

# **Consultations with Civil Society**

## **A Sourcebook**

**Working Document**

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**The World Bank**

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## Forward

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Inform the public, listen and learn from the public, build the capacity of decision makers and stakeholders to participate, engage and be accountable. These are essential ingredients of any meaningful strategy of a public actor for improving development results and sustainability. Simple as it sounds, the promotion of meaningful debates involving multiple stakeholders requires refined skills for planning courses of dialogue and deliberation in which different actors commit to express their views and listen the views of the others, and engage in a collective learning process. That means the necessary skills for designing and managing consultations.

This Sourcebook is the result of a common effort of different teams and participation practitioners across the Bank, which has contributed in the last decade to build a body of knowledge and expertise on how to plan and manage multi-stakeholder consultations, based on a plethora of experiences. It aims at providing a practical source of advice for improving the way we and our clients engage in sound dialogues and discussions with civil society organizations and citizens-at-large. Due credit for the publication goes to those who have contributed from practice and those from the field whose dedication and perseverance worked to build and implement the participation agenda of the World Bank. The contribution of the Civil Society Team was to pull together and organize in a user-friendly way all these rich experiences and wisdom.

## Acknowledgments

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This updated *Consultations with Civil Society: A Sourcebook* reflects the experiences of World Bank staff, other multilateral institutions, governments, and stakeholders throughout the many regions of the world in which the Bank operates.

This document builds on the “Consultations with Civil Society Organizations General Guidelines for World Bank Staff,” prepared by the NGO and Civil Society Unit. It is based on an earlier paper by John Clark and Michael Edwards, and incorporates suggestions from several members of the Civil Society Thematic Team and the NGO Working Group on the World Bank. The first version of the *Sourcebook*, which was published in 2001, was written by Paula Lytle, reviewed by William Reuben, and edited by Najma Siddiqi and Barbara Mascarenas. The *Sourcebook* also has benefited from the Multi-Stakeholder Consultations Workshops organized in 2002 and 2003 by Najma Siddiqi, Barbara Mascarenas, and Cecilia Verzosa.

The *Sourcebook* was enhanced by the work of its reviewers and editor. Reviewers included Jan Pakulski, Carolyn Reynolds, William Reuben, Najma Siddiqi and others. It was edited by Janiece Gilbreath. The work was supervised by William Reuben.

The document also builds on the work of Shelton Davis, Shawn Miller (International Finance Corporation), Paul Mitchell, Nightingale Rukuba-Ngaiza, and Larry Salmen of the World Bank Group. The document was also enhanced by the work of Organization for Economic Cooperation and Development, Robert Dobias, Head of the Asian Development Bank’s NGO Center, and the Australian Capital Trust.

## Preface

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The Participation and Civic Engagement Group of the Social Development Family prepared the *Civil Society Consultations: A Sourcebook* primarily to provide guidance for Bank staff, governments, and other stakeholders who lead and organize these consultations. The *Sourcebook* provides an overview of consultations and guides the Bank staff in designing consultations that actively engage civil society during project, program, and policy design and implementation. The *Sourcebook* recognizes the great diversity of country contexts and experiences, as well as a broad variety of consultation objectives. It does not offer a blueprint to all consultations. Rather, it seeks to provide a rationale for consultations and a one-stop shop for examples and resources to consultative process.

The *Sourcebook* was prepared in response to requests from task managers and others for specific guidance and support in facilitating consultations with civil society organizations on projects and policy-based and investment lending.

Because this *Sourcebook* provides vital information in the development of Bank consultations, it will be updated annually with new examples of these consultations as they are developed. The Bank invites its stakeholders in such consultations to give feedback and suggestions for new case materials.

### **How to use the *Sourcebook***

The *Sourcebook* is designed as an interactive reference document that can be consulted for information on specific topics. It can also be browsed for more general overview of consultations. It can be used by Bank staff, governments and organizations that manage, organize, or lead Bank consultations.

The *Sourcebook* has two chapters and four annexes with cases and other resources.

[Chapter 1](#) provides an overview of experiences with civil society that are drawn from World Bank staff, other international agencies, governments that work in conjunction with World Bank staff, and other stakeholders. Chapter 1 discusses the different roles of the Bank within these consultations, and provides specific definitions of consultation and stakeholders. Chapter 1 is intended to provide an overall context for Bank consultations.

[Chapter 2](#) provides a step-by-step approach to designing consultation processes. It is not intended to be a blueprint for the consultation process, but rather a menu of options from which to consider and choose based on best practices and on the type of consultation that is envisioned. It emphasizes the importance of a systematic approach to consultation design, including careful documentation of lessons learned, so that others who follow may be able to conduct successful consultations.

Readers are urged to use this *Sourcebook* according to their particular needs or individual learning style. Some may wish to read it from beginning to end. Others may prefer to

begin with a specific session summary, box, article, or annex and to follow the links to different sections. In the electronic version of this *Sourcebook*, hotlinks are provided to different sections of the document and to other web sources.

Training and advice or support are available from the Civil Society Team, [civilsociety@worldbank.org](mailto:civilsociety@worldbank.org). Comments on the *Sourcebook* can be directed to the Civil Society Team at [civilsociety@worldbank.org](mailto:civilsociety@worldbank.org).

Icons throughout the *Sourcebook* provide a guide to specific types of information. These icons include the following:



**Case example illustrated in the document.**



**Link to further information (PDF file or as a website).**



**Tips, checklists, or suggestions.**

## **Abbreviations and Acronyms**

CAS	Country Assistance Strategy
CBO	Community Based Organizations
CDF	Comprehensive Development Framework
CSO	Civil Society Organizations
ESSD	Environment and Socially Sustainable Development Network
EXT	External Affairs Department
NGO	Nongovernmental organizations
NPO	Nonprofit or Not-for-profit organizations
PPO	People's organizations
PPA	Participatory Poverty Assessment
PRSP	Poverty Reduction Strategy Paper
PVO	Private Voluntary Organizations
SDV	Social Development Department
WDR	World Development Report

## Chapter 1: Overview of Consultations with Civil Society

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This chapter provides an overview of experiences with civil society that are drawn from World Bank staff, other international agencies, client governments, and other stakeholders in the Bank consultation processes. The chapter discusses the different roles of the Bank in these consultations, and provides definitions of consultations and stakeholders.

### WHAT IS THE BANK'S EXPERIENCE OF CONSULTATIONS WITH CIVIL SOCIETY ORGANIZATIONS?

Since the early 1990s, much progress has been made in consulting with civil society organizations (CSOs) in World Bank-financed projects and policy work. (A definition of civil society organizations is offered in the following box.) Such consultations, when properly organized, have generally been recognized to have improved the quality of policymaking, positively influenced the direction of country programs, strengthened national ownership of key reforms, and contributed to the promotion of public-sector transparency and accountability. CSOs can provide essential local knowledge that is vital to the policy process and that gives voice to the opinions and experiences of the poor. These contributions, recognized in the Bank's [Comprehensive Development Framework](#) and the [Poverty Reduction Strategies Papers \(PRSP\)](#), place partnerships among governments, civil society, and the private sector at the center of policy design and development planning. CSOs also play increasingly important roles in influencing national strategy and policy, projects, and policymaking on global issues.

Consultations are part of broader participatory processes. They can take place in any stage of the policy and project cycle, leading to new or existing processes of participation and civic engagement. Consultations with civil society range from local level meetings aimed at obtaining feedback or reaching consensus on specific projects to national-level fora on development policy, and finally to global and regional reviews of Bank operational policies or sector strategies. Growing experience with consultations has also yielded practical advice on how to make these processes more effective.

Consultations with civil society have reshaped development projects and helped to define priorities. At the project level, participation by CSOs has extended from input into design and analysis of projects to implementation and monitoring of those projects. At the policy level, CSOs have participated in the formulation, implementation, monitoring and evaluation of national and sectoral strategies and policies.

Civil society consultation is a complex process that the Bank and client governments must handle with sensitivity. Poorly planned consultations can lead to poor results, frustration on all sides, and "consultation fatigue." However, with a commitment to

making the process work and a modest investment of time and resources in properly designing and conducting consultations, these processes can yield constructive inputs that improve policies, strategies, and projects.



### Definition of Civil Society Organizations

The Bank uses the term *civil society organizations* or *CSOs* to refer to the wide array of *nongovernmental and not-for-profit* organizations that have a presence in public life and express the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. This definition of civil society, which has gained currency in recent years in academic and international development circles, refers to the sphere *outside* the family, the state, and the market. This excludes for-profit businesses, although professional associations or business federations may be included.

There has been a deliberate shift away from use of the term *nongovernmental organization (NGO)*, which refers more narrowly to professional, intermediary and nonprofit organizations that advocate and/or provide services in the areas of economic and social development, human rights, welfare, and emergency relief. The Bank traditionally has focused on NGOs in its operations and dialogue, given their prominent role in development activities. Today, however, there is general acceptance that the Bank must reach out more broadly to CSOs, including not just NGOs, but also trade unions, community-based organizations, social movements, faith-based institutions, charitable organizations, research centers, foundations, student organizations, professional associations, and many others.

Civil society has been described as the arena in which people come together to pursue interests they hold in common - not for profit or for the exercise of political power, but because they care enough about something to take collective action in the public arena.<sup>1</sup>

Source: The World Bank, "Draft Paper on Issues and Options for Improving Engagement Between the World Bank and Civil Society Organizations," Civil Society Team, External Affairs Vice Presidency and Environmentally and Socially Sustainable Development Vice Presidency, October 24, 2003.

## WHAT IS THE DEFINITION OF A CONSULTATION?

Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. It is a deliberation, discussion, and dialogue. A consultation has as its objective the seeking of information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The organizer seeks to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented. Providing and sharing information is seen as the foundation of an effective consultation process. Although consultation per se does not grant stakeholders a high degree of influence, the consultation can lay the groundwork for active civic engagement.

<sup>1</sup> Alan Fowler noted that by this definition, not all forces present in civil society play a positive role in development. Organizations that favor social or cultural segregation or have links to organized crime are among those examples. See Alan Fowler (2000)..

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**Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups.**

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The primary purposes of organizing consultations are to:

- ✓ Improve the quality of decisions by capturing the experience of specialized civil society organizations and other similar groups;
- ✓ Tap the knowledge of CSOs that work at the community level;
- ✓ Give voice to the poor and the excluded by consulting with CSOs whose membership comprises such groups;
- ✓ Promote sustainability for proposed reforms, projects, programs, and policies beyond any given government administration;
- ✓ Appreciate the range and the variation in the needs of different population groups, including gender, ethnic, socio-economic, or geographical variations;
- ✓ Set the foundation for broad-based participation in the ensuing design and implementation of development interventions; and
- ✓ Assist governments in increasing transparency, public understanding and citizen involvement in development decision making.

It is appropriate for the Bank to advocate to member governments that they use participatory approaches in the selection, design, implementation and evaluation of development programs, on the grounds that such participation enhances development effectiveness. It also is appropriate for Bank staff to advise governments to allow and foster a strong civil society that can participate in public affairs.<sup>2</sup>

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<sup>2</sup> The World Bank, General Counsel (1995).



### A Perspective on Stakeholder Consultations

Civil society around the globe is influencing the shape and direction of development. Alliances and partnerships for change are formed within and across countries, regions, sectors, and constituencies. Within the Bank, consultation with CSOs is not a question anymore, it is expected practice in the development of projects, programs, policies, and strategies.

However, the terms for this participation are confusing. “Consultation” and “participation” both have been used to refer to a range of interactions with civil society organizations and other stakeholders. The term “civic engagement” also is used in a similarly flexible manner. Bank staff gather data, provide information, communicate messages, take suggestions, build consensus, look for validation, and negotiate with stakeholders, all under the umbrella of consultation and participation. Whereas some overlap is unavoidable, confusing these three types of interaction means that we remain unclear about our own goals and approaches, and create unrealistic expectations among key stakeholders.

In the context of development, consultation:

- Is deliberation, discussion, and dialogue. It is seeking information and advice and takes into consideration opinions, facts, and interests on specific issues, policies, strategies, or projects.
- Is a process through which subjects/topics of interest are discussed within or across constituency groups.
- It can have a range of objectives, from gathering information, validation, providing feedback, to building consensus.
- It can be productive, increase awareness or create frustration, and confirm previously held stereotypes and assumptions about other stakeholders.

Consultations with civil society associated with Bank strategies and policies can:

- Improve the quality of policymaking;
- Positively influence the direction of country programs;
- Strengthen the national ownership of key reforms;
- Contribute to the promotion of public-sector transparency and accountability;
- Provide essential local knowledge in the policy process or in project development;
- Give voice to the opinions and experiences of groups that have been traditionally excluded;
- Are financed, facilitated or organized by the Bank, or any other key stakeholder with the Bank being invited (or not) to participate;
- Are organized or supported for different purposes, e.g., for design/re-design of projects and programs; for policy/strategy development or review; for building consensus, improving outreach, receiving feedback.

Source: Siddiqi, Najma. “Stakeholder Consultations: Understanding the Terms We Use” from a Stakeholder Consultation Workshop sponsored by The World Bank, March 19, 2003.

## WHAT ARE THE BANK’S ROLES IN THE CONSULTATION PROCESS?

Understanding the role of the Bank – as a facilitator, convener, or decision maker – is a crucial element to any effective consultation. Often, the Bank’s role dictates the objectives of the consultation and processes or methodologies used. When consulting on World Bank policies, however, the staff takes an active role in convening and participating in the consultations.

When a government is the decision maker, the Bank may act as a **facilitator** for the consultation process, convening the relevant actors, assisting governments and CSOs in the consultation process, and ensuring that relevant input from CSOs is adequately incorporated. As a facilitator, the Bank recognizes its accountability, but not as the owner of the consultation process. The Bank plays the role of a facilitator in implementing projects, programmatic and adjustment operations, and Poverty Reduction Strategy Papers (PRSPs). In these cases, the Bank usually remains in the background while supporting a healthy dialogue among governments, business, and civil society.

In others, it may be appropriate to participate in the dialogue as an **interlocutor**. As an interlocutor, the Bank recognizes its ownership and, therefore, its full accountability for the consultation. The Bank plays the role of an interlocutor in consultations for developing a Country Assistance Strategy (CAS), in economic sector work, Bank policies, and sectoral strategies.



#### **Roles, Functions, and Skills of Bank Staff**

##### **Facilitator**

- Assessing the context,
- Promoting dialogue,
- Disseminating information in timely manner,
- Identifying convergence and divergence,
- Facilitating meetings, and
- Advising the organizer.

##### **Interlocutor**

- Informing,
- Listening,
- Clarifying,
- Recording, and
- Reporting to decision makers and participants.

##### **Key points:**

- Consultations are about active listening, not negotiating;
- Providing feedback to participants is key to successful consultations;
- Lessons from one consultation build into the next;
- Another consultation or other participatory processes will always follow;
- Do not contradict the purpose of the consultation; and
- The subject matter may be emotionally close to you - separate personal from business.

Sources: Mitchell, Paul and William Reuben, "Presentation from the Multi-Stakeholder Consultation Workshop," sponsored by The World Bank, Washington, D. C., March 19, 2003.

## WHAT ARE SOME EXAMPLES OF CONSULTATIONS?

The following section is not intended as a systematic review of all the Bank related consultations with civil society. Rather, it is a brief overview of different ways in which consultations have been used for communication, quality enhancement, and consensus building. The consultation process also needs to take into account the Bank's role as the entry point for the consultation.

### Consultations at the Global Level

Global consultations, organized by the Bank, often begin as national forums that are then conducted in other countries or as regional consultations that bring together national representatives. Many of these consultations are organized in partnership with a CSO.

Global consultations provide the Bank with an opportunity to link broad sector strategies that affect many nations to more specific national-level concerns about these issues. For example, in 1998, when the Bank reassessed its forest implementation strategy, Bank staff used stakeholder meetings within client countries as forums for its forestry sector consultations (see Annex A). This level of participation in other Bank activities enhanced the Bank's analysis of current thinking on particular subtopics of interest.

The expanding use of information technology has also facilitated a form of consultative process in which the Bank posts materials on its external website and invites comments on those materials from the public. In some cases, the Bank has organized electronic dialogues focused on specific themes. The *World Development Report* is one of many global consultations that the Bank has organized (see box).



#### World Development Report – A Global Consultation

The World Bank and Public World, a London-based international, nonprofit business focused on the social and labor dimensions of privatization and public service reform, co-hosted a consultation on the Bank's draft version of the *World Development Report 2004*. This consultation consisted of a moderated electronic discussion on the draft report, which focused on implementing effective services for poor people. The electronic discussion took place during a 7-week period from April 14, 2003 through May 30, 2003, and provided an opportunity for a wide range of stakeholders from government, business, and civil society to exchange views about the content of the draft report.

(Link to [World Development Report website](#) and link to [consultation process note](#).)

### Consultations at the Regional or Multi-Country Level

Development issues are not necessarily seen as single-country issues. As a result, strategies and projects often encompass multiple countries, and some global consultations will encompass a consultation strategy at the regional level. Depending

on the objective, consultation processes take on different forms, time periods, and institutional arrangements. The Bank may be an initiator or a partner in these consultations, and in most cases, civil society is actively consulted. Consultations often occur when the Bank develops subregional strategies, reports, issues, and regional sector strategies. The Nile Basin Initiative, described in the next box, is an example of a regional consultation.



### **Nile Basin Initiative**

The [Nile Basin Initiative](#), launched in February 1999, is a regional partnership within which countries of the Nile basin jointly pursue the long-term development and management of Nile waters. The initiative is developing a basin-wide framework and is guided by the countries' shared vision. The Nile Basin Initiative is comprised of a Council of Ministers of Water Affairs of the Nile Basin, Technical Advisory Committee, and a [Secretariat](#) located in Uganda. See links for website example of Terms of Reference for the Technical Advisory Committee and Secretariat of this organization.

A Nile Basin Discourse was developed to respond to challenges for involving the public in the development of the basin-wide framework. The Initiative is comprised of government representatives from the 10 riparian countries. To ensure that development strategies for the Nile Basin reflect input from multiple constituencies of civil society, a structure for governance was proposed. This project is expected to result in a working relationship between civil society and the Nile Basin Initiative Secretariat that enhances communication and information flow among interested and affected parties on issues relevant to the Nile Basin and engages civil society organizations in the Initiative's projects.

The governance structure includes a General Assembly – the major Nile Basin Discourse body - that would meet approximately every 2 years to approve an overall program and to discuss general policy issues. The General Assembly would comprise 30 elected civil society representatives - three from each country – as well as five international representatives and co-conveners and core donors.

### **World Bank Role**

In 1997, the Nile Council of Ministers requested The World Bank to coordinate donor involvement and establish a consultative group to raise financing for cooperative projects. The Bank agreed to support the Nile Basin Initiative in partnership with the United Nations Development Program and the Canadian International Development Agency, organizations that had long been active in the region. The Bank emphasized the need for all riparian countries to be parties to an inclusive and constructive dialogue anchored in a shared vision for the Basin. Since 1997, the Bank has worked to facilitate a dialogue among the riparian countries on cooperative water resources management and an action plan.

The Bank's efforts have supported the development of the governance structure that is now proposed for the Nile Basin Initiative. In June 2001, the World Bank chaired a meeting of international donors, at the request of the Nile Council of Ministers, to raise financing for Nile Basin Initiative projects.

The World Bank contributed \$15 million to this regional consultative initiative. The project was designed to build the confidence of the stakeholders to more effectively involve civil society with government decision making, and to serve as a model for technical projects. The project represented a continuum, starting with public outreach and strengthening the capacities of neighboring countries in the technical, cultural, and social realms.

Sources: Nile Basin Initiative website, [www.nilebasin.org](http://www.nilebasin.org); and interview with Paula Donnelly-Roark, Africa Region, The World Bank, Washington, D.C., 2003.

## Consultations at the Country or National Level

Consultations at the country or national level are usually managed by the Bank or by the government, but may be facilitated or organized by a CSO. Soliciting information, inputs, and feedback from beneficiaries and other stakeholders are crucial elements in supporting far-reaching participation and in developing a sense of ownership of the priorities, actions, and outcomes for strategies, projects, or issues. These consultations may provide guidance for strategy documents, policies, country-specific issues, reports, or projects. What follows are descriptions of CAS consultations that are managed by the Bank and PRSP consultations that are owned and driven by the country.

## Country Assistance Strategies

Bank directives concerning Country Assistance Strategies (CAS) encourage the participation of governments, civil society, the private sector, and other stakeholders in the preparation of a CAS. A CAS document contains a description of the country's priorities and the composition of assistance required. The Bank manages the CAS consultations and may contract out one or more CSOs to organize the consultation process (see box for example of Philippines CAS). In the CAS consultation, the Bank is fully accountable for the outcome because the CAS is a Bank-owned document.



### Civil society consultations for the [Philippines](#) CAS

With more than 75,000 CSOs in the Philippines, careful selection proved crucial to the success of CAS consultations with civil society in 1999. These consultations were carried out over several months in conjunction with an informal CSO advisory group, and facilitated by an independent, respected CSO called "Co-Train Multiversity." Meetings were organized in four regions of the country and in the capital of Manila, and regular feedback on both process and outputs was provided to participants so that the CAS could be valued as a living document. Bank facilitators synthesized CSO comments and presented them to the government. The government's reactions were then fed back to those who had contributed their thoughts and comments. Bank staff and a large number of CSOs in the Philippines spoke highly of the process and the difference it has made to the quality of the CAS, and also to the commitment of the government to implement the recommendations.

Source: Lytle, Paula, "Consultations with Civil Society: A Sourcebook Working Document," Social Development Department, The World Bank, Washington, D. C., August 2001.


[Click here for links to other examples of CAS consultations.](#)

Civil society involvement has been considered increasingly important in this process. The percentage of CAS documents prepared with civil society participation improved substantially soon after the Bank's CAS disclosure policy went into effect in 1998. Over the last 3 years civil society involvement increased from 20 percent in fiscal year 1998 to 80 percent or more in each of fiscal years 2000 and 2001.

Some of these consultations have been quite extensive, involving a broad range of people, including the poor and the excluded. Various participatory techniques have

been used to assess developmental priorities for the CAS. See “[World Bank-Civil Society Collaboration Progress Report for Fiscal Years 2000 and 2001](#)” for a listing of CAS documents prepared with civil society participation,<sup>3</sup> and see the following box for an example of a participatory CAS.

In the development of a CAS for Poland in 2001, the consultation process was based on a series of strategies that focused not only meetings with stakeholders, but also encompassed a baseline opinion survey of stakeholders, in-depth interviews with people familiar with the Bank’s work in Poland, and electronic consultations ([see Annex A](#)). These extensive consultations tend to produce concrete outcomes. In the case of Poland, the Bank’s extensive consultation process resulted in a number of modifications to the CAS draft document, and the analysis of Polish poverty was substantially changed as a result of these consultations. The Bank’s staff also made modifications on its analysis of gender issues, labor markets, education, health, balanced infrastructure and environment.



**Participatory Country Assistance Strategy**

Based on the recent experience of a participatory process carried out for the formulation of the CAS for Colombia in 1996 and 1997, Jairo Arboleda shares this case study, which describes the process and identifies key factors for a successful participatory process. Main features of the process included:

- *Planning*: A carefully designed plan of action to carry out the collective construction of the CAS.
- *Teamwork*: Working together in an environment of open dialogue and democratic, responsible coordination.
- *Inclusion*: The process was characterized by an explicit effort to involve key stakeholders interested in Colombia - national and regional governments, representatives from eight segments of civil society (base organizations, unions, NGOs, churches, the media, business associations, political representatives, and academics), and The World Bank.
- *Clear Rules*: The rules of the game were defined and fulfilled. The plan of action included the identification and definition of roles and expectations. Clarity of expectations was particularly critical for members of civil society.
- *Methodology*: Each of the workshops and follow-up work sessions had a specific design and methodology tailored to the nature of the objective and participants. A common feature was the opportunity for every participant in the various activities to directly express his or her point of view and ideas.
- *Experienced facilitators*: Experienced trainers and facilitators designed and conducted each event.

Link to Arboleda, Jairo, “[Participatory Country Assistance Strategy in Colombia: A Case Study](#),” Social Development Department, The World Bank, Washington, D.C., October 1999.

### **Poverty Reduction Strategy Papers**

The [Poverty Reduction Strategy Papers](#) (PRSPs) are country-driven, and therefore, managed and owned by the country. They are developed with the participation of civil society, including private businesses. The participatory process envisaged for PRSPs is extensive, involving civil society in the diagnosis of poverty, the choice of

<sup>3</sup> The World Bank, NGO and Civil Society Unit (2001 and 2002).

public action to address that poverty, and the monitoring and evaluation of poverty reduction outcomes. Consultation plays a substantial role in this process.

Georgia's consultations on a Poverty Reduction and Economic Growth Program (PREGP) is one example of an innovative approach to consultations on a poverty reduction strategy. In 2001, the Georgia government, with support from the Bank, designed a comprehensive participation and consultation process to solicit input from CSOs on both the Interim Document of the PREGP and on the draft of the final PREGP (see Annex A). This process involved meetings, debates, technical workshops, and Internet discussions, as well as establishment of a comprehensive communications strategy about this process that provided a framework for all the consultation methods. The results of these efforts were pronounced. One of the most profound impacts occurred in the overall poverty reduction strategy that the Georgia government decided to pursue. The structure and principles of formulating that strategy changed after consultations, and the public debates were instrumental in emphasizing the causal underpinnings of poverty.

Although there is no blueprint for a PRSP consultation, certain common elements exist. Among these elements, certain steps ensure that a country obtains adequate participation of key stakeholders, including government and nongovernmental groups, the private sector, parliamentarians, and other elected representatives. A civil society consultation strategy for PRSP may describe:

- ✓ The format, frequency, and location of consultations;
- ✓ A summary of the main issues raised and the views of participants;
- ✓ An account of the impact of these consultations on the design of the strategy; and
- ✓ A discussion of the role of civil society in the implementation, monitoring and evaluation of poverty reduction strategies.

Consultations with civil society and other stakeholders will be followed by the participation of stakeholders in formulation, implementation, monitoring and evaluation of the PRSP. Consultations should be planned with this in mind.



[Click here for examples of participatory approaches in PRSP consultations.](#)

### **Consultations on Projects**

Consultations with CSOs on proposed projects occur with increasing frequency and at different stages in the project cycle. In most instances, the basic framework is in place by the time the project is prepared. Thus, consultations are used to modify the framework. In some cases, however, key components of a project are revised as a result of the consultation process, as the following box illustrates.



### **Community Consultation for Development Projects**

Consulting the community about the agenda for development projects does work and serves to enhance social and economic development. Consultation that goes beyond eliciting informed consent and involves poor men, women, and youth in decision making is usually effective, efficient, and equitable. Community consultation enlarges people's range of choices. When people are consulted about projects and use their own knowledge to shape projects, they find ways to make them effective and productive. But institutionalizing consultative methods is difficult for everyone concerned. Donors have to rethink funding procedures and standards of accountability; state agencies have to reorganize internal structures; project managers have to learn more about the diversity of actors, interests, and conflicts in communities, and usually find ways to cooperate with existing local organizations. At the same time, community consultation enhances men's and women's capacity to organize themselves to address their own challenges and opportunities.

Source: Schwartz, Norman, and Anne Deruyttere, "Community Consultation, Sustainable Development and the Inter-American Development Bank: A Concept Paper." Inter-American Development Bank, Washington, D.C., 1996 Available online at <http://www.iadb.org/sds/doc/Ind%2D101e%2Epdf.pdf>.

A consultation may be designed as a means for managing conflict prior to a project's inception, particularly when that project is controversial. In the La Serna bridge project in Argentina, a group opposing the construction of a bridge in Buenos Aires in 1999 voiced strong objections, threatening to present their complaints to the Inspection Panel. The World Bank proposed to the municipality that it convene a public hearing, which was subsequently organized by a CSO. In other cases, consultations have been undertaken in response to failed implementation efforts or protests over an existing project. In the Planaflores case in Brazil, the original Amazon Basin project was redesigned following such a consultation in 1996. In some of these cases, however, stakeholders dissatisfied with initial project implementation must take on additional responsibilities for implementing the redesigned project. The Bank reached such an agreement with stakeholders in the Planaflores case.



[Click here for examples of project consultations.](#)



### Environmental Assessments

The Bank's Operational Directive on Environmental Assessment (OD 4.01) requires that "the borrower consults project-affected groups and local nongovernmental organizations about the project's environmental aspects and takes their views into account." OD 4.01 also requires that relevant information be provided to local affected groups, such as a summary of the proposed project and its potential positive and negative effects. Once a draft environmental assessment has been prepared, information to be disseminated should include a summary of conclusions and a discussion of recommended mitigating activities and plans. Environmental assessments also usually include a record of consultations and are made available for public scrutiny.

Public consultations conducted as part of environmental assessments have reshaped certain projects by identifying potentially negative social and environmental impacts not anticipated by the team. Elements of a waste management project in Grenada, for example, were changed to protect an endangered species that would have been affected by a proposed landfill. A water management project in Brazil was modified to protect access of an artisan community to clay deposits.

Link to [Environmental Assessment Website](#).

## WHY CONSULT WITH STAKEHOLDERS?

Stakeholders can be national or local governments, beneficiary groups, other interested groups, or the Bank itself. They can be individuals, communities, social groups, NGOs, or other CSOs. Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (for example, those involuntarily resettled). Secondary stakeholders are the intermediaries in the aid delivery process. This definition of stakeholders includes both winners and losers, and those involved or excluded from decision-making processes.<sup>4</sup>

Stakeholder consultation does, however, entail a number of costs and risks to both the Bank and to stakeholders that should be considered in designing the consultation process. These include:

- The risk of inefficiency and grid-lock, and financial, time, and opportunity costs of identifying and engaging with stakeholders;
- The difficulty in ensuring stakeholder groups are representative and are expressing the real priorities of the people they are meant to represent;
- The risk of generating or aggravating conflicts among stakeholders with different priorities and interests;
- Risks of raising expectations which may prove impossible to fulfill;
- Cooptation of the process by powerful and more articulate elites to the exclusion of the poor and disadvantaged.

See [Chapter 2](#) for more information on stakeholder identification and participation.

<sup>4</sup> Overseas Development Administration, (1995).

## WHOSE PERSPECTIVES SHOULD BE INCLUDED?

It is important to elicit the views of the unorganized poor, the women, indigenous peoples, and others who often may be a silent majority. Special consideration should be given to those populations that have been traditionally excluded, such as women, indigenous peoples, people with disabilities, and youth. Other groups, like trade unions and issue focused groups, may also have a high stake in the results of the consultation.

Identification of stakeholders must also include ranking by relative power or kinds of power that groups represent to ensure that less powerful stakeholders receive the benefits of any project or policy. One example would be the inclusion of poor people in consultations on projects that will improve their quality of life, as is highlighted in the following examples.



### **Stakeholder Consultation Targets the Rural Poor**

To address the disparity in health status indicators between urban and rural populations in China, the World Bank supported a health project in China in 2001 that introduced a systematic but rapid process of consultation and feedback among selected beneficiary communities. Consultations for this project were conducted because the involvement of key stakeholders at all levels was essential given the number of social and institutional concerns in the project. The development of a responsive, population-oriented health care system meant that understanding the diverse needs of the beneficiaries was central to the long-term success of the project.

Stakeholder involvement was extensive and included consultations with governmental departments of planning, finance, poverty alleviation, personnel, and education, as well as civil society groups such as the All China Women's Federation and the Red Cross. A variety of participatory methods were used in the process, including a social assessment in both the preparation and implementation phases. Other methods included an exchange of views among different government agencies, a household survey used as a baseline analysis, consultation to obtain consumer feedback, field visits, and focus group discussions with multi-stakeholders. Views from minority nationalities also figured prominently in the consultations.

Link to Environmentally and Socially Sustainable Development Network, "Stakeholder Participation Targets the Rural Poor: China Basic Health Project," *Social Development Note 53* (March), The World Bank, Washington, D.C., 2001.



### Listening to the Poor

Development may be seen as a process of increasing the options available to improve living conditions. Developmental interventions are most effective when based on an understanding of how poor men and women are living, what survival strategies they are pursuing, and what survival strategies they choose not to or cannot pursue. The more promising of the strategies that they follow may well be enhanced to serve as foundations for poverty reduction activities. If certain groups are unable to employ survival strategies that work for others, the reasons for this failure should be examined and solutions proposed. These reasons may include legal or societal prohibitions against land ownership, prohibitions against certain kinds of work for women, or other barriers associated with low-ranking social groups.

Useful insights can be provided by more clearly ascertaining what kind of material and socio-cultural constraints poor people experience, and what sort of changes, if any, would help reduce their poverty. As potential or actual users of government services, the poor can assess the value of these services; and comparing women's and men's assessments can yield useful information about their impact and effectiveness. What do the poor think of the local health center and its family planning services, the local school and day care center? What do local residents think of the male and female extension workers in rural areas and community development officers in urban areas?

The different ways in which female, male, old, and young poor people of different religious and ethnic groups perceive the services intended for them is a crucial indicator of the worth of these services, the extent to which they will be used and who will be using them. This information should provide valuable feedback to planners and managers interested in improving and reevaluating the quality and impact of public services for the poor.

Finally, do the poor have a strategy for getting out of poverty? What skills do they feel would be the most beneficial? Do they perceive a lack of or the absence of representation? Do the barriers to a better life result from lack of material resources, the inability to obtain an education for their children, or the inability to transport to products to the market? Listening to the poor about the world as they perceive it should be an important building block in laying the foundation for sustainable policies for poverty reduction.

Source: Salmen, Lawrence F., "Participatory Poverty Assessment Incorporating Poor People's Perspectives into Poverty Assessment Work," Environmentally and Socially Sustainable Development Network, *Social Development Paper* 11 (August), The World Bank, Washington, D.C., 1995.

Understanding the values and cultures of stakeholders could determine how outreach and consultations will be conducted. Tailoring the consultation according to specific focus groups requires an understanding the context and the use of innovative methods. The following section provides some ideas and information on specific groups, including indigenous peoples, women, youth, and trade unions.

### Recognizing Indigenous Peoples as Partners in Development<sup>5</sup>

The Bank recognizes that Indigenous Peoples are commonly among the most marginalized and vulnerable populations, and that in many countries they have not fully benefited from the development process. The Bank, however, approaches

<sup>5</sup> Interview with Navin Rai, Social Development Department, The World Bank, March 2003.

Indigenous Peoples as partners in the development process who can make substantial contributions not only to their own, but to global development.

The Bank also recognizes that the identities, cultures, lands and resources of Indigenous Peoples are uniquely intertwined and especially vulnerable to changes caused by development programs.

The term “Indigenous Peoples” describes social groups with a social and cultural identity that is distinct from dominant groups in the national society. The economic, social, legal, and political status of such groups often limits their capacity to defend their interests and rights to land and other productive resources and restricts their ability to participate in and benefit from development.

Consultations with Indigenous Peoples organizations and community members affected by Bank-assisted projects are critical steps for both the borrower and the Bank during project preparation, particularly in its initial phase. To facilitate meaningful consultation, it is important for the borrower to establish an appropriate gender and generational framework for consultation between the borrower and Indigenous Peoples. The framework provides opportunities for consultations during project preparation among the borrower, the Indigenous Peoples, and organizations representing Indigenous Peoples. The framework also provides opportunities to include other local nongovernmental organizations identified by Indigenous Peoples in the consultation.

The framework also identifies consultation methods appropriate to the social and cultural values of Indigenous Peoples and their local conditions. Such consultation methods, including the use of indigenous languages, allowing time for consensus-building, and selecting appropriate venues, facilitates the ability of Indigenous Peoples to articulate their views and preferences. Special attention is given in designing these methods to the concerns of women and their children and their access to development benefits and opportunities.

The framework also provides Indigenous Peoples with all relevant information, including an assessment of potential adverse effects of the project, in a culturally appropriate manner and during early stages of project preparation. Finally, the framework provides a written record of such consultations, including any formal agreements reached with Indigenous Peoples or their organizations concerning their participation in the project.

### **Resources on Indigenous Peoples Issues**

The World Bank Indigenous Peoples Website includes the Draft Operational Policy (OP) 4.10 on Indigenous Peoples and the Consultation Process:

<http://www.worldbank.org/indigenous>

*The World Bank Participation Sourcebook*, contains a note, “Participation and Indigenous Peoples,” based on a paper written by Shelton H. Davis and Lars T. Soeftestad:

<http://www.worldbank.org/wbi/sourcebook/sba212.htm>

The International Work Group for Indigenous Affairs is an independent international membership organization whose aim is to support Indigenous Peoples’ struggle for human rights, self-determination, right to territory, control of land and resources, cultural integrity, and the right to development:

<http://www.iwgia.org/>.

### Facilitating Women’s Participation by Seeking their Views<sup>6</sup>

Making an effort to engage and involve women can bring significant returns. Over and over, the development community has found that women’s groups have proved to be one of the most effective entry points for initiating activities and reaching poor households. Among the poor, women are over represented. Therefore, in efforts to reach the poor, it is important to recognize that some issues and constraints related to participation are gender-specific and stem from the fact that men and women play different roles, have different aspirations and needs, and face different constraints on a number of different levels.

Because of such differences, we cannot assume that women will automatically benefit from efforts to involve poor people in project design and implementation. On the contrary, experience has made clear that, unless specific steps are taken to ensure that women participate and benefit, they usually do not.

#### **Constraints to Women’s Participation**

When planning a consultation with women, keep in mind some of the factors that may serve as constraints to their participation:

- *Socio-cultural constraints:* In seeking the participation of women in development activities, sensitivity is needed on the social and cultural barriers that may inhibit women’s participation. For example, there may be power imbalances in communities that affect who participates in specific meetings and outside officials may only invite male community leaders to participate in consultations. Some women may also find it difficult to speak out in front of their husbands or fathers.
- *Time and mobility constraints:* Men and women have different responsibilities and work loads, with women often having less time to devote to new activities. As women’s domestic responsibilities often require them to stay close to the home, lack of mobility may also be a constraint.
- *Legal and regulatory constraints:* Legal restrictions in some countries prevent women from participating in formal labor markets or holding certain occupations.
- *Capacities and abilities:* Given gender biases in some educational systems, women and men often have varying literacy levels. Men and women may also

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<sup>6</sup> Adapted from many publications of The World Bank’s NGO/Civil Society Unit, Social Development Department, including *The World Bank Participation Sourcebook*, (1996).

have different levels of confidence in putting ideas forward, negotiating or dealing with new ideas and people.

Often the first step toward determining appropriate measures or supporting women's participation is to obtain good information about gender roles, needs, activities, access to and control over resources, existing institutions, and the constraints operating against women's participation. This can be done through gender analysis, which, if effective, elicits the views of women and often involves gender awareness training for facilitators or interviewers. A link to a Terms of Reference for a consultant to develop a framework for improving women's voice in a project is provided in the box below. Some practical measures to facilitate women's participation include:

- Being aware, sensitive, and knowledgeable about the socio-cultural issues;
- Developing skills or identifying members with gender expertise on the consultation team to facilitate gender-sensitive consultation processes;
- Carrying out preliminary stakeholder analysis that identifies appropriate roles of women and men and constraints to participation in the consultation processes;
- Consulting with women's groups who have been active in promoting women's issues at the national and community level;
- Conducting separate consultations with women's groups;
- Using appropriate approaches for information dissemination, outreach, and consultation;
- Providing child-care facilities;
- Scheduling meetings at appropriate times and at suitable venues;
- Supporting the issues raised during the consultation process;
- Following up on priorities identified and issues that emerge;
- Evaluating the impact of participation and lessons learned of women in the consultation process.



#### **Terms of Reference for Women's Participation in Yemen Project**

Yemen has one of the highest gender inequality indexes in the world. This example of a terms of reference shows how the Port Cities Development Project aims to integrate women's voice and strengthen their decision-making role. A central feature of the Port Cities Development Project is institutionalizing a consultative process through a city development strategy and a partnership forum that is composed of key stakeholders, including representatives from private and public sectors, civil society, women's organizations, academics and technical experts.

Source: Interview with Meskerem Brhane, Middle East North Africa Region, The World Bank, Washington, D.C., 2003.

#### **Resources on Gender Issues**

The World Bank Gender Net:

[www.worldbank.org/gender](http://www.worldbank.org/gender)

The World Bank, policy document, BP 4.20, “Gender and Development,”:  
<http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/31425C7A0ECD6BF985256CEE00152B74?OpenDocument>

The World Bank, policy document, OP 4.20, “Gender and Development”:  
<http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/E8F5EDA29748A0038525672C007D0735?OpenDocument>

The World Bank, Gender and Social Assessment website:  
<http://www.worldbank.org/gender/assessment/>

The World Bank, *Social Analysis Sourcebook*:  
<http://www.worldbank.org/socialanalysissourcebook/>

The World Bank, *Participation Sourcebook*:  
<http://www.worldbank.org/wbi/sourcebook/sbhome.htm>

The World Bank, Gender and Transport website:  
<http://www.worldbank.org/gender/transport/Tools/tools.htm>

The World Bank, *Gender and Rural Development –Tools*:  
<http://inweb18.worldbank.org/ESSD/essdext.nsf/22ByDocName/ToolsWeUse>

Swedish International Development Cooperation Agency, *Participation and Equality Between Women and Men*:  
[http://www.acdi-cida.gc.ca/cida\\_ind.nsf/8949395286e4d3a58525641300568be1/4c60efc598b775ee8525699000162516?OpenDocument](http://www.acdi-cida.gc.ca/cida_ind.nsf/8949395286e4d3a58525641300568be1/4c60efc598b775ee8525699000162516?OpenDocument)

Department for International Development Cooperation, Finland, *Navigating Gender: A Framework and a Tool for Participatory Development*:  
[http://global.finland.fi/julkaisut/taustat/nav\\_gender/index.html](http://global.finland.fi/julkaisut/taustat/nav_gender/index.html)

### **Engaging Young People through Consultations<sup>7</sup>**

*It is imperative that youth from all parts of the world participate actively in all relevant levels of decision-making processes because it affects their lives today and has implications for their futures.*

Agenda 21 (Rio Earth Summit, 1992), Chapter 25.

Engaging youth in a meaningful way could result in an impact or contribution towards change; an increase in youth’s understanding of what impacts them; a valued place on youth opinions and perspectives, and building the capacity of youth to play

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<sup>7</sup>Adapted from several sources, including the personal experience of Yumi Sera, Social Development Department, The World Bank.

an effective role in future development processes. The Bank is currently undergoing a consultation process to develop a Bank-wide Children and Youth Strategy.

There are different ways that the Bank and governments can gain youth insight and input into their policy and decision-making processes. The Youth Summit Team of the Rio Earth Summit in 1992 issued a statement that said: “We want to be engaged in political processes rather than simply participate in them.”

The statement indicated that meaningful engagement includes:

- Youth should be recognized as vital to the consultation process;
- Relationships between adults and youth should be nurtured and trust built throughout the process and for the longer term;
- Inputs from youth should be seriously considered in the drafting of projects or papers; and
- Consultation processes must be transparent and accountable throughout.

Creative mechanisms for engaging youth include creating a safe space specifically for young people. This may include specific meetings around the consultations for and by youth to discuss issues of importance to them. Creative mechanisms may also include:

- Partnering with youth organizations that promote youth engagement and empowerment. The partner organizations may help to organize activities or may send representatives to meetings. Working through organizations is a more effective and sustainable strategy than targeting individual youth.
- Disseminating information in ways that will reach youth. This may include using simple, nontechnical language; focusing on issues that matter to them; targeting youth magazines or radio programs; and advertising in places frequented by youth.
- Involving youth in advisory groups or forming youth advisory groups. For example, the Peru Country Office established a model “Voces de Nuevas,” a group of young people, representing organizations and municipalities as an advisory group to the Country Office.
- Promoting youth-by-youth initiatives in which youth take the initiative – with guidance from adult mentors - in planning activities to engage other youth.
- Dialoguing with youth – create a space in the agenda where youth can speak to the leaders and policy makers. This should normally be a prepared speech that is a collaboration with other young people.
- Building the capacity of youth through training programs specifically aimed at their needs.

Among the enabling factors that encourage youth participation are the following:

- Shifting adults’ thinking about the capacity of young people to solve local problems;
- Commitment and support from adults and also from peers;
- Changing perceptions of young people toward adults;
- Recognizing that leadership and participation are not a factor of age;

- Understanding that by engaging youth in areas such as planning and implementation, evaluation, and decision-making, project results may be different that if they had been conducted by adults only; and
- Evaluating strategies to assess the effectiveness of different approaches to fostering youth participation.

### **Resources on Youth Groups**

The World Bank:

[World Bank Children and Youth site](#)

United Nations Youth Unit:

(<http://srch1.un.org/esa/socdev/unyin/links.htm>).

This site contains numerous links to websites of youth groups by country, by regional, and internationally.

Youth ActionNet:

([www.youthactionent.org](http://www.youthactionent.org)).

This is a website designed to inspire youth leadership and participation around the world.

Within a specific country, consultation planners can use several sources to identify relevant youth groups, including government-sponsored youth websites, youth ministries, intergovernmental youth-related organizations, youth-related organizations, United Nations agencies, youth information or research centers, youth voluntary service agencies, and youth-serving foundations.

### **Consulting with Unions<sup>8</sup>**

#### **Trade Unions Defined**

Trade unions are voluntary and independent organizations formed by workers for the purpose of defending their interests through collective bargaining. The United Nation's Universal Declaration of Human Rights classifies workers' rights as human rights. Various International Labor Organization conventions also have reaffirmed these rights.

#### **Trade Union Organizations**

The trade union movement is a very structured one. At the shop floor level, workers join union locals, which affiliate to national unions organized by sector. The various sectoral unions (e.g. carpenters, auto workers, public servants, miners, etc.) join national union federations, known as "umbrella unions" or "union centrals." These national union federations also typically affiliate with an international federation, most commonly the International Confederation of Free Trade Unions or the World Confederation of Labor. Union organizations also are grouped by sector at the international level, known as Global Union Federations.

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<sup>8</sup> Interview with Lawrence Egulu, International Confederation of Free Trade Unions, Washington, D.C., while on secondment to The World Bank from January to December 2003.

*International Confederation of Free Trade Unions:* The confederation is the largest organization, with 231 affiliated organizations in 150 countries and territories representing a total membership of 158 million. The confederation's three regional organizations are the African Regional Organization, based in Nairobi; the Inter-American Organization of Workers, based in Caracas; and the Asia-Pacific Regional Organization, based in Singapore. These organizations represent the trade union movement within regional, intergovernmental bodies. They also maintain relations with CSOs and other groups. More information can be found on the homepage, <http://www.icftu.org>.

*World Confederation of Labor:* The World Confederation of Labor, based on Christian social principles, unites 144 trade unions from 116 countries and has a membership of 26 million members. It has four regional organizations: *Organisation démocratique syndicale des travailleurs africains* for Africa; *Central Latinoamericano de trabajadores* for Latin America; Brotherhood of Asian Trade Unionists for Asia; and National Alliance of Postal and Federal Employees for North America. More information on the World Confederation of Labor is found at <http://www.cmt-wcl.org/>.

*Global Union Federations:* Global union federations have as members national unions, which represent workers from a specific sector, industry or occupation. While national union federations affiliate to the International Confederation of Free Trade Union or the World Labor Congress, national unions organized by sector affiliate to the Global Union Federations. These federations include the following:

- International Federation of Building and Wood Workers: <http://www.ifbww.org/>;
- Education International: <http://www.ei-ie.org/>;
- International Federation of Chemical, Energy, Mine and General Workers' Union: <http://www.icem.org/>;
- International Federation of Journalists: <http://www.ifj.org/>;
- International Metalworkers' Federation: <http://www.imfmetal.org/main/index.cfm>;
- International Transport Workers' Federation: <http://www.itf.org.uk/>;
- International Textile, Garment and Leather Workers' Federation: [www.itglwf.org](http://www.itglwf.org);
- International Union of Food, Agricultural, Hotel, Restaurant, Catering, Tobacco and Allied Workers' Association: <http://www.iuf.org/>;
- Public Services International: <http://www.world-psi.org/psi.nsf>; and
- Union Network International: <http://www.union-network.org/>

Field Code Changed

The International Confederation of Free Trade Union's Trade Union Advisory Committee to the Organization for Economic Cooperation and Development and the Global Union Federations are both part of the Global Unions Alliance. More information on global unions can be found at <http://www.global-unions.org/>.

### **The Bank's Relationship to Trade Unions**

Trade unions are economic as well as political actors that change power relationships between the creation and distribution of wealth. Trade unions are involved in the Bank's work in many ways - as workers and stakeholders in particular projects; as members of civil society concerned about social policy; and as voices in the global debate about poverty and development. The World Bank engages with trade unions in numerous ways - through consultations with union members who are stakeholders in Bank projects; national consultation with unions as members of civil society; international policy dialogue on economic and social issues; research on the economic effects of collective bargaining, and training programs for both Bank staff and trade unions. Meetings between the international trade union movement and the Bank have traditionally been held in Washington DC. More information on the ongoing dialogue between the World Bank, International Monetary Fund, and the international labor movement can be found on [www.worldbank.org/labormarkets](http://www.worldbank.org/labormarkets).

Unions add value to the consultation process because meaningful dialogue with trade unions enables workers to articulate their positions and to provide policy alternatives. Through these processes the threat of strikes or contract rejection can be minimized. In addition, including trade unions in consultations have the following benefits:

- Trade unions help workers provide representative voices during meetings;
- Trade unions contribute to the Bank's poverty reduction goal through various actions. Collective bargaining for productivity-related wage increases is the most direct contribution of trade unions to poverty reduction; and
- The policy priorities of unions are often targeted to the subjects of poverty-reduction consultations. These priorities include labor rights, employment generation, social justice, gender equality, good governance, social protection, and decent wages.

### **Characteristics of Union Consultations**

The structure of trade unions dictates the manner in which they participate in consultations. National union federations provide the first point of contact for country offices. Additional sector level information can be provided by the respective national unions.

Other key characteristics of consultations with trade unions include the following:

- *Bank-supported adjustment programs have significant impacts on union membership.* Because they were unable to influence past policies, a number of unions remain skeptical about The World Bank.
- *Trade unions are accustomed to bargaining.* Bank officials should be ready to negotiate. Unions present their views in a firm and persistent manner based on

their experiences with collective bargaining, but they are also cognizant of the “give and take” principle.

- *In some countries more than one national trade union federation exists.* While dealing with the most representative union is important, attempts should be made to reach out to other groups as well.
- *Restrictions on the freedom of association impedes the formation of independent unions.* Some governments prevent certain groups of workers from unionizing, such as workers in export processing zones, public service and armed forces. Government and/or employer interference in union matters is not uncommon.
- *Unions have limited human and financial capacity.* Unions in most developing and transition do not have adequate resources. Most unions do not have the requisite financial resources to do research and elaborate alternative development scenarios.
- *Trade unions in many developing countries lack ties with other CSOs.* Trade unionists see themselves as belonging to representative, democratic, and accountable organizations. They do not necessarily attribute the same qualities to other CSOs. Efforts should be made to reach out to unions separately, and invitations should be made to the union leadership.
- *All efforts* should be made to consult with unions in their own offices.

## **Chapter 2: Designing the Consultation Process**

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This chapter discusses the key elements to designing a consultation process. It is not intended to be a blueprint for the consultation process, but rather a menu of design options from which to choose. What is important is to be systematic about the approach to be used and to analyze and document the lessons learned from the consultation process so others who follow may be able to conduct successful consultations.

The most important factor to remember in CSO outreach efforts is that consultation is a process, not a one-off event. Consultation takes many forms and may include a series of techniques, methods, and activities. The selection of the techniques and activities depends on the consultation objectives, the types of organizations and individual to be consulted, and other variables. The activities associated with a consultation process will take place in stages, with each new activity building on the previous ones.

For a successful consultation, plan and act strategically. Investing in the planning will help in the long run. The old adage “if you fail to plan, you plan to fail” holds true for this important process. The planning phase entails a number of steps, which are discussed in the following sections. The planning team should consist of Bank staff, researchers, government officials, and key actors of civil society to share ownership of the design. Key principles in the consultation process are noted in the following box.



### Key Consultation Principles

- **Clarify the scope and objectives at the beginning:** The scope and purpose of the consultation must be clearly stated and agreed upon at the outset; otherwise, CSO expectations will be too high, and participants will become cynical. The 1998 Board paper on NGOs states that, “The principle is to conduct open-minded consultations, not to enter into negotiations.” It is appropriate to spell out whether everyone’s views will be incorporated; participants will have a chance to comment on future drafts or at other occasions; and whether the final product will be shared with participants.
- **Prepare to listen and be influenced:** Consultations can be and should be powerful and serious exercises; but they do not always lead to consensus. It is critically important that they be balanced and well facilitated; otherwise the Bank will be accused of window-dressing, and both CSO leaders and Bank management will question whether the time and resources were well spent.
- **Aim for ownership of all key stakeholders:** Consultations concerning national policy issues can only be effective if the government is as fully engaged in the process as the other stakeholders.
- **Don’t oversell.** If the objective is to conduct a single meeting with a limited number of organizations, don’t project that meeting as full-fledged consultations or imply in subsequent statements that civil society was consulted or that a participatory process was used. Consultations provide input to decision making, but do not guarantee influence. An ongoing process of consultation can build civil society capacity for participation, but this should not be confused with shared control over either the process or the outcomes.

Source: NGO and Civil Society Unit, Social Development Department, “Consultations with Civil Society Organizations, General Guidelines for World Bank Staff,” 2000.

## CLARIFYING OBJECTIVES AND PARAMETERS

Objectives describe what is to be achieved as a result of the consultation process. They focus on expected results - a clear end product. Consultation objectives are specific, in contrast to the general purposes of consultations, which were described in Chapter 1.



### Clarifying Objectives and Parameters

The following questions can assist in defining the objectives and parameters for the consultation process:

1. What is the desired outcome of the consultation?
2. Who will manage and/or facilitate the consultation? What roles will the Bank or governments play?
3. What financial and human resources are available for the consultation?
4. What information is required by civil society to ensure they are able to participate in an informed and meaningful way?
5. What information is required from civil society for effective participation in consultations?
6. Who will be consulted and who will be affected by the decisions resulting from the consultation?
7. What other related activities and consultations have occurred recently or may be planned that might be taken into account? How can you avoid consultation fatigue?
8. How will the information from the consultation be synthesized, analyzed and used? What will be the process for implementing decisions resulting from the consultation?
9. How will the outcomes of the consultation and the final decision be conveyed to the participants and to those with an interest?
10. How and when will an evaluation be carried out? What will be evaluated?

Source: Adapted with permission from Australian Capital Territory, Community Policy Unit, Office of Multicultural and community Affairs, Chief Minister's Department, *Consultation Manual 2001 Hands on Help for Planning Effective Consultation Strategies*.

When developing objectives for a consultation:

- Involve staff, government officials, and civil society stakeholders;
- Be realistic, don't promise more than what can be delivered; and
- Communicate objectives in a clear message to all stakeholders.

Clarifying and stating the objectives at the beginning will help to manage CSO expectations. The objectives may also spell out how views will be incorporated; how often participants can comment; and how the final product will be shared with participants. Clarifying the objectives is important since some CSOs could have unrealistic expectations or expectations that do not match the objectives of the organizers.



The 2004 *World Development Report's* "Process Note on Consultations" outlines a series of consultation parameters. These parameters were designed to create a common platform of understanding within the World Bank and with other stakeholders. Although this is a global consultation process that is Bank-led, the example could be used for other types of consultations.

See [Link](#).

## ENSURING COMMITMENT TO THE PROCESS AND IMPLEMENTATION

An initial action in organizing the consultation process is to ensure the commitment to and ownership of the process from the top management to operations managers. This is accomplished by securing team agreement to the rationale, objectives, and key messages of the consultation process. Also important is a client government's awareness of and commitment to the process, as well as a thorough understanding of the government's role in the process and implementation.

Key internal decision makers or opinion leaders should become involved early in the consultation process. One important role for these decision makers or opinion leaders is to supply information vital to the planning effort. This information includes identification of stakeholders, timelines for making decisions, and developing arguments that are likely to be persuasive in bringing stakeholders together.<sup>9</sup>

Additionally, the support and active participation of the top management and commitment to incorporating stakeholders' concerns are required to ensure that consultation goals are met. This participation may begin early in the process so that the entire team understands the importance of integrating stakeholders concerns into policy and project design and key timelines. Clear signals from top management at the outset will help in the negotiation and decision-making processes that lead to a final outcome.<sup>10</sup>

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**Aim for ownership of all key stakeholders. Where consultations concern a country or national policy issue, they can only be effective if a government is as fully engaged in the process as other stakeholders.**

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The presence of a senior government official can emphasize the importance of a consultation. The presence of ministers from appropriately targeted government entities at public consultations may also serve to signal to staff in their respective ministries the importance of public consultations. In some cases, however, agreement on CSO involvement is reached at senior levels of government but is not always followed through

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<sup>9</sup> John M. Bryson, (1988).

<sup>10</sup> International Finance Corporation (1998).

at the lower levels. Active participation by officials in a public forum sends a stronger message than memos about expected compliance with participatory methods.

The presence of a senior government official also can have a chilling effect on CSOs, especially for groups of limited capacity. This may be a particular concern in a country in which public criticism or opposition to the government is not well tolerated.

## DEFINING ROLES AND RESPONSIBILITIES FOR THE CONSULTATION TEAM

The team managing and designing a consultation should include people with country knowledge, experience, and local insights. The consultation plan should set out the management arrangements, including the roles and responsibilities for decision-making authority, reporting structure and mechanisms, overall coordination, logistics, and communication and outreach.

One or more CSOs may be asked to organize the logistics or provide input to the design of the consultation in partnership with the Bank or a national government. The role of CSO partners should be decided early in the design of a consultation process, and in-depth discussions should be held with prospective external partners. In some cases, governments that are sponsoring consultations have chosen to identify an external facilitating organization for the consultation process through competition. Additionally, coalitions CSOs can be chosen to assist in developing a methodology for soliciting and analyzing community input on a consultation. Numerous examples of the use of external partners are available in Annex A. An example of terms of reference for managing and delivery of a workshop is available in Annex C.

Important resources for these consultations will be the Civil Society Country staff and/or staff from the Bank-wide Civil Society Team. These groups can provide both in-depth knowledge of the civil society sector at the national, regional, and global levels, as well as continuity of relationship management from one consultation to the next. They also can offer advice about other consultations before and after this one that may be relevant.

## SCOPING THE CONTEXT OF THE CONSULTATIVE PROCESS

The consultation process occurs within policy, legal, and administrative contexts, as well as in the context of the World Bank's relations with civil society. As a first step toward planning an effective public consultation strategy, it is vital to understand how public consultation and the World Bank are viewed in the wider society. This should entail a preliminary analysis of the legislative framework and what it says about the rights of the population to be consulted, as well as the level of public access to information. In some countries an adequate public consultation legislative framework may be lacking, but there may be other cultural or informal ways in which people participate in decision making.<sup>11</sup>

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<sup>11</sup> Shelton Davis and Nightingale Rukuba-Ngaiza, (1998).

Some country environments will not be conducive to an extensive consultative process. In such situations, there is a special need to explore options and to adapt the process to make best use of time, resources and available technology and methods for consultation. The factors that influence the overall environment include historical trends in the relationship among the public and private sectors and the civil society; existing legal, fiscal or socio-political conditions, ethnic conflicts, or polarized political environments.

In cases where the policy environment is not conducive to civil society participation, the consultation conveners and organizers must be sensitive. The Bank can still advise and use its influence, especially in conjunction with other donors, to encourage improvements in the policy environment through considered discussions and knowledge sharing with government on the benefits of broader participation. See [Annex A](#) for examples of the differing roles that the Bank plays in such consultations. In addition, the Bank can guide its own decision making by consulting with selected civil society leaders to improve its understanding of local political situations and the range of local opinion. It may also be possible to reach an agreement with a client government to engage with the required expertise of CSOs by asking them to serve as consultants to an adjustment or research teams.

## BUDGETING RESOURCES AND ALLOCATING TIME

Ensure that adequate financial and human resources and time are allocated for the consultation process, as well as for any follow-up activities. This includes ensuring that staff responsible for planning has made provisions for adequate time in their work plans and that the necessary local skills and knowledge exist. The budget should include adequate provision for travel and expenses for CSO participants, especially if these consultations are limited to a national capital or a nation's largest city. It should also include provisions for skilled facilitators and interpretation, and may also include costs for reasonable accommodations for people with disabilities.

The level and type of financial resources and human capacity resources determine what kind of activities can be planned. If resources are scarce, be creative with existing resources and consider different options, set priorities, and acknowledge limits. Support for consultations may come from other donors, trust funds, government, or project allocation.



### Sample Budget Outline

ITEM	PROJECTED COSTS	ACTUAL COSTS	SOURCE OF FUNDS
Staff costs per person, per number of weeks			
Techniques, such as survey instruments, training workshops			
Preparation and dissemination of materials			
Communication Telephone Radio Print advertisements			
Venues, including room costs and equipment, refreshments			
Travel / accommodations Reimbursement for participants Staff travel			
Child care, reasonable accommodations for people with disabilities			
Consultants Logistical support Facilitator Rapporteur Interpretation/translation Other			
<b>Total</b>			

**Consultations require time for adequate preparation.** Remember that the pace and timing of civil society involvement may differ from those of governments and the private sector and that different models of consultations will require different timelines. It is important not to begin consulting so late that other views cannot influence the outcome. Allow sufficient time for the community and organizations to consider and respond to consultation items, such as issue papers, reports or draft policies. If in doubt about appropriate timing – including the consideration of holidays or work schedules - **ask the stakeholders.**

Some civil society specialists recommend 2-to-3 month lead times for planning and preparation. The consultation plan should allow enough time for:

- Generating a design and identifying methodologies;
- Inviting the participants to a consultation at short notice creates ill-will and promotes the impression of not taking them seriously;
- Developing and disseminating information at least 3 weeks or more before the deadline for comments;
- Consulting the stakeholders, possibly using a variety of methods, including face-to-face meetings, electronic communications, large plenaries, or small workshops;
- Time for translating documents into local languages;

- Analyzing stakeholder comments and inputs; writing a report; and providing feedback; and
- Bringing CSO constituencies together to provide an appropriate response. CSOs may need time to orient their constituencies to an issue and they may need to raise funds for their participation.

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**The consultation process requires resources – time, expertise, and funding. These costs should be seen as an investment for better implementation of projects and inclusive and responsive policies. Not consulting with civil society may create much higher costs, through project or policy failure in the short term, as well as loss of trust, legitimacy, and policy effectiveness in the long term.**

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## BUILDING ON EXISTING MECHANISMS FOR CONSULTATION

Care should be taken to ensure that consultations supplement and build upon, but do not duplicate or undermine, existing mechanisms for deliberation at the country level and existing consultation processes. Experience with previous, similar consultations may provide a foundation for planning a specific, new consultation. Concerns and issues raised in earlier consultations may serve as a basis for organizing specific thematic discussions either before or during the selected project, program, or policy dialogue. Previous consultations may also be useful to identifying potential conveners, facilitators, and participants. Lessons drawn from these consultations also help to plan and organize more productive consultations.

CSOs are involved in various reviews of Bank procedures and policies at the country level. While many of these occur independently of the Bank, some have been organized by Bank staff as inputs to the Bank’s own consultation processes.

The Bank, governments, or CSOs may have established mechanisms in which they interact that can be good starting points for targeting new consultations. The process of developing a profile of civil society will help to identify these mechanisms or structures. These may be:

- Mandated civil society representation on committees or management councils;
- Offices established in the government or legislature to interact with CSOs, such as the special office established by Hungary’s prime minister to deal with CSO relations;
- Offices or individuals within a specific ministry who handle CSO relations with organizations working in a particular sector;
- Working groups, task forces, or committees developed in the context of a specific project or issue;
- Legislative hearings;
- Town hall meetings with elected officials or village leaders;
- Constitutional reforms;<sup>12</sup> and

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<sup>12</sup> In Brazil, the 1998 Federal constitution introduced mechanisms for citizen participation in the context of a broader framework of decentralization. The majority of Brazil’s 5,508 municipalities have bipartite councils in which government and civil society is equally represented. On the national level, policy councils in the areas of women’s rights, children’s rights, health and the environment are composed of

- Individuals working in field offices of the government agencies. Click here for an example from [Pakistan](#) Agricultural Extension Department.

The following box illustrates various mechanisms to enable government and civil society collaboration.

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government and citizen representatives. The Philippines constitution established after the restoration of democracy has explicit provisions for the role of NGOs and civil society, specifically in regional and national planning.

### **Government/CSO Partnership in HIV/AIDS Control**

The Brazilian Ministry of Health and the World Bank have adopted several mechanisms to enable government civil society collaborations. These mechanisms included:

- Allowing five CSO representatives to serve on the National AIDS Council, which monitors Brazil's AIDS policies;
- Creating a CSO Liaison Office within the National AIDS Program;
- Hiring CSO researchers for project-related tasks, such as designing a small-grants program; providing technical assistance to recipient organizations; monitoring project activities; and conducting social analysis of AIDS funding;
- Encouraging CSO leaders to actively participate in a seminar with government officials and donors to evaluate the National AIDS Program's activities and to plan a new project. The CSO delegation included representatives from groups increasingly exposed to HIV/AIDS, such as low-income women, rural workers, and indigenous populations.

The United Nations AIDS program selected the Brazilian AIDS Program as one of the world's "best practice" examples, after new AIDS cases and morbidity levels among high-risk groups declined significantly over a 5-year period.

Adapted from Boyd, Barbara, "NGO Participation in HIV/AIDS Control Project in Brazil Achieves Results." *Social Development Note 47*, Environmentally and Socially Sustainable Network. World Bank, Washington, D.C., May 1999.

### **Civil Society's Monitoring of Government Poverty Programs**

In the Philippines, CSOs interact with the government through a variety of innovative mechanisms involving both national and regional organizations. Some examples included the following:

- Community based organizations in Mt. Banahaw Quezon province joined a federal agency tasked with protecting the environment to develop a protected-area management plan. These organizations continue to be represented and to participate in the Protected Area Management Board, a governance mechanism in the province, to monitor the implementation of the plan.
- Peasant organizations belonging to the Agri-Aqua Development Coalition in Mindanao are monitoring municipal budget expenditures in selected areas. These organizations were able to negotiate for a portion of the budget to be allocated for programs in infrastructure development and delivery of basic services needed in their villages.
- The Department of Agrarian Reform mobilized the Presidential Agrarian Reform Council, consisting of representatives from farmers' and landowners' organizations as well as the federal government, to conduct an audit on the utilization of the Agrarian Reform Fund. The fund consisted of about 50 billion Philippine pesos to be used over a 10-year period.

The Special Zone for Peace and Development Social Fund conducts beneficiary assessments of the infrastructure projects that it had funded. It is a demand-driven fund with a continuing effort to involve the communities in monitoring the quality of the infrastructure as well as the use of funds by the proponents and the contractors.

Source: Corazon, Julian-Soliman, "Civil Society's Monitoring and Advocacy Role Relating to Government Policy Programs," presentation at the Manila Social Forum, November 1999, organized jointly by the Asian Development Bank and the World Bank.

Developing civil society and socio-cultural profiles could ensure that proposed projects, policies, and methods of consultation are both culturally and socially appropriate. The profiles should help to identify stakeholders to ensure that all voices are heard, especially those that are traditionally weak within a given society and should be tailored to specific projects or policies that are the subject of consultations. One example of a civil society profile is given in [Annex B](#), in the discussion of the elements of a profile for civil society in Sri Lanka.

(Click here for a link to [Social Development website](#) for Participation and Civic Engagement Group and website for Social Analysis to access tools and methodologies).

Civil society and socio-cultural profiles help to identify important stakeholders in the consultation process. It is important to consult selectively. Plan and coordinate all public consultations to avoid raising false expectations or fears within the local population. For example, it may be advisable to talk first to local representatives and key people within the area when considering options for consultation venues, methodologies, and formats to be used in the design of the consultation. As the following box indicates, within a civil society assessment conducted of Cambodia in 2001 the Country Office's Social Development/Civil Society Specialist and the External Affairs Officer developed such an assessment to help Bank staff to help strengthen the dialogue with civil society. The Office is currently writing a profile on Cambodian civil society.



### [Civil Society Profile Provides a Framework for World Bank-Country Relations](#)

A team of Bank staff, including the Social Development Specialist and External Affairs Officer conducted a civil society assessment of Cambodia in 2001 for internal purposes. The purpose of the assessment was to ascertain how the World Bank could assist in strengthening dialogue and interaction between the government and civil society. The terms of reference included: 1) examining and reporting on the current status of interaction between civil organizations and the government, 2) identifying the areas of neglect and need, and 3) making recommendations as to how the World Bank Group may contribute to increasing the effectiveness of the dialogue between the government and civil society.

The Bank team consulted a wide range of government officials, representatives of the international donor community, international CSOs, Cambodian CSOs, private sector representatives, parliamentarians, research institutes and media. The team went on a field visit to a province that included meetings with provincial government officials, United Nation agencies, a faith-based organization, and a rural development committee. The team visited villages and some projects that promoted decentralized decision making in community development.


<sup>13</sup> Adapted with permission from Paula Lytle (2000) and International Finance Corporation (1998).

## IDENTIFYING STAKEHOLDERS<sup>14</sup>

Stakeholder identification is undertaken to determine who will be directly or indirectly affected, either positively or negatively, by a project or policy. This process also identifies those individuals and organizations that can either contribute to or hinder the success of a consultation. It is important for the manager of the consultation to be comprehensive in identifying and prioritizing all stakeholders, including the disadvantaged, voiceless, and marginalized. Those identified will need to be consulted to varying degrees, depending on level of impact, at strategic points during the life of the project or policy. Remember that stakeholder identification and involvement are often context-specific. What works with one consultation issue may not be appropriate for another.

Special efforts can be made to identify people who are most affected by the project or policy, such as Indigenous Peoples' organizations. Cultural awareness and gender sensitivity are key to identifying relevant stakeholders. In addition, there are often other interested parties who may be able to influence the outcomes, either because they can contribute knowledge or ideas for improvement or because they have political influence that needs to be considered. These might include political groups, labor unions, research institutes, CSOs, and the news media.

Identifying and consulting with stakeholder representatives, especially community leaders, can be an efficient way for the consultation organizers to disseminate information to large numbers of stakeholders, and receive information from them. However, it is essential that these people are genuine advocates of the views of their constituencies. Verify that the appropriate representatives have been selected by talking directly to a sample of representatives for a variety of organizations to ensure that a broad variety of views are accurately represented. Some questions that could be helpful in identifying stakeholders and designing the consultation process are included in the following box.



### Identifying Stakeholders

- What benefits/adverse impacts are stakeholders likely to experience?
- Who are the representatives of those organizations or groups likely to be affected?
- Who are the voiceless, marginalized, and vulnerable for whom special outreach efforts may have to be made?
- Who is responsible for the implementation, outcomes, and monitoring of this consultation?
- Who is likely to mobilize for or against the project or policy?
- What influence and importance do stakeholders have relative to each other and to the policy or project?
- What interests do the stakeholders have that may conflict or align with the project?
- How do stakeholders regard each other?

Which organizations or individuals can contribute financial and technical resources?

<sup>14</sup> International Finance Corporation (1998).

A provisional identification of stakeholders will be required to prepare the consultation plan. It is important for the managers and organizers to refine and update the list of stakeholders continually as the project or policy design evolves and is implemented, and as it becomes clearer which groups are affected by different stages or components of the project or policy.

## SELECTING PARTICIPANTS

Setting clear criteria and a transparent process of selection of the participants will help to avoid any criticisms of misrepresentation or cronyism. Participants will also dictate the quality and effectiveness of the inputs into the consultation process. The profiles and stakeholder identification should help to select the participants.

The process of selection of participants is best carried out by CSOs themselves through their own umbrella or apex body. These umbrella groups might consist of networks or federations of CSOs. It is important to monitor which groups or individuals are omitted when CSO self-selection occurs. When such gaps are recognized, appropriate arrangements should be made to fill them. Gaps might be filled by conducting separate consultations, for example, among Indigenous People's groups that are omitted. In cases where representative groups do not exist for selected sections of society, or groups lack the capacity to participate, the Bank may need to promote efforts to develop the necessary capacity to participate in such consultations.

The Bank can reduce the dangers of bias by taking the advice of staff who are most familiar with civil society in the country, such as the Country Office Social Development, Civil Society, or External Affairs specialists. The Bank might also request the advice of credible leaders in civil society; ensure that participants represent the full range of groups and interests that exist by gender, ethnic origin, region and social class; and can use an objective selection criteria for participants. The selection criteria can include an organization's record of performance and credibility among its peers. For example, if an organization claims to represent the poor, it is important to establish that this organization is genuinely close to poor people's experiences and views and that the organization's leadership is accountable to its membership.

Bank staff should be transparent in the criteria used to select those CSOs that will participate in consultations. The Bank has identified the following criteria for selecting those CSOs that can be valuable participants in consultations<sup>15</sup>:

- **Credibility:** Acceptability to both stakeholders and government; ;
- **Competence:** Relevant skills and experience, proven track record;
- **Local knowledge;**
- **Representation:** Community ties, accountability to members or beneficiaries, gender sensitivity;

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<sup>15</sup> Adapted from The World Bank, Operations Manual (2000).

- **Governance:** Sound internal management, transparency, financial accountability, efficiency;
- **Legal status;** and
- **Institutional capacity:** Sufficient scale of operations, facilities, and equipment.

Participants can be selected for consultations in the following ways:

- Directly by CSOs and their umbrella networks;
- Recommendations from umbrella networks; and
- Through Bank-established criteria.

## CONVEYING INFORMATION TO STAKEHOLDERS

Ensure that adequate information is provided well in advance of the consultations, and in a language and style that is appropriate for the stakeholders. Texts should be simplified, jargon should be avoided, and translations of texts should be made into local languages. If strategy or other draft documents cannot be shared in their entirety, a summary can be prepared and the consultation should start with a verbal briefing. Staff should be as open and transparent in their interactions as possible, and provide stakeholders with enough information to participate in an informed manner, without jeopardizing negotiations with governments or other entities.

Staff with experience in organizing consultations emphasize the need to communicate the purpose for which civil society input is being sought and the concrete output that is expected. In some cases, emphasizing the purpose can overcome suspicion, focus a consultation, and manage expectations. Two factors are particularly important - the timely distribution of information and accessibility of information in local languages for a nontechnical audiences.

Suggestions for information preparation and dissemination to stakeholders include the following:

- Bank staff should be familiar with The World Bank Policy on Information Disclosure (see the following box).
- Notification about the consultation should include specific information on how, when, and where stakeholders can participate. In general, the most effective notification will be highly visible to the target audience, will be delivered early, will use more than one communications method, and will be repeated shortly before major events.<sup>16</sup>
- Prepare short analyses in the local language, eliminating technical Bank language.
- Hire an external consultant familiar with the subject of the consultations to prepare stakeholder materials;
- Prepare one-or-two-page short explanations of Bank terms and acronyms and a description of the project or policy cycle, where relevant.
- Make information available through Public Information Centers.
- Establish a depository for public World Bank documents in a national library, university department, or in the offices of selected civil society umbrella groups.

<sup>16</sup> The World Bank, Environment Department (1999).

- Use civil society networks to distribute information.
- Post notices and minutes of meetings on government, Bank, or selected CSO websites.



### Techniques for Conveying Information

Type	Key Points	Advantages	Disadvantages
<b>Printed materials: information bulletins, brochures, reports</b>	<ul style="list-style-type: none"> <li>Text should be simple, non-technical, and in local languages</li> <li>Should provide clear instructions on how to obtain more information</li> </ul>	<ul style="list-style-type: none"> <li>Direct</li> <li>Can impart detailed information</li> <li>Provides additional avenue of reaching some stakeholders</li> <li>Yields a permanent record of communication</li> </ul>	<ul style="list-style-type: none"> <li>Demands specialized skills and resources</li> <li>Not accessible to the poorly educated or illiterate</li> </ul>
<b>Displays, posters and exhibits</b>	<ul style="list-style-type: none"> <li>Can be designed to inform and to collect comments</li> <li>Should be located where target audience gathers or passes regularly</li> </ul>	<ul style="list-style-type: none"> <li>May reach previously unknown parties</li> <li>Minimal demands on the public</li> <li>If well designed, may have strong impact</li> </ul>	<ul style="list-style-type: none"> <li>Costs of preparation and staffing</li> <li>Insufficient without supporting techniques</li> <li>Demands specialized skills and resources</li> </ul>
<b>Print media</b>	<ul style="list-style-type: none"> <li>Press releases and press conferences can be tied to key events</li> <li>Identify newspapers or magazines likely to be interested and able to reach the target audience</li> </ul>	<ul style="list-style-type: none"> <li>Can disseminate a large amount and wide variety of material</li> <li>Can provide detailed information</li> <li>Offers both national and local coverage</li> <li>Can reach most literate adults</li> </ul>	<ul style="list-style-type: none"> <li>Loss of control over presentation and interpretation</li> <li>Media relationships are demanding</li> <li>Press may be an organ of political parties or the government</li> <li>Excludes the illiterate and the poor</li> </ul>
<b>Electronic media</b>	Determine level of coverage (national or local), types of viewer, perceived objectivity and type of broadcast offered	<ul style="list-style-type: none"> <li>May be considered authoritative</li> <li>Reaches broadest possible audience</li> <li>Many people have access to radio</li> </ul>	<ul style="list-style-type: none"> <li>Time allocated may be limited</li> <li>May be costly</li> </ul>
<b>Advertising</b>	Requires good preparation and targeting	<ul style="list-style-type: none"> <li>Retain control over presentation</li> <li>Useful for announcing public meetings or other activities</li> </ul>	<ul style="list-style-type: none"> <li>May engender suspicion</li> <li>May be costly</li> </ul>
<b>Formal or informal information sessions</b>	Can be arranged by request for a particular group	<ul style="list-style-type: none"> <li>Useful for groups with specific concerns</li> <li>Allows for detailed discussions of focused issues</li> </ul>	<ul style="list-style-type: none"> <li>May raise unrealistic expectations</li> <li>If informal, attendance may be difficult to predict</li> </ul>
<b>Summarizing comments</b>	Explain how comments were incorporated into final product	<ul style="list-style-type: none"> <li>Provides useful feedback</li> <li>Can be posted on Internet</li> </ul>	Time consuming Less accessible to stakeholders without computers.

Source: Adapted from World Bank, *Environmental Assessment Sourcebook*, Update No. 26, May 1999.



### World Bank Policy on Information Disclosure

In 2001, the Bank's disclosure policy was updated to allow more Bank documents to be publicly disclosed. Staff should be familiar with this new policy before proceeding with consultations. The Bank's Disclosure Help Desk is a valuable guide in determining which documents can be publicly released. These documents are more likely to be available in a larger variety of languages as well, because in July 2003, the Bank Board approved an expanded framework for translations.

See the website for more information. <http://www1.worldbank.org/operations/disclosure/>.



## USING PROCESSES AND TECHNIQUES FOR CONSULTATIONS

The most effective consultation process will use a variety of methods to ensure that the views of diverse stakeholders are taken into consideration.

The use of different techniques can help to balance the views of the organized interest groups with those of the unorganized.

A consultation's process and techniques should match its objective and be compatible with the level and expertise of the participants and target audiences. These techniques will vary substantially, depending on the scope of a consultation. A consultation for a global or national strategy may involve a complex design that begins by devising a rigorous communications strategy and the selection of key external partners who can help identify multiple techniques for the consultation process. The methods used and reporting channels should be explicit and should be agreed to by the participants in advance. Participants also should be given a timeframe in which they can expect to receive feedback on how their comments were taken into account in the final document or product that was the subject of consultations.

One of the keys to designing the process is to solicit design assistance from expert consultants. An experienced **facilitator** who is skilled at managing group processes should be identified (see [Workshop Facilitator Role](#)). Workshops that utilize innovative technology could help to synthesize large amounts of information. In addition to a facilitator, a **rapporteur** is necessary to record key points. Often, a **rapporteur** will not keep detailed minutes because this activity may tend to stifle discussion. Rather, the tasks are to track the progress of the discussion, themes, points, and areas of substantial agreement or disagreement. Make sure that commitments and next steps are summarized at the end of the meeting, and it may help to video or audiotape the proceedings.



### Workshop Facilitator Role

A description of the responsibilities of an external facilitator may include:

- Before the meeting, help develop the agenda;
- Help groups define or redefine and achieve desired results;
- Stay neutral and do not provide input or comment;
- Create a safe environment for open discussion;
- Seeks maximum appropriate participation from all group members. Ensure that all participants have an opportunity to speak and receive respect for their contributions;
- Keep group on track towards their desired outcomes;
- Guide the process of the meeting and makes suggestions for alternatives;
- Makes sure the recorder is keeping up in writing down all valuable information;
- Designate someone to keep track of time and helps to stay on time.

Characteristics of a good facilitator include:

- Familiarity with the subject;
- Neutral to the topic of discussion;
- Good reputation with both CSOs and entity sponsoring consultations;
- Ability to engage the audience, encourage participation, keep people's attention and keep the discussion moving;
- Ability to level unbalanced interactions, especially when there are power differences among stakeholders;
- Ability to guide and listen.

- **Orientation/introduction** to the Bank, a particular subject, project, or policy under discussion at the beginning of the consultation process will ensure that all participants have the same basic information and understanding of the subject. This may be done during information dissemination or at the beginning of a meeting.
- **Skills training** or some type of learning activity may be required for organizers and participants. The Bank's Participation and Civic Engagement Group, Social Development and External Affairs Departments jointly organize multi-stakeholder consultation workshops to Bank staff and clients to enhance the skills and knowledge on conducting consultations. The World Bank Institute and other Bank departments also organize multi-country workshops relating to implementation of PRSPs to share lessons learned among Bank staff, clients, and other stakeholders. See [Argentina Project](#).
- **Questionnaires, surveys, or public opinion polls** are useful when specific responses are required on specific issues. These techniques can rapidly show who is interested and why. The results could be used to provide a framework for the consultation process. Experienced firms familiar with the techniques and with the issues could be utilized for this aspect. See the Poland Country Assistance Strategy as an example of how the results of a nationwide poll can be used in consultations. The case on El Salvador (following box) shows how the Bank country team used technology, called "Option Finder," for a survey questionnaire in the consultation process.

- **Debates** can help citizens to understand issues from different perspectives. As Annex A indicates, this technique was used successfully in Georgia during CSO consultations on a draft document for a Poverty Reduction and Economic Growth Program. Debates can also enhance civil society’s recommendations for improvements in development strategies.



#### Using New Technology in El Salvador Country Assistance Strategy Consultations

The El Salvador CAS consultations used an innovative software tool called “Options Finder.” In this example, the Options Finder allowed virtual ranking of anonymous responses to a survey of focal groups selected from civil society groups, government and donor representatives. Upon careful design by the World Bank’s country team, the survey questionnaire was used to examine the main CAS topics, including the national agenda, the role of the Bank, the priorities of the CAS portfolio, and the perceived risks of the CAS.

A comparison of responses from selected representatives of stakeholders facilitated the shaping of the overall framework of the World Bank in-country strategy by incorporating early and detailed input from stakeholders. The technology proved to be particularly helpful in promoting participation, building consensus and enhancing transparency. Lessons from this experience pointed to the risks of providing too little time for broad debate and allowing only limited representation of informed stakeholders and suggested ways to offset these risks.

Source: Jose R. Lopez-Calix, “[Using Innovative Technology in Country Assistance Strategy Consultations](#): The Experience from El Salvador, ” in “Thinking Out Loud III,” The World Bank, Washington, D.C., Spring 2002.

- **Interviews** with key informants or leaders in civil society by phone or face-to-face can be useful to get a sense of the public’s perception on the issue. To be systematic, a list of guiding questions for the interview should be developed. Interviews can also lead to more structure ways of gathering information, such as focus groups. Beneficiary assessments (described in the following box ) is a useful tool to gain information on the socio-cultural context and perceptions of populations that can inform project teams and policy makers.



### **Beneficiary Assessment: A Method for Stakeholder Consultation**

Beneficiary Assessment involves systematic consultation with project beneficiaries and other stakeholders to help identify and design development activities, signal any potential constraints to their participation, and obtain feedback on reactions to an intervention during implementation. A Beneficiary Assessment is an investigation of the perceptions of a systematic sample of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into project and policy formulation.

The general purposes of a Beneficiary Assessment are to systematically listen to the voices of the poor and other hard-to-reach beneficiaries, highlighting constraints to beneficiary participation; and to obtain feedback. For more information and examples of Beneficiary assessments, see Salmen, Lawrence F.:

- “Implementing beneficiary Assessment in Education: A Guide for Practitioners (with examples from Brazil),” Latin America and Caribbean Regional Series, Paper 25, Environmentally and Socially Sustainable Development Network, The World Bank, Washington, D.C., September 1998;
- “Beneficiary Assessment for Agriculture Extension, A Manual of Good Practice,” Good Practice Note, Rural Development Family, Agricultural Knowledge & Information Systems, The World Bank, Washington, D.C., October 2000;

“Beneficiary Assessment, An Approach Described,” Social Development Paper 10, Environmentally and Socially Sustainable Development Network, The World Bank, Washington, D.C., August 2002.

- **Focus groups** may be used to brainstorm or test possible objectives and scenarios among a cross-section of interest groups in order to assist in planning the consultation process. Focus groups are small meetings of people chosen among stakeholders. The mix of people will depend on the purpose of the consultation. These small groups are designed to generate qualitative insights rather than quantitative information. The number of participants should be restricted to 15 or less. Focus groups generally last about 2 hours and the discussions among participants are guided by a skilled facilitator. Link to Social Analysis: Selected Tools and Techniques, [http://inweb18.worldbank.org/ESSD/sdvext.nsf/61ByDocName/SocialAnalysisSelectedToolsandTechniquesRichardAKruegerMaryAnneCaseyJonathanCDonnerStuartKirschJonathanNMaackSDPNumber36June2001/\\$FILE/SDP-36.pdf](http://inweb18.worldbank.org/ESSD/sdvext.nsf/61ByDocName/SocialAnalysisSelectedToolsandTechniquesRichardAKruegerMaryAnneCaseyJonathanCDonnerStuartKirschJonathanNMaackSDPNumber36June2001/$FILE/SDP-36.pdf).
- **Workshops** are seminars or series of meetings for intensive study, work, or discussion in a particular field. Workshops may be designed to achieve specific outcomes, brainstorm issues, and analyze past challenges and achievements. They may also be designed to envision a future scenario or enhance understanding of a certain subject. For example, in the Colombia Country Assistance Strategy, a series of workshops were conducted with stakeholders. Each workshop had different objectives and used appropriate methodologies – including the logical framework and consultation software – that were suited to the specific consultation objectives and target audiences. One of the workshop models envisioned the future and analyzed the past and present. Each of the workshops was sequenced to build on the information from the previous workshops. [[Link to Social Development Paper 33.](#)]

- **Roundtables** focused on specific issues can encourage dialogue on specific topics. The participants of a roundtable are usually experts or practitioners in the specific topic. Roundtable discussions are used when events are unprecedented and when all participants have an equal status in addressing a particular issue. (See the [Dominican Republic](#) example.)
- **Call for written comments** can be made to the public. The consultation should define a reasonable period of time for receiving comments and select the methods for submitting comments, for example, via email, letters, or phone. The call should be clear about how the public will be informed about the actions taken, for example, synthesis of the comments and responses may be posted biweekly on the Internet.
- **Issue papers or concept notes** are often helpful in disseminating background information on subject specific areas. Written comments can be requested for these papers.
- **Electronic discussion** (e-discussions) should be used as a complement to other consultation methods. E-discussions can be a moderated discussions on specific topics. They may be held through list serves or on a website in which comments on specific document are posted. E-discussions can be an electronic mailing list that connects people who wish to discuss a particular development topic, document, or policy. The advantages to these discussions include lower costs and the ability to reach larger audiences. The disadvantage is that access to the Internet may be limited in some countries. Thus, electronic means are best used as a tool complementing other consultation methods, such as face-to-face interviews or other events.



#### **World Bank Development Forum – An Online Venue**

The Bank's Development Forum conducts an online venue for sharing knowledge on a rich and diverse range of development topics for the greater development community. It provides the Bank with a tool for obtaining feedback on documents and policies from CSOs, academics, other donors, and individuals. Since 1998, the Development Forum has organized and hosted more than 80 public and 180 private discussions.

Visit [www.worldbank.org/devforum](http://www.worldbank.org/devforum) The Development Forum [toolkit](#) is an excellent resource for tips on organizing electronic discussions.



### Engaging Citizens Online for Better Policy-Making, OECD Policy Brief

The [OECD Policy Brief](#) on Engaging Citizens Online for Better Policy-Making highlights policy lessons from experience in OECD member countries and suggests guiding principles for successful online consultation. One important factor is to ensure the integration of online and traditional methods for citizen engagement in policy-making. Both in terms of providing information on the policy issue or the online engagement exercise itself (e.g. through posters, printed brochures, local press) and when providing a range of options through which citizens may provide feedback (e.g., post, telephone, fax, as well as email or on-line discussion forums).

To be a successful complement to other consultation techniques, online deliberations should be competently and constructively moderated. The policy brief provides important guiding principles, tools for different stages, issues for evaluation, and main challenges for online engagement that should be reviewed prior to embarking on an online consultation.

Source: Organization for Economic Cooperation and Development, *Engaging Citizens Online for Better Policy-Making*, OECD Policy Brief, March 2003. Available online at <http://www.oecd.org/dataoecd/62/23/2501856.pdf>.

- **Large forum or community meetings** are useful for imparting information to broad-based groups. However, they are not always effective as a method of gathering information or soliciting inputs. These types of events need careful preparation and guidance to make sure they do not go off track. A strong moderator and skilled facilitator are essential to keeping the discussion focused on the issues. A well-designed and clearly communicated process is necessary to ensure that input is well informed and that each participant has the opportunity to comment. Make sure that the methods fit the subject, the audience, and the scope of the issue.
- **Public hearings** are formal meetings before which evidence is presented or testimony is heard. They are open to all who want to attend, but invitations may be issued to honorary guests. These could be chaired by a government official and may include a panel of experts. (See the [Argentina](#) Project.) Public hearings are based on documents that are more readily available to the public. A country director or task team leader may feel it is appropriate to share draft materials during a consultation. This has been done in consultations for drafting the Bank's country assistance strategies.

More detailed information on methodologies can be obtained from the following websites.

World Bank websites on participation and civic engagement:  
[www.worldbank.org/participation](http://www.worldbank.org/participation).

Tools and methods for participation:

World Bank [Participation Sourcebook](#).

The Bank's Social Analysis website includes descriptions of methods:  
<http://lnweb18.worldbank.org/ESSD/sdvext.nsf/61ByDocName/SocialAnalysis>.

Both national and international CSOs have a wealth of experience in community consultation, and can serve as an interface between communities and institutions. CSOs also offer expertise in conducting participatory methods and skills in facilitation. Additionally, government departments within countries may have already established guidelines and mechanisms for multi-stakeholder consultations.

## HANDLING LOGISTICS

The process design may include holding a series of consultations at different locations on a subject of importance to many groups throughout the country. Decentralizing the consultation processes increases representation and may reduce travel costs. It also means choosing venues that are easily accessible to participants. For Bank staff this means thinking through issues of security, convenience, and accessibility, and finding meeting space in which participants can express their views freely. Ideally, consultations will be held both in the capital and in locations outside it, unless the consultation is project-specific and the impacts of that project are limited to a small region or area.

A neutral location should be chosen for consultations. Meetings conducted at a Bank office may be intimidating to some participants. Universities may provide neutrality, but they also may be unfamiliar territory to some CSOs. Be aware of cultural, religious, and gender considerations. In addition, sites should be chosen that provide easy access to the disabled, elderly, young people, and others with special needs.

Click here for an example from [Pakistan](#) in which a part of the consultation occurred at the sites of proposed water drainage systems in order to solicit farmer opinion about the technical design of the equipment to be installed.

## SYNTHESIZING INFORMATION AND INCORPORATING INPUTS

Synthesizing vast amounts of information is a challenge and should not be underestimated. It is important to systematically record and analyze the data coming from written and verbal comments that are gathered during consultations. This includes incorporating information from meetings, workshops, debates, seminars and interviews. But it also means incorporating information from related reports and assessments, and from moderated, online discussions. The synthesis and analysis of all this information is crucial because it forms the basis of any needed modification to policies, strategies or to the design of projects from the collective perspective of CSOs.



In a description of analyzing focus group comments, Krueger and Casey<sup>17</sup> provided the following tips for analyzing participants' responses that may be useful for consultations:

- **Words.** The actual words used during a consultation and meanings of those words may differ according to who is speaking, especially in different languages and cultures.
- **Context.** Responses may have been triggered by another question or comment. Interpret the comment with its environment in mind.
- **Frequency.** Do not assume that frequency - how many times a comment was made - is an indicator of importance. Sometimes, the issues that are discussed most often are most important ones.
- **Extensiveness.** This measures how many different people made a comment and make give a sense of the degree of agreement on a topic.
- **Intensity.** Some people feel passionate about a specific topic, but transcripts do not always reflect the voice tone or emphasis.
- **Specificity.** Specific responses that are based on details of personal experience are more helpful than those that are vague.
- **Finding big ideas.** Step back from the details and focus on the big picture.

In incorporating the input from the consultation into a project or policy, participants should be asked if their views are accurately reflected. This is part of the feedback process to a consultation and it also serves as a check for accuracy. During the consultation process, any given activity can conclude with a summary of what was heard during the process. This allows participants to respond to the accuracy of the summary and can help to incorporate their inputs accurately into the reports. If a synthesis draft is prepared, the reasoning for omitting certain viewpoints should be made clear. If this does not occur, many participants may become reluctant to engage in further consultations.

## PROVIDING FEEDBACK TO STAKEHOLDERS

Feedback to participants in consultations is crucial. The feedback process builds the relationship for future consultations and interaction. It also demonstrates to governments that the Bank values the process of consultation and can provide a good example for governments to follow. When regional consultations are held before a national consultation, participants in the regional consultations should be kept informed of the results of the national consultation. If consultation changes the shape of a project, participants should be informed of how the original design was modified to reflect their input.

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<sup>17</sup> Richard Krueger and Mary Anne Casey (2001).



### Guidelines for Feedback

Feedback from consultations should include the following:

1. A written summary of what was heard during the consultation, inviting corrections and omissions. This should be sent to participants shortly after the consultation, and participants should be given adequate time to comment on it.
2. A list of points made during consultations that the Bank or a government accepts and another list of those points that are not incorporated in the final documents. Give reasons for these decisions.
3. An account of any future steps or actions that the Bank or a government is planning to take.
4. Regular progress reports on the consultation process, which will help to recognize the time and experience contributed by the CSOs.
5. An acknowledgment of the participants' contributions. Many CSOs give very generously of their time, energy, and expertise in the process. Their continuing engagement needs to be encouraged. Acknowledgement and thanks can be in writing and a list of participants can be included in the proceedings.

Methods for feedback could include a combination of:

- Community meetings;
- Written reports after each phase and at the end of the process;
- Placing reports on the Internet;
- Presentations at community and consultative group meetings;
- Posting summary of comments in public places; and
- Publishing a summary of comments and final results in the local newspaper or making an announcement on local radio.

## ACKNOWLEDGING THE PARTICIPANTS

Many civil society organizations give generously of their time and it is important to acknowledge their contribution of time, ideas, and recommendations to the process. Being gracious about CSO contributions will help to spread goodwill and mitigate some of the consultation fatigue that organizations tend to experience. Acknowledgment can take the form of a “thank you” letter, recognition of the participants by providing a listing of them with documents that follow up on consultations, and verbal appreciation. Acknowledgement should also leave the door open for future engagement on the same or other issues.

## EVALUATING THE CONSULTATION PROCESS

An important step in the consultation process is the ongoing evaluation that should help the organizers to determine how to improve and correct procedures in mid-stream. Planning for the evaluation should be part of the design phase. Evaluation of the process should involve at least two simple tasks: 1) participant evaluation of the event or an activity, which may be written or oral; and 2) debriefing of staff and organizers during and at the end of the consultation process. The evaluation should help to:

- **Determine if the consultation was successful.** This determination should be based on the answers to these questions:
  - Were the desired outcomes reached?
  - Were stakeholders given the opportunity to have their views heard?
  - Were all stakeholders involved, including marginalized and vulnerable groups?
  - How were the comments incorporated?
  - Did the stakeholders' views influence the issues and key decisions?
- **Evaluate the impact on the issues.** After a consultation, one of the key issues is to decide whether the consultation process acted to improve Bank or government decision making, and whether the process resulted in improvements to project design or implementation. Beyond a simple yes or no, this type of evaluation should include a discussion of how and to what extent the consultation made a lasting contribution and whether the process also served to alter the views or activities of CSOs involved in the subject matter of the consultations.
- **Learn from experience.** Evaluating and sharing results enable the organizers to learn from the activities and to improve future consultations.

## GOING BEYOND CONSULTATIONS

Beyond participating in consultations, civil society organizations remain key stakeholders as well as a significant factor in development. They participate in the design, implementation and monitoring of several policies, programs, and projects. The profile of civil society feeding into the preparation of consultations can also inform civil society's participation in the implementation and monitoring of policies, programs, and projects.



### Summary: Tips for effective consultations

- ▶ Ensure consultation is a two-way process in which the Bank or governments and CSOs that are consulted both gain information.
- ▶ Plan well, and make sure adequate time and resources are available.
- ▶ Work in partnership with governments or keep the governments fully apprised of the process.
- ▶ Give CSO umbrella organizations a clear role in designing the process and in CSO selection.
- ▶ Make sure the ground rules are clear and acceptable in advance, that CSO expectations are not inflated, and that CSO views are considered seriously. Endeavor to ensure all parties have been easily able to access the consultation process.
- ▶ Ensure an appropriate diversity of CSOs. Demonstrate respect for the views of all parties and for cultural and social diversity of participants. Value all participant's knowledge and skills.
- ▶ Use country office civil society or social development specialists and other sources of local knowledge.
- ▶ Make sure adequate information is available in advance, in the appropriate language and style. Information should include background to focus comments on key issues and on the parameters of the consultation process.
- ▶ Receive as well as transmit: listen carefully and note CSO experience and opinions.
- ▶ Use a professional facilitator who can encourage relevant dialogue and use creative strategies to explore areas of disagreement.
- ▶ Focus on future actions where possible.
- ▶ Send participants a note of the meetings shortly afterwards, inviting corrections and omissions of the proceedings.
- ▶ Give further feedback on which points have been accepted and which were not accepted. Explain the decisions made.
- ▶ Follow-up after the process concludes, especially if it is possible to offer opportunities for collaboration.
- ▶ Maximize transparency: make available as much documentation as possible.
- ▶ Encourage "trialogue." This means engaging governments to the fullest extent possible in Bank consultations and encouraging a positive environment for government and civil society partnerships.

Source: The World Bank, *Consultations with Civil Society Organizations General Guidelines for World Bank Staff* and Australian Capital Territory Government, *Consultation Manual 2001*.

**Annexes**

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## Annex A: Examples of Consultations

### GLOBAL CONSULTATIONS: FOREST POLICY

#### Objectives

In 1998, the World Bank analyzed the implementation of its 1991 Forest Policy Implementation Review and Strategy in order to develop a new strategy for its work in the forest and related sectors. The objectives of the Bank review process were to:

- Identify key forest related constituencies from the private, public, and voluntary sectors;
- Consider the views of all key forest-related constituencies to ensure broad involvement of these stakeholders in the policy review and strategy development process;
- Identify a broader set of issues that had impacts on forest resources in Bank client countries and related sectors, including consideration of alternatives for addressing these issues;
- Contribute to the building of consensus on a global strategy which would involve all stakeholders in preserving and managing forests in the context of sustainable development and poverty alleviation; and
- Assess stakeholder perspectives on the advantages and disadvantages of the Bank's role in forest sector development.

#### Process

The process was designed as a two-way consultation that incorporated the principles of disseminating information and providing clear feedback channels. This process was designed to ensure that the Bank's forest strategy complemented other Bank activities and provided a basis for consensus-building among stakeholders.

The process focused on three types of consultations – issue-based, regional, and global. Consultations occurred in a variety of ways – through public meetings to discuss specific forest sector issues, regional workshops designed to explore these issues in greater depth, and through ad hoc presentations designed for other, non-Bank related forest sector meetings. More detailed descriptions of the three types of consultations include the following:

- **Issue-based consultations:** The first phase of consultations were designed to gather input from stakeholders. In addition to making ad hoc presentations to existing meetings on both environment and forestry issues, the Bank organized experts' meetings to seek input on specific analytical studies as part of its proposed forestry policy implementation strategy.
- **Regional consultations:** Nine regional consultations were convened to assess findings on the proposed forest policy implementation strategy. These meetings specifically aimed to examine a) areas in which the Bank should focus its efforts and b) areas in which the Bank could enter into partnership with other entities.
- **Global consultations:** The Bank built on local and regional consultations by convening a technical advisory group to advise the Bank on its forestry strategy. The

technical advisory group was drawn from participants in regional consultations and from others with expertise in the field.

The process was managed by the forest team within the Bank's Environment and Socially Sustainable Development Network. The team worked closely with counterparts in regional departments, and built on ongoing Bank dialogues by taking part in existing processes that had impacts on forest sector policies, including stakeholder meetings sponsored by the Bank as part of its regional assessments and consultations within client countries. This level of participation in other Bank activities enhanced the forest team's analysis of current thinking on particular subtopics of interest. These discussions were reinforced through the formation of a Technical Advisory Group that was drawn from stakeholders active in these various efforts.

### **Participants**

More than 350 individuals from more than 75 countries participated in the regional consultation meetings. These participants represented more than 260 different organizations from public, private, and voluntary sectors. As part of this project, routine communications were established with more than 650 people through email distribution lists. Participants were drawn from three major groups – the public sector, private sector, and the voluntary sector. Public and private sector selections were mostly made by Bank regional staff who were familiar with the people who could best contribute to the discussions. Selection from the voluntary sector, which consisted of nongovernmental organization and indigenous peoples groups, was carried out through self-selection processes.

To provide some assurance that the consultation process remained open and transparent, the entire Forest Policy Implementation and Review Strategy was undertaken working closely with the World Conservation Union. The Bank envisioned the World Conservation Union as providing an important bridge to other stakeholders.

### **Outcomes and Lessons Learned**

In general, the consultations helped to validate existing ideas, to identify priorities and concerns of stakeholders, and in building consensus. For many people, these fora also represented one of the few times when community activists interacted at length with World Bank staff. The fora also served to enhance CSO networks – many participants decided to form their own alliances to continue working together on issues of mutual concern.

#### *Value of the process design and methodology*

The Bank also gained valuable experience in the process design and methodology used for these consultations. One of the most important lessons learned came from the formation of the advisory group. Because that group was drawn from international experts, as well as those with expertise in their own countries and regions, and because these specialists represented diverse backgrounds, the Bank was able to ensure that information on issues from the various regions were transmitted to the global level. This

advisory committee also served as a bridging mechanism to bring stakeholders into the global public policy debate.

#### *Participant selection process*

The Bank identified three groups from which consultations participants should be drawn. These three groups were the public, private, and voluntary sectors. One of the lessons learned from this experience is that while key participants should be identified before consultations begin, all meetings should be open to all who wish to attend. The Bank staff made a decision early in the design process that while a number of people would be invited to attend meetings, the registration process would be set up for others who wished to attend at their own expense. This system worked well, although it caused some logistical problems. An advance registration process helped reduce but did not eliminate this uncertainty.

Other lessons learned from the selection process included the following:

- Nongovernmental and indigenous peoples groups should be selected separately. Do not assume that the process used or representatives selected from nongovernmental organizations will be the same as those for the representation on indigenous peoples groups.
- Funds must be provided to the focal points to conduct a self-selection process; and ample time (about 3-to-4 months) should be allocated for this process.
- Focal points can be identified through existing networks and groups that are organized around the topics to be discussed in consultations.
- Self-selection reduces the Bank's involvement (and thus potential criticism) in the participant choices for meetings. But self-selection also means there is no control over the selection of individuals.
- The Forest Implementation and Review Strategy team aimed to obtain the participation of a variety of nongovernmental organizations, but actual participation came primarily from environmental groups. Few of these participants had expertise in social development, human rights. If a broader range of organizations is needed for consultations, this goal must be clearly specified at the outset and taken into account when working with focal points.

#### **Communications lessons learned**

Communications with stakeholders must begin early in the consultation planning process, and the use of Internet communications must be carefully designed to meet the needs of stakeholders with limited computer capacity. Some lessons learned from communications with stakeholders included the following:

- A clear consultation plan after initial discussions allowed Bank staff to communicate the objectives of the process to stakeholders and to indicate clearly show stakeholder input would be considered;
- Providing and disseminating a brief overview and timeline of the entire process proved useful. The overview included information about when key meetings were to take place, key documents that were distributed, and the ways in which feedback are provided; and

- Relations with stakeholders are enhanced when stakeholders understand realistically what they can expect to emerge from a consultation process.

The Forest Policy Implementation Review Strategy team, as part of the consultation process, had created an external website where all documents related to the consultation process had been posted. The site was designed for feedback to participants, and provided used logical details and registration procedures for regional consultations. As part of the website creation, the Bank had established a discussion forum on the website so that interaction could occur among participants.

However, the discussion forum was never used and the website was not as fully utilized as it might have been. From this limited utilization, the Bank drew the following conclusions:

- Website designs should be kept simple, with limited graphics;
- Internet access may not be available to many and materials must also be distributed through other channels;
- Little interest may be generated in an online discussion forum;
- To ensure that online questions are answered promptly, have someone monitor incoming emails and other requests.

#### *Working with an external organization*

The Bank conducted its consultations by working closely with the World Conservation Union, an organization that advised the team on aspects of the process, helped to design the consultation process, and helped to ensure that the process was open and transparent. Both advantages and disadvantages to this collaboration were evident. The advantages of this collaboration were that the World Conservation Union was able to provide the Bank with a unique perspective. However, the association with the World Conservation Union did generate much debate both with other CSOs and between Bank staff and the staff of the World Conservation Union.

#### *Comparing issue-based, regional, and global consultations*

The issue-based, regional, and global consultations were all designed to feed the forest policy debate and provide strategic input into the Bank's review of its strategy. Each type of consultation had specific contributions to the consultation process. These contributions included the following:

- Issue-based consultations: These provided useful venues for bringing together often divergent opinions on key subjects. Participants were able to identify and address areas of agreement and disagreement. Thus, these consultations added to the consensus-building model.
- Regional consultations: There was some debate about the value of this format, as proposed to country meetings. The regional meetings, however, proved useful in gauging emerging trends or similar ideas, although there was considerable diversity within regions. The regional meetings did bring together groups of participants who might not otherwise meet, and thus helped to create informal networks. Regional meetings also provided an opportunity for local concerns to be raised and carried through to global-level discussions.

- Global consultations: One of the goals for all three types of consultations was to help the Bank staff to engage and the global level more effectively by taking stock of ongoing discussions and to be a useful conduit in ensuring that local and national-level issues were drawn into global processes. As the issue-based and regional consultations fed information to the Bank's staff, the Bank was able to take a more active role in other international processes relating to forestry. Specifically, the Bank was able to more actively engage in the Intergovernmental Forum on Forests and the Inter-Agency Task Force on Forests.



[Click here for the publication on Forest Policy Implementation Review and Strategy.](#)

Source: World Bank, Forest Policy Implementation Review and Strategy, April 2001.

### Objectives

The Polish public participated in a Bank country assistance strategy for the first time in 1997, when Bank staff held the first of two public consultations. The 1997 consultation did not produce the desired outcome of providing the Bank with a wide variety of views from stakeholders on the future activities of the World Bank Group in Poland. As a result, the Bank analyzed the mistakes made in the 1997, and in the summer of 2001, a Poland country team launched a program of CAS consultations with representatives of the Polish civil society.

The country team used the consultations as an opportunity to solicit the respondents' views on a set of wider topics such as the awareness level about the Bank in Poland, the respondents' perception of the key developmental challenges faced by the country as well as their opinions about the functioning of the Bank's office in Warsaw.

### Process

This consultation process was based on a series of strategies that focused not only meetings with stakeholders, but also encompassed a baseline opinion survey of stakeholders, in-depth interviews with people familiar with the Bank's work in Poland, and electronic consultations. The consultation process began early in drafting of the CAS in order to better incorporate stakeholder feedback into CAS planning. The sequence of Bank-sponsored consultation activities included the following:

- A baseline survey of Polish households, carried out in June 2001;
- An electronic consultation through the Poland Country Office website from February through May 2002;
- A program of in-depth interviews conducted with 58 selected individuals familiar with the activities of the World Bank in Poland, from January through February 2002;
- A series of consultation meetings held in Poland's three major cities: Gdansk, Warsaw and Katowice, April 17 – 19, 2002; and
- Two meetings with local political figures and representatives of the City Council of Szczecin and neighboring regions and of business community on August 13, 2002.

#### *Publicizing the consultations*

To obtain unrestricted feedback, the baseline survey and the in-depth interviews were conducted by external contractors. The material obtained from these proved useful background for the CAS and for the consultation meetings. The public meetings were organized by the Bank's Warsaw Office, but they were prepared and facilitated by two professional moderators from Poland, who ensured that the consultations proceeded in an informal yet structured fashion. The list of invitees was drawn by the Warsaw Office with input from three local CSOs that circulated the information about the CAS consultations and the forthcoming meetings among their contacts. These CSOs also provided a list of NGO representatives to be included in the consultation meetings.

Additionally, the information about the public consultations was placed on the Country Office website.

#### *Baseline survey*

The baseline survey covered a nationwide sample of 1,200 households in order to provide baseline data on stakeholders' socio-economic status and concerns. Survey results showed that 69 percent of the country's adult population had some knowledge of the World Bank's activities in Poland. Of those knowledgeable about the Bank's activities, a total of 78 percent had favorable opinions about the organization, 8 percent had unfavorable opinions and 14 percent expressed no opinion. These results indicated that a majority of Polish households held a favorable opinion of the Bank, particularly compared to other international organizations active in Poland, such as the United Nations.

#### *Internet consultations*

Polish and English language drafts of the CAS were placed on the Warsaw Office's website starting mid-January 2002. With this public access to the draft document, a number of CSOs submitted and individuals submitted comments, and the public comments, in turn, were placed on the website.

#### *Consultation meetings*

Each meeting associated with the consultation process consisted of two parts. During the first session, the discussion focused on gathering information about the country's social and economic situation and the key challenges that the Bank should address as part of its CAS. Participants were encouraged to review the analysis available within the proposed CAS and to comment on issues that participants considered to be poorly addressed or missing from the analysis. The second and the final round of discussions focused on soliciting participants' views on the way forward for the Bank's CAS, with a special emphasis on how the Bank should address the country's social and economic challenges through the CAS. During this final session, participants were asked to compare their views with recommendations offered by Bank staff in the draft CAS document.

Most discussions at the consultation meetings took place in small working groups that reported their observations and recommendations to larger groups in plenary sessions. The fact that the meetings brought together a variety of participants representing various backgrounds and institutions contributed to intense debates during the plenary sessions.

#### *In-depth interviews*

A series of in-depth interviews, targeted at a wide spectrum of civil society representatives, such as politicians, scholars, NGO representatives, private entrepreneurs and journalists, provided useful information about the country's economic priorities and the role of the Bank in addressing these priorities. These interviews revealed that many community leaders believed the Bank played a valuable role as a catalyst in facilitating dialogue among government, civil society, and other international donor agencies operating in Poland. Results of the in-depth interviews also highlighted the professionalism and competence of Bank staff. The interviewees also praised the Bank's

country office in Warsaw for its effectiveness in addressing the country's social and economic challenges.

The interviews also revealed strong support for the EU accession process as a means of providing economic growth for Poland. Interviewees also placed top priority on addressing key social issues such as unemployment and poverty, and a majority said these were the issues that should be addressed not only by the government, but also by the World Bank. The Bank was criticized, however, for its bureaucratic procedures, communication barriers, lack of adjustment to the local conditions, excessive use of foreign experts and the failure of those experts to understand local issues. Many interviewees expressed a preference for the Bank to use more local specialists in their Polish operations.

### **Participants**

An external organization, the Polish Green Network, which is a part of the CEE Bankwatch Network, assisted the Bank staff in carrying out these consultations. The Polish Green Network began its work in December 2001, when representatives from the Network and a Bank representative conducted a meeting for the Bank's Director for Poland and Baltic Countries, as well as for representatives of other CSOs. In that meeting, the Polish Green Network made a series of recommendations on procedures for leading the public consultations for the CAS, and the Bank agreed to these recommendations. The Polish Green Network then transmitted the agreement through CSO Internet discussion forums, which helped to facilitate participant involvement in this process.

The methods of interacting with participants varied significantly by the type of consultation strategy used. The in-depth interviews that preceded consultation meetings were generally one-on-one meetings. The participants in public consultations were placed in larger groups, ranging from 32 to 39 people per meeting. Each meeting brought together a group of representatives of CSOs, professional and business associations, private and academic research institutions, trade unions, and municipal authorities. All participants received a copy of the CAS draft strategy in Polish before each meeting.

### **Outcomes and Lessons Learned**

In general, the Bank's second series of consultations on the Poland CAS was considered a model process. The multi-dimensional strategy involving CSOs, community leaders, individual Polish households and academic researchers provided the Bank with representative opinions of a broad spectrum of Polish society. However, the final version of the CAS was not yet available to the public at the time of this analysis, and so the final results of the consultations are not yet known.

The Bank's extensive consultation process did result in a number of modifications to the CAS draft document. As one example, the CAS analysis of Polish poverty was substantially changed as a result of these consultations. The Bank's staff also made modifications on its analysis of gender issues, labor markets, education, health, balanced infrastructure and environment. Although not all stakeholder comments could be

incorporated into the CAS document, a broader array of comments from civil society were submitted to the Polish government. In addition, the full text of all the comments was placed on the Bank's Warsaw Office website.

As part of the Polish CAS consultation process, Bank staff learned the importance of having a country team incorporate and integrate results of a CAS into its own work, as well as the Bank staff's need to pay attention to the quality of information that can be gained from the consultation process.

The process also pinpointed the importance of a national government's engagement in the consultation process. A government's buy-in to the process helps to ensure its commitment to social and economic change and a government's engagement also provides legitimacy to the results of the consultation process. This is particularly important in countries like Poland, in which the Bank will operate for only a limited time.

Several best practices facilitated this consultation strategy for the Poland CAS. Some of the most important practices included securing the support of the Bank's Country Director of Poland early in the consultation process, beginning the planning process very early in the CAS planning process, using a variety of consultation strategies and sequencing those strategies, sharing management of the process with CSOs, using external, skilled facilitators, and placing emphasis on providing feedback to participants in the consultation process.

Sources: Poland Country Assistance Strategy and Jan Pakulski, World Bank, presentation at Stakeholder Consultation Workshop, World Bank, Washington, D. C., March 2003.

## DEVELOPING A COMMUNICATIONS FRAMEWORK FOR CONSULTATIONS - GEORGIA

### Objectives

In 2000, the Government of Georgia drafted an interim Poverty Reduction and Economic Growth Program (PREGP) for Georgia. The government, with support from the Bank immediately began planning civil society consultations on that document, with the objective of incorporating the views of CSOs in the final strategy document. Toward this goal, on July 1, 2000 the President of Georgia signed a decree to provide support for the Organizational Activities for Elaboration of Poverty Reduction and Economic Growth Program in Georgia. The decree established a governmental commission, with five sub-commissions, chaired by relevant line ministers. These sub-commissions included:

- Social issues,
- Governance and public administration reform,
- Fiscal and monetary policy,
- Infrastructure, and
- Agriculture and environmental protection.

The Interim Document of Poverty Reduction and Economic Growth Program (PREGP) was approved by the President of Georgia on Nov. 28, 2000 at a meeting of the Governmental Commission for Elaborating the PREGP. In January 2001, the Interim Document was approved by the Executive Boards of the World Bank and the International Monetary Fund.

In September 2001, a framework for assistance of PREGP preparation was developed by Georgia's donor community to support coordination of consultation efforts for the preparation of the final PREGP. Work on the final PREGP began in January 2001, and the first draft of the final document was produced in October 2002. The draft of the final document was subjected to comprehensive discussions not only within the government, but also within civil society and the international community.

### Process

The Georgia government, with support from the Bank and other donors, designed a comprehensive consultation process to solicit input from CSOs on both the Interim Document of the PREGP and on the draft of the final PREGP. This process involved meetings, debates, technical workshops, and Internet discussions, as well as establishment of a comprehensive communications strategy about this process.

The Secretariat of the Commission encouraged the participation of civil society through discussions organized with community-based organizations, mass media, and universities. These discussions were held in the four regions of Georgia (Shida Kartli, Mtskheta-Mtianeti, Kakheti and Imereti). At the same time, OXFAM arranged a meeting of CSOs with the representatives of the Secretariat to discuss the draft PREGP. As a

result of this meeting, a group of CSOs, PRSP Watchers Network, was formed for consultation on the PREGP.

The government, in conjunction with the Partnership for Social Initiatives, began the consultation process by developing a participation master plan in consultation with key stakeholders, such as the Secretariat of the Governmental Commission, the representatives of civil society, and the donor community.

A communications strategy for Tbilisi and various regions of Georgia was also developed. The communications strategy relied heavily on media coverage of dialogues among the Georgian government, local governments, and civil society, in February 2003, the Secretariat organized a 3-day workshop in Bakuriani, Georgia with about 30 media representatives to advance the PREGP communication strategy and assure more effective participation of mass media as a part of civil society. The partners that developed the communications strategy for public consultations envisioned public participation as a technical process embedded in the general communication campaign enabling certain groups of civil society to contribute to the improvement of the PREGP document in the preparation phase.

As part of the communications strategy, an advertising campaign also was conducted by disseminating a brochure about the consultations. The brochure was disseminated to much of Tbilisi civil society through email and postal mail distribution. The general population received informational brochures together with census materials that were distributed Jan. 17-24, 2002. In addition, a web page on the Internet was created to extend the discussions on the PREGP to a broader geographic scope within Georgian and to a wider variety of Georgian poverty specialists.

A number of different meetings were convened to review the PREGP policy options and strategies that had been drafted by the sub-commissions. A total 10 participatory workshops, 4 consultative meetings on the participation and 2 debates were conducted as part of this review process.

#### *CSO training*

The communications strategy for public consultations on the PREGP contained a training element. As a result, some meetings were aimed at enhancing the capacity of both NGOs and the business community in dealing with social issues associated with poverty reduction in Georgia. One nonpartisan organization, New Movement, held a meeting on Dec. 13, 2001 aimed at identifying linkages between poverty reduction and economic growth for the Georgian business community. The United Nations also dedicated 1 day of a 3-day training course in December 2001 for NGOs on human rights in Georgia to a discussion of the PREGP.

#### *Debates*

Public debates were conducted over several months in 2002 with representatives of CSOs, business groups, and trade unions to build a consensus among stakeholders on Georgia's poverty problems and the best methods of addressing those problems within

the strategic objectives of the PREGP. The goal of these debates was to enhance civil society's recommendations for structural improvement of the PREGP discussion document. Issues and possible resolution of issues were identified through construction of an integrated problem tree that expanded as each debate took place. The problem tree attempted to make the proposed logic of the document more visible, to enhance understanding of the actual document as a basis for identifying gaps in the strategy and to propose changes to the strategy.

#### *Other fora*

In addition to the debates, a wide variety of meetings with civil society and government officials were held beginning in 2001 and lasting through much of 2003 as part of the consultation process for the PREGP. These meetings focused on a broad selection of social issues. Three examples included the following:

- On Dec. 18, 2001, the World Bank office in Tbilisi convened a meeting on environment and poverty reduction.
- On Jan. 30, 2002, the Alliance for Business Environment Development and the Center for Training and Consultancy of Tbilisi, Georgia, organized a meeting on project cycle management as this issue related to the development of the PREGP.
- On Feb. 22, 2002, the Secretariat, with the help of local CSOs, organized a meeting on creation of an effective and adequate social security system as a component of the poverty reduction and economic strategy in Georgia. The meeting was attended by both community activists and business leaders.

#### *Technical workshops*

To build on results of the consultation meetings, a series of technical workshops were also conducted for high-level poverty specialists from the Georgian government, the Secretariat, CSOs, academic institutions, and business organizations. A total of 16 workshops were conducted by two different coalitions of civil society organizations. The PRSP Watchers Network conducted some of the workshops. This network, supported by Oxfam Georgia, is comprised of seven local CSOs. As one example, the PRSP Watchers Network of Georgia organized a technical workshop on Dec. 27, 2001 that focused on integrating all components of the consultation strategy for CSOs and other civil society experts. The PRSP Watchers Network used a sectoral approach to conducting its workshops under which each workshop focused on a single sectoral policy.

The Alliance for Business Environment Development (ABED) also conducted workshops. ABED membership comes from more than 20 CSOs, including business associations, think tanks and research institutions.

#### *Donor community outreach*

The Georgia government also drew into the consultation donor organizations. As a result, key donors in Georgia sponsored a support project for the PREGP in October 2001. This project was designed to maximize and intensify civil society involvement in the preparation of the PREGP Final Document. The final version, called the Economic Development and Poverty Reduction Strategy of Georgia was presented to the donor community on Nov. 25, 2002.

### *Editorial Board*

An editorial board of 20 members was established by the Secretariat that included state and CSO representatives and experts. The editorial board integrated comments provided by participants into policy options presented to and endorsed by relevant governmental sub-commissions. The final draft was again reviewed by the editorial board in close cooperation with the donor community. The editorial board then incorporated information for which consensus existed into the final version of the PREPG, which was discussed and adopted by the government.

### **Participants**

The multi-event, diverse methodologies that the government employed for public consultations on the Georgian PREPG drew participants from many sectors of civil society, including social activists, political leaders, the business community, academia, and technical specialists. Participation of technical specialists from international institutions like the United Nations enhanced the consultation process.

### **Outcomes**

The extensive public consultation strategy that began with the publication of the Interim PREGP had a significant effect on the final, published PREGP. One of the most profound impacts occurred in the overall strategy that the document pursued. The structure and principles of formulating that strategy changed after consultations, and the public debates were instrumental in emphasizing the causal underpinnings of poverty. What began as a sectoral approach to the analysis of poverty was transformed into a strategy that focused instead on identifying problems and objectives for addressing those problems. Specifically, the final PREGP reflected a series of general approaches to poverty reduction strategy that had been suggested by CSOs. Additionally, the sections of the final document that dealt with human capital development and risk management and security were sections suggested and developed by CSOs, with the assistance of relevant government agencies.

CSOs suggested a series of fundamental principles to follow in alleviating poverty and these principles were further refined through the consultation process, particularly through the technical workshops, with assistance from the Secretariat and were broadly discussed as the final PREGP was drafted. The end result was a change in priorities for the PREGP's Program Goal and Objectives.

Finally, the consultation process brought together more than 300 community-based organizations to provide inputs into many of the policy options detailed in the final PREGP. The policy options most influenced by these organizations fell into the following categories:

- Social assistance;
- Employment/Labor market;
- Community participation in the implementation of the PREGP; and
- Development indicators.

Sources: Government of Georgia, Secretariat to the Government Commission for Elaborating Poverty Reduction and Economic Growth Program of Georgia, May 30, 2002, Tbilisi, Georgia, "Progress Report on the Elaboration of the Poverty Reduction and Economic Growth Program of Georgia," available at <http://www.psigorgia.org/pregp/files/The%20Conceptual%20Framework%20of%20the%20Participation.pdf>, retrieved Dec. 5, 2003; World Bank, "The Conceptual Framework of the Participation in the Preparation of the Poverty Reduction and Economic Growth Program in Georgia, 2002, available at <http://psigorgia.org/eng/>, retrieved Dec. 3, 2003; and David Gzirishvili, World Bank, "Participation Master Plan, The Preparation of the Poverty Reduction and Economic Growth Program in Georgia," Feb. 21, 2002, available at <http://www.psigorgia.org/pregp/files/The%20Conceptual%20Framework%20of%20the%20Participation.pdf>, retrieved Dec. 5, 2003.

### **Background**

Throughout the 1990s, poverty in Bosnia and Herzegovina expanded dramatically due to the destruction from a regional war after the breakup of Yugoslavia. However, for many years lack of state capacity, due to the combined pressures of post-communist and post-conflict transitions, hampered efforts to address the needs of the most vulnerable in the population. Although international aid agencies had intervened with humanitarian assistance, by 1997 the focus of assistance was shifting to reconstruction efforts. Many of the international aid agencies present in Bosnia and Herzegovina were also preparing to turn over their functions to local organizations. This turnover, however, was complicated by the unstable political situation in the region, including the division of Bosnia and Herzegovina by the Dayton Peace Accords into two poorly coordinated political entities, Republika Srpska and the Federation.

### **Objectives**

In 1998, the European Community Humanitarian Office asked CARE, one of the world's largest private international relief and development organizations, to convene a forum to assess existing poverty trends and vulnerability, discuss the funding possibilities for social assistance and social care programs, and to evaluate policy options and priorities. This forum was intended as a step in the planning process for coordinating social protection policies for Bosnia and Herzegovina.

### **Process**

This consultation strategy was based on nine large workshops with active participation both from local groups and international assistance organizations. The planning for the workshops served as a mechanism for assistance needs assessment and as a method of matching donor organizations to those needs.

Two months before the forum, CARE circulated a preliminary document describing the focus and themes for the forum. At this initial stage, priority areas for the conference agenda were highlighted. After the agenda was circulated, more than 100 follow-up meetings served the dual purpose of preparing for the conference and assessing community needs. This extensive process informed the public of the upcoming conference, identified the relevant actors in a complex post-conflict situation, and laid the groundwork for subsequent policy debates.

Facilitators for the workshops were selected for their skills at managing large groups as well as knowledge of the issues. All of the facilitators were selected from nongovernmental organizations or government social service organizations and had an extensive understanding of how the discussions could be transformed into policy goals and objectives.

The nine workshops were held on different topics, and preliminary papers were circulated to serve as a starting point for discussion. Before the workshops began, there were some doubts among the international community about in-country capacity to contribute substantively to the workshops. These doubts disappeared after the caliber of the workshop discussions became evident. The participant from the Red Cross/Red Crescent made reference to this changed attitude in the closing plenary when he referred to the technical discussion on pension reform in the workshop he attended.

### **Participants**

The World Bank was a stakeholder in this consultation, but only one of several international agencies involved in the process. For this consultation to be successful, all ethnic groups within Bosnia and Herzegovina had to be represented. In addition to ethnic groups, a number of international agencies were asked to participate in the conference and to ensure that the proposals and recommendations of the conference were implemented. These international agencies included CARE and several United Nations agencies, Medicins sans Frontiers, the World Food Programme, Norwegian People's Aid, and the United Nation's Office of the High Representative for Bosnia. Several embassies sent their representatives, and The World Bank, International Federation of the Red Cross, and Red Crescent Societies were also included in this process from the beginning and supported the conference.

At the local level, the final list of participants included representatives from women's groups and social workers' associations, in addition to the municipal Centers for Social Work, universities in both Bosnia and Herzegovina, children's homes, youth centers, and geriatric centers. In raising awareness and attention regarding the importance of social policy, the organizers identified a special need to include policy makers, politicians, academics and practitioners in the conference. This was seen as a means of facilitating the interaction of policy makers and practitioners so that both types of specialists could understand each other's issues and concerns. The inclusion of academic material also informed the decisions of other players.

Government officials from both Bosnia and Herzegovina participated. These participants included deputy ministers of analogous social policy departments. This high-level participation was an important signal in a country recovering from war in which national divisions were still critical and the two entities were functioning separately on most issues. From the Federation, cantonal level ministry officials also attended.

### **Outcomes**

The keynote speeches, workshop background papers, and the conference discussion were subsequently published in English and Bosnian to serve as a reference point and policy and practice document. This forum played a defining role in the evolution of social policy in Bosnia, due in no small part to its inclusiveness of so many ethnic groups. The Social Protection Task Force was formed out of this process, co-chaired by the relevant assistant ministers from both entities, and it was tasked with continuing the discussion and developing concrete recommendations for policy implementation.

Source: Interview with Kendra Gregson, consultant, World Bank and World Bank, “Social Policy, Protection and Practice: The Care of Vulnerable Groups in Bosnia-Herzegovina,” papers and proceedings from a conference held in Sarajevo.

## CONDUCTING CONSULTATIONS IN HIGHLY POLITICIZED CONTEXT - DOMINICAN REPUBLIC

### Objectives

The Dominican Republic has experienced one of the highest growth rates in Latin America and the Caribbean over the past 4 years. Despite this and its relatively young democratic tradition, the living standards remain low. Conflicts concerning labor during the economic crisis of the 1980s created many civil society organizations. These organizations, along with the private sector and interest groups, are still active. With a current transition of power to a younger and more open generation, civil society is finding its place in the Dominican Republic. The country does, however, have a pattern of conflictive political campaigns. The Comprehensive Development Framework consultation process that took place during an election year was designed to assist in national consensus building effort. The Bank's presence was relatively new; the resident mission was established in August 1999. Thus, there was not yet an established pattern of working with CSOs.

In late 1999, the government of the Dominican Republic and other key stakeholders asked the Bank to assist in the creation of a broad-based consultation process that helps to build a consensus among the main political parties about development action plans and to help put the agreements into operation.

### Process

An independent forum, the *Pontificia Universidad Católica Madre y Maestra* (Catholic University), under the direction of a highly visible civil society leader, was identified and asked to coordinate the consultative process to ensure the active participation and endorsement of all three parties. This civil society leader was known for his background in conflict resolution and consensus building. The Bank secured an International Development Fund grant to finance the consultation process. Heeding lessons from previous consultative processes, including advice received from the government's National Dialogue of 1997-1998, this consultation process attempted to involve all social and political forces that can give the outcomes high credibility and legitimacy, and focused on implementation. Inclusion was especially critical because this process took place during an election year.

Starting in September 1999, the Catholic University organized five *mesas de trabajo* (roundtables or working groups) with participation from three main political parties, and representatives from civil society. Civil society participants included representatives from trade unions, established NGOs, and academia, but not the smaller civil society groups. Nor was the Congress represented. Some international donors, including Germany and the European Union, participated and contributed funds to this effort.

The topics of roundtable discussions included social policies for poverty reduction, economic development policies, state reform, environmental policy and management, and

border development and relations with Haiti. The roundtables met two to four times per month to discuss strategy, commission studies, and eventually reached consensus on areas of commitment for action. The coordinators of each roundtable met frequently. The Bank followed the process, but did not take an active, participatory role.

### **Participants**

In the Dominican Republic, the civil society sector is largely unregulated. Many CSOs exist, and many are linked to political figures. Many are not mission focused, and receive assistance from the State. There is a national umbrella organization, Alianza. There was good technical capacity in the international and national organizations, but the capacity appeared weak among the smaller and rural groups.

### **Outcomes**

One successful outcome of the process was the inclusion of the five roundtable discussion topics in subsequent political campaign agendas. The inclusion of these issues in political discussions created positive impacts on the electoral process. An accord on development priorities for the Dominican Republic developed as an outgrowth of the roundtable discussions was presented in December 1999 to the three presidential candidates in an official ceremony. The findings were preliminary, but identified issues and general recommendations for change. Candidates included sections from the accord in their campaign platforms. The opposition party, members of which showed great enthusiasm for the process, won the election in May 2000.

During the transition to a new government, two of the roundtables were used as consultative groups to help shape government plans. Many of the participants of the roundtables were nominated to key government positions and sought assistance from the roundtables to formulate their work plans.

Sources: World Bank, Nongovernmental Organization/Civil Society Unit, interviews with Marco Mantovanelli, Resident Representative, Dominican Republic, July 20, 2000; and John Panzer, "Learning to Partner: Engaging Civil Society in the context of Country Assistance Strategies and the Comprehensive Development Framework," Nov. 16, 1999.

### **Background**

Beginning in 1999, a project to construct the La Serna Bridge generated conflict between two neighborhoods in the municipality of Avellaneda, a suburb of Buenos Aires. The residents of Villa Modelo, a low-income neighborhood, were clamoring for the construction of a bridge that the municipality had promised with or without financing from the World Bank. For these residents, the benefits of the construction of the La Serna Bridge were considerable, in particular greater accessibility from their neighborhood to the city of Buenos Aires. But a small, but well-organized and advised, group representing residents of La Serna Park, a high-income neighborhood, strongly opposed the project. According to these residents, the new bridge would have only negative impacts on their neighborhood.

### **Objectives**

The municipal government's two previous efforts to consult residents had failed to reduce tensions between the two neighborhood groups. Faced with escalating conflict between these groups, the Bank proposed to the municipality that it convene a consultation in the form of a public hearing.

### **Process**

The municipal government used an external partner, Citizen's Power, to organize a public consultation on this contentious issue. Citizen's Power operated as the Argentinean chapter of Transparency International. This CSO had organized previous public hearings and had credibility among local citizens. Its past experience was an important factor because time was limited by construction deadlines, and a decision on bridge construction had to be reached within 20 days.

Citizen's Power designed a two-stage strategy for the public hearing. During the first stage, a training workshop was held for municipal officials in charge of registering participants for the public hearing and carrying out the hearing itself. Following the training workshop, the public was invited to the hearing. Citizen's Power used the two principal national newspapers and local media (e.g. radio, graphic media, television and other public organs) to announce and convene the hearing. In addition, to ensure greater participation, Citizen's Power made personal contact and extended invitations by telephone to representatives of the neighborhood groups involved in the conflict.

Following the training workshop, a public announcement, and issuance of invitations, Citizen's Power opened an office to respond to the public and register participants. Background information and studies on the construction of the bridge were made available in this office. A poster in the office also directed people with questions, complaints and/or suggestions to Citizen's Power.

Citizen's Power organized two additional workshops - one with each groups of residents involved in the conflict - to explain the rules and procedures that would govern the public hearing. These activities not only ensured the participation of both groups, but also facilitated an orderly process for the hearing.

The second stage of the strategy consisted of the public hearing itself, attended by more than 450 local residents, the mayor of the municipality, and senior officials from the Secretariat of Transportation and the World Bank. For the participants, the presence and participation of the mayor as the president of the public hearing confirmed the commitment of local authorities to address the neighborhood conflict despite the initial reluctance to support this process of consultation.

### **Participants**

More than 60 speakers participated in a public hearing that lasted longer than four hours. During the 20 days that preceded the hearing, a list of speakers was assembled to maintain an orderly, informative, and balanced process. While most of the neighbors who attended the meeting supported the construction of the bridge, speakers represented both supporters and opponents of the project.

The hearing also served as a forum for the Secretary of Transportation's Technical Team, allowing the Team to explain the improvements that had been made to the original project, such as the use of noise reduction panels, the incorporation of a bicycle lane, the restriction of heavy vehicle transit and the protection of green areas. In addition, the Team shared the results of different environmental impact and feasibility studies. At the hearing, a representative of the Bank spoke about environmental norms and citizen participation in these types of projects.

During the public hearing, Citizen's Power measured the opinions of the participants through the use of a self-administered poll. A total of 77 percent of those polled claimed to be highly pleased with the public hearing process; 57 percent indicated that the organization of the public hearing was very good; and 76 percent claimed that the public hearing had allowed them to look at the issue from a new perspective.

### **Outcomes**

The public hearing produced two outcomes. First, the hearing improved the original project. Several modifications were introduced to address the concerns of the residents who opposed the construction of the bridge. The modifications included redesigning the bridge to improve vehicle movement, reducing the number of trees to be removed, establishing protection for green area, and prohibiting truck traffic. For most of the actors involved in the process, these modifications improved the original project and addressed objections by the bridge opponents.

Second, this public hearing reduced the tensions within the local community. The hearing did not completely resolve the conflict, however. Many of the residents of La Serna Park continue to oppose the project. But among these residents, recognition grew that the hearing did address some of their concerns.



[Click here for more information on this project.](#)

Adapted from Sandra Cesilini, "Managing Conflict through Citizens' Participation: The Case of the La Serna Bridge Project in Argentina"

### **Background**

During the 1980s the international community became increasingly concerned about the rapid destruction of Brazil's rain forests, both within the vast Amazon region and the remnants of the Atlantic Forest along the coast. There were many reasons for this global attention, ranging from calculations about the effects of destroying the forest on the world's climate, to the implications of losing much of its vast and largely unknown biological resources before they even became known to science. There was also concern about other vital roles that the forests play in maintaining the local climate, protecting watersheds, and providing raw materials for crafts and industry. The rain forest is also home to millions of people who depend on the forest for their livelihoods, including rubber tappers, nut gatherers, fishermen, small farmers and indigenous groups.

At the same time that international attention was focused on Brazil's rainforests, the activities of CSOs within Brazil also gained prominent, and these two forces together focused attention on the needs of the Amazon region generally. To ascertain the views that Brazilian CSOs had of the World Bank, a series of consultation meetings were held in 1996 in Brasília and six state capitals in all five geographic regions of the country. More than 85 representatives of social movements, CSOs, and donor agencies that work in a variety of fields ranging from education and environment to indigenous issues participated in the focus group-style meetings.

Among the many and varied opinions expressed about the Bank, several drew broad agreement. Most participants agreed that the overall image of the Bank was negative and generally associated with large infrastructure projects that did not seem to benefit local populations and often had unforeseen social and environmental impacts. The participants also reached near consensus on the following views:

- The Bank was perceived as being slow and overly bureaucratic;
- The Bank was generally seen as inaccessible and out of touch with grassroots reality, but at the same time;
- The Bank had recently adopted positive environmental protection and social development policies.

The Bank's Rondonia Natural Resource Management Project (Planafloro) in the Western Amazonian State of Rondônia benefited from the developing attention that was focused on both Bank policies and CSO activities in Brazil during this time period. As Planafloro was originally developed in the early 1990s, it represented an example of an overly complex and troubled project with a design that lacked sufficient input from CSOs affected by it. The Planafloro project, which encompassed rainforest conservation, social development, infrastructure development, health issues, and agro-forestry activities, was signed in 1992 at a total cost of \$229 million, of which \$167 million was the Bank's share. It took effect in 1993. But by the end of 1996, few of the project's broad goals had

been met, stakeholder participation mechanisms were not working, and only 50 percent of the funds had been spent.

### **Objectives**

The state of Rondônia was characterized by large areas of untouched rainforest, much of which had undergone rapid change after the early 1970's, and a strongly rooted traditional population composed of Amerindians, rubber tapers and river dwellers. By the early 1990s, Rondônia had a population of 1.2 million and some of the worst social indicators in the country. As a consequence irregular occupation pattern, the state was characterized by a concentrated and confused land ownership situation that fueled land conflicts and predatory economic activity such as illegal logging, wildcat mining, and drug smuggling. In just 30 years, Rondônia lost more than 25 percent of its native forest cover. In many ways, Rondônia represented a microcosm of Brazil's major economic, social, political, and cultural problems.

The Planafloro project was designed to address some of these issues. But as originally conceived, the project design contained several flaws. These included its many development subcomponents, a complex management structure involving 10 state and federal government agencies; ambitious and poorly defined sustainable development goals; and limited local ownership by both the state government and the society at large.

As a result of these problems, in 1996 the Brazilian NGO and Social Movement Forum, with approximately 35 organizational members that included agricultural workers' groups, indigenous organizations, rubber tapper associations, environmental NGOs, and urban educational groups, mounted an international campaign to suspend disbursement of Bank project funds to the Planafloro because project goals were not being met and there were allegations that the project was harming rural populations and the environment. This campaign also included a request for inspection sent to the Bank's Inspection Panel, which sent a fact-finding delegation to Rondônia.

### **Process**

After receiving this request, the Bank determined that several steps were needed to address the project's design flaws. First, the Bank decentralized project supervision responsibility to the field office. Second, the Bank staff commissioned a comprehensive and independent mid-term review of the project. Third, realizing that the project lacked local ownership and support at the state and local levels, Bank officials insisted that the principal stakeholders take full responsibility for its restructuring.

The mid-term review was conducted by a multidisciplinary team of Brazilian consultants composed of anthropologists, environmentalists, economists, and management experts. A stakeholder consultation workshop was organized in Porto Velho to discuss the possible reformulation of the project. Major stakeholders present at this workshop included the state and federal governments, the NGO Forum, international CSOs, the United Nations Development Program, and the World Bank.

## **Participants**

The mid-term review of the Planafloro project was driven by a coalition of civil society organizations coordinated by the Brazilian NGO and Social Movement Forum. This forum consisted of about 35 organizational members that included agricultural workers' federations, indigenous organizations, rubber tapper associations, environmental NGOs, and urban educational groups. These organizations had substantial responsibilities in terms of Bank project funding for the Amazon, because they were members of a Deliberative Council that approved the projects submitted by local communities.

The NGO and Social Movement Forum also partnered with government technicians to analyze the project proposals. This participation enhanced the selection process in two basic ways: the analysis was more complete because CSO representatives had more local knowledge, and their presence helped the state government to avoid political pressures associated with the state-wide elections held in 1998.

## **Outcomes**

A formal agreement was reached between the state government and the CSOs that led to a complete restructuring of Planafloro. Project subcomponents were reduced, the number of government executing agencies was cut back, and bureaucratic procedures were streamlined.

The principal stakeholders in the Planafloro were given full responsibility for its restructuring, and a \$22 million demand-driven community projects fund was created and is today being co-managed with CSOs. As part of this co-management effort, the coalition of CSOs participate with the federal government on a Deliberative Council to analyze and approve the projects submitted by local communities.

Once a policy of more open and frank dialogue began to be pursued, noticeably improved relations among CSOs, the state government and the Bank were established, which went beyond the project itself. Relations between these actors improved so much that they were able to collaborate on a statewide participatory planning process held in 1998 geared to formulating development policy for the State of Rondônia through 2020.



[Click here for the publication on this topic.](#)

Sources: John Garrison, Civil Society Team, World Bank, "From Confrontation to Collaboration: Civil Society-Government-World Bank Relations in Brazil," available at [www.worldbank.org/participation/PRSP/pap4box9.htm](http://www.worldbank.org/participation/PRSP/pap4box9.htm), retrieved Nov. 15, 2003.

**Background**

The Left Bank Outfall Drain Project is an environmental improvement project conceived in the 1960s as a response to the problem of rising water tables and resulting waterlogging and salinity. The project area included some of the most hard-hit areas on the left side of the Indus River in the arid zones of Pakistan's Sindh Province. The project's primary function was to remove and safely convey saline water to the sea through a network of drains. The project provided for the integrated development of irrigation and drainage, which include an outfall for saline drainage effluent to the Arabian Sea, phased construction of three drainage sub-areas in Nawabshah, Mirpurkhas and Sanghar, remodeling of the Nara/Jamrao Canal system, and watercourse improvement in the arid zones in Sindh Province.

By 1997, waterlogging and salinity remained Pakistan's top environmental challenges and the principal threat to Pakistan's vitally important irrigated agriculture but the Left Bank Outfall Drain Project demonstrated the tremendous positive impact of drainage in tackling waterlogging and salinity. However, additional drainage works were urgently needed, given the magnitude of the problem. The World Bank committed US\$150 million to help finance a US\$900 million improvement project for the Left Bank Outfall Drain program. The Asian Development Bank, the Islamic Development Bank, Canadian International Development Agency, Saudi Fund for Development, Saudi Fund for Development, OPEC Fund for International Development, Swiss Development Corporation, UK Department for International Development, the Government of Pakistan, and the Government of Sindh also helped finance the project.

Although many decades ago, much of the farming land in Sindh Province had been abandoned, the pumping associated with the Left Bank Outfall Drain Project had freed up additional acreage for farming. As a result, farmers who had left their land because of waterlogging and salinity to work as laborers in nearby towns had returned to work as farmers. A preliminary study of land use in the drainage area covered by the Left Bank Outfall Drain Project in the mid 1990s revealed a significant increase in cropping intensity and an increased use of previously abandoned land for cropping. There had also been a significant increase in yields of the two main crops in the project area-cotton and wheat.

Attempts were made at all stages of project implementation to involve the local landowners and tenant farmers, including women, in the development works. Farmers contributed labor and helped to operate and maintain completed facilities that were vital to the project's success and sustainability.

## Objective

Over the decades after the 1960s, managing the Left Bank Outfall Drain facilities became quite complex, with increasingly sophisticated pumps and electronic controls constantly in use. A Drainage Advisory Service provided liaison between the Water and Power Development Authority, the implementing agency of the Left Bank Outfall Drain Project, and the range of communities, organizations and groups directly affected by the project. The project was sponsored in part by the World Bank, which committed US \$150 million to help finance a US \$900 million portion of the Left Bank Outfall Drain Project. To increase the chances for success of this project, a consultation strategy was needed to allow all parties to learn to work together more effectively. One component of this strategy was to involve consultations with the farmers, who were beneficiaries of the project.

## Process

A variety of consultation methods were developed. These consultations activities were initially held as independent events but increasingly, Drainage Advisory Service staff chose to combine, for example, consultation workshops with exhibitions. The consultations included the following methodologies:

- *Exchange visits:* In early years of project implementation, exchange visits were used to demonstrate operating scavenger wells to groups of 100 to 150 farmers. As farmers became more familiar with project technology, visits by smaller groups of carefully selected community representatives from new areas of construction were facilitated by Drainage Advisory Service so that the visitor-farmers could witness the benefits of drainage and the organisational arrangements required for sustainable operation at successful operational wells
- *Informal meetings:* Informal farmer meetings were carried out in advance of construction at different phases of the project with the aim of informing farmers about the project and welcoming their questions and opinions. Field assistants gathered 10 to 15 farmers to discuss the project and canvas farmer opinion, leaving project leaflets for the farmers to discuss with other colleagues.
- *Final Acceptance Tests:* Final acceptance tests were undertaken in Saghar where project staff, the contractor, farmers and Drainage Advisory Service were represented at the final testing of scavenger wells. The purpose is to demonstrate the proper functioning of the drainage system and to gain the support of the farmers for shared operation and maintenance of the well. The need for farmer involvement in final acceptance tests arose because of complaints about the construction work. By correcting mistakes identified by farmers, there was a better prospect of farmer support for shared operations and management. The final acceptance test program also required farmers to agree on the numbers and locations of structures along the disposal channel and to remove all other obstructions.

Consultations and extension methods or techniques were used to both inform farmers about the project as well as elicit from them their ideas and willingness to support different aspects. Although farmers had little involvement in the construction phase of

the first project facilities, in subsequent facility construction farmers identified ways in which communities could assist the project. These included:

- Conducting baseline surveys;
- Refining design maps and plans;
- Identifying appropriate local contractors before construction, and making arrangements where possible for use of local manpower;
- Resolving crop and land compensation disputes; and
- Assuring security for project field personnel.

From these suggestions, farmer exhibitions and consultation workshops were organized. The purposes of these meetings were to:

- Raise farmer awareness about Left Bank and provide information about the project and its benefits;
- Identify ways in which the community could participate in the project;
- Assess the feasibility of an organization to represent local farmer interests;
- Encourage the formation of a farmer organisation to represent their interests in project dealings;
- Identify a group of farmers to represent community interests before the establishment of a formal organization; and
- Discuss the prospective role of farmers in safeguarding and maintaining project facilities.

The format of the meetings evolved through circumstances. Relatively few senior staff members within the Drainage Advisory Service had both a broad understanding of the project and facilitation skills. Thus, early meetings involved participation from large numbers of officials – from 10 to 15 officials. A loudspeaker system was provided for specialists' speeches, which were then followed by a short question and answer session during which the farmer-participants identified issues of local concern in English, in honour of the guests.

For several days in advance of formal meetings and exhibitions, mid-level and junior field staff of the Drainage Advisory Service established contact with the host community, discussed details of land use, social data, irrigation issues and drainage priorities. The field staff explained the purpose of the exhibition-workshops, and agreed to convenient venues and times. The host communities were encouraged to take lead roles in the organization of the meetings and invited farmers from surrounding villages. Senior Drainage Advisory Service staff then led meetings of 100 to 200 farmers and community leaders.

### **Participants**

Participants consisted primarily of farmers and farmer groups. However, specific efforts were made to include women. A number of different types of meetings to familiarize women with the project activities were tested within rural communities. Female extension workers held six formal women's exhibitions to inform women about the project. Later, female extension workers visited villages without advance notice and spoke to smaller groups of women in their houses and in the field. In cases where the

community was sufficiently large and the women at the informal gatherings wanted friends and neighbours to hear about the project, followup visits were arranged so that longer and more formal extension programs could be held.

Presentations were also made to female staff of CSOs and female trainees of the Agricultural Extension Training Institute at Sakrand. The female extension staff spent considerable time working with the women of six communities where women's action groups were formed. Complementary training was provided to women in areas surrounding the location of a number of the larger exhibitions attended by males.

In one community, informal meetings were held to publicize to women the plans for construction of tile drainage facilities. Drainage Advisory Service female extension workers visited more than 2,783 women in their homes. In addition, 15 women visited a working tile drainage installation and another 15 visited a CBO formed and supported by the National Rural Support Program. Drainage Advisory Service female extension staff also made presentations to women in other CSO forums.

### **Outcomes**

A new approach to joint cooperation in the implementation of the Left Bank Outfall Drain Project placed emphasis on the community's interests and opinions first. External agents, such as project staff, played a facilitative, supportive role rather than a directive one. Though the focus was in the right direction, problems remained. After a few meetings, organizers learned the way to ensure that future meetings were not dominated by vocal minorities was to introduce a new meeting format. Meetings held in autaks (community halls) with fewer participants who were divided into small work groups that enabled a more constructive discussion to result.

Based on this consultation experience, a streamlined approach to field consultation and extension activities evolved. The evolved approach includes the following steps:

- Preliminary reconnaissance visits by junior Drainage Advisory Service field staff;
- Exhibitions targeted at a broad community surrounding the public works project;
- Consultation workshops to establish local issues and priorities;
- Informal women's meetings;
- Visits by farmers to an operating system to witness benefits; and
- Joint tours along the route of the proposed drainage channel to assess the implications of design changes with landowners and operators.

Sources: Adapted From *Main Report of Left Bank Outfall Drain Project Communication Strategy*, "Chapter 3: Farmer Consultation Processes: Methods and Experience," Government of Pakistan, Water and Power Development Authority, 1998; also World Bank Press Release, "Left Bank Outfall Drain Project Tackling Pakistan's Waterlogging and Salinity Problems," available at <http://web.worldbank.org/WBSITE/EXTERNAL/NEWS/0,,contentMDK:20017537~menuPK:34465~pagePK:64003015~piPK:64003012~theSitePK:4607.00.html>, retrieved Nov. 30, 2003.

## Annex B: Profile of Civil Society Organizations

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### DEFINING AND CLASSIFYING CIVIL SOCIETY ORGANIZATIONS

There are many definitions of the term “civil society.” Civil society comprises a wide variety of private organizations that have a role in public life for expressing the interests and values of their members or others, based on cultural, economic, ethical, political, scientific, philanthropic, or religious considerations.<sup>18</sup> Civil society represents a broad arena containing an array of interests, associations, and expressions of values, some of which will necessarily conflict with the others.

Civil society organizations could be classified in many different ways - by sector, focus of work, origin, scale, level of formality, values, or theoretical perspectives. No universally accepted schema of such organizations exists, and the details of each typology will always need to be adapted to reflect the purpose of particular tasks. In consultations on policy and projects, it is essential to recognize that CSOs differ in the degree to which they can perform the following six functions:

- **Representation:** Organizations that aggregate and present voices of groups of citizens;
- **Technical expertise:** Organizations that provide information and advice;
- **Advocacy:** Organizations that advocate on particular issues;
- **Capacity-building:** Organizations that provide support to other CSOs to strengthen their capacity to function and improve their capacity to mobilize resources;
- **Service-delivery:** Organizations that support the implementation of development projects or provide services directly to the public; and
- **Social functions:** Organizations that foster collective recreational and other social activities.

Many CSOs serve more than one function, and it is helpful to specify their primary function so as to match organizations with the purpose of a consultation. As one example, World Vision is involved in advocacy, capacity building, and service delivery.

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<sup>18</sup> William Reuben (2000).

**Example 1: Functions of Civil Society Organizations**

<b>Function of CSOs</b>	<b>Examples of CSOs in this category</b>	<b>Implications for Selection Criteria and Process</b>
Representation	<p>Membership organizations, including labor unions, women’s associations, peasant organizations.</p> <p>Nongovernmental organization federations, umbrella organizations, or networks.</p> <p>Faith-based organizations.</p> <p>Organizations of Indigenous Peoples.</p>	<p>The selection of these organizations should be based on size of organization, type, and the legitimacy of representation. Questions that can help classify the organization include:</p> <ul style="list-style-type: none"> <li>• Who belongs to the organization?</li> <li>• What is the criteria for membership? In what activities does the organization engage?</li> <li>• Does it cater to members only, or does it take up action on behalf of a wider group?</li> <li>• What is the geographic and sectoral coverage of this organization?</li> </ul>
Technical Expertise	<p>Professional and business associations.</p> <p>Think tanks and other research groups.</p>	<p>The selection should be based on the expertise and knowledge of issues and the legitimacy of members’ expertise.</p>
Advocacy	<p>Trade unions.</p> <p>Environmental nongovernmental organization.</p> <p>Human rights groups.</p> <p>News and media groups.</p> <p>Campaign organizations.</p>	<p>The selection should be based on how actively a group is advocating issues, its capacity to mobilize and educate a constituency, its credibility, and its demonstrated interest in constructive engagement.</p>
Capacity-building	<p>Foundations (local, international, and community)</p> <p>CSO support organizations.</p> <p>Training organizations.</p>	<p>The selection should be based on the issues associated with a proposed project or strategy under study. For a country-driven process such as a PRSP, an organization may represent a key interlocutor that strengthens the capacity of civil society to participate in the consultation.</p>
Service-delivery	<p>Local, national, and international nongovernmental organizations.</p> <p>Credit and mutual aid societies.</p> <p>Informal, grassroots, and community-based associations.</p>	<p>The selection should be based on the relation of these issues to a proposed project. Issues of representation may also come into play for some of these groups.</p>

In developing a profile of civil society in the country or project context, three key elements should be considered in analyzing how to work with civil society when planning and conducting the consultation process: the enabling environment, historical perspectives and trends, and the characteristics of civil society.

### **Enabling Environment**

When conducting consultations, it is important to consider the overall institutional environment in which organizations operate to ascertain the extent to which it permits people to associate, mobilize resources, articulate voice and express opinions, access information, and negotiate. Some cultural environments are more conducive to consultations than others. For example, CSOs operating in a restricted environment may find it difficult to associate and participate in consultations. However, these CSOs may be identified for possible consultation through their locus of registrations.

Another important factor in this environment is the impact of economic pressures on CSOs, which could have a significant impact in their ability to take part in consultations and exert their influence on policies, programs or projects. Information on the economic condition of CSO can help to pinpoint any capacity needs these groups may have that limit participation in consultations. Identification of capacity needs can enable the managers of consultation processes to identify appropriate sources of funding for these organizations. Task managers of consultations should be aware that Bank funding of CSOs to participate in consultations can pose a measure of risk to these organizations.

It also is important to identify the mechanisms available under which CSOs may express their views within a given culture. Established laws or traditions may limit CSO expression of civic views, and if these limitations exist, they will affect the techniques used for consultations.

### **Historical Perspectives and Trends**

An understanding of the historical perspectives and trends of how civil society and civil society organizations have changed over time helps the Bank and governments to better relate to CSOs during the consultation.

### **Characteristics of Civil Society**

The size, spread, presence of umbrella organizations or networks, nature of representation and constituency, and the scope and focus of action are characteristics of civil society organizations that should be profiled. This information is used to design the consultation. The information also helps determine the consultation methods to be used, the geographical focus of the consultations, the target audiences, how best to disseminate information about the consultations, and other factors. For example, if CSOs focusing on the environment are concentrated in one region, a special consultation could be held on issues of interest in that region. Organization with similar interests can communicate and

coordinate their inputs. In areas where there are fewer organizations, outreach efforts for a consultation could include informational meetings and workshops for CSOs.

As one example, a profile of civil society of Sri Lanka was prepared in October 2002 for a rural poverty reduction project in Sri Lanka by Yumi Sera of The World Bank’s Civil Society Unit, Social Development Department. It was prepared through literature research and interviews with international, national, and local CSOs and academics.

The profile conducted of Sri Lanka showed that CSO strengths included flexibility for quick, timely, and decentralized decision making and proximity to communities or target groups that the CSOs served. The challenges to these CSOs included an instable funding base that supported projects, a lack of coordination between government and CSOs, and a lack of CSO expertise handling major projects.

The CSO profile provided recommendations for a more complete assessment of these organizations that could include multi-stakeholder workshops to encourage local ownership of the development process and the development of a database of CSOs.

**Example: Historical Perspective and Trends of CSOs**

<p><b>1. Changes Over Time</b></p> <ul style="list-style-type: none"> <li>• Time frame: When formed by type in terms of organizational structure and mandate;</li> <li>• Rationale: Reasons for formation, external factors, in response to what;</li> <li>• Changes and transition in civil society over time, by geographic spread, mandate, sectors, diversity of constituents.</li> </ul>
<p><i>Sri Lanka CSOs have a long tradition. The “wew sabhas” (organizations of farmers benefiting from tanks) and the “dayaka sabhas” (associations of laypersons involved in temple activities) were social institutions geared toward the uplifting of the community through collective efforts and can be considered early and highly successful forms of organizations. A third type of organization, “gam sabha,” points to the tradition of democratic decision making at the village level. These institutions survive in rural settings, although the form and content of their activities have changed. Village level organizations include debt societies, farmers’ organizations, and other groups formed by donor or government programs or legislation.</i></p>
<p><b>2. Quality and Nature of Interrelationships</b> (confrontational or collaborative; with or without trust, credibility, or recognition):</p> <ul style="list-style-type: none"> <li>• Among different types of CSOs;</li> <li>• Inter and intra-constituency linkages;</li> <li>• Own constituents (membership and beneficiaries);</li> <li>• Public sector (national, regional, local government);</li> <li>• Bureaucracies, administration and parliaments</li> <li>• Elected representatives;</li> <li>• Political parties;</li> <li>• Business sector;</li> <li>• Donors and other development agencies;</li> <li>• Within own sector (international NGOs, research organizations, religious groups, trade unions)</li> </ul>
<p><i>Competition for donor funding does not generate effective collaboration among the NGOs. Past government skepticism and mistrust of NGOs created a rocky path for civil society leaders. As in other countries, tension exists among NGOs with strong, charismatic leaders. Some of the civil society leaders have strong ties to government officials/political parties and could influence the development process.</i></p>

**Example: Characteristics of Civil Society**

<p><b>1. Size</b></p> <ul style="list-style-type: none"> <li>• number of organizations</li> <li>• scale of organizations (financial, technical, and human resources)</li> <li>• organizational structure (single or multi-layered)</li> <li>• outreach and coverage</li> </ul>
<p><i>No reliable record exists of the CSOs currently operating in Sri Lanka because relevant records are dispersed among national, provincial, and divisional authorities. Estimates range from 25,000 to 60,000.</i></p>
<p><b>2. Spread</b></p> <ul style="list-style-type: none"> <li>• national / regional / local</li> <li>• urban / rural</li> <li>• diverse constituencies</li> </ul>
<p><i>Many national CSOs (sometimes referred to as Colombo NGOs) work throughout the island and have regional offices that are coordinated and monitored financially by a headquarters office (Sewa Lanka Foundation). Others, such as savings and credit programs (Sardovya SEEDs, Agromart) encourage the formation of their own societies, but have coordinated structures. Still other NGOs focus on the plantation sector. Smaller CSOs are sometimes funded with the assistance of the Sri Lanka Canada Development Fund or other community organizations, and work in a specific area. One trend to monitor is how the reconstruction efforts in the northeast will affect the focus of the CSOs.</i></p>
<p><b>3. Presence of Umbrella Organizations or Networks</b></p> <ul style="list-style-type: none"> <li>• cross-national</li> <li>• national / regional / local</li> <li>• sectoral (e.g. education, health)</li> </ul>
<p><i>No general network of CSOs exists. Networks focus on specific issues such as women's issues, (Sri Lanka Women's NGO Forum); human rights ( Consortium of Humanitarian Agencies); professional networks, (Network of Social Mobilizers); and advocacy organizations, (NGO National Action Front). CBOs in 17 out of 25 districts formed the NGO District Consortia to encourage a stronger representative body at the district level. These groups formed a Participatory Integrated District Development Program to promote collective efforts among members. One example is the NGO National Action Front.</i></p>
<p><b>4. Nature of Representation and Constituency</b></p> <ul style="list-style-type: none"> <li>• forms of representation (interests, values)</li> <li>• forms of constituencies (membership, affiliation)</li> </ul>
<p><i>CSOs, such as the savings and credit programs, are membership organizations providing services for their members. International and national CSOs are usually not membership based.</i></p>
<p><b>5. Scope / Focus of Action</b></p> <ul style="list-style-type: none"> <li>• Sectors of activity and concentration;</li> <li>• Functions performed, including: representation, technical expertise, advocacy, capacity-building, service-delivery, social functions</li> <li>• Distribution of organizations by function and sectors</li> </ul>
<p><i>Most of the development CSOs are involved in a range of activities. This may be in response to meeting communities' diverse needs or to the availability of donor/government project focused funding. The functional areas of CSO involvement are social mobilization, savings and credit programs, marketing, capacity development, and skills development for employment. CSOs also address issues of environment, appropriate technology, health, agriculture/fisheries, infrastructure, water/sanitation, and humanitarian relief and rehabilitation.</i></p>

### **Background**

The concepts of participation, democracy, and accountability have only a 10-year history in Cambodia, and the government and civil society organization acknowledge that they are jointly struggling to implement and understand these concepts. Traditionally, communities were organized around the Buddhist temple of pagoda. Village development committees are the main grassroots civil society organizations, currently supported by government, donors, and CSOs.

At the beginning of this project, both the Cambodian government and CSOs lacked the capacity and experience to engage effectively with each other on policy matters, and few guidelines were available that could define how this interaction should take place. Despite the significant capacity constraints on both sides and an apparent lack of meaningful dialogue, there was evidence, however, of a large amount of goodwill and some positive trends that inspire optimism for Cambodia's future.

The circulation of print media was limited and focused primarily in the major cities. With a high illiteracy rate, Cambodia's television and radio are seen as the most effective vehicle of mass communication. Most of the electronic media are controlled by the state, with several exceptions such as broadcast relay of foreign radio. There was a high degree of freedom of the press. However journalist and publishers often lacked the capacity and incentives to adhere to journalistic ethical codes.

### **Objectives**

The purpose of the civil society assessment for Cambodia was to ascertain how the World Bank could assist in strengthening dialogue and interaction between the government and civil society. The specific goals were to 1) examine and report on the current status of interaction between civil organizations and the government, 2) identify the areas of neglect and need, and 3) make recommendations as to how the World Bank Group may contribute or add value to increasing the effectiveness of the dialogue between the government and civil society.

While the CSO community was trying to build its capacity to engage in policy dialogue, the government recognized that it did not have sufficient capacity to adequately work with them. The government also lacked defined procedures to involve civil society in the decision making process. As a result, when public consultations took place, they were often ad hoc and not always transparent. The timing and mode of consultations varied from case to case, and many decisions are left to the discretion of public officials. Laws and decrees were drafted in several different ministries and agencies with limited consultation. Moreover, once a law is enacted there was little public information about the laws themselves or the responsibilities of the institutions charged with enforcing those laws.

## **Process**

A team of Bank staff and national and international CSOs went on a field visit to a province that included meetings with provincial government officials, United Nation agencies, a faith-based organization, a rural commune development committee. The group also visited villages and some projects that promoted decentralized decision making in community development.

## **Participants**

The Bank team consulted a wide range of government officials, representatives of the international donor community, international CSOs, Cambodian CSOs, private sector representative, parliamentarians, research institutes and media.

## **Outcomes**

The findings from the mission revealed that Cambodia was experiencing a transition from post-conflict rehabilitation to long-term sustainable development. The concept of a CSO was still fairly new and the vast majority of international CSOs, supported by donors,, was still evolving. However, the government recognized that the CSO community played an important role in economic development.

Most government officials interviewed made positive comments about the input the NGO community has made in terms of providing services to the poor. However, the extent to which the government engages with other civil society organizations was generally not well documented. From the civil society perspective, the opinions on the relationship between CSOs and government were varied. Some felt that the government had limited knowledge of the CSOs' work, but recognized the human resources constraints faced by government. Some NGOs also recognized their own limitations of coordination within the sector and managing relationships with government.

The World Bank was criticized for the lack of participation policies, structures, standards, support, and indicators. While guidelines are important, the lack of capacity to support the government to actually implement a participatory approach remains a concern. There was also a demand from civil society for the Bank to share information about the Bank and its operations in a less complex manner. The political landscape continues to change – along with relationships and perceptions among stakeholders.

A post-consultation assessment identified a few key opportunities for the Bank to take a strong role in strengthening relations with Cambodian CSOs. These included the following:

- Facilitating dialogue and strengthening capacity of development partners;
- Enhancing constructive dialogue and knowledge sharing through already established working groups;
- Simplifying and translating information;
- Documenting lessons learned of successful efforts at mainstreaming participation and dialogue;
- Making use of information facilities, such as a Public Information Center and video conferencing; and

- Forming strategic alliances for information sharing, including through radio networks.

The assessment also identified challenges and risks for the Cambodian government:

- Managing expectations by carefully prioritizing and allocating resources;
- Working in partnership on participation should be done in a transparent manner with clear guidelines and communication to all concerned. The risk is that these efforts are donor-driven and not fully owned or understood by the government.
- Ensuring transparency and accountability by disclosing information to the public;
- Conducting consultations beyond the capital to match the decentralization process; and
- Balancing the relationship between the executive and legislative branch by providing information and reaching to the Parliament.

Source: Excerpted from Tansanguanwong, Pamornrat, Mohamad Al-Arief, and Helen Brereton, Back to Office Report: Civil Society Assessment in Cambodia, September 12, 2001.

## WEBSITES WITH INFORMATION ON DEVELOPMENT CSOs

Civicus is an umbrella organization of CSOs that includes country profiles on the sector in many countries. These profiles are clearly organized and relatively short and offer useful background information.

[www.civicus.org](http://www.civicus.org)

The Union of International Associations offers a searchable list of 11,000 websites, divided by topic.

[www.uia.org](http://www.uia.org)

The United Nations Development Program's Civil Society Organizations and Participation Program published a guide, "Empowering People: A Guide to Participation" in 1998 that contains a resource guide. The resource guide is an extensive bibliography divided by topic, and it includes a list of participatory consultation methods used by various organizations. It also contains a list of Internet resources and websites. While very well organized and annotated, the website links are not live.

[www.undp.org/csopp/CSO/NewFiles/docemppeople6.html](http://www.undp.org/csopp/CSO/NewFiles/docemppeople6.html)

This link provided by the U.S. Agency for International Development on participation offers an annotated list of useful live links, including participation guides and other Internet references.

[www.info.usaid.gov/about/part\\_devel/docs/webguide.htm](http://www.info.usaid.gov/about/part_devel/docs/webguide.htm)

The U.S. Agency for International Development's website also offers connections to the websites of some CSOs.

[www.info.usaid.gov/about/resources/#nongovt](http://www.info.usaid.gov/about/resources/#nongovt)

Eldis, the Institute of Development Studies' website, offers a searchable list of major sites with links to resources, bibliographic material, discussion lists, contact information of organizations and networks. This site also offers notes on the provided links, allowing quick and efficient browsing.

<http://www.eldis.org/>

The Institute of Development Studies' participation link.

<http://www.eldis.org/participation/index.htm>

## Annex C: Designing a Consultation

### TERMS OF REFERENCE FOR STAKEHOLDER CONSULTATION (DRAFT)

#### 1. Background

- 1.1. Over the past decade, stakeholder consultations have generally been recognized to have improved the quality of World Bank policy making, positively influenced the direction of country programs, contributed to the promotion of public-sector transparency and accountability. Consultations that include civil society organizations (CSOs) can provide essential “local knowledge” in the policy process and give voice to the opinions and experiences of the poor. Consultations range from local level meetings aimed at getting feedback or reaching consensus on a specific project to national-level fora on development policy to global and regional reviews. The World Bank has facilitated consultations acting as a convener or facilitator. These contributions have been further recognized in the Bank’s Comprehensive Development Framework and the Poverty Reduction Strategies (PRS) approach which place partnerships among governments, civil society and business at the center of development planning. The Bank also has engaged CSOs directly in consultation of matters of its policy.
- 1.2. Consultation is a complex process that, if poorly planned, can increase “consultation fatigue” and lead to disappointment on all sides. The role played by Bank staff in these consultations varies from one situation to another. In some instances, the Bank may need to act as a facilitator, convening the relevant actors, assisting governments and stakeholders in the consultation process and ensuring that relevant input from stakeholders is adequately incorporated in follow-up actions. In others, it may be appropriate to participate in the dialogue as an interlocutor or alongside other stakeholders.
- 1.3. The primary objective of organizing consultations is to improve the quality of decisions by capturing the experience of specialized nongovernmental organizations and other similar groups, tapping the knowledge of CSOs that work at the community level, giving voice to the poor and the excluded by consulting with CSOs whose membership comprises such groups and promoting sustainability for proposed reforms, projects, programs and policies beyond any given government administration.
- 1.4. Secondary objectives of adopting a consultative approach may be to appreciate the range and the variation in the needs of different population groups (e.g. gender, ethnic or geographical variations); to set the grounds for broad-based participation in the design and implementation of development interventions; and to assist governments in increasing transparency, public understanding and citizen involvement in development decision making.

- 1.5. The Bank's former General Counsel has explained that it is appropriate for the Bank to advocate to member governments that they use participatory approaches in the selection, design, implementation and evaluation of development programs, on the grounds that this enhances development effectiveness. It also is appropriate to advise governments to allow and foster strong civil societies that can participate in public affairs.
2. Potential Stumbling Blocks.

Problems that can arise during consultations can be caused by a range of issues, from a policy environment that is not conducive to participation of all stakeholders to logistical problems that can easily be avoided given proper attention.

  - 2.1. There may exist tensions from a highly polarized policy environment or an atmosphere of mutual mistrust among stakeholders.
  - 2.2. Poor planning, including organizing in a rushed manner and not allowing enough time to convene the appropriate stakeholders in the appropriate venues under conducive circumstances, can give an impression that the consultation is not taken seriously by the organizer.
  - 2.3. If the consultation is not organized with a high amount of transparency, it may be perceived as being manipulated by one stakeholder. This can also be the perception if there is an inadequate selection process.
  - 2.4. Lack of transparency and articulation of objectives can lead to unrealistic expectations of the outcomes of the consultations. All stakeholders need to be told well in advance and repeatedly how the results of the consultations will be used.
  - 2.5. Uneven distribution of information, especially documentation of the consultations, will lead to mistrust by stakeholders. Documentation should be shared with all participating stakeholders. Stakeholders are expected to keep confidences that were agreed upon during the consultation process.
  - 2.6. Additional challenges faced in the organization of a consultation include pre-existing conflicts and antagonisms that are manifested during the consultation process; low participation; lack of trust among stakeholders; a lack of consensus among CSOs that affects their ability to engage constructively in the dialogue.
3. Organizing Consultation Events

In every consultation, effort will be made to avoid some of the stumbling blocks identified in the previous section. Steps outlined in this section will be followed to help ensure a transparent, well-organized consultation.

- 3.1. As a first step to organizing a consultation, a profile of civil society and other stakeholders will be developed. Researching previous consultative processes in the same country will be a starting point to understand what stakeholders have participated in previously. Further information required to prepare the profile can be obtained from Bank NGO/civil society specialists, external affairs officers, researcher working on NGO/civil society sectors, institutes or academic institutions in the country or the region, civil society organizations or umbrella groups, other donors or development agencies, informal or published reports on the subject. Beyond identifying stakeholders, a profile of civil society will include information about the enabling environment for CSOs to engage in decision making; the historical perspective and trends of stakeholder participation; and the characteristics of civil society including size, spread, presence of umbrella organizations or networks, nature of representation and constituency and focus of action.
- 3.2. Once stakeholders have been identified, participants will be chosen. The decision of who to invite to participate will depend on the specific purpose of the consultation. Stakeholders that will be directly affected by the intervention being proposed will be among the first to be chosen. In the case of CAS consultations, a good sampling should be taken of as many stakeholder groups as possible. Umbrella groups can help in identifying appropriate participants as can agricultural extension officers and other grassroots workers. The poor and excluded will be represented in consultations. Organizers may establish transparent criteria with input from an umbrella group or other representative group.
- 3.3. Organizers will give adequate notice to participants and make changes in meeting schedules only if unavoidable. The consultations will take place in suitable venues; ones that are easily accessible, neutral and unimposing on all stakeholders. Information about the consultation and the issues to be discussed during the consultation will be easily accessible by all. Not only will the organizers ensure widespread distribution, but materials will be translated into as many local languages as is possible and where possible, include illustrations for less literate populations. Printed materials will be distributed, posters and flyers displayed, articles published in newspapers and other printed media, information broadcast on television and radio and informal and formal information sessions held well in advance of the consultation.
- 3.4. The consultation will be organized to allow adequate space for input from all stakeholders and a two-way flow of information. At the beginning of the consultation, the purpose of the consultation will be made clear. For a policy consultation specifically, participants will be made aware that not all perspectives can be incorporated into the final outcome or product. An orientation to the Bank and the project or policy under discussion at the beginning of the consultation will ensure that all participants have the same basic information and understanding of the subject.

- 3.5. A facilitator will be hired for the consultations where possible. The facilitator will be neutral to the topic, have a good reputation among stakeholders, be able to engage the audience, and encourage participation. The facilitator will also be briefed so that she/he is familiar with the topic and will be able to guide and listen without manipulating the consultation. A variety of methods for discussion will be organized in consultation with the facilitator. Small group work and other innovative methods such as use of note cards, flip charts, electronic messaging software, etc. will be included in the design of the consultations to enhance the depth and candor of the inputs by stakeholders. A separate rapporteur will be hired to track the progress of the discussion, themes, points and areas of substantial agreement or disagreement (not keep detailed minutes as a stenographer would do).
  - 3.6. Where possible, consultations will go beyond dialogue to focus on future actions. Stakeholders will commit to actions and those commitments will be summarized at the end of the meeting. A summary of the consultation in general will also be articulated to allow for stakeholders to respond as to the accuracy of the summary. Participants will be asked to evaluate the consultation, either using a written form or through other means appropriate to the situation. Documentation of the consultation as well as any feedback will be distributed to participants after a consultation meeting.
4. Second Phase
    - 4.1. It is expected that a second phase of the consultation will be organized. In this phase participants will be asked if their views were accurately reflected in documentation that was generated after the first phase of the consultation. Once all stakeholders have had an opportunity to provide feedback, the results from the consultations will be incorporated into the project design or policy.
    - 4.2. Once the project design or policy has been drafted, a copy of the draft will be sent to participants of the consultations. An explanation will be given for the omission of suggestions made during the consultations. By helping stakeholders to understand that there is reasoning behind such omissions, they may not feel that their input was simply ignored and that the consultation was a token gesture. This may help ensure that participants will be willing to participate in subsequent consultations.

## TERMS OF REFERENCE FOR WORKSHOP ORGANIZATION AND DELIVERY (EXAMPLE)

### **ADB-NGO-Government Country Consultation Workshop Sponsored by the Asian Development Bank Terms of Reference for In-Country Coordinators for Workshop Organization and Delivery**

#### **Background**

The Asian Development Bank is preparing a series of consultation workshops in nine countries, as well as regionally and subregionally, under Technical Assistance No. 6021: Framework for Asian Development Bank-NGO Cooperation, co-financed by the Governments of Australia and the United Kingdom. The purpose of the workshops is to provide a platform for broad-based stakeholder dialogue leading to an understanding on a framework for Asian Development Bank-NGO cooperation. The understanding will be reached among Asian Development Bank staff, representative segments of the NGO community and civil society, governments, and the private sector in DMCs. The main output of this series of consultations will be a medium-term cooperation action plan that reflects this understanding.

#### **Specific Terms of Reference**

The overall objective of the work will be to assist Asian Development Bank staff in coordinating, organizing, convening, and reporting on consultations in the Philippines related to Asian Development Bank-NGO cooperation. The party to undertake this work will ensure that stakeholders from the nongovernmental organization (NGO) community and the broader civil society, governments, and, where appropriate, private sector and donor and funding community are represented. A special effort will be made to include groups representing the rural poor, women, indigenous peoples, and other vulnerable groups.

Specific tasks will include, but may not be restricted to, the following:

- (i) Assist the Asian Development Bank in the preparation of an exhaustive list of stakeholders who may wish to comment on an issues note prepared by the Bank.
- (ii) From this list, recommend to the Asian Development Bank a subset of stakeholders who should be invited to a 1-day workshop. The target will be to have 25-to-35 participants at the workshop, so the list of potential participants should include about 45-to-50 people. Disseminate the invitations to the 45-to-50 selected stakeholders.
- (iii) Disseminate the issues note to the comprehensive list of stakeholders for written comment.
- (iv) Within a few days, follow up with all stakeholders to ensure they received the invitation and/or issues note and encourage a response or attendance.
- (iv) Make all preparations for convening a 1-day national consultation workshop, e.g., issue invitations, determine a venue, select meals, and obtain equipment and

- necessary materials. Undertake all necessary follow up to ensure the expected level, type and balance of participation.
- (v) Provide a skilled facilitator to prepare for and facilitate a participatory process at the workshop. Provide rapporteuring that will be responsible for documenting discussion at the workshop, including producing summary workshop proceedings. This will include complete participant comments from the workshop so that the Asian Development Bank can later respond in writing to each comment made. Provide the proceedings to the Bank in a format to be agreed upon. Distribute, collect, and collate a workshop evaluation form that will be provided by the Bank.
  - (vii) Follow up with telephone calls to participants who received only the issues note to encourage their written comments. Facilitate getting their comments by offering to take them over the phone. Collect and collate any written or oral comments that may be received on the issues note and provide this to the Bank in electronic form. Where comments may be in a language other than English, provide the English translation.
  - (viii) Report the workshop proceedings and next steps back to the workshop participants and thank them for their participation.

The Asian Development Bank will in turn provide all necessary documents and guidance in carrying out the above tasks, including a comprehensive guide for facilitating organizations. At least one Bank staff member will participate in the workshop.

Source: Robert Dobias, Head of Asian Development Bank NGO Center, adapted from the "Toolkit for Managing Workshops," 2003.

**Developing a Framework for Incorporating Women’s Voices in  
Yemen’s Port Cities Development Program**

**Background**

Yemen has one of the highest gender inequality indexes in the world. Adult female illiteracy is 74 percent, compared to 32 percent for males. In addition, females make up only 28 percent of the Yemen labor force. In terms of voice and decision making, there are only a handful of women elected into office, either at the local or national level. Addressing this deep-seated gender inequality is one of the key development issues facing the country.

The World Bank Board of Directors in January 2003 approved the first of a three-phase Adaptable Program Loan for the Port Cities Development Project. The loans will total US\$96 million over a 12-year period. The focus of the project is on strengthening the enabling environment for private sector development accompanied by infrastructure investments in order to improve the competitiveness of Yemeni port cities. The first phase began with Aden and subsequent phases will include several other cities, such as Mukallah and Hodeida.

A central feature of the Port Cities Development Project is institutionalizing a consultative process through a City Development Strategy and a partnership forum that is composed of key stakeholders, including representatives from private and public sectors, civil society, women’s organizations, academics and technical experts. To address gender inequality within the context of the Port Cities Development Project, the World Bank set as a specific goal the integration of women’s voices and strengthening of their decision-making role.

Through the City Development Strategy,, a shared vision for the country’s future is emerging and local priorities for action are defined in a participatory process to collectively shape the local economic development agenda of Aden. Through a series of workshops and other forms of consultation, a central vision has been defined by stakeholders. In the case of Aden, the first city to be addressed, the vision includes restoring Aden to its past glory of being the second largest port in the world.

One key goal set by Aden’s partnership forum was to improve the small enterprise sector, especially for women. The City Development Strategy for Aden initially included one slot for a woman representative on a team of 12. Subsequently, an advisory group of women involved in different aspects of the economy was established to provide cross-sectoral technical assistance to the representative and to ensure women’s more meaningful participation. During the City Development Strategy workshops, women

participants emphasized that women in Aden have actually lost some ground over the past two decades, having seen their economic opportunities and public roles diminish.

### **Objectives**

This consulting assignment provides the analytical work necessary for achieving this goal. The key objective of the study is to prepare a framework for ensuring that the strategic planning for urban economic development that is ongoing in Aden allows women to benefit from the economic opportunities that are generated through the City Development Strategy and the Port City Development Project as a whole.

By integrating gender issues within the Port City Development Project, decision makers hope to provide an entry point for ensuring that women will meaningfully participate in decision making on matters of urban planning. The assignment will also ensure that reforms undertaken as a result of the project will address gender concerns, such as land registration. This assignment also encompasses an examination of the constraints that women face in the wider investment climate, which may have broader policy and cultural implications. The work in Aden will provide a basis upon which the subsequent phases in other port cities will be carried out, but will also provide the government with a concrete example for how women's voices can be integrated into policy initiatives in other areas.

### **Consultant Tasks**

Focusing on Aden, the consultant shall:

- Examine women's role in the labor force with a focus on private sector entities, particularly in the fishing industry, trade and business support such as banks, law firms, shipping and freight forwarding, insurance, and business consulting;
- Evaluate women's role in the informal economy;
- Examine women's role in the public sector;
- Develop a deeper understanding of the barriers to entry for women, especially institutional ones, such as access to land and credit; and
- Create a framework for women's meaningful participation in decision making within the existing City Development Strategy process.

### **Methodology**

The consultant is expected to lead and coordinate the work of a Yemeni consultation team and to conduct primary and secondary research on this issue. In collaboration with the Yemeni team, the consultant is responsible for designing all instruments for primary and secondary data collection.

### **Deliverables**

Within 1 week of the contract signature date, the consultant is expected to present a work plan to The World Bank. Two missions will be undertaken for research purposes. One will take place at the beginning of the assignment, and the second one will occur at the end of it.. The consultant is to submit information for research methodology, research instruments (including interview questionnaires) to World Bank staff for review.

Specific consultant deliverables will include the following:

- A diagnostic study of the role of women in Aden's economy;
- An action plan and tool kit for improving women's voice within the City Development Strategy process and the partnership forum, especially with regard to issues of urban planning and infrastructure development;
- Specific proposals within the context of ongoing institutional reform for removing constraints on women's access to economic opportunities; and
- A capacity building initiative for selected members of the partnership forum, especially women members who are addressing gender-sensitive urban planning issues.

**Consultant qualifications**

The consultant should have at least 10 years of experience working on women's and urban economic development issues, preferably in the Middle East. The work is expected to take about 6 weeks.

Source: Brhane, Meskerem, Middle East-North Africa Region, The World Bank.

*World Development Report 2004*  
**Making Services Work for Poor People**  
August 2002

**Introduction**

The *World Development Report 2004*, both as a published document, and as a process for discussion about a specific development area, draws wide attention from outside the Bank. Over the past few years, the Bank has sought engagement and a process of consultations with a range of organizations and individuals about the content and main ideas contained in its *World Development Reports*. This has been rewarding in many instances, but has also demonstrated the importance of identifying the purpose of the reports and the parameters of consultations for the *Reports*. What follows is basic information about the annual World Development Reports. This description of consultations for the *Reports* is not an official Bank statement, but rather is designed to enhance understanding of the role that stakeholders play in the development of these *Reports*. The *World Development Reports* are staff reports and are not policy documents of the Bank's Executive Board.

**Objectives**

The *World Development Report* is one of the important vehicles the Bank has for engaging in dialogue with the global development community. Each year, the chosen topic provides a lens through which to view and discuss different aspects of the development process. The annual *Reports* explore one selected issue each year from a global perspective. The *Reports* are not intended to focus on the Bank and its specific operations, although the experience of Bank staff may figure in its content. *The World Development Report 2004* contains specific linkages between Bank operations in areas related to service delivery, and with the international initiatives related to human development goals.

The *World Development Reports* have the potential to serve as one of the Bank's critical instruments for dialogue with the international development community at large. The published *Reports* invariably lead to much debate and discussion on some of the leading issues of the day. The focus on issues, rather than the specifics of Bank operations, is important since there are many other internal and external vehicles for evaluating the Bank's performance in specific projects. As a contribution to the critical analysis and public discussion of development issues, the World Development Reports should raise fundamental questions that have no easy answers.

**Focused Topics of the Reports**

Each *World Development Report* has a focused topic or thematic area, and for the *World Development Report 2004*, the focus theme is "Making Services Work for Poor People."

This theme is based on the recognition that success in reaching Millennium Development Goals will depend not just on faster economic growth and the flow of resources, but on the ability to translate those resources into basic services, especially in health, education, water, and sanitation. Too often, the delivery of services falls far short of what could be achieved, especially for the poor. The reasons for failure include weak incentives for performance, corruption, imperfect monitoring of service delivery, and administrative logjams.

Some countries have tried to address these problems, especially by involving poor people in service delivery, and in these cases the results have been impressive. Giving parents a voice in children's education, patients a say over hospital management and making agency budgets transparent are factors that contribute to improving outcomes in human development.

The *World Development Report 2004* investigates how countries can accelerate progress towards Millennium Development Goals by making services work for poor people. The *Report* attempts to guide policy makers, donors, and citizens through a process for improving the delivery of basic services, especially to poor people.

### **Target Audiences**

The target audiences for the World Development Report encompass a variety of specialists from global development community, including policy makers and government officials, representatives of civil society organizations, students, teachers, journalists, business leaders and other professionals in developing and developed countries.

### **Research Methodology and Style**

The *World Development Report* draws on a range of materials from inside and outside the Bank. It commissions new research through background papers, and then synthesizes the results of this research into themes and subthemes within the final *Report*. The background papers and a bibliography are listed at the end of each *Report*. For the *World Development Report 2004*, research papers based on stakeholder consultations are incorporated into the final document.

### **Consultations for the Reports**

A range of consultations techniques bring alternative perspectives to the *World Development Report* each year. These techniques include both information gathering on operational experiences and comments on the various stages of draft documents. The Bank's management encourages the *World Development Report* team to consult with a variety of relevant stakeholders and experts during the preparation of the report, including those inside and outside the Bank. The final report, however, incorporates these divergent views based on the judgment of the *World Development Report* team. Inevitably, disagreement occurs over some aspects of Bank staff reports, even within the Bank. What is important is to emphasize the continuation of dialogue with stakeholders over time.

The processes leading to publication of the *Reports* is an important vehicles for dialogue with the development community. The objective of internal and external consultations is to advance dialogue and to exchange perspectives on the topic under discussion. For the *World Development Report 2004*, the team sought feedback from relevant stakeholders, experts and interested parties in two phases.

An initial phase consisted of internal and external consultations. During this initial phase, the report team sought feedback on a draft outline of the report, as well as inputs on critical issues and specific cases to be addressed in the report. After the *World Development Report* team prepared a first full framework, a second phase of consultations occurred during the first months of 2003. During that phase, external stakeholder comments were sought on the draft report.

Two aspects of these consultations are noteworthy. First, consultation activities are subject to time and resource constraints. The final *Report* is published in late summer or early autumn each year on a tight production schedule in advance of the Bank's Annual Meetings, which sets limits on the time available for the consultation and review period. Second, although the consultations support the dialogue and enrich the perspectives present in the *Report*, eventually it is the *Report* team that takes responsibility for integrating and synthesizing the many and often conflicting comments received. While a broad range of perspectives should be considered and analyzed in the preparation of the *Reports*, the final output is that of a team.

As time permits, the *World Development Report* team tries to engage with and provide feedback to contributors at different stages of the process. Some face-to-face and videoconference meetings are organized to encourage discussion and debate.

The *World Development Report* website (<http://www.econ.worldbank.org/wdr>) provides a regular update on the Report's consultation process, including the draft documents for consultation, new submissions and comments received, planned meetings and questions raised on specific issues. However, the *Report* team is not able to review papers or comments submitted in languages other than English, French and Spanish.

### **Timeline**

September-November 2002:

- Initial consultations with external organizations and inclusion of information from web submissions.

November-December 2002:

- Development of first full framework and internal discussion draft of *World Development Report*.

January-February 2003:

- Consultations on draft.

March-April 2003:

- Dissemination of second draft and final reviews.

September 2003:

- Publication and dissemination of *World Development Report* and companion documents; final web summary of dialogue and consultations.

For more information on the *World Development Report* consultation process, contact Stephen Commins at [scommins@worldbank.org](mailto:scommins@worldbank.org) or Carolyn Reynolds at [creynolds@worldbank.org](mailto:creynolds@worldbank.org).

## REFERENCES ON CONSULTATIONS

The following documents are select references that provide information on the consultation process and best practice examples.

Asian Development Bank NGO Center website, "Toolkit for Managing Workshops," forthcoming, 2004.

[Doing Better Business Through Effective Public Consultation and Disclosure, A Good Practice Manual](#), 1998.

A publication providing practical, "how to" guidance for International Finance Corporation clients and the private sector in planning and carrying out public consultation activities. The Manual offers advice on managing the expectations of local communities, tailoring consultation to a private sector context, and encouraging consultation between companies and their local stakeholders throughout a project's lifecycle.

[Engaging Citizens Online for Better Policy-Making](#), 2003.

This *Policy Brief* from the Organisation for Economic Co-operation and Development highlights policy lessons from current experience in OECD member countries and suggests guiding principles for successful online consultation.

[Public Consultation in the EA Process: A Strategic Approach](#), 1999.

This World Bank Environmental Assessment Sourcebook Update describes good practice in the planning, implementation, and monitoring of public consultation in the EA process. It focuses on thinking strategically about public consultation in order to more efficiently deliver improved project sustainability and to protect the interest of affected communities, especially the poor and vulnerable.

[Thinking Out Loud Innovative Case Studies on Participatory Instruments](#), 1999-2002.

In the interest of sharing best practices for achieving participation of Civil Society Organizations (CSOs) in Bank programs, the World Bank Latin American and the Caribbean Region Civil Society team has recently produced the series "Thinking Out Loud," which describes a set of innovative case studies on the topic of participatory instruments for Bank products.

## Annex D: Sourcebook References

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