Module 1.1: Foundations of CDD-based Project Accountability

Topic 1. Clarity and Ownership of Rules

The foundation of governance and accountability in CDD-based projects requires: (i) a clear and well-articulated set of community accepted rules; (ii) effective social mobilization and information dissemination to ensure that rules are well understood; and (ii) a robust and transparent system to identify and target the project beneficiaries.

Rules make the decision-making process more transparent and formalize behavioral expectations. When created with the participation of community members, this process can empower them with a sense of ownership over the project and reinforce a culture of compliance. Many tools contained in this Toolkit (and the further information provided in the annexes to this section) stress the importance of the community in defining and upholding these rules, with adequate transparency and accountability mechanisms contained therein. Clear rules help to avoid conflict of interest challenges and minimize temptation for collusion among actors involved.

BOX 1
What is Likely to Result if Clarity and Ownership of Rules is Not Present

- Community members may misunderstand the purpose of the project, and have wrong expectations.
- There might be inconsistency in interpretation of such rules across the community members, which could potentially create confusion and conflicts within the community.
- Community members cannot find out or complain about bad practices of the implementing agencies or other community members.
- Because clear rules help ensure that project activities are carried out in a standardized way, they can also help Monitoring and Evaluation (M&E) efforts to be more effective and comparative in measuring and assessing impacts.
- Silence can breed suspicion. If communication is not proactive and frequent, speculation can start to negatively affect the perceptions of the community regarding the project, its procedures, and its outcomes.
- Clear rules are necessary to attribute the positive or negative findings of a specific intervention. If impacts are not measured in a standardized manner, scaling-up the project becomes impossible.
Clear rules are also expected to pave the way for a smoother participatory facilitation process that enables the community to select its projects (thereby minimizing confusion and the perception of subjective selection of projects), manage its resources more efficiently and prepare basic financial and activity reports. Clear rules should also strengthen checks and balances at multiple levels of the project.

The communication of rules in a way that is appropriate, timely, and widely understandable is critical to their adoption and enforcement. Good communication/information campaigns should be kept simple using charts, pictures, and local languages. Campaigns should inform communities of the purpose and rules/principles of the project, rights and responsibilities of key actors (including community members), and the basic steps of how the project proceeds.

While the project should emphasize the importance of transparency and participation for its success, it should also inform the community of the ways to submit complaints or suggestions, and of the possible penalties in case there is a misuse of funds or corruption. Rather than just a one-time information campaign at the beginning of the project, a continued effort helps to keep people informed and reach those who might be missed in a one-time campaign. Communication is thus a critical part of the project throughout all phases of the project cycle.1

Clearly defined procedures, outlined and widely disseminated, help to avoid confusion and minimize administrative complexity. To maintain the credibility of the system, these rules should be monitored and transparently enforced.2 Clear and simple rules also empower the community by giving them a sense of ownership.

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## TOOL 1
**Establishing Clear Community-Defined Rules for Project Governance**

| **What** | Clear, non-negotiable principles for project governance must be agreed upon upfront and understood by every person in the community. In other words, these principles are the core of the project that is embedded throughout project implementation, and that provide the foundation necessary to support all other efforts made toward achieving a successful CDD-based operation. |
| **Why** | Unclear or overly complex rules, and/or a lack of information, can lead to biases and/or conflicts of interest in the selection of community leaders, as well as the selection, approval and implementation of sub-projects. These situations create an opportunity for fraud and corruption to develop. This can threaten both the overall project and the objective of fostering bottom-up and empowered community level decision-making. Although World Bank projects typically have many forms of overall documentation (e.g. Project Appraisal Document or PAD, and Operational Manuals or OM) what is written and defined in these documents tends not to lend itself to both rapid dissemination and clear understanding at the local level. In addition, the formal project communication and dissemination process cannot always reach those who are at the very bottom of the community structure, while in most cases, they are the main beneficiaries. Finally, the process of developing, recounting, and ensuring adherence to these principles or rules can itself become a mechanism for social mobilization and building community solidarity. |
| **How** | **Step 1:** The project facilitator asks the group of beneficiaries what kind of issues or challenges they have in the community, and lists the responses in real time. This collective process enhances a sense of ownership within the community, and recording their responses in their presence publicly reaffirms that their suggestions are listened to and formally noted. **Step 2:** Looking at the list developed, the facilitator asks the community members what they would do to address those issues. Based on the discussion, the facilitator consolidates the information into four or five very simple rules that could form the core of the project. The facilitator is key to guiding this process and ensuring broad buy-in. **Step 3:** Assess the four or five rules and standardize them across the different communities in order to scale-up to a wider coverage. **Step 4:** Once the non-negotiable rules are developed and adopted, the project ensures their thorough dissemination, highlighting them every day, and reminding community members repeatedly about them everywhere, at every level. After the rules are fully embedded into peoples’ minds, community members should be able to explain the rules to people from outside, and they may feel full ownership of the project. |

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### Tool 1 (continued)

<table>
<thead>
<tr>
<th><strong>TIPS:</strong></th>
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<tr>
<td>• Any community-level workshop should be preceded by a strong information campaign to gather as many community members as possible.</td>
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<tr>
<td>• The information campaign should make sure that marginalized groups (including women) are involved. If it is difficult to conduct the process at once, separate meetings should be set up based on sub-groups.</td>
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<tr>
<td>• It is important that the rules are developed with beneficiaries.</td>
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| **Who** | Everyone in the community should get involved in the process of setting up the rules and should fully understand and uphold them. |

| **When** | The rules should be developed at the very beginning of the project, and reiterated regularly during implementation so that they are fully internalized by all members as well as by project service providers. |

| **Challenges/Lessons** | It is important to adjust the rules according to the specific context or characteristics of the regions or villages, while staying true to the core principles. For example, if the population density is high in one region and very low in another, “having 80% or the vulnerable groups in the region in the decision meeting” could be modified to say “in the sub-region.” In this way, the core principle of keeping vulnerable groups in the loop is maintained. |

## TOOL 2
### Community Operational Manuals

| What | The Community Operational Manual (COM) is a set of booklets that introduces the project rules, implementation processes and procedures with visual illustrations (locally crafted where possible) and clear language that is understood by the project communities. The COM is distinct from the more formal “Project Operational Manual” that is used by project staff. It should be simple and easy to use, and is intended to be a “living document” that is regularly updated and improved based on feedback from the communities. Later, experienced community members who were involved in developing the booklets can also train new project field staff in subsequent phases using a training-of-trainers (TOT) model. |
| Why | It is very important that community members, in addition to partners such as the government and non-governmental organizations (NGOs), understand the rules and implementation modalities of the project well. This is especially true for areas where the CDD-based approach of community engagement has not been previously used. Nevertheless, at the outset of a project, in particular, it is common for communities as well as facilitating field-level staff to lack an understanding of project implementation procedures and processes. As a result, the need for comprehensive guidelines on various project aspects can be great. The COM aims to bridge this capacity gap. It can also aid transparency as it allows any community member to question the actions of committee members or other office bearers if an action seems contradictory to what is stated in the COM. |
| How | **Step 1:** In the selected pilot villages, the project staff members, together with community members, explain the overall project aims (e.g. information contained in the World Bank Project Appraisal Document or PAD, and Operational Manuals or OM), ensure that they are clearly understood, and translate this to the local level by agreeing on the project’s institutional and implementation model, rules and practices. The proceedings of these discussions are captured in writing both by the community members as well as project staff.  

**Step 2:** The COM is developed using many visual illustrations (often by the communities themselves), and simple, easy-to-understand language. It should be available in the local language.  

**Step 3:** The community members involved in developing the COM are trained in a training-of-trainers (TOT) model so that they are able to train leaders in all communities about the various aspects of the COM.  

**Step 4:** Every year, the community members meet in small groups to revise the COM by incorporating lessons, adaptations, and best practices emerging from the field. |

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### Tool 2 (continued)

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<tr>
<td>• The creation of the COM requires strong facilitation from the national project team or partner NGO.</td>
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<td>• The same people who facilitate the first session can also facilitate subsequent periodical workshops with the communities to update the COM booklets.</td>
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<th><strong>Who</strong></th>
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<tr>
<td>The implementation of COM guidelines primarily is the responsibility of community institutions, including a Social Audit Committee (SAC), or other type of community level monitoring committee.</td>
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<td>The project district and field team can provide technical assistance and work with partners to ensure the quality of the document as well as its consistency with the overall project documents and the TOT component.</td>
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<tr>
<td>Experienced community members are responsible for disseminating COM booklets and refreshers.</td>
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<th><strong>When</strong></th>
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<td>The COM is initially developed and tested in a small number of beneficiary communities, then scaled up to the entire project area. COM booklets are reviewed and revised with the involvement of community members annually.</td>
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<th><strong>Lessons</strong></th>
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<td><strong>Length of edits:</strong> As the number of booklets increases, the size of the COM can become a little unwieldy making it difficult for a community member to remember everything. This could be overcome by producing an abridged version containing the essential messages.</td>
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<tr>
<td><strong>Geography:</strong> With the geographic expansion of the project, the task of compiling best practices and implementation issues, and comprehensively revising the manual, becomes challenging. The project lead could overcome this by initially conducting regional-level workshops, followed later by a consolidated workshop at the national level.</td>
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<tr>
<td><strong>Cost of reprint:</strong> As the number of project villages increases, the printing and distribution of annually revised COM booklets becomes costly. This can be overcome by printing and circulating only the revisions to the booklets. Alternatively, other media (such as videos) can be used for easier reproduction and dissemination.</td>
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<tr>
<td><strong>Clear roles and responsibilities:</strong> It is important to clearly define which community members take on the responsibility of revision and dissemination upfront to ensure the accountability and sustainability of the activity.</td>
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CASE STUDY 1
India—Community Level Non-Negotiable Principles in the Tamil Nadu Empowerment and Poverty Reduction Project: The “Uyir Moochu”

What

In India’s Tamil Nadu Empowerment and Poverty Reduction “Puthu Vazhvu” Project, before starting every community meeting (including committee meetings), the community members stand up, hold their right arm horizontally in front of them, and together recite the ten non-negotiable principles known in Tamil, the local language, as the “Uyir Moochu” or “Life Breath.”

The purpose of this exercise is to remind all community members, each time they meet, about their key agreed upon rules for guiding all decision making. Though many members have learned the principles by heart, the collective recitation helps to internalize these rules both by members, as well as by leaders of the community organization(s).

The primary test for assessing any community decision, collective action or behavior of members is whether the Uyir Moochu has been followed or violated. This tool of accountability for office bearers and ordinary members alike becomes an everyday tool signifying its importance in keeping the organization of the poor and extreme poor engaged and active.

The Seven Rules of the Uyir Moochu are:

1. We will collectively plan and implement all our activities
2. We will be transparent in all our activities
3. We will give priority to women
4. We, the poor and very poor, will come together and develop ourselves
5. We will be of support to the disabled and vulnerable
6. We will use our village fund honestly
7. We will use self-help in all our activities

Why

The project provided a structure and methodology for ensuring the inclusion of the poor and extreme poor in an institutional framework consisting of small groups, their Panchayat-level Federations and Village Poverty Reduction Committee. The small groups are the main driving force in the village general body, the Gram Sabha (GS).

The communities felt that they needed a set of beliefs, values and principles to bind together all members and the revitalized institutional structures.

In addition to ordinary members, office bearers at all levels commit themselves to these principles. They called these principles “Uyir Moochu,” meaning “Life Breath” in Tamil to reflect their belief that just as a normal living being dies when its breathing stops, the village organization will become dysfunctional if the principles are violated by any one member.

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Case Study 1 (continued)

| When and Who | Reciting the “Uyir Moochu,” as well as ensuring accountability and transparency so that none of the principles are violated, is understood as a collective responsibility. A community committee, such as a Social Audit Committee (SAC), is given the mandate to investigate instances of violation of the non-negotiable principles and report its findings to a general body with recommendations to correct deficiencies. |
| Scale | This ethical framework has been embedded in all village level activities in more than 5,000 village Panchayats. |
| Impact | The “Uyir Moochu” has emerged as a continuous reminder of commonly crafted and agreed upon principles so that the same are upheld and practiced. The unity, sense of community belonging from a shared set of principles, and high ethical standards brought about by practicing and reinforcing the “Uyir Moochu” has directly contributed to the emergence of empowered communities and the lively village institutions of the poor and extreme poor. |
| Challenges | For some villages, the “Uyir Moochu” remains only a ritual in mass recitation, while office bearers violate the rules for their personal advantage. |
| Sustainability | The principles have become so much part of village life that practicing them transcends the village institutional activities and has spread to all collective activities in the village. Hence, the benefits of practicing these principles have sustained beyond the project period, becoming integrated into community life. |
| Cost | Beyond the initial costs of disseminating and inculcating the principles, this tool is perhaps the only accountability tool that needs no cost for its practice in the long term. |

*Source: India—Tamil Nadu Empowerment and Poverty Reduction “Puthu Vazhvu” Project.*
In the Sri Lanka Community Development and Livelihood Improvement Project (locally called “Gemi Diriya”), community members created and agreed upon the “non-negotiable principles” of: participation, inclusion, transparency, accountability and cost-sharing. In addition to this, they adopted an “Ethical Framework of 10 Golden Rules,” described as a “Self-Development Wheel” meant to guide all community members during the selection of project beneficiaries, priorities, and implementation.
Annex 1: More on Community Level Non-Negotiable Principles—The “Uyir Moochu”

Uyir Moochu-1: We will collectively plan and implement all our activities

- We will make all decisions with the peoples’ participation
- All information about the project should be known to all the people in our village
- The village development plan should be made with the peoples’ participation

Uyir Moochu-2: We will be transparent in all our activities

- All the people in our village should be informed about the project activities, ensuring transparency
- We shall share all project information including funding and procurement details during Gram Sabha meetings and also display the information on notice boards
- Everybody in our village has the authority to check the record books

Uyir Moochu-3: We will give priority to women

- Women make up half of our population. Therefore women must develop in order for our society to develop
- When woman come together, there will be holistic development in our village
- In our project, 80% of the decision-making power will be given to women
Uyir Moochu-4: We, the poor and very poor, will come together and develop ourselves

- We, the poor and very poor families in our village, will get preference in the project
- It is our responsibility to come together and work towards improving our standard of living
- We can acquire skill trainings and livelihood opportunities that will increase our incomes

Uyir Moochu-5: We will support the disabled and vulnerable

- Through this project we shall assist the disabled, building their confidence and skills and ensuring that they live with dignity
- We also have vulnerable people in our village, such as widows, the destitute, orphans, elderly people, and people with chronic diseases. We will support them in their development.

Uyir Moochu-6: We will use our village funds honestly.

- The village fund is like our fund. Hence, we will take the utmost care in spending it.
- We will ensure that funds are optimally and responsibly utilized.
- Details of expenditures made in the project must be displayed on notice boards, presented in Gram Sabha, and approved by the Social Audit Committee
- Accounting books for all project expenditures need to be properly maintained

Uyir Moochu-7: We will use self-help in all our activities.

- Though we may get help from our project staff and others, we shall not depend on outsiders forever. We need to learn new things to help ourselves solve our own problems.

Source: India—Tamil Nadu Empowerment and Poverty Reduction “Puthu Vazhvu” Project.
Annex 2: More on Community Operational Manuals—Examples from the Bangladesh Empowerment and Livelihood Improvement “Nuton Jibon” Project

What
Through well-facilitated workshops with community members, the Bangladesh Empowerment and Livelihood Improvement “Nuton Jibon” Project has developed simple, user-friendly Community Operational Manuals (COM) on various aspects of village planning, institutional structure, implementation, and community-level monitoring. Experienced community members who were involved in the development of the COM act as trainers-of-trainers (TOTs) to disseminate the contents of the COM among the village office bearers. Every year the community members meet in small groups to take stock of the COM and revise it to incorporate lessons, adaptations and best practices emerging from the field. The COM is comprised of 14 booklets, as listed below.

<table>
<thead>
<tr>
<th>Bangladesh “Nuton Jibon” Project: List of Community Operational Manual (COM) Booklets</th>
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<tbody>
<tr>
<td>Booklet 1: About our Project and Institutions</td>
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<td>Booklet 2: Receiving and Using the Village Development Fund</td>
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<td>Booklet 3: Savings and Credit Management</td>
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<td>Booklet 4: Community Infrastructure and Social Services Fund</td>
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<td>Booklet 5: Participatory Village Development Planning for Vulnerability Reduction &amp; Disaster Mgmt.</td>
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<tr>
<td>Booklet 6: Monitoring our Progress and Conflict Resolution</td>
</tr>
<tr>
<td>Booklet 7: Accounts Management</td>
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<tr>
<td>Booklet 8: Community Procurement</td>
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<tr>
<td>Booklet 9: Social Accountability and Governance Manual</td>
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<tr>
<td>Booklet 10: Livelihood Development</td>
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<td>Booklet 11: Youth Development</td>
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<tr>
<td>Booklet 12: Participatory Identification of the Poor</td>
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<tr>
<td>Booklet 13: Appraisal Guidelines</td>
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<td>Booklet 14: Community Professional Learning and Training Center</td>
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Why
Bangladesh did not have a history of directly financing the community institutions of the extreme poor and poor that rigorously followed the community-driven development principles of transparency, accountability, and participation. With village funds, community institutions are expected to procure goods, works, and services in line with community procurement principles; maintain a perpetual fund for providing loans to members; and maintain books of all accounts and other records. All institutional activities and the utilization of funds are subject to social auditing. During project preparation, the lack of capacity among communities and
facilitating field-level staff to implement such a robust project design was noted. The initial groups of community members and non-governmental organizations (NGOs) facilitating implementation also expressed a demand for comprehensive guidelines on various aspects of the project. To bridge this gap in capacity and understanding, COM booklets were developed.

**Who and When**

The national team of the implementing agency, the Social Development Foundation, facilitated implementation in pilot villages, as well as periodic workshops with communities to document each COM booklet. Experienced community members are responsible for disseminating COM booklets. The implementation of COM guidelines primarily is the responsibility of the community at large—the Village Assembly, called Gram Parishad, with social auditing by the Social Audit Committee. The district and field teams also provide technical assistance.

COM booklets are revised annually with community members. The booklets are available in the local language (Bangla), with members of each Gram Parishad and Executive Committee (Gram Samiti) who are trained to implement the institutional and village fund activities.

**Scale**

All 14 booklets are in use, and all villages comply with the booklet guidelines. Currently approximately 3,000 villages use the COM.

**Advantages/Impact**

In many rural projects, the government staff and implementing partners (such as NGOs) are fully aware of project details and implementation rules. This may or may not be directly translated to the community level. An advantage of the COM approach is that it puts higher-level concepts and operations into practical and understandable terms at the community level. In project villages, the Executive Committee and many community members have become fully aware of the project principles, design, and rules through the COM process. This is a sign of empowerment, which has helped the community to promote self-help and local ownership. The COM booklets have improved transparency on the workings of institutions, the basis of decisions taken, and the eligibility criteria for various benefits. The COM booklets have also improved social accountability in the overall project, as information is readily available in the community for anyone to question the actions of committee members or office bearers.

**Challenges/Limitations**

As the number of COM booklets has increased, the size of the COM has made it difficult for community members to remember everything. To remedy this, an abridged version containing essential messages has been produced. Moreover, there are specialized sub-institutions that thoroughly understand the COM booklet relating to their domain of activity (e.g. the finance committee, procurement committee, savings and credit committee, etc.). With the geographic expansion of the project, compiling best practices and implementation issues and comprehensively revising the COM booklets has become difficult. The project proposed to overcome this by initially conducting regional level workshops and later consolidated
workshop at the national level. In light of the increased number of villages, printing and supplying the annually revised COM booklets also became costly. This has been overcome by printing and circulating only the changes made in the COM booklets on a separate sheet.

**Sustainability**

The revision of the COM booklets has been entrusted to community-led centers, while responsibility for dissemination rests with the federations of Village Assemblies (Gram Parishads). Community ownership and responsibility ensures the sustainability of the process.

**Cost**

The main costs are for workshops to revise the COM booklets and related printing costs.

*Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.*
Module 1.1: Foundations of CDD-based Project Accountability

Topic 2. Inclusion, Social Mobilization & Participatory Targeting

Effective social mobilization is carried out to make sure that all members of the community understand what the project entails, its purpose and activities, and who will be targeted as beneficiaries or otherwise directly involved, and why. Methods for communication based on local socio-cultural characteristics are essential because they are easy for community members to understand, making it easier for messages to reach the various groups that exist in the community. Music, plays, and cultural events can all be utilized to disseminate information to the community members in a more attractive way. Using these methods can also help to reduce or avoid the possibility of creating an unfamiliar atmosphere that makes people without much past exposure to development projects hesitate to participate in the future.

FIGURE 1
The Flow of Social Mobilization Activities

<table>
<thead>
<tr>
<th>Crucial preparation</th>
<th>Implementation with various techniques</th>
<th>Follow-up activities</th>
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<tbody>
<tr>
<td>Endorsement/Support/Partnership</td>
<td>Cultural programs/Street theater Inspirational films Music events Rallies Wall paintings/Notice boards Hand bills</td>
<td>Get continuous feedback from the participants Monitor the effectiveness</td>
</tr>
<tr>
<td>Partnership</td>
<td>Simplified, modular, and periodic, in step with the phase of the project cycle</td>
<td></td>
</tr>
<tr>
<td>Preparation</td>
<td>Meetings Community-to-Community interactions Exposure and field visits</td>
<td></td>
</tr>
<tr>
<td>• Local/community informal authorities</td>
<td>• Line ministries • Technical agencies • NGOs &amp; Private sector • Financial sector</td>
<td>• Choice of the time and the venue • Prior notification</td>
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The tools presented in this section have been created to ensure that people in the project area—regardless of their education level, societal class or gender—have access to information and feel encouraged to participate in the project from the very beginning. It is important that the
scheduling and types of events/methods are carefully chosen for both efficiency and cost-effectiveness.

Prior to an event, it is important to get endorsements from all local informal or formal authorities. If possible, it is recommended to get formal buy-in support from them and implement the selected activity in partnership. The project team could come up with ideas on how to best attract people’s attention, and then contract those cultural groups or NGOs to actually implement them. This social mobilization process could be repeated at important events or as policy changes are made to assist with the flow of communication and ensure a shared understanding as the project evolves.

**Women and Vulnerable Groups**

Based on project implementation experience, active and sustained participation tends to be more difficult for particular groups of people including women, people of lower castes or societal perception, the disabled, the extreme poor, the less educated, and minority ethnic groups. Hence, appropriate tools need to be employed in order to effectively mobilize women and other vulnerable groups to create the space within the whole community to welcome broad participation.

Typically, it is very difficult for these groups to have a natural entry into the project processes, unless facilitated through a concrete participation tool. As a result, more often than not, they fail to participate. In many CDD-based projects, empowerment of the community through decision making and resource control is a critical project outcome. When that opportunity to enhance empowerment is not fully realized through broad community participation, most likely those who already have control over decisions and resources are enabled to influence the discussion and action. In most cases this reinforces the status quo, and in doing so, it typically fails to translate into poverty reduction, shared prosperity or inclusive growth aims.
### CASE STUDY 1

| What | The Brazil Rural Poverty Reduction Project in the State of Rio Grande do Norte used a music band to invite community members to upcoming meetings, to inform them about what was happening in the project, and to disseminate useful project related information and updates. |
| Why | By using familiar music, and working in partnership with local musicians, community members forged a closer identification with the project. In many cases, music bands served as a local “incubator” for project activities, planting the seeds for activities that would grow into larger cultural programs in the municipalities. This served to bring cultural activities closer and offer opportunities to engage young people living in distant communities. |
| When and Who | Municipal associations carried out the social mobilization and information dissemination activities. The music bands were created by community members, particularly young people with an interest in, and commitment to, music. To support information dissemination and social mobilization objectives, music bands should be identified at the very beginning of the project, and should clearly understand their role and functions in the project. |
| How | When music bands are created through sub-project activities, the funding requests from these groups follow the same steps as other types of sub-projects. When the groups are selected or prioritized by the municipal associations, projects can set up the selection criteria as appropriate to each project objective, (for instance, targeting poor rural young people, or regular students). Some typical activities include:

*Musical initiation classes.* These can be an entry point for young people with no musical background. They take classes on music theory and instruction and form the music groups. At this stage, classes are held twice a week (morning or night). This helps to instill teamwork and a sense of respect for colleagues.

*Musical aptitude tests.* Band members must pass a test for the instrument they want to play. Each student is responsible for his instrument, which belongs to the band. Each group has a ‘boss’, who oversees and coordinates the group’s work.

*Musical study and practice.* At all stages, studying is important. In general, students spend one or two hours a day studying music. Regular rehearsals occur three times per week, usually at night. Though, this is flexible. Studying helps to instill a sense of discipline, which can have spillover effects on other parts of their education. As the bands mature, other sub-groups tend to emerge: trios, quartets, or quintets of various instruments, choirs, etc. In turn, the more experienced members serve as mentors and trainers for beginners in different instruments. |
| Challenges/Lessons | **Funding** (e.g. for instruments and teacher salaries, etc.): In some cases, access to additional public funding to keep the work going is largely dependent on the music group’s ability to link in with larger state and federal cultural programs. **Scale:** federating the band activities at a higher level and scaling up the funding and activities. **Space,** both for practice and performances. |

Source: Brazil Rural Poverty Reduction Project—Rio Grande do Norte.
BOX 1
People, Poverty, and Pipes: Community Mobilization in Brazil’s PROSANEAR Program

PROSANEAR (a Portuguese acronym for the Water Supply and Sanitation Project for Low-Income Areas) was a pilot program in Brazil that developed a new approach to delivering water and sanitation services to the urban poor—and enjoyed a whole new level of success. PROSANEAR provided 900,000 poor people with fresh water piped directly into their homes, and one million people were also connected to sewerage systems. This is more than four times the number of new connections that project planners hoped for when PROSANEAR began, and all for a cost below original estimates: less than US$98 per person for water connections and less than US$140 for sewerage (1988 dollars).

PROSANEAR achieved success by combining two novel approaches to delivering urban services: (i) cost-effective, appropriate technologies and (ii) community participation. PROSANEAR projects began by informing local water agencies that funds were available for water projects in favelas, and that the participating agencies would be required to include the communities in the planning and building of the projects.

Community specialists went into neighborhood to identify the groups that could help. Women’s groups were often the most effective allies for working in the community, and the women themselves were frequently key to getting the projects underway. (In the favelas, women are more likely to be the head of the household and a permanent part of the community). A variety of educational, cultural, and recreational activities—such as sporting events, street theater, songs, and essay/poster contests—were also used to support sanitary and environmental education. This form of community mobilization was critical in facilitating the success of the program.


Intra-Community Targeting

Targeting is about how to effectively, inclusively, and efficiently allocate limited resources. A transparent and robust targeting methodology is critical for ensuring the inclusion of the most vulnerable and socially marginalized community members. There are many levels of targeting, including: (a) at the macro-level, i.e. deciding where regionally or geographically the CDD-based project will operate; (b) inter-community—that is, deciding how resources and project activities will be distributed across communities within that geography; and (c) intra-community, which refers to targeting specific groups within communities. This section explains the methodology of intra-community targeting. Project level macro targeting or inter-community targeting will be discussed in subsequent chapters.

For intra-community targeting, it is important to keep in mind that:

- Inequality within communities is sometimes greater than between communities.
- Political economy issues can seriously hinder project activities and outcomes.
- Existing political power structures and bureaucracies can pose important challenges and can exclude the poor and vulnerable from project benefits.
In such an environment, targeting must be clear and transparent. If sound targeting measures are not in place, the project is prone to ‘leakage’ or ‘elite capture’—making the usage of the limited funds inefficient, and the projects much more costly to achieve their goals. Elite capture is one of the biggest governance risks a CDD-based project faces. Targeting therefore should be carefully designed to correspond with the specific project development objectives.

The rules around targeting need to be well articulated and understood by all involved in the project. The project team should be cautious about sensitivities regarding community level politics and culture, with a strong understanding of existing power structures, economic relationships, social hierarchies, and entrenched practices. A lack of transparency may increase the risk of community conflict.

FIGURE 2
An Examination of Intra-Community Targeting in Fragile and Conflict Affected States Using a CDD-Based Approach

There are multiple ways of targeting. Examples include the review of official documents that are centrally consolidated to identify where the most vulnerable are, and household visits by local non-governmental organizations (NGOs) to collect information in order to determine who in the community is regarded as poor. However, these methodologies tend to have challenges. These include, but are not limited to:

- Unintentionally excluding the extreme poor (or those who may lack public knowledge or ownership, and therefore acceptance) from the selection process and criteria.
- Manipulation of data at the central level to benefit the more powerful in the community
- Lack of capacity on the part of local NGOs to collect and analyze the necessary data, and to differentiate among various levels and dimensions of poverty.

With these challenges in mind, a participatory process is recommended for the targeting exercise. The tools in this section explain this in greater detail.
**TOOL 1**  
**Participatory Identification of the Poor (PIP)**

<table>
<thead>
<tr>
<th>What</th>
<th>The PIP is a powerful and transparent targeting methodology that not only involves community members, but also enhances their sense of ownership in a project. Through the PIP process, a list of the most vulnerable, poor, and extreme poor households in a community is created. Because the process is locally driven, and not imposed from the outside, it is widely accepted as credible. This enhances awareness in the community on the status and needs of these groups. The PIP includes traditional targeting methods, such as social mapping and wealth ranking. It also lays the groundwork for the continued participation of community members throughout the project cycle.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why</td>
<td>Clear rules and methods for targeting can help everyone in the community—beneficiaries and non-beneficiaries alike—to agree on the decision making process for a project, while also reducing the likelihood of conflicts, confusion and duplication. A clear list identifying the most vulnerable, poor, and extreme poor households also helps for monitoring beneficiary progress against objectives throughout the project. Moreover, one positive spillover effect is that this information could attract funding from other programs that are also targeting the same groups in the community.</td>
</tr>
</tbody>
</table>
| How | **Step 1:** Let community members know that a PIP targeting exercise will be undertaken soon through the initial project communication campaign. Without announcing the event, it is difficult to achieve full participation, and as such, successful targeting.  
**Step 2:** Conduct a straightforward social mapping and wealth ranking exercise. For example, with the community gathered, one can draw circles on the ground, and use seeds or differently sized stones to demonstrate the wealth status of the members, intuitively letting them comprehend what is happening. Community members can also use the stone size to respond to questions. The targeting should clarify upfront that the project aims to support the extreme poor and vulnerable so that there are explicit expectations.  
**Step 3:** Carry out one round of the targeting exercise with more than one focus group. This is followed by a project validation period. The project should display the PIP lists for at least a week in the most visible places in the community. Next, the list is ratified by the general assembly (or other general body). **Note:** There should also be a clear process for grievance redress if/when some community members feel excluded or there is a misunderstanding. After the list is confirmed, then other village level organization members should be selected from the PIP list. |
| Who | The project facilitation team supported by experienced external resource persons and community members proficient in undertaking the PIP in the community. |
| When | The exercise is done as an entry-level activity in new villages immediately after the social mobilization/ awareness campaign. Once the list is finalized, there is an annual review and updating of the list at the general body meeting. |

(Continued next page)
### Tool 1 (continued)

| Challenges/Lessons | One key challenge in the beginning is to convince the government officials and policy makers to adopt the PIP as the main targeting methodology, since most countries already have their established targeting methodologies and may fear that these ‘unofficial’ lists will create unnecessary conflict in the villages. However, once the methodology has been tested, the government officials/bureaucrats become champions and easily adopt this methodology for other government programs. Another challenge is that some community households—especially those who fear that they may lose benefits—may not agree with the list, and continue to dispute it (which is also a challenge for traditional targeting models). This is why it is recommended to have a robust feedback mechanism that can take on and clarify misunderstandings. All decisions on the selection criteria, listing, and approval of lists are the responsibility of the community. The exercise builds capacity and helps them to have a guide for performing this work in the future. The cost and time required to conduct a PIP are also a challenge, particularly when dealing with fragile or post-conflict settings where the need to move quickly with the project is greater. |
| Resources | An example of a Community Operational Manual Booklet on PIP from Tamil Nadu, India, is available on video: [http://youtu.be/fd5F0ByjJq0](http://youtu.be/fd5F0ByjJq0) |
## TOOL 2
### Social Mapping

<table>
<thead>
<tr>
<th>What</th>
<th>Social mapping is a visual and participatory method of categorizing households using locally defined criteria. It gives the project team a locally owned overview of community structure, the socioeconomic situation, the differences in households by social factors (e.g. caste, tribe, ethnicity, religion, etc.) and who lives where in the community. Social mapping becomes particularly relevant: (i) when dealing with communities where geographic divisions across socio-economic groups are likely, and (ii) when the project involves management of common property resources (e.g. forests, water, etc.).</th>
</tr>
</thead>
</table>
| Why | Social mapping can be used for:  
- Showing data on a community’s layout, infrastructure, demography, ethno-linguistic groups, health patterns, wealth, etc.  
- Identifying different social groups using locally defined criteria, and assessing the distribution of assets across social groups and their geographic distribution  
- Learning about social institutions and the different views local people might have regarding those institutions  
- Identifying access and management norms for common property resources  
All of this information is useful when targeting for projects where geographic variation in socio-economic groups is expected or where community-based natural/common property resource management is facilitated. |
| How | The following is a general example of an approach that can be adapted to suit the local context based on the project objective.  
**Step 1: Bring People Together**  
Gather community members to talk about their perceptions of social difference in the community. Separate groups (5-10 people per group) of men and women as outputs differ consistently if generated by women, men, or children. It may be necessary to break down the population into further categories (such as by ethnicity, well-being category, or caste) depending upon context. This exercise can take a few hours.  
**Step 2: Provide Introductions and Explanations**  
When working with each group, the facilitator and observer/note-taker should begin by introducing themselves and explaining carefully and clearly the objectives of the discussion. Check that the participants understand and feel comfortable with what will be discussed. Allow for questions and answers.  
**Step 3: Produce a Social Map**  
First decide what type of area the map will show or any limitations such as a village, an indigenous ancestral domain, a watershed, and so on. Social maps begin as physical maps of the residential area of a community. (It might even be possible and useful to combine both and produce one map showing social and resource aspects of the community.) |

(Continued next page)
Tool 2 (continued)

How

With the help of participants, select a suitable place and medium for the exercise, such as on the ground using objects such as stones, seeds, sticks, leaves, and colored powder; on the floor using chalk; or directly onto a large sheet of paper, using pencils and pens. Materials collected locally such as seeds are especially useful in enabling people to map distributions quickly and effectively.

Ask the participants to start by preparing the outline or boundary of the map. It might be helpful for them to start by placing a rock or leaf to represent a central and important landmark. Another option is to ask them to draw a simple village map showing some features such as roads, paths, and watercourses for orientation. Although it might take some time to get going, the process should not be rushed.

Ask the participants to identify and draw on the map other institutions and landmarks that are important to them. Ask also about services or facilities such as irrigation, electricity, water, gas, telephones, and so on and mark these on the map. Absolute accuracy is not the goal. The goal is to get useful information about local perceptions of resources.

Then ask for the location of all houses in the community and ask them to mark each as a small empty square. They can then mark the houses in different colors to indicate which belong to households of different well-being categories (such as rich, better-off, poor, and extreme poor). Ensure that the criteria used by local analysts to distinguish different well-being criteria are noted on the map and that they all have the same understanding of the criteria and characteristics.

Once the map is underway, the facilitator should sit back and watch; only interrupt when absolutely necessary or if they stop drawing. Alternatively, it might be helpful to go away for a time and come back later.

If the map is being drawn on the ground, ask the participants to start making a copy onto paper (indicating which direction is north) once the broad outline has been established, making necessary amendments and additions as they go along. This process is important because extra information and corrections can often arise as a result. Also ensure that a copy or permanent record of the map is available if they want it.

Once the participants stop, ask whether anything else of importance should be added. When the map is completed, facilitators should ask the community members to describe it. Ask questions about anything that is unclear.

(Continued next page)
Tool 2 (continued)

<table>
<thead>
<tr>
<th>How</th>
<th>Step 4: Analyze the Social Map</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Once the map has been completed, use it as a basis for enabling community members to conduct their own discussions. These discussions should be noted or recorded. It might be useful to have a list of key questions to guide a discussion about community resources. For example:</td>
</tr>
<tr>
<td></td>
<td>• What are the religious groups and where do they live?</td>
</tr>
<tr>
<td></td>
<td>• What are the ethnic groups and where do they live?</td>
</tr>
<tr>
<td></td>
<td>• How many households are in the community and where are they located?</td>
</tr>
<tr>
<td></td>
<td>• Which households are headed by females and where are they located?</td>
</tr>
<tr>
<td></td>
<td>• How is land distributed for housing?</td>
</tr>
<tr>
<td></td>
<td>• Is the number of households growing or shrinking?</td>
</tr>
<tr>
<td></td>
<td>The social map produced will only be a snapshot of the current situation. If there are several different groups, ask each group to present its map to the others for their reactions and comments. Are there serious disagreements? If so, note these and whether a consensus is reached.</td>
</tr>
<tr>
<td></td>
<td>Step 5: Conclude the Activity</td>
</tr>
<tr>
<td></td>
<td>Check again that the participants know and understand how the information will be used and if this exercise will be repeated or not. Thank the participants for their time and effort.</td>
</tr>
</tbody>
</table>

| Lessons | Social mapping is easier when communities are small. It is necessary to adapt the tool in larger contexts where sub-groups may need to be developed and the activity conducted with each group. |

### TOOL 3

#### Wealth Ranking

<table>
<thead>
<tr>
<th>What</th>
<th>Wealth ranking is a method for identifying and collecting data on perceptions of wealth differences and inequalities within a community. The data is used for developing locally-defined criteria of wealth and well-being.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why</td>
<td>The tool helps to build a shared understanding of local concepts on wealth, well-being, and inequality. It also identifies differences in ownership rights to productive assets. This builds community-level ownership in the targeting process.</td>
</tr>
<tr>
<td>How</td>
<td>If a social map has not been produced, then a method using cards can be used. An alternative that might be more suitable in some circumstances is to move straight from social mapping into wealth ranking.</td>
</tr>
</tbody>
</table>

#### Step 1: Gather community members

Call community members to conduct the exercise. Groups of five to ten participants should reflect any relevant and important social divisions. The information they provide will also allow for cross-checking with different groups at different locations.

#### Step 2: Provide Introductions and Explanations

When working with each group, the facilitator and observer/note-taker should begin by introducing themselves and explaining carefully and clearly the objectives of the discussion.

#### Step 3: Produce a Wealth Ranking

A. **Without a social map:**

Ask the participants to write the names of all the households living in the community on a card (one name per card) together with any other information that might be significant to a particular enquiry. An official list of all the households in the community might be available; if it is used, make sure that it is double-checked by community members because official lists or registers might be incomplete or out of date.

Ask the members to discuss the criteria that they use in distinguishing between the better-off and less well-off members of their community. What makes them think that a household is better-off or less well-off? Next, ask them to sort the cards into as many piles as there are wealth categories in the community (using their own criteria), re-sorting as they go, if necessary. This will usually lead to the cards being sorted into about four or five categories.

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3 Alternative methods for distinguishing wealth groupings include the use of Venn Diagrams, seeds, or stones. The references include links to some of these examples.
Tool 3 (continued)

**How**

When the process is complete, ask the participants to take each pile in turn and explain the broad characteristics held in common by the households falling within it. Also ask about the differences in criteria between piles. Some further re-sorting might take place in light of the criteria expressed.

If it is important to distinguish between different levels within the target group but the given categories do not fully meet these requirements, it might be appropriate to ask for some more re-sorting at this stage. It is generally easy to resolve this difficulty when it arises.

The final step is to record the category of each household at the bottom of the card.

**B. After a social map:**

An alternative procedure, which is potentially quicker and might work better under some circumstances, involves moving directly from a social map into a wealth-ranking exercise.

When the location of all the households in a community, or part of a community, have been located on a social map, ask the participants to name the wealthiest member, then the next wealthiest, and so forth, until they find it difficult to continue. As this is done, each household is given a number that is then recorded by the analysts, or placed on a list that they can see. Repeat this procedure with the poorest households, working up from the bottom, until a point is reached where it is no longer possible for analysts to decide or agree on a precise order.

Next, ask the participants to divide the remaining households into categories according to whatever criteria they think are relevant.

When the sorting has been completed, ask the participants to discuss the criteria used to identify the different groups and to record the discussion and results.

As a final step, it might sometimes be appropriate to ask participants, working either from the map or the list, to indicate ownership of key assets (such as livestock or land) by individual households or to identify others by characteristics.

**Step 4: Analyze a Wealth Ranking**

In the analysis of wealth ranking, key questions might include the following:

- What are the local terms for poverty and well-being? How diverse or narrow are they?
- What does one group have that others do not?
- How are households currently distributed between the different categories?
- Do community decision makers all come from same group/strata?
- Are there serious disagreements? If so, note these and whether a consensus is reached. However, this discussion might not be appropriate if wealth ranking is a sensitive subject; facilitators should be aware of the local situation and feelings.

**Step 5: Conclude the Activity**

Check again that the participants know how and for what purpose the information will be used. Ask the participants to reflect on the advantages, disadvantages, and the analytical potential of the tool. Thank the participants for their time and effort.

(Continued next page)
### Tool 3 (continued)

| **Who** | The discussion group will include a facilitator, observer/note-taker, and community members. Knowledge of the social structure of the community is required by the facilitator because community members might consider wealth or poverty to be sensitive issues, which might affect the discussion and analysis. |
| **When** | Varies depending on size of community. About one hour should be allowed to conduct a wealth-ranking exercise and to ensure that a full discussion occurs. |
| **Challenges/Lessons** | Wealth ranking exercises produce a static picture and do not easily convey poverty dynamics. A narrow focus on ranking households does not address the distribution of well-being within households (such as by gender or age). Wealth ranking might be a sensitive issue and some might see a participatory or “public” exercise as overly intrusive. Good participatory facilitation skills and social analytical skills are needed and can be challenging to find. The approach outlined above is a general guide; be flexible and adapt the tool and approach to local contexts and needs. |
| **Resources** | Jayakaran, Ravi: *The Ten Seed Technique*, World Vision China, 2002 |

Annex 1: Using an Information Campaign for Social Mobilization

What
Information campaigns provide community members with information about project plans, activities, services, rules, etc. They can be a valuable part of a social mobilization strategy. Communities should be well informed about the project content, conditions, and terms. Mass communication campaigns that provide wide public dissemination of this material help to place control in the hands of communities, thereby mitigating the risks of manipulation by politicians, government officials, contracting agencies, and local elites (PRSP Sourcebook). A variety of methods can be used, such as public meetings, mass media, printed materials, public performances, and information kiosks.

Why
The main purpose of an information campaign is to disclose and disseminate project or sector related information such as the project objectives, components, benefits, target beneficiaries, costs, timeline, financial management and procurement requirements, progress reports, grievance mechanisms, and contacts. Building a base of common understanding is critical to social mobilization.

How
To prepare an information campaign, task teams should consider the following questions:

- What are the objectives of the information campaign? What are the key messages?
- Who is the target audience for the information campaign?
- Which communication mechanisms would be effective to reach the audience? Consider literacy rates, infrastructure, location, control of/restrictions on print resources and media, etc.
- What are the potential challenges for communicating key messages about the project?
- How will progress/impact/success be defined and measured?
- How will different actors in the information campaign (e.g., governments, media, civil society organizations, etc.) be engaged?

Who
The information campaign is coordinated by the project team, but implemented at the community level. It should target all community members, especially vulnerable groups.

When
The timing of the first information campaign is usually at the very beginning of the project, with a secondary follow-up phase for clarification and to gather continuous feedback from the participants as the project evolves.
Challenges/Lessons

- It is important to have an information campaign professional in the Project Management Unit (or its equivalent). The notion that “anyone can do an information campaign as a matter of common sense” is completely unfounded. The professional needs to undertake extensive field trips and not act as a desk-bound information broker. This helps him/her to understand the operational aspects of the project and to be regarded by the operational staff as “one of them” (i.e. to be regarded as a participant in the operational process rather than as a reporter).
- Training in the purpose and tactics of the information campaign needs to be provided to the project’s first line of contact with communities, as they play a vital role in disseminating and collecting information.
- The success of an information campaign should not be measured by the number of pamphlets and documentaries produced, but by surveys of beneficiary feedback (recommended every 6 months) to assess whether every beneficiary understands the project rules, objectives, benefits, and implementation processes.

Resources


This practical guide provides experiences and ideas on how to best use communication tools and effectively integrate a comprehensive communication program into CDD-based operations.
Annex 2: Information, Education, and Communication Campaigns in the Malawi Social Action Fund Project

What
The Malawi Social Action Fund (MASAF) and the subsequent MASAF II aimed to enhance and sustain the provision and use of resource endowments by beneficiary communities. Both programs were designed to promote a change in the way all development actors would work with other stakeholders. Community participation was considered a key issue in project design. Public awareness-raising, and information, education and communication (IEC) were the vehicles used to increase such participation and to ensure that communities and other key stakeholders understood their roles under the MASAF approach.

How
The IEC strategy was designed through a process known as Systematic Client Consultations (SCC). Through this process, the MASAF Development Communication Unit (DCU) and a local IEC expert designed an overall strategy for the project, involving non-governmental organizations (NGOs), beneficiary communities, government officials, members of the donor community, and lessons learned from study tours to other social funds.

At the beginning of the project, a public awareness campaign using radio, bus advertisements, and posters was launched. In addition, visits by MASAF staff to key village and regional leaders were used to spread the word. A project launch event presided over by the President of the Republic of Malawi was also held at one of the rural sub-project pilot sites. The various waves of IEC initiatives (e.g. radio messages, posters, bus advertisements, interpersonal exchanges) aimed to inform the prospective stakeholders about the project, and their roles and responsibilities in it.

Within the sub-project cycle, the MASAF IEC involved a two-way form of communication. Facilitators worked intensively with the communities on “sensitization” throughout the sub-project cycle, visiting villages many times to see the sub-project to completion. In turn, villages and local authorities gave feedback to the facilitators on identifying IEC needs and gaps, the design of public awareness messages, and advertising materials that the MASAF considered using. The main vehicle for the collection and dissemination of information was radio. Follow-up programs through radio and other media reinforced the message that MASAF sub-projects are for the whole community, not just the elite, and that implementation committees must remain accountable to the community.

Who and When
The MASAF DCU coordinated all activities and was responsible for developing the IEC strategy, disseminating messages, managing IEC consultants and monitoring the effectiveness of the IEC program. The DCU head conducted quarterly field visits to speak with beneficiaries. MASAF zone managers were also trained in their IEC role by the Head of the DCU and their
The IEC was reviewed by management during quarterly MASAF meetings. Because local capacity proved to be up for the task, international technical assistance was not used except for evaluations at the end of the project. Virtually all print and media materials were produced by Malawi’s emerging private sector.

An IEC campaign should precede project implementation to inform and shape opinion on project features. The first wave of messages must be clear and simple, and open to as little misinterpretation as possible. For example, while MASAF sub-project eligibility was explained clearly, the messages did not specify the kinds of sub-projects that the Fund would support. A communication initiative needs to follow up its first information campaign with a second phase of clarification. This is necessary because the first phase of information about the arrival of a project, especially a Social Fund, is almost immediately distorted by power players trying to maximize their roles as the intermediaries and purveyors of funds.

**Challenges and Lessons**

- Most of the Project Management Unit (PMU) staff in the early years came from the government, where information was seen as a commodity to be guarded and used strategically. Despite the key influence exerted by the MASAF Executive Director and WB Task Team Leader, when the project was being designed, the government team tended to view the Information, Education and Communication (IEC) component as basically a public relations initiative.

- Never advertise if there is no confidence in delivering the product. Community faith in MASAF was high because, unlike most other donor-financed projects in Malawi, very little time elapsed between hearing about the project on the radio and being contacted by it.

- Regular dissemination of project experiences helps to reinforce the politically non-partisan nature of the project, as it becomes clear that the sub-projects have responded to community demand and have followed publicly stated norms.

- Documenting and disseminating the experiences of communities, in print and on the radio, tends to restore faith in one’s capacity to contribute to a solution, and to reinforce a sense of community among people across a country.

**Scale**

Country-wide

**Cost**

The budget for IEC activities was high: the MASAF I Capacity Enhancement Component (including IEC, training, and studies) was US$2.8 million, while in MASAF II it was budgeted at US$3.7 million.
Impacts/Results

- The IEC component helped to move from an asymmetrical information environment to a symmetrical one. The most significant impacts of this free flow of information have been better working relationships between stakeholders, and a new trust formed between these various actors.

- Within the community, where the elites had been generally unchallenged, free access to information about rights and responsibilities (for example, regarding the role of the project sub-committee) gave rise to pointed questions about the use of funds, the quality of materials purchased, the manner in which a contractor had been selected, and so on. Members of Parliament who attempted to influence procurement or contracting issues were, for the most part, kept at bay by the communities.

- This more equitable access to information also changed the attitude of poor communities towards both NGOs and the government’s district extension staff. The communities made it clear that they knew that NGOs were only one of the options they could utilize to help them to select, design and implement their project—they would make the decision. Regarding district administration, the communities became more active in demanding, however politely, that the administration’s extension staff delivered better.

- Relevant staff played a key role in the positive impact of the IEC. The Executive Director of MASAF and the World Bank Task Manager had seen the value of IEC in population/family planning initiatives in Zimbabwe and were aware of its distinctive features when compared with public relations. Furthermore, an IEC officer trained in participatory techniques was appointed to the PMU.

- The fact that the project encouraged a gender focus was communicated widely, helping women to insist that they should be part of project sub-committees, and encouraging their active participation in influencing decisions regarding the community’s priority needs.

- Anecdotally, it was also reported that the country-wide awareness of MASAF prompted other donor-assisted programs to implement IEC initiatives to promote and report on their activities.

Source: *Malawi Social Action Fund (MASAF)-First* and *Second* Phases.
Annex 3: Use of the Participatory Identification of the Poor (PIP) Methodology in the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project

| What | Instead of a survey method using questionnaires and household census data to identify and list the target beneficiaries of the project (the most vulnerable, extreme poor and poor households) the Bangladesh Empowerment and Livelihood “Nuton Jibon” Project utilizes a methodology known as “Participatory Identification of the Poor” (PIP). The targeting methodology consists of a 15-step participatory process includes the identification and capacity building of a team of community members from the same village who carry out the exercise with the facilitation and technical guidance of project staff and community professionals. The participatory exercise (which takes approximately 5-7 days to complete) utilizes a combination of methodologies like awareness building, transect work, social mapping, completion of household information cards, selection of village specific indicators, wealth ranking, data validation, and addressing grievances on the draft list, before final approval of the list in the general village body. |
| Why | The project targets all of its direct benefits to the most vulnerable, the extreme poor, and poor households. However, prior to using the PIP methodology, criteria for classifying households into income strata and poverty levels had failed to reconcile village specific parameters and had produced incorrect results. Moreover, the list prepared by government agencies also suffered from various deficiencies such as the inclusion of the ineligible and exclusion of the eligible. There was also an insufficient system to address complaints and grievances. Furthermore, disputes and ownership issues about the list prepared by outsiders were frequent. In contrast, the PIP methodology worked to mitigate all of these deficiencies. |
| When | The exercise is done as an entry-level activity in new villages immediately after a village awareness campaign. Once the list is finalized, there is an annual review and fine-tuning of the list at a general body meeting. |
| Who | The project facilitation team, supported by community professionals proficient in undertaking the PIP, helps the community. They build the capacity of a central team from the village who lead the exercise. |
| Scale | The project introduced the methodology in 2009. By 2013, over 3,000 villages had used this methodology to finalize the list of the target poor. Over 3,000,000 beneficiaries have been identified and included. |
## Advantages and Impacts

The quality of the lists of target beneficiaries has substantially improved, reducing errors to less than 1%. The community organizations of the poor have become exclusive bodies for the correct beneficiaries. The reduction in the number of days taken to finalize the list compared to other methods has accelerated project implementation while at the same time reducing costs many times over. Village level corruption to influence the inclusion of names in the list has been completely eliminated. The problems of elite capture of village institutions and benefits have been successfully solved. 95% of the complaints about incorrect inclusion or willing exclusion have been resolved.

The exercise has given an upfront visibility for the project and its principles in addition to a strong kick start for project initiation including the identification of potential village leaders.

Other government agencies have started recognizing the methodology and use the same list for identifying beneficiaries for other programs.

## Sustainability

The entire decision on selecting the criteria, developing the list, and approval of the list is the responsibility of the community. The exercise has built their capacity and has helped them to have a guide for performing this work in the future.

## Cost

The cost of the exercise includes:

- Fees and allowances of community professionals (approximately 2 members for five days)
- Cost of materials for conducting participatory exercises like social mapping
- Stationary and materials for training the community
FIGURE 3
List of the 15 PIP Steps in the Bangladesh “Nuton Jibon” Project

| STEP 1: Informing community about PIP |
| STEP 2: Selection of team for conducting PIP |
| STEP 3: Training of PIP team |
| STEP 4: Village level meeting |
| STEP 5: Transect walk |
| STEP 6: Social mapping |
| STEP 7: Wealth Ranking |
| STEP 8: Identification of vulnerable, disabled |
| STEP 9: Data validation for ensuring quality |
| STEP 10: Documentation of Data |
| STEP 11: Display of list of target poor |
| STEP 12: Resolving complaints |
| STEP 13: Approval of the list in Gram Parishad |
| STEP 14: Concurring the list by SDF |
| STEP 15: Handing over PIP list to Gram Samiti |

Source: Bangladesh Empowerment and Livelihood “Nuton Jibon” Project.