

Tools of Participation

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Why Participation in ADB work?

- Talk to the person next to you and discuss the question “Why do we want or require participation of civil society in ADB work?”
- Improve project design (provide information and perspectives otherwise not accessed)
- Build local ownership of projects
- Improve ADB performance and accountability
- Strengthen capacity of local stakeholders
- Improve Monitoring & Evaluation → improve project design

ADB Drivers for Participation

- ADB Policy on Cooperation Between ADB and Nongovernment Organizations (1998)
- ADB Public Communications Policy (2011)
- ADB Safeguards Policy Statement (2009)
- ADB Strategy 2020 (2008)
- ADB Strategy 2020 MTR *Inclusion, Resilience and Change* (2014)



ADB Drivers for Participation

Strategy 2020

- Drivers of Change – Partnerships with... nongovernment organizations (NGOs)...will become central to planning, financing, and implementing ADB operations. (Strategy 2020)

Strategy 2020 MTR Action Plan

- 2.19. CSO information management
- 2.31. Update business processes to expand CSOs' engagement
- 3.6. Develop a framework involving flexible procurement rules and financing
- Policy Review and Safeguards Plans

Opportunities for Participation

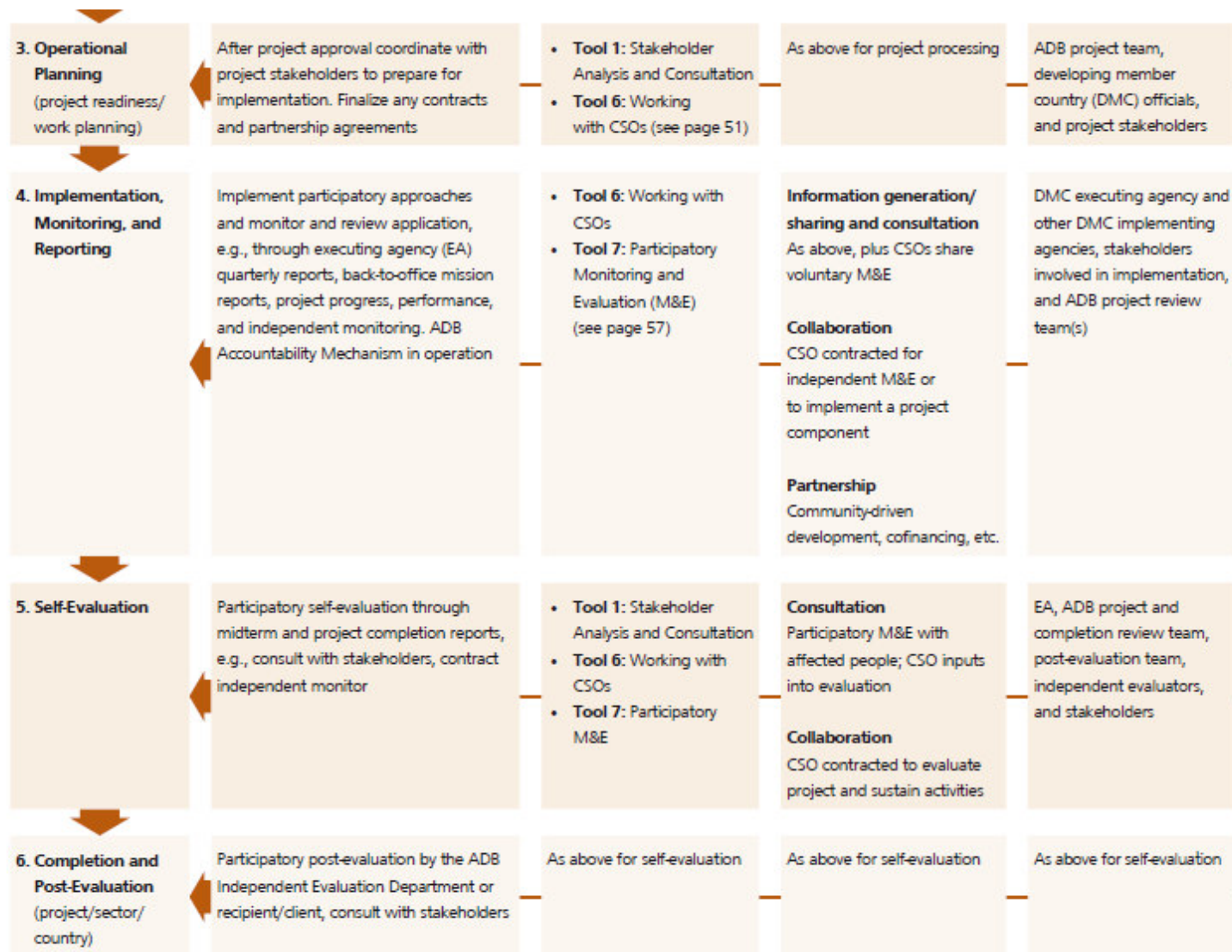


- Analysing Stakeholders (eg for CPS, Project Preparation)
- Informing Stakeholders (eg CPS, Policies, Accountability Mechanism)
- Consulting with Stakeholders (eg CPS, Policies, Project Design)
- Engaging Stakeholders (eg Project Implementation)
- Project Monitoring and Evaluation

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

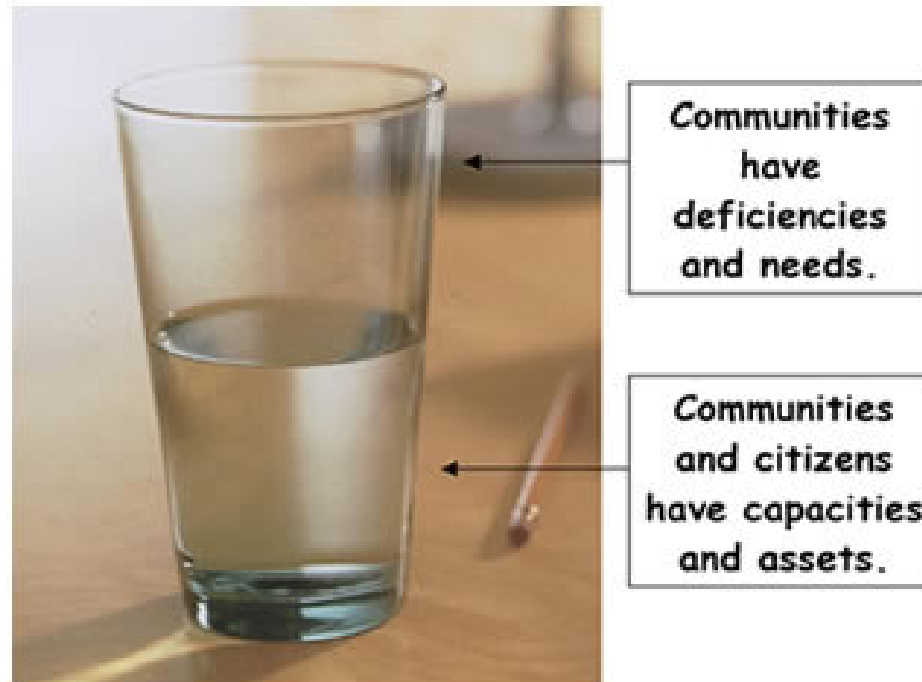
Source: Strengthening Participation for Development Results ADB (2012)



Strengths Model vs Deficits Model



Half Glass Empty or Half Glass Full



“Everyone Has Something to Contribute”





Mapping Tools

- 5 Ws and an H
 - Why map?
 - Who maps?
 - What can you map?
 - When do you map?
 - Where do you map?
 - How do you map?

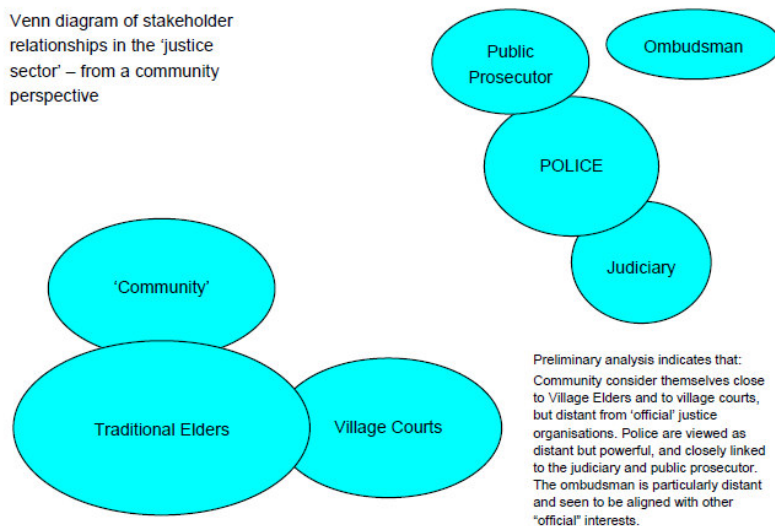


Types of Stakeholder Mapping Tools

- Venn Diagrams

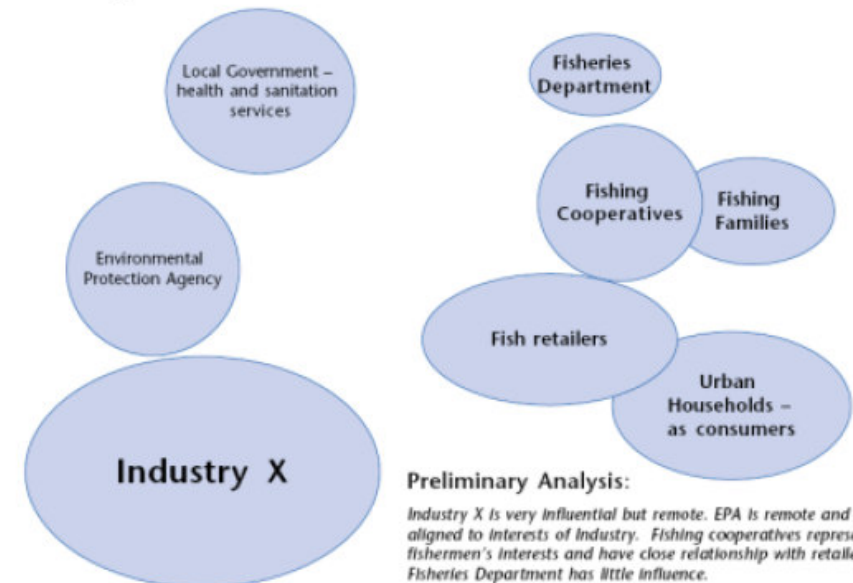
Figure B4 – Venn Diagram

Venn diagram of stakeholder relationships in the 'justice sector' – from a community perspective



Source: *Ausguideline 3.3 Activity Design* AusAID/DFAT (2005)

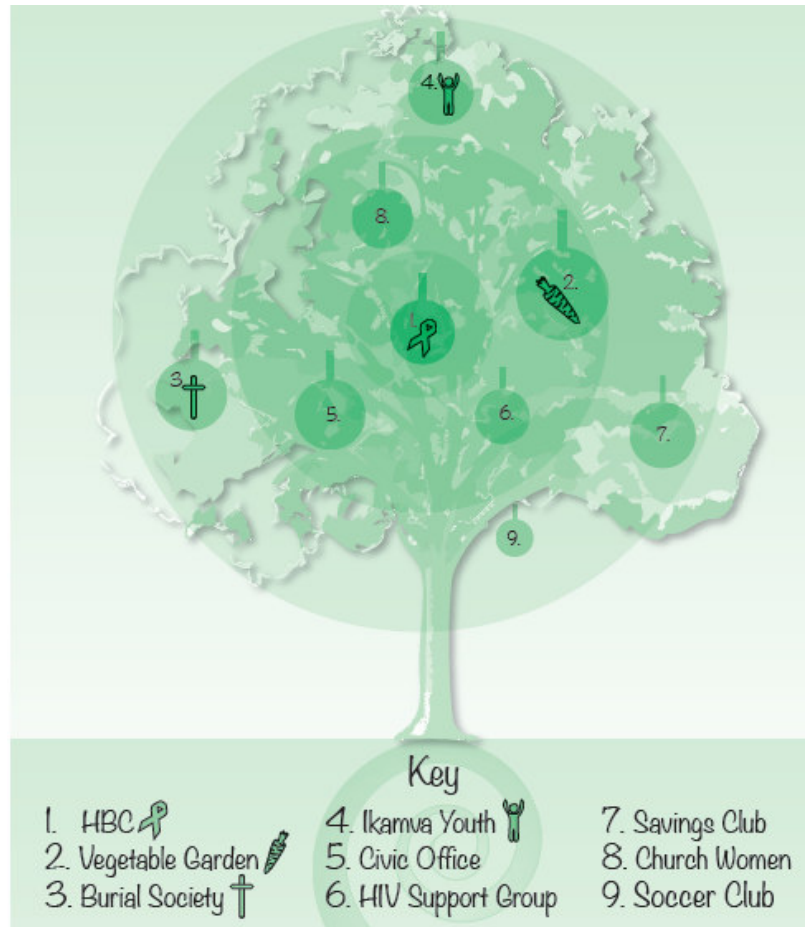
Venn diagram of stakeholder relationships from perspective of fishing families



Source: ITC ILO

Types of Stakeholder Mapping Tools

- Tree Map



Types of Stakeholder Mapping Tools

- ADB Stakeholder Mapping Tool

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.

Types of Stakeholder Mapping Tools

- External Stakeholder Mapping Matrices

Stakeholder Group	How are they affected by the problem?	Why do they want to address the problem?	What stops them from dealing with the problem?	What is the impact of this on your planning?
Farmers	Poisoning, reduced economic return due to losses	Keen to improve economic outcomes	Looking for cheaper shortcuts Illiteracy	Information should be presented graphically Financial savings arising from appropriate use of pesticides should be presented

Types of Stakeholder Mapping Tools

- External Stakeholder Mapping Matrices

EXTERNAL STAKEHOLDER ANALYSIS

A stakeholder means any group or individuals involved in the project (including other organisations, community members, other groups and individuals). List all the stakeholders that have knowledge, experience, skills & resources that will help the project. Relevant communities and the most vulnerable and marginalised groups and individuals also to be listed in the stakeholder analysis. Add as many rows as needed.

Stakeholder Analysis (& Communication Planning) Table

Name of stakeholder (ie. project participant/s, local government representatives, other NGOs, local leaders)	What are the stakeholder's knowledge, experience, skills and resources that could help the project?	What role could the stakeholder have in the project?	How important is this stakeholder to the success of the project?	What information needs to be shared with this stakeholder? How often do you expect to communicate with them?

List any groups who could negatively impact on the project. What strategies are there to manage this impact?

Source: Caritas Australia

Types of Stakeholder Mapping Tools

- External Stakeholder Mapping Matrices

B.1 Stakeholder analysis matrix

Both of the matrix formats shown (Figures B1 and B2) can be adapted to include different or additional information about the main stakeholder groups depending on the scope and focus of the issues being addressed.

Figure B1 Stakeholder analysis matrix 1 – problems

Stakeholder	How affected by the problem(s)?	Capacity/motivation to participate in addressing the problem(s)	Relationship with other Stakeholders (eg partnership or conflict)

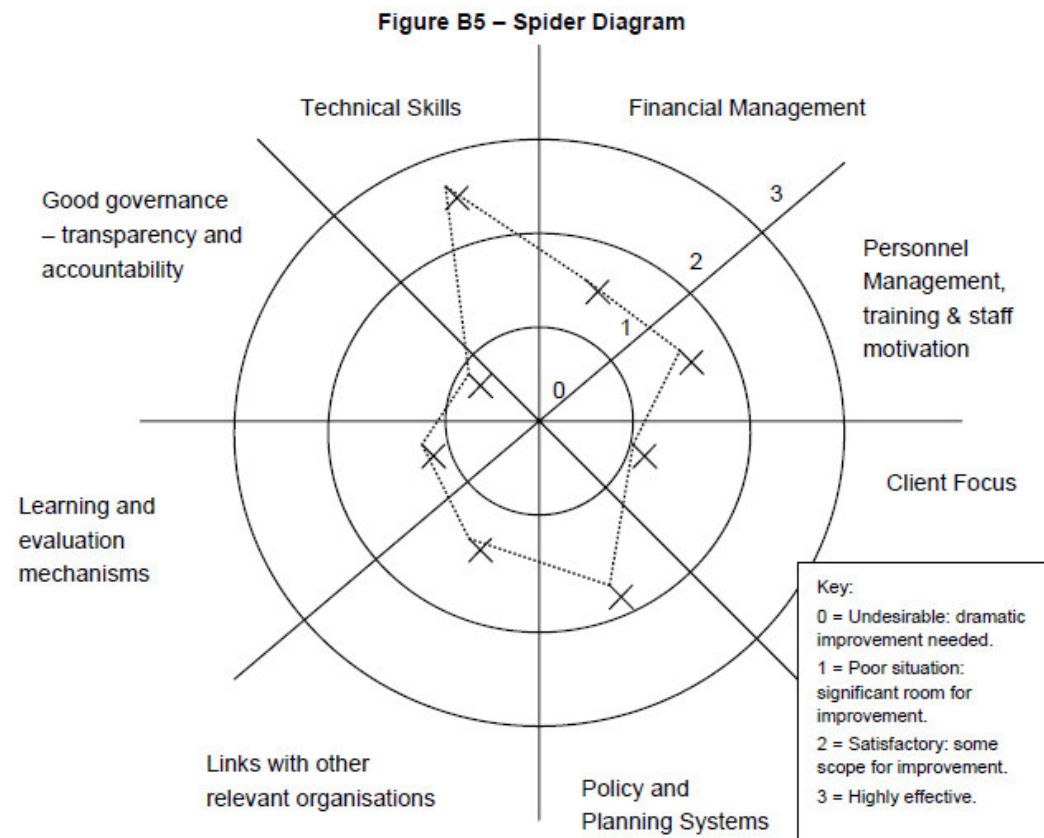
Figure B2 Stakeholder analysis matrix 2 – impacts

Stakeholder	Stakeholder's main objectives	Positive impacts/benefits	Negative impacts/costs	Net impact

Source: *Ausguideline 3.3 Activity Design* AusAID/DFAT (2005)

Types of Stakeholder Mapping Tools

- Spider Diagram



Source: AusAID/DFAT stakeholder Matrix (*Ausguideline* 3.3 Activity Design 2005)

Stakeholder Mapping Tools

- What stakeholder mapping tools have you used?

GROUP 3:

PROBLEM: *Trigoderma grainarium*
on Sorghum/Grains

STAKEHOLDERS GROUP	HOW AFFECTED BY THE PROBLEM?	REASONS FOR WANTING TO ADDRESS THE PROBLEM	CONSTRAINTS FOR DEALING WITH THE PROBLEM
- Farmers	- Low yield - Poor quality - Low market - Low income	- Improve quality and yield - Access market - Improve income	- Lack of knowledge - Inadequate storage facilities
- Researchers	Provide from farmer Gov't, NGO, ... to solve the problem	To equip with the requisite knowledge	- Lack of financial resources
- Consumers	- Poor quality of grains. - Increase prices	to be supply with a good quality product at an affordable price	

Stakeholder Mapping Group Work

- Divide into four groups of three to four people each.
- Each group has been allocated a different stakeholder mapping tool.
- Choose a development issue to map (can be a real issue).
- Read through the instructions for the tool, and then practice using the tool to map the stakeholders. You have 30 minutes to do this.
- Be prepared to report back for 3 minutes on:
 - Very brief description of your issue.
 - Show us the stakeholder analysis you have created.
 - The strengths and weaknesses of the tool you used.

Stakeholder Engagement Tools

- In small groups, come up with a long a list as possible of the ways you have or could have engaged with stakeholders, like this:

Stakeholder Engagement Method	Situation to Use This Method
Newsletter	To advise stakeholders of activities
Focus group	To gather information about an issue

- Spend 10 mins on this task.

Community Engagement Spectrum

- The Community Engagement Spectrum
 - Inform
 - Consult
 - Involve
 - Collaborate
 - Empower

Source: The Engagement Toolkit, developed by the Department of Sustainability and Environment, 2005

ADB's Levels of Engagement

- Information Generation and Sharing
- Consultation
- Collaboration
- Partnership

Source: *Strengthening Participation for Development Results*, ADB (2012)

ADB's Levels of Engagement

Source: *Strengthening Participation for Development Results*, ADB (2012)

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

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.

Visioning



- Beginning of planning process
- Captures people's intentions and aspirations for the future
- Asks a question about what the future would look like
- Explores what elements are in place for future development initiative to be successful

Low Hanging Fruit

- To build confidence of community that it can make positive changes without too much or any external assistance
- Prioritises the activities that a community can do on their own, using their own skills and assets
- Once a goal has been identified the community determines the 'low hanging fruit' that are within their power to achieve
- Looks at getting some wins on the board to build confidence

Baselining

- To understand the current situation
- Can be as complex as household surveys
- Can be as simple as ranking / scaling where things are at.
- Baseline data can then be referred to six monthly / annually to assess change



Most Significant Change

- A M&E tool developed in Bangladesh in the 1990s
- Tool is based on story telling and people using the tool don't have to be literate
- Works well in story telling societies like the Pacific and Timor Leste
- Asks simple questions about what is the most significant thing that has changed in a development initiative
- Can be a stand alone tool or can be used across different stakeholder groups to assess priorities for the different groups

Appreciative Inquiry

- Focuses on what is the best in an organization or development initiative
- What is working well, what inspires people, what makes people proud
- AI generates opportunities for people to dream about what the best situation would look like
- Encourages and enables people to be positive
- Focuses on strengths / positives / success stories

Introduction to Participation Plans

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							

Source: *Strengthening Participation for Development Results*, ADB (2012)

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Source: *Strengthening Participation for Development Results*, ADB (2012)

Introduction to Stakeholder Communications Strategy

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

Source: *Strengthening Participation for Development Results*, ADB (2012)

Objectives of the strategy

Honed messages for each group

Key obstacles to achieving the objectives

Who do we need to engage to achieve objectives and lessen risks?

Allocate a resource line!

Participation Plans and Stakeholder Communications Strategies

- Make them SMART
 - Specific
 - Measurable
 - Achievable
 - Realistic
 - Timebound
- Allocate a resource line

Workshop on Dili-Tibar-Liquica Road

In two small groups discuss and answer the following questions:

1. What were the **key strengths** or **achievements** of the project?
2. What were the **key challenges** or **issues** with the project?
3. Identify the **stakeholders that could or should have been involved** (use a stakeholder mapping tool).
4. Identify whether **increased stakeholder participation** could have addressed or reduced the challenges of the project. If so, describe how.
5. For **each CSO stakeholder group**, identify:
 - An objective of their participation
 - The approach to participation for that group (Information sharing/generation, Consultation, Collaboration, Partnership) and whether low, medium or high
 - The participatory methods most appropriate to the objective of their participation.

You have 45 minutes. Be prepared to report back. Each group's report back will be 10 minutes.