C6=0&bcsi_scan_filename=breaking_ground_engaging_communities.pdf</p>
<p>FAO Participatory Development: Guidelines on Beneficiary Participation in Agriculture and Rural Development</p>	<p>These guidelines guide policy makers and practitioners on how to incorporate group-based, participatory-based approaches into large-scale agriculture and rural development investment projects. They include advice on a range of topics, including: strategies to promote participation, project formulation, group formation, financial arrangements, training, monitoring, and evaluation, etc.</p>	<p>FAO. 2003. Participatory Development: Guidelines on Beneficiary Participation in Agriculture and Rural Development. Rome. www.fao.org/docrep/007/ad817e/ad817e00.htm</p>
<p>Eldis</p>	<p>The participation pages of the Eldis Gateway to Development Information feature numerous online manuals and practical toolkits published for development practitioners. Among the documents available are a fieldworkers' guide to participatory poverty mapping, a manual on participatory communications strategies, and a guide to participatory rural communication appraisal.</p>	<p>Eldis website: www.eldis.org/go/topics/resource-guides/manuals-and-toolkits/participation-manuals-and-toolkits</p>

Endnotes

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- ⁸⁴ The mission holds in-depth discussions with the DMC government, development partners, and civil society, including nongovernment organizations and the private sector, as appropriate.
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- ⁸⁶ A. Rudqvist and P. Woodford-Berger. 1996. Evaluation and Participation: Some Lessons. In Sida. *Studies in Evaluation 96/1*. Stockholm: Sida.
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- ⁸⁹ IFC. 1998. *Doing Better Business through Effective Public Consultation: A Good Practice Manual*. Washington, DC. [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)

Strengthening Participation for Development Results

An Asian Development Bank Guide to Participation

This revised edition of *Strengthening Participation for Development Results: A Staff Guide to Consultation and Participation* (2006) offers updated information and an expanded range of tools to support ADB staff and stakeholders to implement participatory approaches effectively. The updated content reflects ADB's new business processes and highlights key opportunities for participation in policy dialogue and throughout the project cycle, and advises on methods and approaches, as well as pitfalls to avoid. In this edition, special attention is given to safeguards, gender, governance, HIV/AIDS and infrastructure, and water and sanitation. A wealth of participation resources developed by a wide range of organizations exists online; this guide includes an inventory of references for those seeking further information.

About the Asian Development Bank

ADB's vision is an Asia and Pacific region free of poverty. Its mission is to help its developing member countries reduce poverty and improve the quality of life of their people. Despite the region's many successes, it remains home to two-thirds of the world's poor: 1.8 billion people who live on less than \$2 a day, with 903 million struggling on less than \$1.25 a day. ADB is committed to reducing poverty through inclusive economic growth, environmentally sustainable growth, and regional integration.

Based in Manila, ADB is owned by 67 members, including 48 from the region. Its main instruments for helping its developing member countries are policy dialogue, loans, equity investments, guarantees, grants, and technical assistance.

Asian Development Bank
6 ADB Avenue, Mandaluyong City
1550 Metro Manila, Philippines
www.adb.org
ISBN 978-92-9092-526-2
Publication Stock No. TIM113389

 Printed on recycled paper



Printed in the Philippines