

## PARTICIPATORY APPROACHES TO NATIONAL DEVELOPMENT PLANNING

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### A. Participatory Development

*“Participatory development is a process through which stakeholders can influence and share control over development initiatives, and over the decisions and resources that affect themselves.”*

*- Framework for Mainstreaming Participatory Development Processes into Bank Operations, ADB. 1996*

The Framework for mainstreaming participatory development processes in ADB was introduced in 1996 in response to the need for ADB to do more to enhance the sense of ownership among beneficiaries and DMC governments for projects supported by ADB, and for greater beneficiary participation in all aspects of the project cycle. Although previous ADB operations had promoted participation by concerned stakeholders in an ad hoc manner, it was necessary to institutionalize the most effective of those practices into the ADB business processes. Since then, the implementation and outcome activities initiated under the Framework have been the subject of several ADB reviews.

Broader participation and engagement of key stakeholders, public transparency, and institutional accountability have gained greater importance in the ADB. Lessons learned are extremely helpful in facilitating the successful implementation of new policies and business processes. These experiences have demonstrated that policies tend to be more effective when there is stakeholder ownership of initiatives and new programs and projects that reflect their needs and views. In 2003, ADB issued its policy on *Promotion of Cooperation with Non Government Organizations*, recognizing the major role that NGO's can play in pursuing ADB's overarching goal of poverty reduction and their ability to mobilize participation among stakeholders and affected groups. The 2005 *Public Communication Policy* has enabled greater access to information for those affected by ADB operations and expanded opportunities for them to influence the decisions that shape their lives.

As shown in various studies done by the ADB and World Bank, effective development requires the early and substantive involvement of all stakeholders in the design of activities that will affect them. Indeed, there is high level of quality, effectiveness, and efficiency of development initiatives when stakeholders view their participation as meaningful. In several occasions, a consensus among development partners and intended beneficiaries is always evident on the right of affected communities to participate in the activities. This strengthens the justification for implementing participatory approaches in development planning.

Participating in formulating the fundamental goals as well as in planning and carrying out an activity empowers stakeholders and fosters a sense of ownership. These facilitate effective project implementation, conscientious monitoring of activities, and sustainable outcomes. Effective poverty reduction also requires greater flexibility in responding to problems and unexpected opportunities throughout project development, implementation, and monitoring. Responsiveness and collaboration among intended beneficiaries, government, civil society, and the private sector at local, intermediate (district, province, etc.) and national levels promote social capital development and sound governance.<sup>1</sup>

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<sup>1</sup> ADB. 1999. *Technical Assistance for Facilitating Capacity-Building and Participatory Activities II. Manila*

ADB undertook an evaluation study on capacity building and participation activities in 22 projects, poverty assessment studies, development of country strategy and program (CSP), and other activities in 2000 and 2001. ADB and DMC personnel who participated in the study found that it went far in supporting their work and in creating awareness among a range of stakeholders about the needs of the intended beneficiaries (i.e., the poor). Furthermore, they believed that the costs of participation were small compared with the gains.<sup>2</sup> The study concluded that:

“...participatory development can significantly enhance the effectiveness of ADB efforts to reduce poverty in Asia and the Pacific. When citizens develop a sense of ownership of development efforts as a consequence of their engagement in decision making about selecting, planning, managing, and monitoring project activities, results are typically enhanced and impact more sustained. Similarly, when relevant institutional stakeholders are involved in designing programs or policy changes and planning their implementation, the outcomes are usually improved. At the same time, capacities are built, social capital enhanced, and partnerships between government, civil society, and the private sector improved as people learn by working together in a supportive milieu. Thus, the additional effort of early and careful participatory planning, plus facilitation and monitoring, combine to affect poverty reduction broadly by addressing the economic, social, and governance or institutional dimensions of poverty simultaneously and promoting more successful and sustainable programs and projects.”

Under ADB's enhanced Poverty Reduction Strategy, partnerships with civil society and other development agencies were strengthened. At the country level, poverty assessments helped to inform assistance programs while country strategies and programs (CSPs) generally became more sharply focused on poverty reduction. However, the new PRS also provides guidance for the future directions of ADB activities highlighting the central role that participatory activities will play and mandates ADB staff to encourage greater participation. Prospects for poverty reduction are greatest if DMCs lead the preparation of the NPRS and commit to its full implementation. ADB's resident missions are to play a leading role to strengthen operational links to the NPRS by mobilizing all stakeholders, strengthening partnerships, and improving the quality of its CSP. Resident missions are encouraged to forge partnerships with development partners, including bilateral agencies and NGOs, to complement their own capacity for poverty assessment and analyses. Furthermore, development partnerships are essential to poverty reduction and attaining the MDGs. Close cooperation and harmonization efforts among development partners can reduce transaction costs and thus increase development effectiveness. ADB will further its collaboration with the International Monetary Fund and the World Bank, United Nations agencies, and bilateral development organizations to include country strategy, program implementation, analytical work, cofinancing, sector-wide assistance approaches (SWAs), policy advocacy, and measuring and monitoring accomplishments in relation to the MDGs and to other poverty indicators. Working through resident missions, ADB will strengthen donor cooperation and will act together with stakeholders and civil society to monitor progress in reducing poverty.

## **B. Who are they? - Stakeholders and Participatory Development**

In its *Handbook on Poverty and Social Analysis*, ADB defines stakeholders as “people, groups or institutions that *may be affected by*, can significantly influence or are important to the

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<sup>2</sup> ADB. 2003. *Poverty and Social Development Papers No.6. Manila*

achievement of the stated purpose of a project. They include government, civil society, and the private sector at national, *intermediate* and local levels. These stakeholder groups are:

**General public:** those who are directly or indirectly affected by the project (women's groups, individuals and families, indigenous groups, religious groups)

**Government:** civil servants in ministries, cabinets, etc.

**Representative assemblies:** elected government bodies (parliament, national and local assemblies, district and municipal assemblies, elected community leaders)

**Civil society organizations:** networks, national and international NGOs, grassroots organizations, trade unions, policy development and research institutes, media, community based organizations.

**Private sector:** umbrella groups representing groups within the private sector, professional associations, chambers of commerce.

**Donor and international financial institutions:** resource providers and development partners

The dynamics of development planning are changing, largely due to the increasing participation and importance of the latter groups: (i) local government units (LGUs), (ii) CSO/NGOs and the private sector, and (iii) development partners.

- **Decentralization and devolution of authority to LGUs** is a form of participation, in the sense that sub-national agencies now play a bigger role in the bringing about national progress. This change is particularly apparent in Indonesia and the Philippines. If more LGUs and their constituent communities participate in the development process, the potential for the country's growth is stronger and more sustainable. While there are LGUs which can operate efficiently on their own, the majority of the LGUs, particularly those belonging to lower income classes, rely heavily on national government transfers and external grants and technical assistance for their development needs. ADB recognizes this constraint. As a response, ADB has been actively supporting local government units providing access to funds for their capital expenditure requirements as well as strengthening their capabilities to plan and manage their own resources.
- **Cooperation with CSO/NGOs** continues to strengthen the effectiveness and sustainability of ADB poverty reduction efforts by harnessing NGO experience, knowledge, and expertise. In its country-level operations, ADB acknowledges and responds to governments as sovereign authorities and recognizes that NGOs are not substitute for governments. Nevertheless, it recognizes NGOs as being important actors and stakeholders in civil society and as having legitimate involvement in the national development process, particularly in matters relating to poverty reduction and social development.<sup>3</sup> Thus, ADB fosters cooperation among ADB, government, and NGOs. ADB works with NGOs under several circumstances; an example is when the underlying causes of poverty need to be identified and confirmed at the beginning of the loan design process: NGOs (both advocacy and operational)<sup>4</sup> can provide alternative analyses and suggestions for different approaches to resolving issues and concerns.

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<sup>3</sup> Guidelines for Involving Nongovernment Organization (NGOs) and Community-based Organizations (CBOs) in Project Design.

<sup>4</sup> Advocacy NGOs are focused on policies and actions that affect specific or broad development outcomes while operational NGOs are focused on the delivery of development initiatives, e.g. environmental protection, and poverty reduction.

- Networks or consortia of regional and/or national CSO/NGOs have proliferated the past years establishing platforms for both operations and advocacy. The NGO Forum on ADB, an Asian-led network of NGOs and CBOs, monitors ADB policies, programs and projects and amplifies their positions and advocacies on ADB operations. An interesting excerpt from the history of the NGO Forum on ADB reads:

*“Over the past decade and a half, the campaign has brought some modest yet significant gains. The ADB campaign has contributed to changes in Bank policy in terms of improved social and environmental guidelines for projects, new Bankwide lending priorities, Bank initiatives in defining sectoral priorities on forestry, energy population, involuntary resettlement, and information disclosure, a more open attitude to dialogue with NGOs and communities, and more recently, the Bank’s shift to poverty reduction as its “overarching framework”. Since the NGO Working Group (NGO Forum on ADB) was created, practical lessons have been gained from the campaign experience.”*

--NGO Forum on ADB (<http://www.forum-adb.org>)

- **Global efforts towards harmonization among Governments and Development Partners** - The Philippines provides an excellent example where ADB has accelerated activities with other development partners linked to these global efforts. Not only for joint studies and shared work to support mutual frameworks of assistance, but also to expand *on-the-ground* cooperative efforts. The Philippines Development Forum working groups have been maintained, some co-chaired by ADB, that are preparing shared agendas for support in areas such as local government and anti-corruption. There is a growing linkage, through the sharing of design criteria and terms of reference, that provide for ADB operations to benefit directly from LGU capacity-building programs under bilateral grants, as well as discussions of shared personnel or consultant resources for joint project development, feasibility studies and implementation support. In the area of portfolio management, ADB works closely with the World Bank and Japan Bank for International Cooperation (JBIC) through joint portfolio reviews, and regular technical working group meetings. While joint missions with the World Bank, JBIC, and some other bilateral partners maintain a consistent dialogue on harmonization and adoption of country systems. ADB’s financial and technical resources complement those from development partners, under the paradigm of “moving from coordination to cooperation”. The range of development partners is widening to include more intensive dialogue with civil society, members of Congress, and the private sector and ADB continues to increase the partnerships for joint analytical and advisory work.

Like most development agencies, ADB has learned from bitter experience that failure to generate effective participation among its stakeholders and ownership in the implementation of projects invariably leads to unsatisfactory outcomes. Thus, ADB promotes participatory processes because it recognizes that, ultimately, it is the collective efforts of government and community that determine the success of development, rather than the impact of external investment. The critical elements in determining the “quality at entry” of ADB investments are (i) the level of ownership, (ii) participation of stakeholders in the design process, and (iii) strategy for ongoing participation.

### **C. Incorporating Participatory Approaches and Methods**

Participation ranges from superficial to deep—from passive exchange of information to full engagement. Stakeholders may be engaged in many ways; from merely informed that

“development” is “happening” to taking part in projects that serve to help them take charge of their own development.

*Information sharing (or gathering)* is at the passive or shallow end of the participation scale. This may involve disseminating information about an intended program or asking stakeholders to give information that will be used by others to help plan or evaluate a project or other activity. In both cases, communication is one-way rather than interactive.

ADB generally uses the term *consultation* to describe any engagement of stakeholders in its activities. In participatory development, however, the term is much more narrowly defined; it refers to people being asked for their opinion about something while development professionals listen to their views. Typically, the people involved exercised no responsibility in formulating the original plan or the decisions that went into it, and the development professionals are under no obligation to incorporate their views. Yet consultation can be more or less participatory and can evolve into collaboration or shared control. On one hand, if people are involved in defining a desired change, or in identifying a problem and its solution, consultation can lead to greater networking—a key component of social capital formation—and a sense of ownership of the project or policy being discussed. On the other hand, many consultative processes focus solely on obtaining (relatively passive) “buy in” for the already planned activity, or prescribed policy or program. Consultation processes that primarily seek feedback to a predefined plan or strategy fall near the shallow end of the depth of participation continuum.

*Collaboration/joint decision making* and *empowerment/shared control* represent what most participatory development practitioners consider to be genuine participation. In each of these stages, stakeholders are actively engaged and sustained results are achieved. In collaboration, for example, people are invited by outsiders to meet a predetermined objective: the development professional or organization identifies the problem or issues to be discussed, and calls a group together to collaborate on that topic. The stakeholders may not have initiated the collaboration, but they significantly influence the results. Groups or subgroups are formed that build networks and improve structures or practices. People themselves and the projects on which they work change as a result of their interaction. The stakeholders’ ideas change the project design or implementation plan, or contribute to a new policy or strategy. Most importantly, the development professional or organization that solicited stakeholder involvement takes the peoples’ perspectives seriously and acts on them.

*Shared control* involves deeper participation than *collaboration*. Citizens become empowered by accepting increasing responsibility for developing and implementing action plans that are accountable to group members and for either creating or strengthening local institutions. The development professionals become facilitators of a locally driven process. Stakeholders assume control and ownership of their component of the project or program, and make decisions accordingly. At this level, local participation is most sustainable because the people concerned have a stake in maintaining structures or practices. Participatory monitoring—in which citizens, groups or organizations assess their own actions using procedures and performance indicators they selected when finalizing their plans—reinforces empowerment and sustainability.

The particular challenges, constraints, and opportunities may limit the mode of participation, or at times, may complement and support more complex forms of participation starting at one level and becoming deeper as the planners and stakeholders learn together.

#### **D. Examples from the ADB-Philippines Development Partnership**

The ADB-Philippines experience provides some excellent examples of participatory approaches, not only arising from ADB's proximity to the Philippines, but also because the Philippines has evolved a culture of consultation and participation. Its laws, regulations and policies mandate consultation and participation in both strategic development planning and for individual project development. This holds true for both national government operations those undertaken by LGUs. The 1991 Local Government Code provides a large measure of local autonomy to the provincial, city and municipal governments. It has granted the LGUs more powers, authority, responsibilities and resources. Among those responsibilities is the provision of basic services and facilities for constituents. These include agricultural extension, community-based forestry, field health and hospital services, public works and infrastructure projects funded out of local funds, school buildings, social welfare services, tourism facilities and promotion, telecommunication services and housing projects. LGUs are envisioned to transform into self-reliant communities and active partners in the attainment of national goals through an accountable local government structure. At present, the LGUs face problems and challenges, potential cuts in local public spending, systemic inability to mobilize own-source revenues, and lack of technical skills to develop and manage projects. These things add to the already existing burden of problems at the community level that face any local executive. Sound development planning is key to achieving what is good for the community. And in formulating the plan, the consultation process, where various stakeholders are represented, is considered most important. Consultation usually comes at various levels in planning – during strategy formulation, data gathering and presentation and identification of action plans. The minimum requirements for the preparation of the local development plan are shown below:



There are notable experiences in LGU planning where different stakeholders took part in formulating plans and monitoring programs to improve their own communities, without relying too much on national government and external support. In 1992, in cooperation with academe, civil society and local governance advocates, the Government launched a pioneering awards program on innovation and excellence in local governance, called Gawad Galing Pook. Through the years, it has showcased LGU programs with positive socio-economic and environmental impact, promotion of people's empowerment, transferability and sustainability, efficiency of program service delivery. The Appendix provides some examples of past awardees that demonstrate that participation by as many stakeholders as possible can help a community move forward despite financial and political hurdles.

As discussed earlier, the maximum depth of participation occurs with *empowerment* or *shared control*. At this level, power over decisions is concentrated in the local communities. Communities develop action plans and manage their own activities based on their own priorities and ideas. Central Government officials, donors and development professionals catalyze and support, rather than direct, local development. Local groups take control over local decisions, increasing their stake in maintaining new physical or institutional structures and practices. ADB has shared control of project design or implementation in the following two Philippine projects.

### ***Philippines: Development of Poor Urban Communities<sup>5</sup>***

The Development of Poor Urban Communities project illustrates the value of participatory activities in designing a project. By participating in formulation of the fundamental goals, stakeholders are empowered and develop a sense of ownership of the activity. This promotes effective project implementation, conscientious monitoring of activities, and sustainable outcomes. Furthermore, responsiveness and collaboration among recipient communities, local and central government offices, civil society actors, and the private sector enhance social capital and promote sound governance.

This project has a radical objective: to provide land titles to urban squatter communities and to rehabilitate the communities by improving housing, municipal infrastructure, and social services. In the process, both local government and community organizations will be strengthened to serve the needs of poor communities better.

Community residents became actors in project design, rather than being simply (passive) beneficiaries. An important step was identifying the stakeholders who would participate in project design. The likelihood of being affected, positively or negatively, by the project was the key criterion for selection. Dialogue with stakeholders was used extensively and strategically throughout project design. Community residents expressed and prioritized their needs and constraints. Their perspectives were not merely documented and considered, as is usually the case in consultation; instead, action plans were developed with each community. Each action plan was unique but all included a process for gaining land title, housing rehabilitation plans, and livelihood development activities. Housing rehabilitation plans were developed by the communities, written up by a development professional, and then validated by the community members. The ensuing loan builds on

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<sup>5</sup> ADB. 2003. *Development of Poor Urban Communities*. Approved on 18 December 2003 for \$32.3 million.

the community planning process in pilot communities and includes a full community participation and empowerment component to institutionalize the community organizations.

However, the Government, not local residents, selected the project objectives of rehabilitation of housing and provision of services for urban squatter communities. One must wonder whether local residents would have identified the same objectives if they had been involved in the overall conceptualization of the project. Nonetheless, this initiative clearly went beyond collaboration by yielding significant control to the stakeholders and allowing them to develop their own plans. Although the extent of citizen empowerment depends on how implementation is carried out, some good examples are already arising from the ongoing project in combining participatory city planning with slum upgrading and eradication. Lessons from successful slum upgrading pilots undertaken in partnership with NGOs are being incorporated to the design of a similar initiative for Metro Manila.

**Box 1 : Empowering Poor Urban Communities and Strengthening Local Institutions (Philippines)**

The Development of Poor Urban Communities project in the Philippines builds social capital through institutionalizing community organizations. The plan has four stages:

1. Communities engage in action planning and form teams to address the four components of the project: livelihood, land security, infrastructure, and social services. A board is formed that includes the chairs of each team.
2. Community organizations (for each group of households) become more structured and legitimized. A general assembly, including either the husband or wife of each household, is formed and elects its leaders. The community organization is then equipped to transact business with external parties.
3. Community organizations in a contiguous area are then organized into clusters, forming a coalition or federation headed by a cluster council. The cluster council advocates on behalf of the members of its cluster to the village development council, based on each community's development plans.
4. Cluster councils further coalesce into a municipal or citywide organization in order to represent the community organizations before the local government decision-making bodies. The citywide organization assesses city development and housing and land use plans, and ensures that cluster needs and priorities are incorporated into the city development agenda. Assessments are likewise undertaken of the city and village budgets to ensure that their use reflects balanced responsiveness and sensitivity to the needs of the urban poor.

***Philippines: Cordillera Highlands Agricultural Resources Management***

The Cordillera Highlands Agricultural Resources Management (CHARM) project was designed to help 82 local communities in 3 provinces in Northern Luzon to develop and implement their own action plans. The process involved participatory community analysis, priority setting, and action planning, followed by multistakeholder review and overall ranking at municipal and provincial levels to identify which projects would be funded. NGOs facilitated a participatory planning process in each community (Box 2). Projects ranged from small-scale infrastructure and basic facilities to enhancement of local governance, capacity building and training, income-generation activities, and natural resource improvement.



This was the first time these villagers engaged in participatory planning. A midterm evaluation indicated that they supported the process and had developed a sense of ownership of the outcomes. The evaluation also showed that the results of activities planned this way were better than those of activities identified by Government agencies in previous projects. The participatory community exercises elicited a broad range of ideas and allowed community members to identify those with the greatest potential. They considered all possibilities and produced a barangay (village) natural resource management plan (BNRMP). The process was community driven; no outsiders, except the facilitators, were present. All meetings were conducted in the local dialect. Thus, the plans were grounded in local knowledge and only later enhanced with outside expertise when reviewed at municipal and then provincial levels.

Each BNRMP was unique, although all contained information on community history; geography; current social, economic, and political conditions; institutions, including the types of civil society organizations and local government; and village finances. Usually the BNRMPs were accompanied by community maps as well as charts and graphs to illustrate land use, livelihoods, incomes, etc. Also included were the results of the participatory planning process: stakeholder and problem analyses, prioritized issues and concerns, and the five-year and annual plans in logical analysis format (which clarified goals, activities, and results indicators). Projects were categorized according to specific political, economic, social, cultural, and environmental objectives.

The participatory nature of the project strengthened collaboration among government agencies, NGOs, and local government officials. Before CHARM was implemented, these actors rarely had opportunities to work together and generally distrusted one another. This project led NGOs to develop solid working relationships with regional and local government officials, which continues to this day

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**Box 2 : Planning Method used by Communities in the Cordillera Highlands Agricultural Resources Management Project (Philippines)**

A unique feature of the Cordillera Highlands Agricultural Resources Management (CHARM) project was its use of a multilevel participatory planning approach to maximize stakeholder participation in project decision making. The participatory planning process began at the village level and moved to the municipal and provincial levels to promote institutional integration and to enhance sustainability through improved operations and management.

***Village level***

At the village level, a nongovernment organization (NGO) facilitator initiated dialogue with elected village officials and leaders of people's organizations. The latter then provided an orientation for community members on the project and the participatory planning process to be undertaken. In each community, a core group was established to ensure inclusion of existing groups and traditional institutions. It was composed of village officials, elders, teachers, youth leaders, and representatives of such people's organizations as farmers' groups, irrigators' associations, women's groups, and local self-help groups. Community workshops for participatory planning were then organized by the core group and the NGO facilitator. A general public announcement was issued asking all village residents to attend. Each workshop took 3–5 days. The first step was a comprehensive village profile. Various methods were used: secondary data collection, household surveys, and participatory rural appraisal (PRA) exercises including community maps, seasonal calendars, land

transects, and socioeconomic and livelihood analysis. In the second phase, core group members and village residents analyzed the data. They identified and prioritized community issues and problems, outlined goals and objectives, and then created a plan of action using a project planning matrix. Finally, they consolidated the outputs of the Barangay (village) Natural Resource Management (BNRMP).

#### ***Municipal and Provincial Levels***

The BNRMPs including prioritized projects were then forwarded to the municipal level where a municipal management group composed of local government officials, relevant line agency personnel, people's organization representatives, and elected officials, plus NGO project staff, assessed the technical merits of projects and prioritized them across the area. These project lists were forwarded to the provincial management group for final review and ranking at the provincial level.

The municipal and provincial project management groups coordinated the various line agencies, local government units, and NGO field staff in screening and prioritizing projects, providing technical support, and working closely with elected community leaders and people's organization leaders. Consensus among the key project stakeholders at each level was obtained while finalizing the priority lists in their areas.

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Participatory approaches are not convenient exercises. Project managers, who focus mainly on logistics, finance, and contribution, fear that beneficiaries may lose patience with participatory processes or a proposed activity, if they are unable to meet beneficiary demands for discussion time or for substantive input to design and implementation. Extremely tight schedules for producing feasibility studies, project proposals or processing loans make the approach difficult because participatory decision making requires flexibility and sometimes unpredictable amounts of time. Many Government agencies are unwilling to attempt participatory approaches as the countries are unfamiliar with more inclusive/participatory ways of working and have limited skills for consultation and poverty analysis. Lastly, clarity about partnerships is lacking and some feel that NGOs and other social intermediaries should not be treated differently than political lobbyists, contractors or consultants. Although these constraints, among others, have been raised time and again by both Government personnel and development professionals opposed to using participatory methods for project development, experience has shown that it produces better projects and better results. The same holds true for strategic planning, as discussed below.

#### ***BIMP-EAGA: Developing a Strategy for Small and Medium Enterprise Development***

This operation shows that consultations involving stakeholders in dialogue can strengthen strategies and increase the likelihood of program success. ADB is committed to help stimulate the development of small and medium enterprises (SMEs) in the Brunei-Indonesia-Malaysia-Philippines East Asia Growth Area (BIMP-EAGA) to improve living standards and reduce poverty. This program expects to catalyze the effort by defining and implementing a new strategy for SME development in this region.

Initially, three regional consultation meetings were planned: one in Manila, with representatives of the governments of Indonesia and the Philippines, and one in each of the two focal provinces—Mindanao and Sulawesi. The goals of the initiative were very challenging and their implementation equally complex, so it was determined to engage a broader group of stakeholders in refining the strategy and drafting action plans for project

implementation. The number of (day-long) workshops was increased to 10. Seven subregional workshops were scheduled following the initiation workshop in Manila. Representatives from these subregional events attended the final workshops in the two focal provinces. There were more than 500 participants in total, representing much greater geographic and cultural diversity. This diversity increased the range of knowledge and perspectives brought into the discussion. It also created new horizontal and vertical linkages among stakeholders, promoting an increase in social capital.

Five key constraints or limiting factors to SME development—policy, business support, finance, infrastructure, and coordination/integration—were identified by ADB in its proposed strategy. An analysis of these constraints was distributed to the people invited to the workshops. In the workshops, facilitated participatory processes allowed participants to respond to the draft strategy, to clarify the framework, to identify opportunities, and to discuss features of the constraints. During each subregional workshop, participants were divided into small groups, usually of 8 to 12 participants from diverse organizations. Each focusing on one constraint (policy, business support, finance, infrastructure, or regional coordination/integration) and was given a matrix with questions to guide its discussion.

The groups recommended (i) changes to the proposed strategy, (ii) specific development partners for program implementation, (iii) strategies for addressing the limiting factors, (iv) priority sectors or industries and the support required by each, and (v) key development projects to promote these initiatives. Groups presented their results to all workshop participants for further discussion and refinement. Participants from each subregional workshop were chosen to carry the groups' ideas forward to the provincial workshops in Mindanao and Sulawesi.

In contrast with conventional "consultations," in which participants typically gather to listen to a stream of speeches, these regional workshops actively engaged the participants. Each person had time and opportunity to contribute. Although ADB had pre-identified key constraints and questions, the discussion was open-ended and evolved in response to participants' interests. Perhaps if ADB had engaged stakeholders from the very start to help identify the major constraints and define the strategy, participation could have been deeper and more meaningful, with ADB's experience simply one point of reference complementing those brought by the stakeholders, rather than the starting point for discussions. However, by taking time to fully explain the proposal and inviting critique of the draft strategy, ADB demonstrated the sincerity of the SME development effort and won significant participant "buy-in," thereby strengthening the potential of the initiative to succeed. As a consequence of holding subregional and then provincial workshops, participants gained much deeper knowledge about the constraints in their areas and were able to contribute more constructive and feasible recommendations for the final project design. The program was stronger, more cost effective, and more likely to produce significant impact on poverty. The experience increased the probability that participatory approaches will be used in designing programs and projects in the future.

### ***The Philippines MTPDP and the Country Strategy and Program (CSP) 2005-2007***

The Government's development agenda centers on the Medium-Term Philippines Development Plan (MTPDP), prepared every six years to coincide with the term of the incoming administration. Previous plans had provided sound conceptual frameworks for the

Government's development strategies; however, they did not always effectively set priorities. The MTPDP for 2005–2010 establishes a new paradigm for development planning. Departing from a sector-based approach, it focuses on outcomes, and all agency activities (including projects) are prioritized against their potential contribution to outcomes, regardless of sector. The process for developing the MTPDP is highly participatory, including an iterative process from local planning through the provincial plans, as well as national line agency priorities. As a responsible stakeholder, the challenge for ADB was to develop a CSP that was not only in alignment with the MTPDP, but that also served as input to the Government's own planning process.

A high value participatory process was crucial for arriving at a quality CSP. The preparation entailed extensive and intensive dialogue with a wide range of stakeholders: representatives of national and local governments, Congressional leaders and committee chairpersons; non-government organizations and civil society; academic institutions; private sector associations and chambers of commerce; beneficiary communities; and other official development partners, including multilateral and bilateral agencies. Workshops were held with stakeholders to validate the diagnosis and conclusions of the background thematic assessments. A parallel review by ADB of its governance and anti-corruption policies provided additional opportunity for stakeholder feedback from a country-specific workshop. Several development partners, including World Bank and bilaterals, were preparing revised strategies on similar timetables, allowing synchronized efforts in several areas, including assessment of the fiscal consolidation program, the Government's planning process, decentralization and forging partnerships with selected LGUs, and the results-based framework. Dialogue with Government counterparts covered technical-level meetings, as well as policy discussions with the oversight departments to obtain feedback and guidance on the proposed strategy.

The CSP takes into account lessons from the partnership experience, covering upstream strategy formulation and programming, and downstream portfolio management and project implementation. It is informed by ADB's assistance assessments, the intensive portfolio work of the past years, and economic and sector work. The CSP has been informed by five comprehensive thematic assessments (i.e., poverty, governance and institutional capacity, private sector, gender, and environment, and a joint study on the investment climate conducted with the World Bank), which were undertaken and validated through participatory consultations.

As emphasized in the CSP document, ADB will strengthen existing, and forge new, partnerships with selected GOCCs, GFIs, LGUs, and CSOs. The objectives are to enhance autonomy and resource mobilization of GOCCs and LGUs, improve financial intermediation of GFIs, and involve a broader range of stakeholders in ADB's partnership with the Philippines through engagement with civil society. Greater engagement with LGUs will be based on their commitment to sound planning and public resource management, ability to borrow and service debt, and willingness to improve services and the local investment climate, including local public-private partnerships. For example, ADB has established new partnerships with the (i) Supreme Court, to improve governance through support for increased judicial autonomy and accountability (ii) Office of the Ombudsman to strengthen and carry forward anti-corruption initiatives and the (iii) Bangsa Moro Development Authority and other civil society groups to support the peace and development process in Mindanao.

## E. Conclusion

Participation works at the project, program and strategic level. An inclusive and participatory planning process will produce a national plan that addresses the perceived needs of the citizenry and have strong ownership by all stakeholders in the country. Plans developed through these approaches will have resilience and integrity over the medium term. A widely accepted national plan will help mobilize foreign and domestic resources, both human and material, from the private sector, NGOs, local governments and communities. The integrity of the planning process will allow development partners to “buy-in” to the national plans, thus reducing the transaction costs of development assistance without the need for donors to develop their own plans and strategies for the country.

Participatory methods can be used by Government planners and development institutions for data collection, consultation, collaboration, joint decision making, or for empowerment through shared control. The methods can be employed at different stages, from initial conceptualization through implementation, monitoring and evaluation. Frequently, a single initiative involves various groups and organizations in several levels of public participation interacting with government agencies and development partners.

Participatory information-gathering exercises are useful for identifying the perspectives of affected citizens and for supplementing quantitative and other qualitative (nonparticipatory) data. Yet, they are usually extractive and the subjects of inquiry do not gain a sense of ownership of the project or research. Consultation processes in which themes or problems and proposed solutions are predetermined by outsiders are similarly unlikely to generate commitment. Therefore, consultation per se, should be understood as a limited modality for engaging stakeholders. Collaborative processes invite stakeholders to become partners in the decision-making process so that citizens, constituents, and institutional stakeholders develop a sense of ownership which enhances the likelihood of attaining effective and sustainable results. Finally, shared control or empowerment allows affected stakeholders to be actors in their own development, with Government and development partners helping communities plan together and build local networks.

In summary, the theme of this conference is towards integrating the PRSP processes and procedures into the national planning paradigm. One of those processes is ‘participation’, but effective participation requires action. Too often, the processes of participation are referred to in the passive sense with, perhaps, the three most overused terms being: (i) “broad-based participation”, (ii) “wide consultation”, and (iii) “providing an opportunity for all stakeholders to express their views.” However, it is not enough to gather participants, advise them what you are planning and allow them to speak. Participation requires action and you must be prepared to act as well. Therefore, I would counter with three “action” words as you integrate participatory processes into national planning:

- **Listen** to what the stakeholders have to say;
- **Engage** them in planning their future, including shared responsibilities;
- **Respond** appropriately; for as citizens they deserve a response, even if the answer is no (often the case when Government officials have to balance the greater public good against parochial interests).

### **Top ten outstanding local government programs**

#### **Joint Systems Improvement in Education Project**

##### **Province of Bulacan**

BOOKS and school buildings alone do not make a learned child. Bulacan learned this the hard way when results of the National Education Achievement Test (NEAT) given to public elementary school students came back with horrendous results. In 2000, a typical student from Bulacan showed a report card that would make his mother weep: a rating of 39.40% in Math and a slightly better 40.23% in English. The national averages were hardly any better at 50% and 52% but with this dismal performance, Bulakeño students were already scraping the bottom of the pan.

#### **Program on Gender and Development of Capoocan**

##### **Capoocan Leyte**

YOU'D know you have reached the municipality of Capoocan in Southern Leyte if you see giant billboards placed strategically along the National Highway, proudly proclaiming the place as a zone where the rights of women and children are fiercely protected. The situation now in Capoocan is a far cry from four years ago. Ninety percent of the population of the fourth-class municipality was poor, and women were the most vulnerable to abuse—both within and outside their own homes.

#### **Harnessing Synergy in Integrated Population,**

##### **Health & Environment Programming**

##### **Concepcion Iloilo**

IN the town of Concepcion, people think twice about the matter of conception. For the last five years, family planning has been serious business in this coastal town of 34,000 people. Managing population growth has been key to its survival. After all, what determines quality of life is how well a community feeds its population. The trouble Concepcion faced five years ago can be summed up in a simple equation: too many people, not enough resources, a depleted environment and shrinking income. On March 15, 2000, Dr. Raul N. Baniyas, the town mayor, launched an all-encompassing program that sounded all too ambitious.

#### **Coastal Resource Management Program**

##### **Dauin, Oriental Negros**

WILL you entrust the protection of the environment to a mining engineer? Fishermen and farmers in the small town of Dauin, Negros Oriental bravely did, and that decision secured for them a stable future. The mining engineer happened to be the town mayor, Rodrigo A. Alalano, who did not sell them out to mining concessionaires. Instead, the Mayor revived a Coastal Resource Management (CRM) program that his predecessor had started.

#### **Promoting Child Rights**

##### **Maitum, Sarangani**

GEORGE Yabes has waited a lifetime for a child. But what fate could not give him, destiny would. Fate is what you wait for; destiny is what you make. The Mayor of Maitum town in Sarangani province was destined to be "father" to hundreds of children grateful for his caring protection. In his town, Mayor Yabes makes sure babies are born healthy; mothers and kids get medical attention; children of school age learn, get time to play, and express their ideas. In his town, children are shielded from harm and abuse.

#### **The Bicycle--friendly City**

##### **Marikina City**

IN Marikina City, a fifth of the workforce will roll on two wheels and shear sweat power soon. That's because up to 20% of Marikina City residents will be able to ride a bicycle to work when "The Bicycle-friendly City" program of Marikina is completed in 2006. Thanks to a novel idea thought up by the city government, which has introduced a cycling revolution of sorts since 1999 "Cycling is our answer to the soaring gas prices," said Mayor Ma. Lourdes C. Fernando. "Bicycles are our provider of affordable mobility." Aside from lower transport cost over short distances, cycling also reduces vehicle gas emissions thereby leading to better health.

#### **Aquamarine Development and Protection Program**

##### **Misamis Occidental**

NATURE gifted Misamis Occidental with 162 kilometers of coastline dotted with shoals and reefs. A huge part of the population calls this coastline home, and heavily depends on the bounty of its waters. Unbridled fishing coupled with the use of dynamite, however, has threatened the waters by the very people who rely on it for survival. These led to even lesser yield, trapping the fishermen in a vicious cycle that threatened to destroy the waters while still mired in poverty.

### **Gulayan at Palaisdaan Alay sa Kabataan (GPAK)**

#### **Oriental Negros**

STRONG, intelligent and capable people usually have one thing in common: good nutrition at an early age. Oriental Negros Governor George P. Arnaiz realized this early and conceived a program in 2002 dubbed GPAK, or Gulayan at Palaisdaan Alay sa Kabataan. The concept was simple: Children were given garden tools, fertilizers, and vegetable seedlings to be planted on unused lots in their schools. Ponds were also built so they can tend tilapia fingerlings. The harvests provide the children and their families the required vitamin and protein daily requirements.

### **Molave Youth Home**

#### **Quezon City**

THERE is still such thing as a free lunch and in Quezon City, this courtesy is extended to minors who had a run-in with the law. The local government of Quezon City, however, is not doing this out of charity. The Molave Youth Home, where accommodations are free, is the city's alternative to throwing minors in cramped jail cells together with hardened criminals. "Youth offenders need to be treated with love," said Mayor Feliciano Belmonte, Jr. "They should be treated differently from criminals."

### **Tuguegarao Agricultural and Fishery Modernization Program**

#### **Tuguegarao City, Cagayan**

OF the nearly 11,000 households in Tuguegarao, 6,132 were dependent on farming and fishing for survival. Many were impoverished, heavily beholden to traders or landlords for various basic needs—from seedlings to school tuition. Due to lack of access to new farming techniques and to better facilities, the annual harvest was on a steady decline along with the income of the farmers. The result was a Tuguegarao highly dependent on its neighboring towns for food and other produce. The Tuguegarao City Agricultural and Fishery Modernization Program was developed in 2000 to address the worsening condition in agriculture. The vision was to achieve an improved quality of life for the farming and fishing households.