

SKILLS ENHANCEMENT & TEAM BUILDING



Consultations with Civil Society: A Sourcebook

Working Document

CONSULTATIONS WITH CIVIL SOCIETY

A Sourcebook

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[Guidance for the project was provided by William Reuben and Najma Siddiqi]

Consultations with Civil Society: A Sourcebook

Background Note

The Sourcebook builds upon the “Guidelines for Consultations with Civil Society” produced by the NGO/CS Unit in 1999. It is intended as a practical guide to organizing consultations. The “Guidelines” established the themes to be addressed, the Sourcebook expands on these points in greater detail, adding background information and illustrative examples.

Feedback on the Guidelines provided by Task Managers and other operational staff highlighted the need for a more detailed discussion and illustrative examples to facilitate practical application of the Guidelines. The preparation of a Sourcebook was discussed and agreed upon during the process of finalizing the Guidelines.

The first steps in developing the Sourcebook were identifying examples of consultations. Examples were taken from the recent bi-annual reports on the Bank’s work with civil society organizations. Published records and documentation of consultations were also reviewed for examples of good practices and the impact of consultations on projects and/or policy development and implementation. In addition, a few examples of consultation were taken from regional development banks, bilateral agencies, and other international development organizations.

Twenty (20) civil society / social development specialists working in World Bank country offices were contacted and fifteen (15) interviewed. Three representatives of other organizations were also interviewed. A set of questions was sent in advance with a description of the proposed sourcebook. Interviewees were asked about consultation practices and for examples where they could describe the results and impact of the consultation.

Based on the input from these interviews, and the written material available, cases were recorded and lessons drawn for inclusion in the sourcebook. Existing World Bank publications on the subject were also reviewed carefully to ensure that

lessons recorded match with experience from the field.

The first draft of the Sourcebook was completed in April 2000. Using material from this draft and selecting the CAS examples, a more focused version was prepared as a contribution for the e-CAS later on in the calendar year.

Each case example recorded here has since been cross-checked with the person/s interviewed for the particular case. Feedback has also been received and incorporated from NGO/CS and Development Communications / EXT team.

The Sourcebook is designed as an interactive document, hyperlinked throughout the text. It is intended to be used as a reference document that can be consulted for information on specific points, but it can also be browsed for a more general overview. The intended audience is Bank staff seeking information and ‘know-how’ on the use and organization of consultations for enhanced development effectiveness.

This is a printed draft version of the Sourcebook. This document will be converted into an electronic sourcebook with hyperlinks.

There are two main entry points for this document. The first is the Guidelines which is hyperlinked into the body of the text. By clicking on highlighted terms in the Guidelines, the links connect the user to a discussion of those specific items in the Sourcebook. From there on, the user can follow other links to specific case examples and to other parts of the Sourcebook. The second entry point is the table of contents of the document itself. There are several highlighted words and phrases that, when clicked, take the user directly to the identified section in the discussion. “Cases and Examples” form a separate section in the Sourcebook, which can also be browsed using the tables within this section. Throughout the document, illustrative cases are linked to a discussion of issues in the text.

For example, the user can choose to click on the word “venue” in the Guidelines and read some general observation on selecting a venue for consultations. The user can then click to a case that discusses venue choices in more detail. Alternatively, the discussion of venue can follow from reading the section on “organizing a consultation”. This section places venue choice in the context of other organizational considerations, such as information flow and timing.

The Sourcebook also contains an overview of how consultations have been used by Bank staff; a section on definitions of civil society organizations; and a final section including a bibliography and a brief note on the emerging uses of information technology for consultations.

As it stands, this Sourcebook can be used through the existing hyperlinks without being online. The document could be placed online, which would allow the web-links in the document to be enabled to material on the World Bank external website and elsewhere on the web. It could also be placed on a CD-ROM with other publications of the NGO-CS Unit, but this would limit the ability to update the Sourcebook.

The structure of the Sourcebook allows it to be updated and expanded through additional links. One area that could be expanded is a discussion of consultations in PRSP. Another improvement would be adding a discussion of the limits of consultation. Finally, while the document has hyperlinks throughout, these links could be made more systematic and each case example given several links throughout the text. Additional cases could also be added that illustrate other issues not yet addressed in the current version.

The current version of the Sourcebook has been prepared by Paula Lytle, Consultant NGO/CS Unit, and is being presented as a working document. Feedback on the first draft was received from several sources and incorporated as far as possible. However, feedback from Task Teams and other operational staff who actually use the material in the course of their work will be invaluable. Over the next six to eight months it is expected that this document will be shared widely. Active use and feedback from the field will help to further improve the Sourcebook in its next iteration.

Contributions made by World Bank’s country office staff, and feedback provided by Paul Mitchell, and Carolyn Reynolds (EXT) are gratefully acknowledged. These contributions have been extremely useful to improve the quality and specificity of the document. In addition, we have received useful comments from other members of the civil society thematic team. Contributors from country offices and external agencies are the key resource people for future refinement of this document. The document would not have been possible without their involvement and support.

Direction and supervision for this project was provided by William Reuben, Manager NGO and Civil Society Unit. Najma Siddiqi, Senior Social Development and Learning Specialist, provided overall guidance for the project, helped reorganize the material, and made substance edits. Editorial support for the final draft was provided by Barbara Mascarenas, Training Consultant, NGO and Civil Society Unit. Barbara is also developing a training module based on this document, for staff involved in organizing consultations.

NGO and Civil Society Unit, Social Development Department

T A B L E O F C O N T E N T S

- I. **Consultation Guidelines**
- II. **Overview of World Bank Consultations with Civil Society**
- III. **Designing a Consultation**
 - Developing a Profile of Civil Society**
 - Opportunities and Constraints**
 - Organizing a Consultation**
 - Consultative Process and After Consultations**
- IV. **Cases and Examples**
- V. **Definitions and Typologies**
- VI. **Resources/Uses of Information Technology**
 - Bibliography**

I. Consultations with Civil Society Organizations (CSOs): General Guidelines for World Bank Staff ¹

Since the early 1990s much progress has been made in consulting with civil society organizations (CSOs) in World Bank financed projects and policy work. Such consultations have generally been recognized to have improved the quality of policy-making, positively influenced the direction of country programs, strengthened national ownership of key reforms, and contributed to the promotion of public-sector transparency and accountability. CSOs can provide essential "local knowledge" in the policy process and give voice to the opinions and experiences of the poor. These contributions have been further recognized in the Comprehensive Development Framework (CDF) and the Poverty Reduction Strategies (PRS) approach which place partnerships between governments, civil society and business at the center of development planning. CSOs are also playing an increasingly important role in influencing Bank strategy and policy, and efforts are underway to incorporate CSOs into global policy making processes.

However, civil society consultation is a complex process which the Bank and client governments must handle with sensitivity. Consultations that are poorly planned can increase "consultation fatigue" and lead to disappointment on all sides. With a modest investment of time and resources such problems can be avoided. The NGO/Civil Society Unit has prepared the Civil Society Consultation Guidelines to provide assistance to World Bank staff who organize these consultations. The guidelines were prepared in response to requests from task managers and others for specific guidance and support in facilitating consultations with CSOs on projects, and policy-based and investment lending. Although neither organizing consultations nor following these guidelines is mandatory, it was considered useful to take this step forward and prepare "The Civil Society Consultation Sourcebook" that reflects the advice and lessons distilled from experience, and

builds upon "the Guidelines" with additional materials, tools and techniques.

The role played by Bank staff in these consultations varies from one situation to another. In some instances, the Bank may need to act as a facilitator, convening the relevant actors, assisting governments and CSOs in the consultation process, and ensuring that relevant input from CSOs is adequately incorporated in follow up actions. In others, it may be appropriate to participate in the dialogue as an interlocutor or alongside other stakeholders. In most of these situations, the Bank should, ideally, remain in the background while supporting a constructive dialogue among governments, business and civil society.

The key to effective civil society consultation lies in:

- giving CSOs ownership by involving their representatives in the design of the consultation process
- being clear from the outset what is and is not an offer, to avoid unrealistic expectations, and laying out clear roles and expectations
- demonstrating respect for those consulted through careful follow-up and feedback
- using appropriate selection procedures to ensure that all relevant interests are represented
- tailoring types of interactions to the knowledge and capability of different groups

Box 1 Elements of successful consultations with civil society

When consulting on World Bank policies, however, the staff takes an active role in convening and participating in the consultations.

1. Consultation Objectives

The primary objective of organizing consultations is to improve the quality of decisions by capturing the experience of specialized non-governmental organizations and other similar groups, tapping the knowl-

¹These guidelines have been prepared by the NGO and Civil Society Unit, based on an earlier paper by John Clark, revised by Michael Edwards with suggestions incorporated from several members of the Civil Society Thematic Team and the NGO Working Group on the World Bank. This document, in the form of an elaborated Sourcebook is by Paula Lytle, reviewed by William Reuben, and edited by Najma Siddiqi and Barbara Mascarenas.

²Additional guidance on engaging civil society can be found in the Poverty Reduction Strategy Sourcebook which has been prepared for governments developing participation strategies for civic engagement in the PRSP/process.

edge of CSOs that work at the community level, giving voice to the poor and the excluded by consulting with CSOs whose membership comprises such groups, and promoting sustainability for proposed reforms, projects, programs, and policies beyond any given government administration.

Secondary objectives of adopting a consultative approach may be: to appreciate the range and the variation in the needs of different population groups (e.g. gender, ethnic or geographical variations); to set the grounds for broad-based participation in the ensuing design and implementation of development interventions; and to assist governments in increasing transparency, public understanding and citizen involvement in development decision making.

The Bank's former General Counsel has explained that it is appropriate for the Bank (a) to advocate to member governments that they use participatory approaches in the selection, design, implementation and evaluation of development programs, on the grounds that this enhances development effectiveness; and (b) to advise governments to allow and foster a strong civil society that can participate in public affairs³.

2. Definitions, Classifications and Selection Criteria

There are many **definitions** of the term "civil society." Practitioners and scholars have emphasized various elements in these definitions. However, what is important about the civil society debate in the context of consultations, is not that we agree who is "in" and who is "out" in some abstract sense, but that we agree on a working definition - and classification - that helps us make appropriate decisions about who is best to involve in different situations and for different tasks. Civil society comprises a wide variety of private organizations that have a presence in public life expressing the interests and values of their members or others, based on cultural, economic, ethical, political or religious considerations. Civil society represents a broad arena containing a huge array of different interests, types of associations, and expressions of values, some of which will necessarily conflict with the others.

Against this background, civil society organizations

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

- *representation* (organizations that aggregate and present voices of groups of citizens)
- *technical expertise* (organizations that provide information and advice)
- *advocacy* (organizations that lobby on particular issues)
- *capacity-building* (organizations that provide support to other CSOs to strengthen their capacity to function and improve their capacity to mobilize resources)
- *service-delivery* (organizations that support the implementation of development projects or provide services directly to the public)
- *social functions* (organizations that foster collective recreational and other social activities)

Many CSOs serve more than one function. Even so, it is essential to specify their main function(s) so as to match organizations with the purpose of a consultation. Once such a classification has been made, the next step is to select a number of CSOs to take part in the consultation. This is always a difficult and sensitive task.

The process of **selection** is best carried out by CSOs themselves, e.g., through their own umbrella or apex body (such as an NGO federation) or a national steering group. However, it is important to monitor who is left out when self-selection occurs, recognize this as a gap, and make appropriate arrangements to fill this gap (e.g., separate consultations may be organized for indigenous people's groups if these are left out). In cases where representative groups do not exist for selected sections of society, or they are not geared up for this purpose, the Bank may need to promote efforts to develop their capacity to participate in such consultations.

The Bank can reduce the dangers of bias by (a) taking the advice of staff who are most familiar with civil society in the country (e.g. Resident Mission

³"Prohibition of Political Activities in the Bank's Work", legal opinion to the Bank's Board, July 12 1995

⁴"NGOs and Civil Society: Definitions and Classification,, Note from the NGO Unit to CODE, 1996; "The Bank's Relations with NGOs: Issues and Directions", NGO Unit 1998; James D. Wolfensohn, "A Proposal for a New World Bank Development Strategy and a Postscript on International Financial Architecture," January 1st 1999.

Function of CSOs	Examples of CSOs in this category
Representation	Membership organizations, e.g., labor unions, women's associations, peasant organizations. NGO federations and networks Faith-based organizations Organizations of indigenous people
Technical Expertise	Professional and business associations Think-tanks and research groups
Advocacy	Trade Unions Environmental NGOs Human Rights groups News and media groups
Capacity-Building	Foundations (local and international) NGO support organizations Training organizations
Service-Delivery	Operational NGOs (local and international) Credit and mutual aid societies Informal, grassroots and community-based associations
Social Functions	Sports clubs Cultural associations

Table 1 Functions of Civil Society Organizations

NGO/CS, EXT, or Social Development specialists); (b) requesting the advice of credible leaders in civil society; (c) ensuring that participants represent the full range of groups and interests that exist (by gender, ethnic origin, region and social class); and (d) using an objective selection criteria agreed upon with key stakeholders, including the organization's record of performance and credibility among its peers. For example, if the organization claims to represent the poor it is important to establish that they are genuinely close to poor people's experiences and views, and that they are accountable to those they represent.

3. Potential Problems, and How to Overcome Them

Problems or disappointments over a consultation tend to fall into one of four categories:

- The policy environment within the country may

not be conducive to participation of civil society; it may be highly polarized or characterized by an atmosphere of mutual mistrust.

- The organizers may plan inadequately, in a rushed and non-transparent manner, or make only token efforts to include representative groups, resulting in disagreements on the selection and the consultation process itself.
- CSOs may have unrealistic expectations or expectations that do not match the objectives of the organizers. Bank staff may not be willing to take the view of CSOs seriously.
- Documents or knowledge shared in preparation or following the consultation may be publicized by one stakeholder without permission of other stakeholders, breaking confidence.

Additional challenges faced in the organization of a consultation include:

- Conflicts and antagonisms that are manifested

during the consultation process between governments and CSOs or within different groups of CSOs themselves.

- Low participation of some groups because of lack of financial capacity on their part to participate.
- Lack of trust among stakeholders.
- Lack of consensus or unity among CSOs, affecting their ability to engage constructively in the dialogue.

These complications can be mitigated or avoided by careful planning, using the following principles:

- **Clarify the scope and objectives at the beginning.** The scope and purpose of the consultation must be clearly stated and agreed upon at the outset; otherwise, CSO expectations will be too high, and participants will become cynical. The 1998 Board paper on NGOs states that, "The principle is to conduct open-minded consultations, not to enter into negotiations" between parties. In other words, it will be appropriate, in this context, to spell out whether:
 - Everyone's views will be incorporated
 - Participants will have a chance to comment on future drafts or at other occasions
 - The final product with the participants will be shared with participants.
- **Prepare to listen and be influenced.** Consultations can be and should be powerful and serious exercises; they do not always lead to consensus. It is critically important that they be balanced and well facilitated; otherwise the Bank will be accused of window-dressing, and both CSO leaders and Bank management will question whether the time and resources were well-spent.
- **Aim for ownership of all key stakeholders.** Where consultations concern country / national policy issues, they can only be effective if the government is as fully engaged in the process as the other stakeholders.
- **Do not oversell.** If a single meeting with a limited number of organizations is being organized, do not project it as full-fledged consultations or imply in subsequent statements that "civil society was consulted" or that a "participatory process was used." Consultations provide input to decision-making, but do not guarantee influence. An ongoing process of consultation can build civil society capacity for participation⁵, but this should

not be confused with shared control over either the process or the outcomes.

4. Planning the Consultation

When planning a consultation, the following points should be borne in mind:

- Ensure adequate **government** awareness of and commitment to the process, and clarify the extent of government involvement. Care should be taken to ensure that the consultations supplement and build upon, not duplicate or undermine, existing mechanisms for deliberation at the country level.
- Ensure that adequate resources and time are allocated for the consultation process, including **follow up actions**. This includes ensuring that staff responsible for planning have made provisions for adequate time in their work-plans; that the necessary physical presence, local skills and knowledge exist (in particular, the Civil Society Specialists and/or External Affairs Officers and Social Development Specialists in the Country Offices) and that the resources required, including skilled external facilitators where needed, have been identified in advance. The budget should

What can be done if the policy environment is not conducive to civil society involvement?

In cases where civil society consultation is mistrusted or opposed, the Bank must be sensitive, but can still advise and use its influence (especially alongside other donors) to encourage improvements in the policy environment through considered discussions and knowledge sharing with government on the benefits of broader participation. In addition, the Bank can consult with selected civil society leaders to improve its understanding of the local situation and the range of local opinion, leading to more informed decisions. It may also be possible to reach an agreement with the government to engage with the required expertise CSOs as consultants to an adjustment or research team.

Box 2 Working in a policy environment not conducive to civil society involvement

⁵In the World Bank Participation Sourcebook "participation" is defined as "a process through which stakeholders influence and share control over development initiatives, decisions and resources which affect them."

Consultations around adjustment operations

Adjustment lending forms an increasingly important part of the Bank's portfolio, and presents special challenges in organizing civil society involvement. The time available for consultation is often tightly-constrained, and there may be more restrictions on the disclosure of information. However, it is still possible to involve CSOs (especially if there are pre-existing umbrella or apex bodies that can be brought into the consultations quickly) and representatives of groups with specific expertise and interest who might perceive themselves to be winners or losers in the process. Prior agreement of government on levels of information disclosure can be obtained in order to go forward with a consultation.

Bank staff have already involved CSOs in adjustment operations, in the following ways: preparing summaries of information to be disclosed to the public after signing an agreement on confidentiality; and discussing objectives, strategies, rationale, social impact and mitigation measures even in situations where actual documents were difficult to disclose.

Box 3 Consultations and adjustment lending

include adequate provision for travel and expenses for CSO participants, especially if these consultations are limited to the capital or big cities only. Remember that the pace and timing of civil society involvement may differ from that of government and the private sector.

- Ensure that adequate **information** is provided well in advance of the consultations, and in a language and style that is appropriate for the stakeholders concerned. This can mean simplification of texts, avoidance of jargon, and translation into local languages. If sharing the whole document is regarded too sensitive or problematic in other ways, a summary note can be prepared and the consultation should start with a verbal briefing. Staff should be as open and transparent in their interactions as possible, and provide people with enough information to participate in an informed manner, without jeopardizing negotiations with government.

5. Organizing Consultation Events

When organizing consultation events, organizers should:

- Give adequate **notice** to participants, and make changes in schedule of meetings only if unavoidable. An impression of tokenism is conveyed when meetings are organized in a rushed manner or changed at a few days' notice.
- Find suitable **venues**. This may mean holding a series of consultations at different locations on a subject where it is important to reach a diversity of groups throughout the country. It also means choosing venues which are easily accessible to participants (thinking through issues of security clearance and convenience), and finding space where they can express their views freely. Ideally, beyond

the capital city.

- Use a **facilitator**. Meetings where opinions are deeply and passionately divided are usually much more productive when an external, professional facilitator is used, who can be seen as neutral by all participants.
- Talk to the poor and excluded groups. Complement the main set of consultations with some direct discussions with the poor and the excluded, e.g. through focus groups and participatory poverty assessments. (**PPAs**)
- Where possible, go beyond dialogue to focus on future actions. Try to ensure that the dialogue identifies areas for future action, either jointly or in parallel. Make sure that commitments are summarized at the end of the meeting.

6. Feedback and Follow-up

It is critical to provide full and candid feedback after a consultation meeting, or at the end of the overall process. At a minimum this feedback should convey:

- A written summary of what the Bank heard during the consultation (inviting corrections and omissions). This should be sent to participants shortly after the consultation, and they should be given time to comment on it.
- A list of items or points made that the Bank and / or government accepts and those that are not incorporated in the final documents - giving the reason for these decisions.
- An account of any future steps or actions that the Bank is planning to take.
- Regular progress reports on the process, which will help to recognize the time and experience contributed by the CSOs.

Civil society consultations around the **Philippines CAS**: an example of good practice

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

Box 4 CAS and Civil Society Consultations: the Philippines

7. Summary of tips for effective consultations

- Plan well, and make sure adequate time and resources are available
- Work in partnership with government or keep the government fully apprised of the process
- Give CSO umbrella organizations a clear role in designing the process and in CSO selection
- Make sure the ground-rules are clear and acceptable in advance, that CSO expectations are not inflated, and that CSO views are considered seriously
- Ensure an appropriate diversity of CSOs
- Use Resident Mission civil society/ social development specialists and other sources of local knowledge
- Make sure adequate information is available in advance, in the appropriate language and style
- "Receive as well as transmit:" listen carefully and note CSO experience and opinions
- Use a professional facilitator
- Focus on future actions where possible
- Send participants a note of the meetings shortly afterwards, inviting corrections and omissions
- Give further feedback on which points have been accepted and which not - and why
- Follow-up after the process concludes, especially if it is possible to offer opportunities for collaboration
- Maximize transparency: make available as much documentation as possible
- Encourage "dialogue" - engage governments to the fullest extent possible, and encourage a positive environment for government - civil society partnership.

Box 5 Tips for effective consultations

II. Overview of World Bank Consultations with Civil Society

Civil society input to World Bank projects and policy work in the form of consultations has increased in the past decade. Consultations range from local level meetings aimed at getting feedback or reaching consensus on a specific project to national-level fora on development policy to global and regional reviews. The Bank has facilitated consultations between civil society organizations (CSOs) and borrower governments, acting as a convener or facilitator. It has also engaged CSOs directly in consultation on matters of Bank policy. Growing experience with consultations has also yielded practical advice on how to make the process effective.

Consultations with civil society have reshaped projects and helped to define priorities. On the project level, participation by CSOs has extended from input into design and analysis of projects to implementation and monitoring. On the policy level, the potential contribution of CSOs as development actors has extended to the formulation, implementation, monitoring and evaluation of national strategies.

Consultation involves a two-way flow of information. In an ideal consultative process, the Bank is not only gathering input, but sharing information as well. Although consultation does not grant stakeholders a high degree of influence, it can lay the groundwork for civic engagement. The following discussion is not intended as a systematic review of all the Bank's consultations with civil society. Rather, it is a brief overview of the different ways in which consultation has been used for communication, quality enhancement, and consensus building.

Consultations on Country Policy

Country Assistance Strategies (CAS)

Inclusion of civil society input into the formulation of the Country Assistance Strategy (CAS) is a relatively recent phenomenon. The CAS document contains a description of the country's priorities and the composition of assistance required, and since 1994, is prepared with the assistance of the government. Beginning 1996, civil society has been increasingly consulted on the contents of the CAS.

Over the past two years, experience with participatory CAS has grown. Of the 25 CAS documents prepared in FY1999, CSOs were involved in the preparation of 22. In FY 2000, all new CAS documents included a consultation with CSOs. Consultations with civil society for the CAS have been held in diverse country contexts. Some consultations have been quite extensive, involving consultations across the country including the poor and the excluded. Various participatory techniques have been employed in assessing developmental priorities, e.g. the [CAS in Colombia](#) used innovative information technology in workshops held with a range of CSOs.

The expected two-way flow of information has not always been achieved. Some CAS documents which were prepared with civil society input were not released to the public, a practice which led to criticism from CSOs who had participated in these consultations. In July 1998, the Bank's Board of Executive Directors directed Bank staff to publicly disclose CAS reports at the request of governments. Bank staff are also to prepare a CAS public information notice which will summarize the main issues of the development agenda and Bank strategy. The release of this information, however, is still dependent on an agreement with the concerned government. At the same time, IDA CASs are now presumed to be publicly disclosed upon Board approval unless there is an objection. And although that is not the same for IBRD, most countries are now disclosing their CAS documents.

LINKS- [Click here for CAS examples in Cases](#)

[Click here for a table comparing participatory CAS in LAC- CAS able](#)

[Click here for Additional Technical Resources](#) which includes links to reviews of civil society in CAS formulation.

Comprehensive Development Framework (CDF)

In 1999, the Comprehensive Development Framework (CDF) pilot phase was launched in thirteen self-selected countries/territories⁶. As a process for reaching consensus on development priorities and poverty reduction, the CDF is supposed to be country-owned; i.e., the goals and the phasing, timing, and sequencing of the country's development programs are to be determined by the country itself. Governments participating in the CDF pilot agreed to engage civil society and private sector groups in the process of setting long-term goals and objectives.

Engaging CSOs in consultation has proceeded in

⁶Bolivia, Cote d'Ivoire, Dominican Republic, Ethiopia, Eritrea, Ghana, Jordan, Kyrgyz Republic, Morocco, Romania, Uganda, Vietnam, and West Bank and Gaza

various phases in the pilot countries. The Kyrgyz Republic has established working groups with civil society's participation to coordinate the consultations. Some other countries have organized workshops or built on existing networks for such consultations. As with CAS consultations, there is no uniform CDF consultation process. Country teams and government agencies have selected processes that they thought best suited their context, capacity and priorities.

Poverty Reduction Strategy Papers (PRSP)

Like the CDF, the Poverty Reduction Strategy Papers (PRSP) are envisaged as country-driven and are to be developed with the participation of civil society and the private / business sector. The participatory process envisaged for PRSPs is extensive, involving civil society in the diagnosis of poverty, the choice of public action and the monitoring of poverty reduction outcomes. Consultation plays a substantial role in this process. Although there is no blueprint for a PRSP consultation, certain elements are likely to be common. Among these elements, an outline of the strategy for participation will identify the steps a country plans to take to ensure adequate participation of key stakeholders including government and non-government groups; private / business sector; parliamentarians and other elected representatives. A CS consultation strategy for PRSP may describe: the format, frequency, and location of consultations; a summary of the main issues raised and the views of participants; an account of the impact of these consultations on the design of the strategy; and a discussion of the role of civil society in the implementation, monitoring and evaluation of poverty reduction strategies.

In-Country Consultation Groups

Consultative Group meetings (CGs) are aid coordination meetings involving senior officials from an aid-receiving country and representatives from multilateral and bilateral aid agencies. These meetings were often co-chaired by the World Bank and held in Paris or Brussels. Moving many of these meetings to within the country has allowed for a greater opportunity for the participation of civil society in the discussions. Recent in-country CGs (for instance, Uganda, 1998; Côte d' Ivoire, 1998) and a mid-term CG in Vietnam (1999), have all included some participation by civil society organizations.

CSOs are also involved in various reviews of Bank procedures and policies at the country level. While

many of these occur independently of the Bank, some have been organized by Bank staff as inputs to the Bank's own consultation processes.

Structural Adjustment Participatory Review Initiative (SAPRI)

SAPRI was jointly launched by the World Bank and international NGOs in 1997. This initiative has involved governments, civil society, and the private / business sector in seven borrower countries (Bangladesh, Ecuador, Ghana, Hungary, Mali, Uganda, Zimbabwe) in debate, research, and assessment of structural adjustment policies. SAPRI is seen differently by the constituencies involved, and Zimbabwe is no longer part of the initiative. However, at the end of fiscal 1999, all SAPRI countries had held national fora organized by multi-stakeholder committees. Local NGOs in three other countries are conducting their own debates and research through their involvement in a global NGO network. This process is expected to culminate in a global forum in the year 2001. The SAPRI civil society networks have also served as an organizing foundation for other policy inputs. In addition to the cross-country SAPRI process, in-country consultations have been held on structural adjustment policy.

LINKS – Click here for a discussion of SAPRI networks in the [Ghana CDF](#)

Click here for an [illustration from Argentina](#) of information dissemination and feedback in a consultation on structural adjustment policy.

In India, five consultations were held on the Approach Paper for OD 4.20. The consultation in Orissa was organized by a non-governmental rural funding agency which has supported over 300 NGOs/CBOs. In addition to specific comments on the issues and framework, participants in the meeting expressed strong opinions that the Bank should provide feedback and update participants on further developments in the debate over the revision. Minutes from the consultations were distributed to participants, and the process by which regional consultations fed into the national and global consultations was outlined. Participants were positive about the process even when their specific comments were not reflected in the later versions.

Source: Interview with Ellen Schaengold

Box 6 Operational Directive on Indigenous People

Global Consultations

Global consultations have been organized as national processes repeated in different countries and as regional consultations which bring together national representatives in a joint forum. Both of these methods can serve as inputs to the global process. In addition, the expanding use of information technology has also facilitated a form of consultative process in which materials are posted on the Bank's external website and comments are invited.

This has its own advantages and disadvantages. Information technology (IT) limits outreach to those groups who have access to IT. This tool should be used in consultations with other tools that are easier to access.

Operational Directive on Indigenous People (OD4.20)

The consultation process for the revision of the Operational Directive on Indigenous Peoples (OD 4.20) linked national / in-country consultations to the global process. An Approach Paper (outlining a strategy and recommendations for revision) was developed for national consultations and translated into several languages.

The national consultations were organized with small groups of representatives of indigenous people's associations, NGOs, government representatives, academics, and experts on the subject. Members of the Bank's Working Group on Indigenous People also attended the 1998 Meeting of the UN Working Group on Indigenous Populations, and held briefing sessions for bilateral and multilateral agency personnel, indigenous organizations, NGOs, and subject specialists in attendance.

Information on the review process was posted on two electronic networks to obtain feedback from the subscribers on the Approach Paper: the Society for Applied Anthropology's Development Policy Kiosk and the Common Property Resource Management Network (CPRNET).

Forestry Policy Implementation Review and Strategy (FPIRS)

The Forest Policy Implementation Review and Strategy (FPIRS) aimed to re-examine the Bank's lending and strategy in the forestry sector. Partnering with IUCN (International Union for Conservation of Nature), the Bank held nine regional consultations from February to April 2000. Participant lists (with contact information) for the regional consultations were posted on the Bank's external website, naming government officials, busi-

nesses, and CSOs expected to attend each session. Other information available included: documents being circulated for the meetings, background materials, papers prepared specifically for the review process, notes on meetings held and monthly updates on the process of the review. The web design encouraged and facilitated feedback by posting contact information of the organizers on each page and requesting comments on the materials. A preliminary synthesis report of the concurrent OED review on the forestry sector is among the documents available on the website in English, French, and Spanish.

Projects

Consultations with CSOs on proposed projects occur with increasing frequency, and many examples can be cited of such consultation influencing project design. In most instances, the basic framework is in place by the time a project is considered "prepared," and consultations are used to modify the framework and its contents. In some cases, however, key components of a project get revised as a result of the consultation process. In the [Peru Rural Roads](#) project, a preference for footpaths instead of roads in some areas was identified through consultation, resulting in substantial changes to the original project.

A consultation may be designed as a means for managing conflict prior to a project's inception, when some kind of controversy exists in the given situation. In the La Serna bridge project in [Argentina](#), a group opposing the construction of a bridge in Buenos Aires had voiced strong objections to the project, threatening to present their complaints to the Inspection Panel. The World Bank proposed to the municipality that they convene a public hearing, which was subsequently organized by an NGO. In other cases, consultations have been undertaken in response to failed implementation efforts or protests over an existing project. In the [Planaflo case in Brazil](#), the original project was redesigned following such consultation.

Assessments

As methods of gathering information from key stakeholders, assessments may incorporate participatory elements, preserve an external expert stance, or reflect a combination of the two. Both Environmental Assessments and Participatory Poverty Assessments have explicit consultative elements, in that the process of assessment is defined as a two-way flow of information. The objectives of the assessment are described to the stakeholders along with information on the project or diagnostic research envisaged. At the same time,

information, knowledge, opinions, and insights are expected from the stakeholders as specific inputs towards the findings of the assessments

Environmental Assessments (EA)

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

The impact of public consultations conducted as part of an EA has reshaped certain projects by identifying potentially negative social and environmental impacts not anticipated by the team. Elements of a waste management project in Grenada were changed

to protect an endangered species that would have been affected by a proposed landfill. A water management project in Brazil was modified to protect access of an artisan community to clay deposits.

Participatory Poverty Assessments (PPAs)

PPAs "use a systematic research process that directly involves the poor in defining the nature of poverty, with the objective of influencing policy." (Robb, 1999) Different tools may be used to facilitate this process, and the poor are participants in the analysis, rather than subjects from whom data is gathered. PPAs may be conducted in conjunction with household surveys, using the two to analyze various dimensions of poverty.

In some countries, NGOs have conducted research or have partnered with universities, consulting firms and government departments. As Robb notes, "In Argentina and Brazil the field work has been linked with the work of country NGOs and government line ministries. As a result, the potential now exists for moving from information sharing to continuous dialogue with various stakeholders, including those at the community level."

III. Designing the Consultation

Developing a Profile of Civil Society

Analysis is the first step in organizing a consultation. Developing a profile of civil society will identify key stakeholders for the Country Assistance Strategy (CAS) and civil society organizations to be included in the consultative process. An important resource is the civil society, external affairs or social development specialist (NGO/CS, EXT or SD Specialist) based in country offices. This member of the country team is expected to have a range of information, both formal and informal, regarding the activities of NGO/CSOs and their relationships and contact with the Bank and with government agencies. A profile of civil society may be developed utilizing stakeholder analyses or mapping tools and methodologies, social institutional, and capacity assessments. In many cases, the CS specialist has established a database of information. The NGO/ Civil Society Unit also maintains a database of NGO/CS across countries and regions. This database is built on a self-reporting basis and cannot be considered comprehensive. Geographical and sectoral searches are conducted upon request. In-country

In Hungary, the CS specialist developed a questionnaire to identify the activities of CSOs. The civil society sector has undergone rapid expansion over the past ten years. Organizing an NGO conference on priorities for interaction with the government contributed to the identification process.
Source: Interview with Tunde Buzetzky

Box 7 Identifying CSOs

databases (for selected countries with required technology are being set up and are expected to be updated regularly.

In the context of specific projects or previous consultations, there may have been some profiling of the NGO sector. These may consist of stakeholder analyses or mapping, social assessments or capacity assessments, but are generally limited to NGOs rather than other CSOs. In Mali in 1995, a project to support anti-hunger grassroots initiatives commissioned an NGO capacity assessment. This assessment identified the areas in which NGOs intervened and their relationship with other partners, including Community Based Organizations (CBOs). In certain contexts, the process of organizing for a specific consultation itself has included informing groups of the intention to consult, and through this process, gathering information about these and other groups that need to be included in the consultations.

The following process flow chart provides some guidance in preparing a country specific profile of civil society. The information required to prepare the profile can be obtained from:

- Bank NGO/ Civil Society Specialists
- External Affairs Officers
- researchers working on the NGO/CS sector, institutes or academic institutions in the country or the region
- civil society organizations or umbrella groups
- other donors or development agencies
- informal or published reports on the subject

The process chart given below also identifies some examples of how the questions might be answered. Clicking on the blue highlighted headings in the left column will provide a flow chart with guidance questions to help in responding to a particular topic. [NOTE: Sample answers in the right column illustrate a civil society profile for Argentina.]

Enabling Environment	Example : Argentina*
<p>1. Association</p> <ul style="list-style-type: none"> • restrictions on activities, incentives, and/or rights • monitoring/governing/ control mechanisms • registration requirements and location • flexibility/ multiplicity of registration options 	<p>CSOs register at the ministries in the relevant sector (e.g., Education, Labor) and with the Ministry of Justice. The Ministry of Justice grants legal permission to exist as CS organizations. Theoretically, there is follow-up of the activities of registered CSOs, but little monitoring actually takes place.</p>
<p>2. Resource Mobilization</p> <ul style="list-style-type: none"> • opportunities to mobilize resources • principal source of finances and support • continuous vs. ad hoc flow of funds • core vs. project support • reliance on external vs. self-generated resources • privileges / tax relief for donations and not-for-profit work • opportunities to build institutional capacity 	<p>The government is a principal source of funding. Many CSOs that provide services are funded by the fees which they receive for those services. Seven foundations of large enterprises (such as Citibank) have formed the Foundation Forum, which gives grants to CSOs. CSOs are exempt from the Value Added Tax, but there is no tax exemption for individual donations made to CSOs.</p>
<p>3. Communication and Access to Information</p> <ul style="list-style-type: none"> • costs of communication • restrictions • access to and timely availability of relevant information • language • importance of education for information access • means of communication and dissemination of information 	<p>There are no particular restrictions on communication specific to CSOs; i.e., the same restrictions apply as to citizens in general. The prevalent form of access to information is the media.</p>
<p>4. Institutionalized Rules of the Game and Mechanisms for Negotiation</p> <ul style="list-style-type: none"> • presence of existing mechanisms on which to build • functioning ways to express civic interests • round-tables, task forces, committees • special office for NGO/CS relations • mandated representation of CSOs on local councils and other such structures • formal and informal systems for government working together with NGO/CS 	<p>There is a National Center of Community Organizations located in the Ministry for Social Development. In Parliament, there is a special commission on NGOs.</p>

Table 2 Enabling Environments Based on Discussion Paper: Enabling Environments for Civil Society with Particular Attention to Poor People and Poverty Reduction Strategies by Alan Fowler, June, 2000.

* Based on an interview with Sandra Cesilini and on Mario Roitter et. al., "Argentina" in Salamon et. al., Global Civil Society: Dimensions of the Nonprofit Sector

Historical Perspective and Trends	
<p>1. Changes over time time-frame (when formed: by type in terms of organizational structure and mandate)</p> <ul style="list-style-type: none"> • rationale (why: by reasons, external factors, in response to what) • changes and transition in the CS (over time: by geographic spread, mandate, sectors, diversity of constituents) 	<p>Civil society organizations have a long tradition, beginning with colonial era social assistance organizations, and including many Catholic-church organizations. In the late 19th and early 20th century, mutual benefit organizations were formed. Many of these transformed into labor unions and social welfare institutions. CSOs established closer links to the state in the post-World War II period. Human rights organizations emerged during the military dictatorship of 1976-1983. With democratization in 1984, some human rights organization began working in other areas, e.g., nutritional rights of poor people.</p>
<p>2. Quality and Nature of Inter-relationships [confrontational or collaborative; with or without trust, credibility, recognition, acceptance]</p> <ul style="list-style-type: none"> • between different types of CSOs • inter and intra-constituency linkages • with their own constituents (membership / beneficiaries) • public sector (national, regional, local government) • bureaucracies, administration and parliaments • elected representatives • political parties • business sector • donors and other development agencies • within their own sector (international NGOs, CBOs, intermediary NGOs, research organizations, religious groups, trade unions, professional associations, etc.) 	<p>The more traditional service-oriented organizations tend to have closer ties to the government. NGOs that came into existence in the 1970s tend to be advocates for an independent civil society and for civil control over government actions.</p> <p>In past few years, the government has begun to consult NGOs for their viewpoint on a number of topics.</p> <p>The private sector is beginning to partner with NGOs, but this partnership is at an early stage. Relationships tend to be closer at the local level.</p>

Table 3 Historical Perspectives and Trends

Characteristics of Civil Society	
<p>1. Size</p> <ul style="list-style-type: none"> • number of organizations • scale of organizations (financial, technical, and human resources) • organizational structure (single or multi-layered) • outreach and coverage 	<p>There are over 60,000 registered organizations. Estimates of unregistered organizations vary, the more common estimate being around 10,000.</p>
<p>2. <u>Spread</u></p> <ul style="list-style-type: none"> • national / regional / local • urban / rural • diverse constituencies 	<p>Caritas and the Red Cross operate at the national, provincial and local levels. There are environmental organizations throughout the country. Grassroots organizations predominate in the poorer areas. While environmental groups are organized throughout the country, Patagonia is also a focal point. Organizations of and for indigenous people can be found in the northeast, northwest and the south.</p>
<p>3. Presence of <u>Umbrella</u> Organizations or Networks</p> <ul style="list-style-type: none"> • cross-national • national / regional / local • sectoral (e.g. education, health) 	<p>There is no general network of CSOs, but there are networks with specific focus such as women's issues, AIDS, and human rights.</p>
<p>4. Nature of Representation and Constituency</p> <ul style="list-style-type: none"> • forms of representation (interests, values) • forms of constituencies (membership, affiliation) 	<p>Many CSOs are membership organizations providing services for their members.</p>
<p>5. <u>Scope</u> / Focus of Action [by sector, function, level]</p> <ul style="list-style-type: none"> • representation • technical expertise • advocacy • capacity-building • service-delivery • social functions 	<p>Many CSOs focus on or provide social services in areas such as AIDS or health; and for specific groups such as women or indigenous people. Human rights organizations have been active. There are parents' groups active (dating back to the 19th century) in connection with public schools. There are public education and awareness groups on environmental issues throughout the country.</p>

Table 4 Characteristics of Civil Society

The flowchart below identifies some of the steps in collecting information about the civil society sector and linking it to a consultation design.

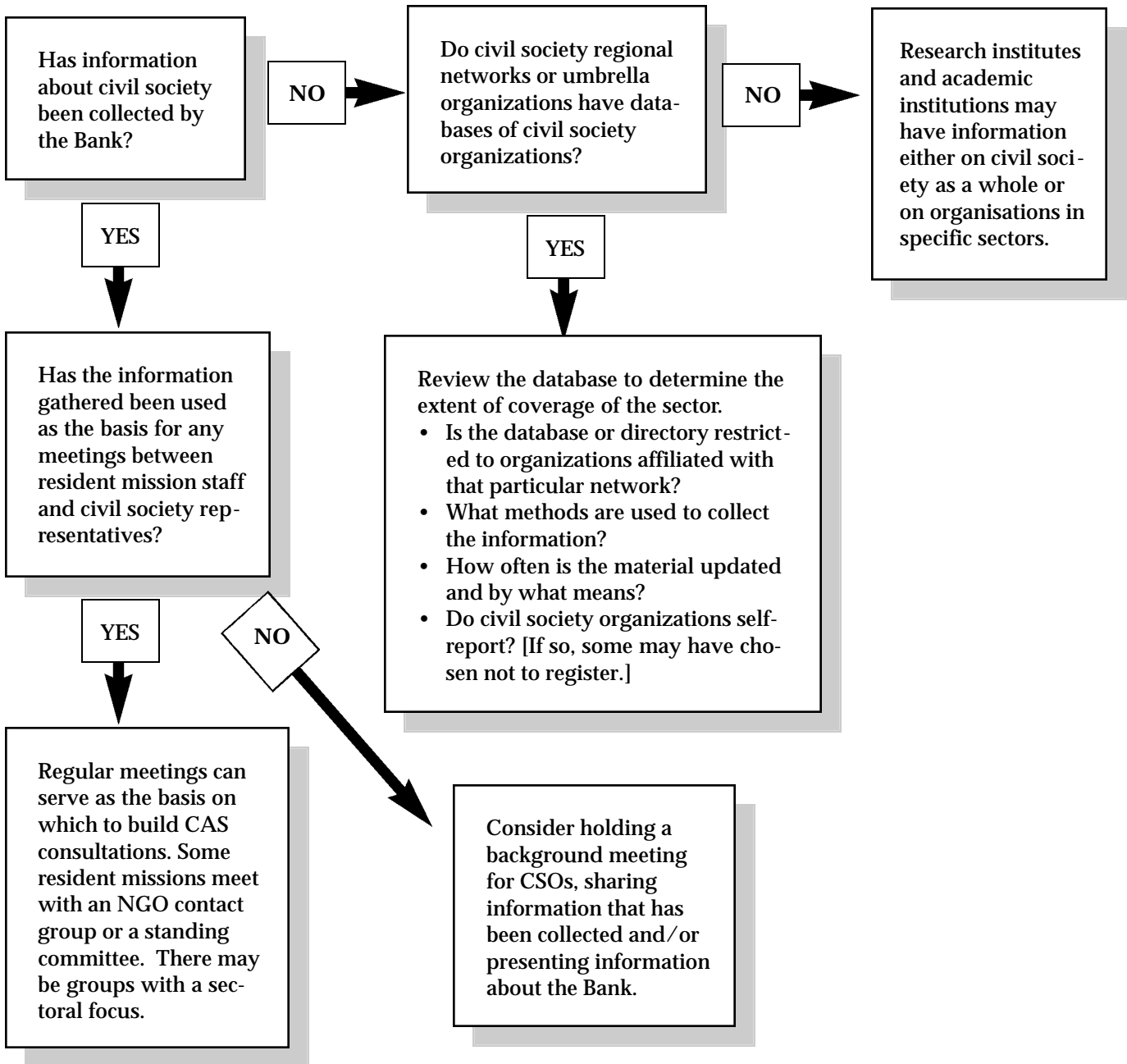


Figure 1. Information Collecting

The following flow charts will be activated by clicking on the blue highlighted topics in the table to bring up guidance questions. These guidance questions will help in developing the profile of civil society in a specific country and show how the information gathered can be used in organizing consultations.

Environment

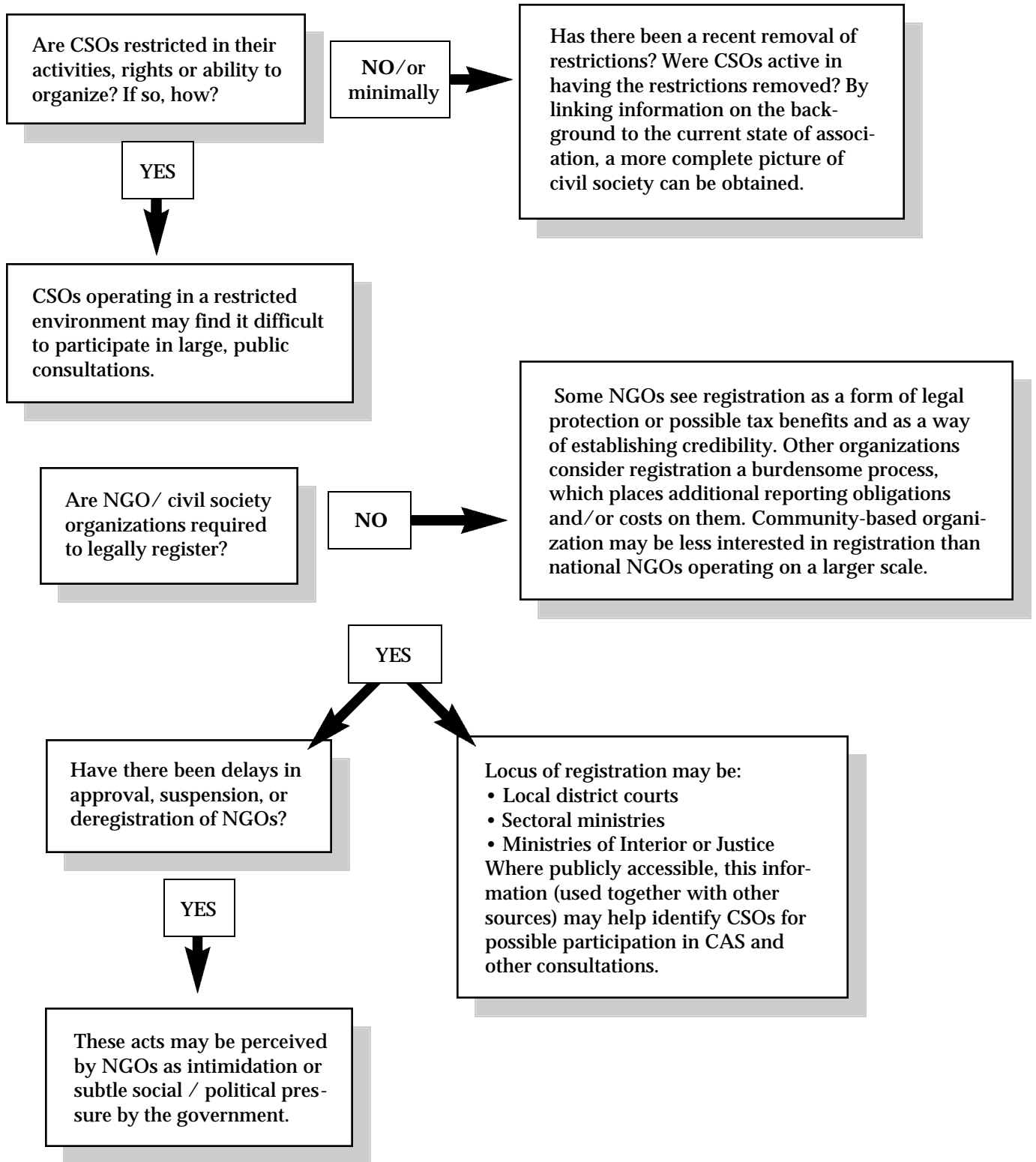


Figure 2 Association of CSOs

Resource Mobilization

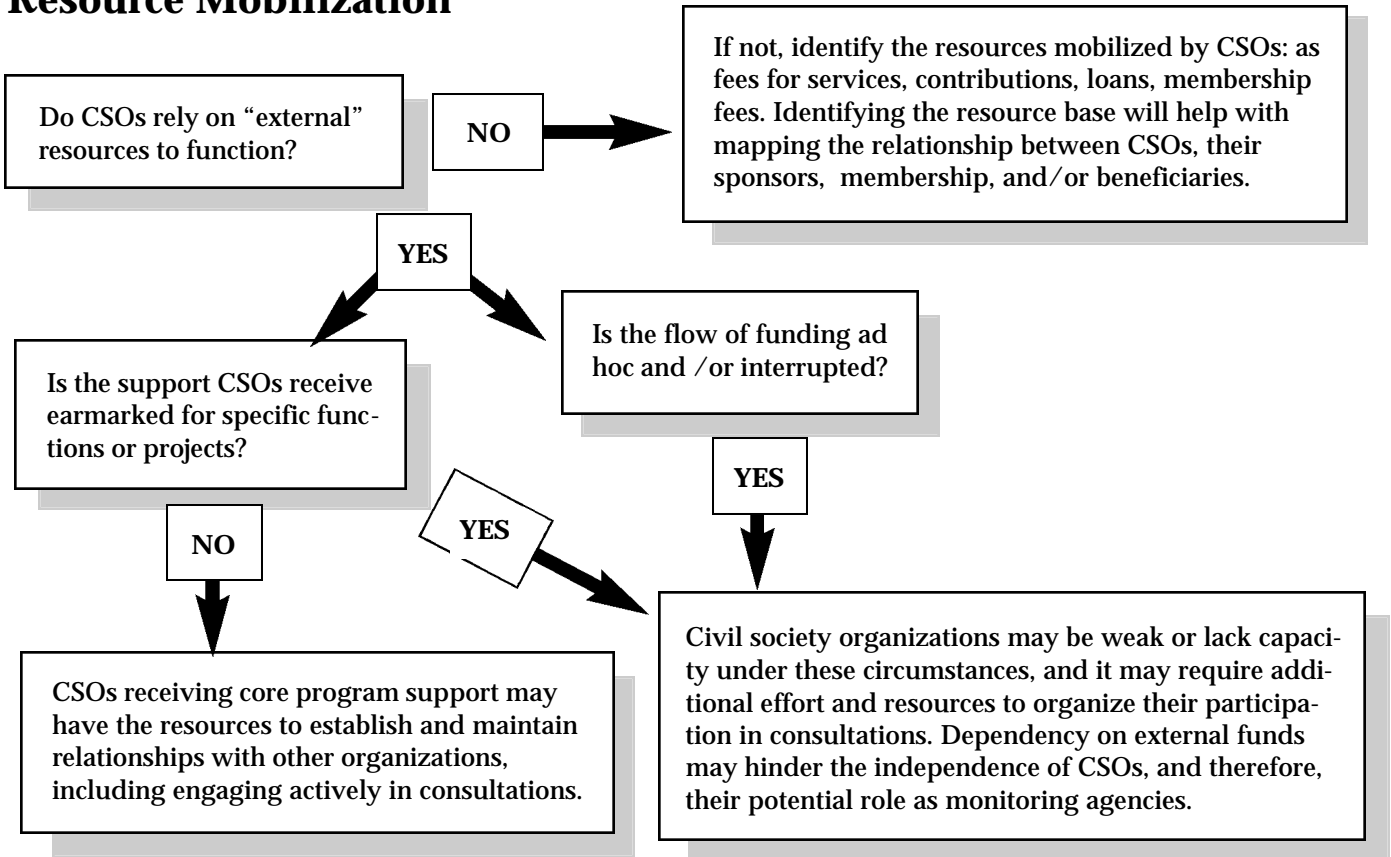


Figure 3 Resource Mobilization

Additional diagnostic questions:

- What are the sources of external funding?
- What restrictions exist on mobilizing resources?
- What are the systems of accountability to the regulators, sponsors and beneficiaries?

Negotiation

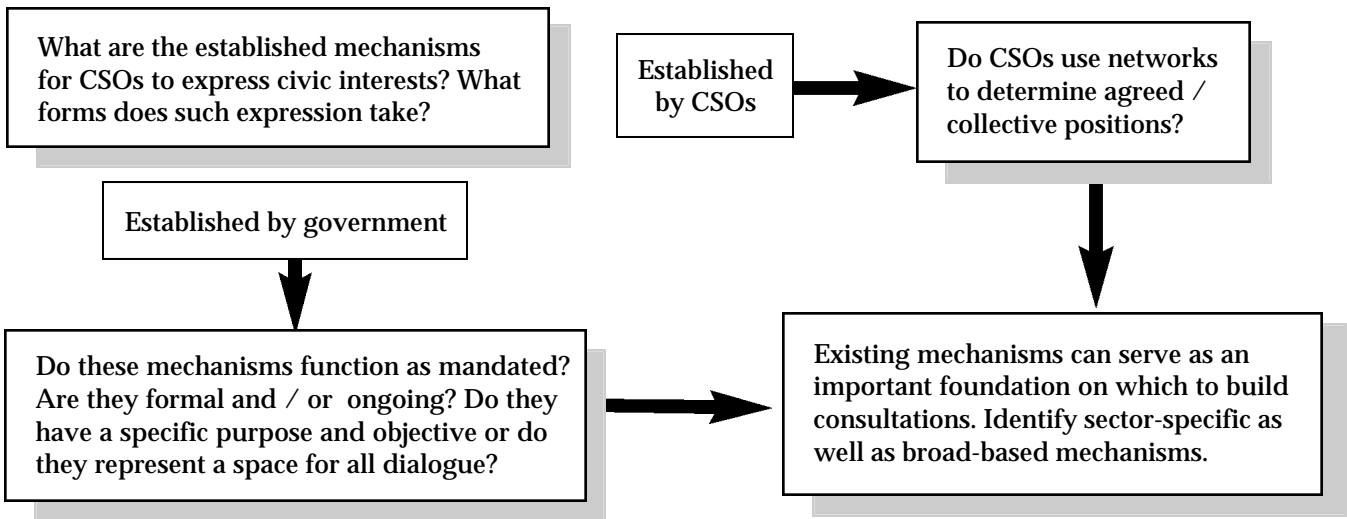


Figure 4 Negotiation

Characteristics of Civil Society

Spread of the Sector

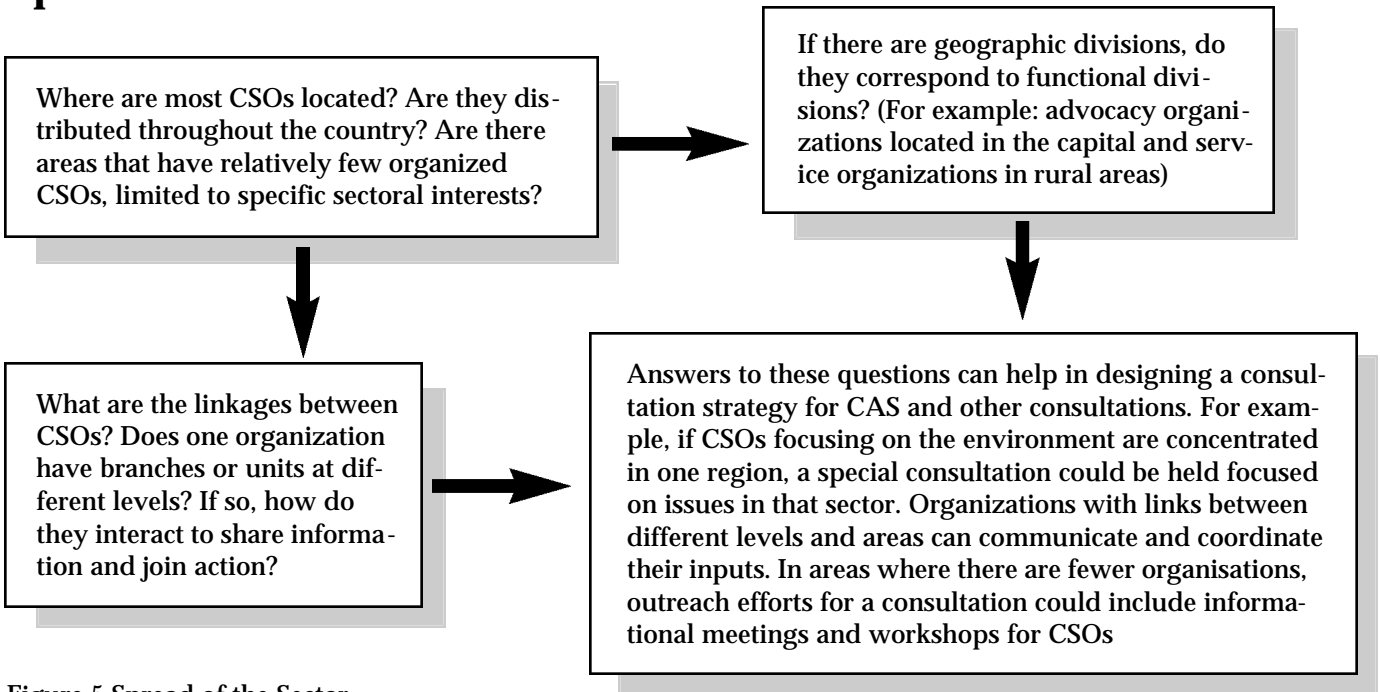


Figure 5 Spread of the Sector

Presence of Umbrella Organizations or Networks

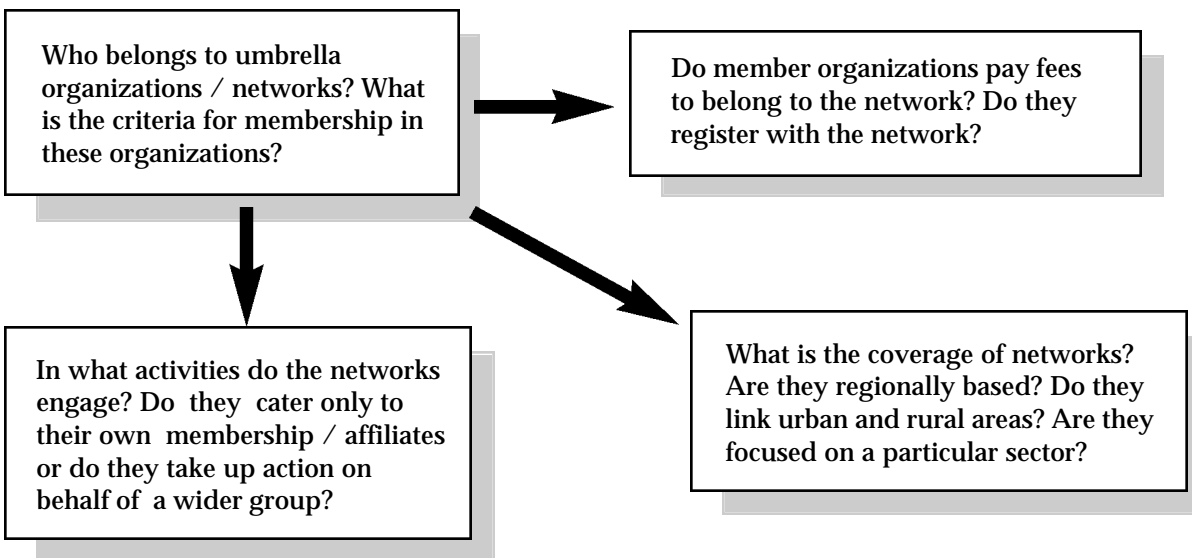


Figure 6 Presence of Umbrella Organizations or Networks

Scope / Focus of Action

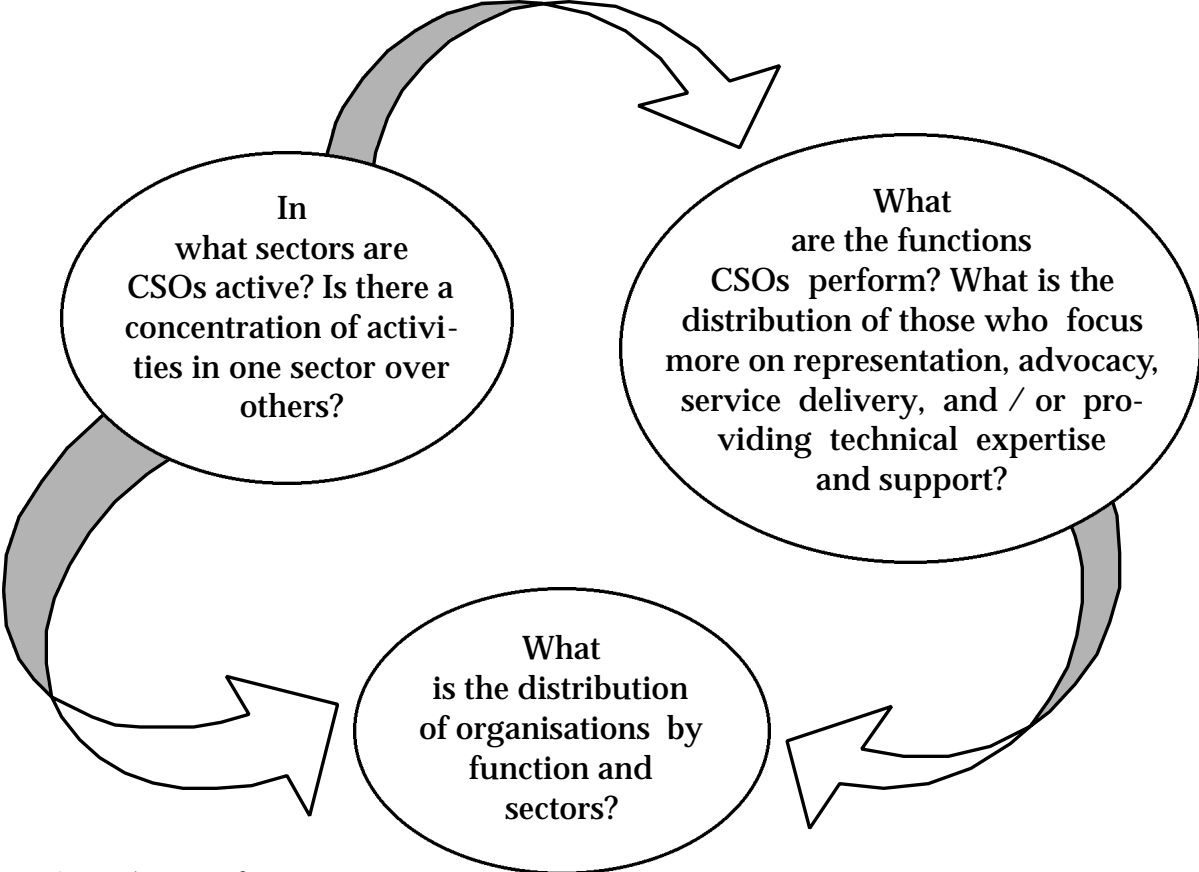


Figure 7 Scope/ Focus of action

[Click here to return to table of contents.](#)

Opportunities and Constraints in Facilitating Consultations

Previous Consultations

Experience with previous consultations, in the same or related subjects, may provide a foundation for planning a specific consultation. Concerns and issues raised in earlier consultations may serve as a basis for organizing specific thematic discussions either prior to or within the selected project, program, or policy dialogue. Previous consultations may also be useful to identify potential conveners, facilitators, and participants. Lessons drawn from these consultations also help to plan and organize more productive consultations.

Related initiatives that can serve as a basis for new consultations at the country, regional, or global level include:

- Voices of the Poor
- Participatory Poverty Assessments
- Beneficiary Assessments
- Preparatory work for social funds
- Civil society participation in Consultative Groups

- Sectoral and corporate policy dialogues such as the Forestry Policy Implementation Review; consultations on SAPRI; and HIPC social safeguard policies; Partnerships for Development; Learning to Partner; and consultations on CAS, CDF, PRSP
- Donor development agencies and IFI initiated consultations
- Government initiated consultations, such as national dialogues on development programs and strategies or consultations to develop a long-term national development agenda

Mechanisms

Governments or CSOs may have established mechanisms in which they interact. The process of developing a profile of civil society will help to identify these mechanisms or structures. These may be:

- mandated civil society representation on committees or management councils
- offices established in the government or legislature to interact with CSOs (e.g., in Hungary a special office is established within the Prime Minister's Office for NGO relations) Click here for another example from Venezuela .
- offices or individuals within a specific ministry who handle NGO relations with organizations

Government/NGO Partnership in HIV/AIDS Control

The Brazilian Ministry of Health and the World Bank have adopted several mechanisms to enable government civil society collaboration. They include:

- Five NGO representatives now serve on the National AIDS Council, which monitors Brazil's AIDS policies.
- An NGO Liaison Office was created within the National Program.
- NGO researchers were hired for such project-related tasks as designing the Small Grants Program; providing technical assistance to recipient organizations; monitoring project activities; and conducting social analysis of the AIDS/STD loan.
- NGO leaders actively participated in a seminar with government officials and donors to evaluate the project's activities and to plan a new project. The NGO delegation included representatives from groups increasingly exposed to HIV/AIDS, such as low-income women, rural workers, and indigenous populations.

The United Nation's AIDS program has selected the Brazilian AIDS program as one of world's "best practice" examples, since there has been a significant decline in new AIDS cases over the past five years and a decline in morbidity levels among high risk groups. Adapted from: "NGO Participation in HIV/AIDS Control Project Achieves Results."

Box 8 Government / NGO Partnership

7 In Brazil, the 1998 Federal constitution introduced mechanisms for citizen participation in the context of a broader framework of decentralization. The majority of Brazil's 5,508 municipalities have bipartite councils in which government and civil society is equally represented. On the national level, policy councils in the areas of women's rights, children's rights, health and the environment are composed of government and citizen representatives. The Philippines constitution established after the restoration of democracy has explicit provisions for the role of NGOs and civil society, specifically in regional and national planning. (text reference on page 26)

working in a particular sector (e.g., ministry of health handling interaction with midwives' organizations, village clinics, etc.- see box number 8)

- working groups, task forces, or committees developed in the context of a specific project or issue. Click here for example from [Bangladesh](#).
- constitutional reforms⁷

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

Informal, Informational Meetings to Demonstrate the Value of Consultation

Some resident mission staff organize briefings for civil society representatives, either according to a regular schedule or determined by sectoral interest. Subject specific seminars, conferences, and workshops can provide background material for such briefings. Information flows and two-way communication can help to build relationships, and previous consultations or briefings may create a demonstra-

In Bangladesh, over a period of 18 months of World Bank's work with the health ministry, the attitudes on consultations have changed. From an initial skepticism, there have now been substantial reforms in the health ministry due to the inputs received through consultative meetings. The "conversion" has been such that the Secretary proposed a consultative process for the preparation and implementation of the new nutrition project. Source: Interview with Nilufar Ahmad

Box 9 Spread of consultative process

tion effect in which governments begin to adopt the process as their own. In some cases, mutual perceptions have been shaped more by lack of information than by actual knowledge or experience. Informal meetings may help in establishing initial contacts. Over time, as an enabling environment is facilitated, linkages can also be created by formal mechanisms as described above.

Civil Society's Monitoring of Government Poverty Programs

In a presentation at the Manila Social Forum, Corazon Juliano-Soliman, vice president of the Philippines organization CO-TRAIN, described how civil society organizations interact with the government through participation in governance mechanisms and through demands for accountability. The examples given are:

- Community based organizations, provincial based NGOs, church based organizations, and mystic communities in Mt. Banahaw Quezon province coalesced efforts to develop a protected area management plan with a national government agency tasked to protect the environment. They continue to be represented and participate in the Protected Area Management Board [a governance mechanism in the province] to monitor the implementation of the plan.
- Peasant organizations belonging to the Agri Aqua Development Coalition in Mindanao are monitoring the municipal budget expenditure in selected areas. They were able to negotiate for a portion to be allocated for programs in infrastructure development and delivery of basic services that are badly needed, in villages with their constituencies.
- The Department of Agrarian Reform during the leadership of Secretary Ernesto D. Garilao mobilized the members of the Presidential Agrarian Reform Council [PARC] to conduct an audit on the utilization of the Agrarian Reform Fund. The fund amounted to approximately 50 billion Philippine Pesos to be used over a ten year period. It must be noted that the PARC has representatives from the farmers' organizations, the landowners, and the government.
- The Special Zone for Peace and Development [SZOPAD] Social Fund conducts beneficiary assessments of the infrastructure projects that it had funded. It is a demand driven fund where there is continuing effort to involve the communities in monitoring the quality of the infrastructure as well as the use of funds by the proponents and the contractors.

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

Box 10 Civil Society's Monitoring of Government

Click here for an example from [Brazil](#) and [Pakistan](#)

Where the government and civil society have overcome tensions, innovative working relationships have developed. Some of the political leadership in ECA came out of nascent civil society organizations opposed to state socialism, and these government officials maintain ties to civil society organizations. In the Philippines, many of the community organizations which began in the 1970s with opposition to the then ruler, Ferdinand Marcos, have continued to work on issues of popular access to services and decision-making in a changed political climate (see box 10).

Constraints

Reluctance

Reluctance to engage in a consultative process may occur when governments and CSOs or NGOs have had little or negative contacts with each other. Within government, reluctance may be confined to particular ministries or departments, or present at the national, and provincial, but usually not at the local level.

Some commonly noted reasons for governmental resistance to consultations with civil society organizations:

- negative experience with certain NGOs forms government's view of all and they are labeled confrontational.
- perception of NGOs and CSOs as social welfare organizations focused on helping their constituency or their own membership
- no value placed on civil society input to policy development or decision-making
- consultations seen as disruptive of the regular political, executive, and legislative process
- NGOs are seen a challenge to the government, hence "sovereignty", and also as competitors for scarce international / donor resources
- NGOs which are often non-membership organizations are seen as non-elected and therefore, not having the right to represent citizens

Some commonly noted reasons for reluctance of civil society organizations to interact with government agencies:

- lack of trust based on experience of political restrictions, either with the present government or previous regimes
- reluctance to relinquish independence by participating in government-organized activities or fear of co-optation
- apprehension that interaction and participation

alongside the government will alienate their membership

- perception of consultations as a validation exercise for decisions already made by others or fear that there will be a lack of concrete results affecting their credibility
- consultation "fatigue" - participation in repeated consultations without clear results or incorporation of their contributions

Country Environment

As identified in the profile, some country environments will not be conducive to an extensive consultative process. In such situations, there is a special need to explore options and to adapt the process to make best use of time, resources and available technology and methods for consultation. The factors that influence the overall environment include historical trends in the relationship among the public and private sectors and the civil society; and the existing legal, fiscal or socio-political conditions, inter-ethnic conflicts or polarized political environment. Organizers should be aware of the environment that they are working in, and the team designing a consultation should include people with country knowledge, experience, and local insights.

Resources

Lack of time, money, and appropriate skills can all act as constraints on designing a productive consultative process. Planning a consultation requires time to gather background information and design the process. Also, as described below, adequate time needs to be allotted to allow CSOs to review materials and develop their understanding, study the situation, and collect thoughts within their own organizational groups before joining a consultation. Inadequately funded, rushed, and poorly facilitated consultations will not produce the expected results. Such consultations will only confirm the feeling of CSOs that this was only a non-serious efforts to appease CSOs. On the other hand, government agencies will find an opportunity to reaffirm their belief that consultations are a waste of time and resources that cannot provide inputs required for improved program and policy decisions.

Lack of timely access to relevant information can also be a major constraint.

Suggestions

The following suggestions have been made by Bank staff, based on their experience in overcoming the constraints mentioned above:

- Prior to a consultation, organize informal meetings to introduce government officials and civil society organizations to each other
- If a consultation on overall development priorities is not possible, keep the first consultations limited to a very specific and focused topic
- If a national forum is perceived as potentially "politicizing", hold a series of local meetings rather than a national forum
- Encourage public statements by key officials on the need for consultation with the public, and the seriousness of government's participation in the process
- Present consultations as complementing existing forms of representation, not as a substitute
- Emphasize the neutrality of a consultation forum,

while at the same time maintaining government "buy-in" to the consultation process

- Identify a neutral facilitator, for the process (this can be a credible NGO/CSO or an individual or consultant firm specializing in process facilitation skills).

[Click here to return to table of contents.](#)

Organizing a Consultation

Time Frame

Consultations require time for adequate preparation. Some CS specialists recommend two to three months lead time for planning and preparation. Participants in a consultation should be invited well in advance, with background information disseminated to them at least two to three weeks prior to a consultation. Inviting CSOs to a consultation at short notice creates ill-will and promotes the impression of not taking them seriously.

As the case below illustrates, CSOs may require time prior to the consultation to bring together members of their organizations or networks to work out their inputs. They may also need to raise funds for their participation. However, even when such participants reach the venue, there is no guarantee that they will be allowed to express their views.

[Click here for an example of a consultation organized with substantial preparation and planning in Bosnia and Herzegovina.](#)

Selection

Selection of participants for consultations can be done in the following ways.

- Directly selected by CSOs and their umbrella networks
- Umbrella networks advise and/or recommend participants (e.g. in Colombia, National Confederation of NGOs has identified key labor leaders for a consultation)
- Bank staff establish criteria for inclusion jointly with NGOs (e.g. this was done in the [Philippines CAS](#) with CO-TRAIN, a network/support organization for NGOs)
- Agricultural extension officers help community to select representatives. [Click here for an example from Pakistan](#)

[Click here for an example from Dominican Republic.](#)

Poor Planning and Poor Facilitation Can Cause Mistrust

Following a consultation, a representative of an NGO network sent a letter to the Task Manager handling consultations in that region and copied the NGO/Civil Society Unit. The letter described the results of poor planning and disorganized facilitation of a consultation. From the announcement and materials arriving only days before the event, to miscommunication about the availability of funds and the subsequent lack of clarification on the part of the country office, the letter details one "worst practice" after another. The author of the letter explains that because of budget constraints, not every organization could send a representative to the consultation and it was important for him to have time that was not allowed in this case to ask for input from the member organizations in the network. The author of the letter did attend the consultation only to be put on a list of speakers and then skipped when it was his turn. Finally, the consultation was ended thirty minutes before its scheduled end. A government official then insisted on speaking and was allowed to do so. In his closing remarks in the letter, the NGO representative states that "we from civil society institutions are happy that we are taken seriously and asked for inputs", but he hoped that his experience was not repeated and that the apprehensions of CSOs would be dispelled.

"Include those who want to be included, even if they are not the most representative. If left out, they will cause so much trouble."-CS specialist (AFR)

"The most vulnerable groups are usually the ones who need to have the possibilities explained; you need to show them at what doors to knock."

Additional recommendations

- Those who express a strong desire and willingness to put in the work required should be included
- If criteria for inclusion have been set, these should be made transparent
- Build capacity for informed dialogue, beyond consultations for validation, especially among national and local level civil society groups

The presence of a senior government official has been seen as confirming the seriousness of a consultation. In both Zambia and Hungary, representatives of civil society organizations expressed their strong preference for meetings held in which government officials were present, although there had been concern that their presence would be chilling.

Click here for an example from other multilaterals' experiences in the Lomé consultations by the [EU](#).

Presence of ministers from a particular sectoral ministry at public consultations may also serve to signal to staff in their respective ministries the importance of public consultations. The OED survey of NGO participation in Bank projects found that in some cases, agreement on NGO involvement was reached

at senior levels of government but was not always followed through at the lower levels. Active participation by officials in a public forum sends a stronger message than memos about expected compliance with participatory methods.

Click here for an example from the [Kyrgyz Republic](#)

Information

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

Suggestions for information preparation and dissemination:

- prepare short analyses in the local language, eliminating technical language and Bank-jargon

In preparation for the CAS consultation in Argentina, a journalist was hired to prepare two documents for public distribution. One, approximately 150 pages, consisted of brief 1 page summaries of all the World Bank projects. The other, 5 pages, had the relevant strategy papers reduced in the form of short notes. Both of these documents were divided into sectors so that people could easily focus. Previously, even when documents had been translated into Spanish, civil society organizations complained that they could not understand the technical language. The journalist was given the original papers, and then he followed up by asking questions. This resulted in pieces readily understandable and accessible to the participants.

A new government had been formed, and these documents were given to the new ministers and secretaries. The resident mission also distributed these to NGOs, trade unions, religious organizations, provincial governments, local governments, businesses, universities, academic centers, parliamentarians, and the press.

Source: Interview with Sandra Cesilini (reference "Information" in second column above)

Box 12 Accessibility of information

In the Philippines, briefing materials that the RM had sent to the government (for a new administration) were also distributed to CSOs. The RM also asked the government for a letter of no-objection before distributing the materials.

The chart below is adapted from methods used to convey information in Environmental Assessments, but many of the techniques can also be employed for consultations. In addition to the method used, the placement or location of information is crucial to access.

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

Table 5 Source: Adapted from Environmental Assessment Sourcebook Update #26, May 1999.

- hire an external consultant familiar with the sector to prepare materials
- prepare one or two page short explanations / definitions of Bank terms and acronyms and a description of the project or policy cycle, where relevant
- make information available through Public Information Centers
- establish a depository for public World Bank documents in the National Library, University department, selected CS umbrella groups
- use NGO/CS networks to distribute information
- post notices and minutes of meetings on websites, either the government's own, the World Bank website for the country, or selected CS websites

Click here for an example from [Ukraine](#).

Click here for an example from [Pakistan](#) in which exhibits were used to inform local communities of the project and the consultation to take place.

Venue

A neutral location should be chosen for consultations. Holding meetings at the Bank may be intimidating to some participants. Universities may provide neutrality, but they also may be unfamiliar. In addition, regional consultations and consultations outside the capital city should be held. There have been successful consultations involving outreach to areas in which consultations had not been held before.

Click here for examples from the [Philippines](#), [Niger](#) and [Ukraine](#).

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

Consultations with civil society in Zambia on development priorities were held with a range of organizations. The venues were matched to the particular organizations. In one case, an on-site session with a number of NGOs involved in AIDS counseling and outreach activities was scheduled in the office of one of these organizations. After concerns were raised by some participants about personal security (given the locale), the meeting was moved to a more neutral site.

Source: Interview with Helen Mbao Box 13 "Venue"

Budget

A budget for the consultation should be prepared in advance which includes the costs and time of staff involved in designing the consultation. Such costs might include training sessions or workshop/orientation for facilitators. Support for consultations may come from other donors, trust funds, government, or project allocation. A miscalculated budget can create unnecessary hardship for the participants and will be an embarrassment for staff.

Consultation Process and After Consultations

The consultation itself should be organized so as to allow adequate space for civil society input and a two-way flow of information. At the beginning of the consultation, the purpose of the consultation should be made clear. For a policy consultation specifically, participants should be aware that not all perspectives can be incorporated into the final outcome or product. An orientation to the Bank and the project or policy under discussion at the beginning of the Consultation helps to ensure that all participants have the same basic information and understanding of the subject.

The Role of the Bank

The Bank can take one of several roles in organizing a consultation. One set of roles is where Bank staff take a back seat, while facilitating the process: for example, the Bank suggests or advises the client to organize a consultation; helps provide expertise to design and facilitate it; finances the consultation, or helps the client search and contract a consulting firm or a civil society organization to organize the consultation. This is more appropriate where the client is designing or implementing a project or policy and needs to consult with civil society. Another set is of roles is where Bank staff become directly involved in the design and organization of a consultation, and participate actively in the consultation itself. This is more appropriate where the subject of discussion is a Bank document; a policy draft or review; or even a Bank-financed project with unresolved issues and questions.

Facilitation

The importance of a good facilitator is a point that has been emphasized across regions and by all staff who have organized consultations. Most of the staff think that Bank staff should not facilitate consultations themselves; they should "come to the table as a stakeholder, not as the one in control." However, as discussed above, this may not be true in all situations. The characteristics of a good facilitator that have been identified by the contributors:

- Neutral to the topic of discussion
- Good reputation with CSOs and acceptable to the government agency concerned
- Able to engage the audience, encourage participation, keep people's attention and keep the discussion interesting
- Familiar with the topic under discussion, not just technically adept at running a meeting
- Not manipulative, able to guide and listen

Click here for examples of facilitation in [Colombia](#) and the [Dominican Republic](#).

Rapporteur

In addition to a facilitator, a rapporteur is necessary to record key points. Often, a rapporteur will not keep detailed minutes as this may tend to stifle discussion. Rather s/he will track the progress of the discussion, themes, points, and areas of substantial agreement or disagreement.

Click here for an example from CAS consultations in [Niger](#).

Small Group Work

Most consultations involve dividing participants into small groups to focus on key priorities and to allow more voices to be heard. Groups can be formed by sectoral focus (health, environment) or kept mixed. Organizers report success with both. Groups should also be reminded to prepare to report back to the plenary. Another method of organizing consultations is to hold thematic workshops and a general consultation session.

Click here for examples from the [Kyrgyz Republic](#), [Ukraine](#) and [Pakistan](#).

Concluding the Consultation

A consultation can conclude with a summary of what was heard during the process. This allows participants to respond as to the accuracy of the summary. Feedback should also include what (if anything) was omitted from the records and why.

Evaluation of the Consultation

Many consultations include at the end some form of evaluation, often written, by participants. Such evaluations can assess the effectiveness of the consultation and help to draw lessons for the future.

Click here for an example from [Argentina](#).

After the Consultation

Incorporating the input

In incorporating the input from the consultation into a project or policy, participants should be asked if their views are accurately reflected. If a synthesis draft is prepared, the reasoning for omitting certain viewpoints should be made clear. If this does not occur, many participants may become reluctant to engage in further consultations.

Click here for an example from [Niger](#).

Feedback to participants

Feedback to participants in consultations is crucial. The feedback process builds the relationship for future consultations and interaction. When regional consultations are held preparatory to a national consultation, participants in the regional consultations should be kept informed of the results of the national consultation. If consultation changes the shape of a project, participants should be informed of how the original design was modified to reflect their input.

Click here for examples from [Senegal](#) and [Peru](#).

Other consequences of consultation

Experience with consultations in the CAS/CDF⁸ has shown that the consultative process can lead to improvements both in Bank-government relations and in reaching an understanding among key stakeholders.

Beyond the Consultation

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

Click here for a matrix from the [Azerbaijan CAS](#) based on a profile of civil society organizations, which demonstrates how different civil society actors could be involved in implementing the CAS.

Click here to return to the table of contents.

⁸See "Learning to Partner: Engaging Civil Society in the Context of CAS/CDF" – link under Key Documents.

IV. Cases and Examples

Country	Description	Section	Highlights
Argentina	La Serna Bridge Project Provincial Meeting	Overview	Facilitator selection Information
Azerbaijan	CAS table	After the Consultation	Possible roles for civil society
Bangladesh	Agricultural Extension and Fisheries	Government/ CS	Institutional linkages
Bosnia and Herzegovina	Social Policy Conference	Consultation Process	Consultation planning
Brazil	Planafloro Project	Government/ CS	Overcoming tensions
Colombia	CAS	Overview, Information Technology	Consultation methods, facilitation
Dominican Republic	CDF	Overview	Facilitation, Inclusionary process
El Salvador, Peru and Colombia CAS table	CAS		Table comparing partic- ipatory processes in 3 CASs
Ghana	CDF	Overview	Building on existing processes
Hungary	Civil Sector Conference	Government/ CS	Mapping CS sector
Kyrgyz Republic	CDF		
Niger	CAS	Overview, Consultation Process	Facilitation, CS/gov- ernment tensions
Pakistan	Left Bank Outfall Drain	Consultation process	Mechanisms, Informal meetings, Selection, Information, Venue
Peru	Rural Road Project	Overview	Consultation affecting final shape
Philippines	CAS	Overview	NGO partnership to implement consultation
Senegal	Sustainable and Participatory Energy Management Project	Overview, Consultation Process	Consultation affecting final shape
Ukraine	CAS		Use of information technology
Zambia	CAS	Overview	Information

Other Experiences

Agency or Organization	Process or Resource	Highlights
EU-ACP Lomé Convention IV	Consultations with CSOs	Regional consultations, Government/CS mechanisms
Organization of American States (OAS)	Consultations with CSOs	Consultation process
United Nations Development Program (UNDP)	Civil Society Sourcebook	Definitions, Enabling environment, Information flows
United States Agency for International Development (USAID)	New Partnerships Initiative Resource Guide, Partnering for Results	Enabling environment, information sharing, overcoming obstacles

Argentina: La Serna Bridge Project

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

Two previous efforts to consult residents by the municipal government had failed to reduce tensions between the two neighborhood groups. Faced with escalating conflict between these groups, the Bank proposed to the municipality that it convene a consultation in the form of a public hearing, which was subsequently organized by an NGO, Citizen's Power, the Argentinean chapter of Transparency International. This NGO had organized previous public hearings and had credibility among local citizens. Its past experience was an important factor as time was limited due to construction deadlines, and a decision had to be reached within 20 days.

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

Following the training workshop and the announcement / invitations, the officials organizing and implementing the public hearing opened an office to respond to the public and register participants. Background information and studies on the construction of the bridge were available in this office. A poster in the office also directed people with questions, complaints and/or suggestions to Citizen's Power. Citizen's Power organized two additional workshops (one with each groups of residents involved in the conflict) to explain the rules and procedures that would govern the public hearing. These activities not only ensured the participation of both groups, but also facilitated an orderly process for the hearing.

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

More than 60 speakers participated in a public hearing that lasted over four hours. During the 20 days that preceded the hearing, the list of speakers was assembled to maintain an orderly, informative, and balanced process. While most of the neighbors who attended the meeting supported the construction of the bridge, speakers represented both supporters and opponents of the project. The hearing also served as a forum for the Secretary of Transportation's Technical Team, allowing it to explain the improvements that had been made to the original project: such as the use of noise reduction panels, the incorporation of a bicycle lane, the restriction of heavy vehicle transit and the protection of green areas. In addition, the Team shared the results of different environmental impact and feasibility studies. At the hearing, a representative of the Bank spoke about environmental norms and citizen participation in these types of projects.

During the public hearing, Citizen's Power measured the opinions of the participants through the use of a self-administered poll. The principal opinions encountered were the following: Seventy-seven percent (77%) of those polled claimed to be highly pleased with the public hearing process; fifty-seven percent (57%) indicated that the organization of the public hearing was "very good"; and twenty-eight percent (28%) indicated that it was "good". Seventy-six percent (76%) of those polled claimed that the public hearing had allowed them to look at the issue from a new perspective.

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

did not completely resolve the conflict; many of the residents of La Serna Park continue to oppose the project. However, among these residents, there is recognition that the hearing did address some of their concerns.

Note: In this consultation, World Bank initiated the process.

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

Argentina: Provincial Meeting on Structural Adjustment Loans

A public meeting at the provincial level is one means of disseminating information, while at the same time gathering additional feedback. This public presentation / forum was held at a theater in the provincial capital. Details on the event were published in newspapers, and it was open to the general public, with some participants specifically invited. The three-hour meeting included a one-hour presentation on structural adjustment loans, including the results of a survey and focus groups regarding the potential impact of these loans. The rest of the time was open for public questions and comments. Responding to the questions were the Vice Governor of the Province, the World Bank resident director, the task manager, concerned sector leaders, the consultant who prepared the survey and focus groups, and the civil society specialist from the country office. As participants entered the forum, they were given evaluation forms which they were asked to complete before leaving. This helped the organizers get feedback for future meetings.

Note: This consultation was World Bank policy related.
Source: Interview with Sandra Cesilini

[Click to return to the main table](#)

Azerbaijan: Civil Society Participation in the Implementation of Country Assistance Strategy / Country Partnership Strategy (CAS/CPS)

The matrix given below is the result of an analysis of the NGO/CS sector in Azerbaijan. This analysis involved a detailed search and review exercise of all known sources of information on civil society in Azerbaijan. A special mission from the NGO/CS Unit was requested by the country team with the specific purpose of learning from different perspectives the spread, strength, and trends in NGO/CS development. The mission included detailed consultations with representatives of the government, the parlia-

ment, and key donor and development agencies active in the country (including NGOs and Professional Associations both local / national and multi-country / international). Although the discussions held in Azerbaijan covered several other aspects of the NGO/CS sector, the contents of this matrix build on, and are restricted to, the sectors and future actions already identified in the CAS/CPS.

The purpose of the matrix is to note the current status and involvement of NGO/CS in each sector and to highlight the potential role and value-added for partnership in the implementation of CAS/CPS. The last column in the matrix identifies a set of required actions that would benefit from a lead by the Bank. This matrix is included as an Annex in the CAS document.

Key Development Sectors & Issues in CAS	Key Actors in CS and their Current Participation	Govt. Focus and Future Activities of other Partners	Potential 'Value Added' of CS in Implementation of CAS/CPS	Action Required (by the Bank)
I. Maintaining Economic, Social, & Political Stability				
A. Public Sector Reform - Improve Expenditure Management - Design and Implement Administrative Reform	NGO networks I and II; selected Professional Associations (PAs) No direct role identified for Civil Society	Govt. organizing working groups	Based on organizational linkage, networks, local knowledge, and outreach with constituents: <ul style="list-style-type: none"> • inputs to working groups; • outreach to educate the public on anti-corruption measures instituted; • networks to hold Government accountable to its reform agenda 	<ul style="list-style-type: none"> • disclose information and disseminate reform agenda; • include NGO and PA representatives in discussions and design of reform
B. Social Equity - Design and Implement Legal & Judicial Reform	NGO networks I and II; selected PAs Concerns focus on laws regulating NGO/CSOs	Govt. setting up working groups; UNHCR/EC supporting development of laws regulating NGOs	<ul style="list-style-type: none"> • inputs to working groups; • local knowledge and focus to apply the learning from other experiences; • outreach to educate the public on the need for a strong civil society with voice and visibility 	<ul style="list-style-type: none"> • share knowledge and experience of other countries in fostering an enabling environment for civil society; • support initiatives to raise awareness on the subject among public & private sectors, & civil society

Key Development Sectors & Issues in CAS	Key Actors in CS and their Current Participation	Govt. Focus and Future Activities of other Partners	Potential 'Value Added' of CS in Implementation of CAS/CPS	Action Required (by the Bank)
II. Improving Resource Allocation				
<p>A. Private Sector Development</p> <ul style="list-style-type: none"> - Enterprise Privatization - Institutional Capacity Building (Private Sector Strategy) <p>B Financial Sector Development</p>	<p>Selected PAs and NGOs in different sectors; NGOs working with small enterprise and micro-finance</p> <p>Linkage exists between private industries and selected PAs / NGOs; limited micro-finance activity through NGOs</p>	<p>Govt. focus on non-oil industries; diversifying the economy; SME development supported by many development agencies</p> <p>USAID, EBRD involved in SME support</p>	<ul style="list-style-type: none"> • inputs and feedback for the sector study, on private ownership of land, and the labor market; • outreach to diverse groups of professionals through PAs, and NGO umbrella groups, including greater access to local level institutions; • closer monitoring and greater accountability of govt. and private sector through local groups 	<ul style="list-style-type: none"> • conduct a detailed sector analysis of civil society as significant partners in development • share information from other experiences; • provide realistic opportunity for participation of civil society in actions identified; • allocate time and resources to enhance institutional capacity and the acceptance of civil society as significant partners

Key Development Sectors & Issues in CAS	Key Actors in CS and their Current Participation	Govt. Focus and Future Activities of other Partners	Potential 'Value Added' of CS in Implementation of CAS/CPS	Action Required (by the Bank)
III. Promoting Rural Development and Rehabilitating Infrastructure	For A, B & C			
<p>A. Agriculture - Irrigation & Drainage Infrastructure</p> <p>B. Rehabilitating Infrastructure - Water and Sewage - Roads, Transportation, & Telecommunication - Energy</p> <p>C. Environmental Protection - Environment - Cultural Heritage</p>	<p>Selected PAs, NGO networks and NGOs I and II working in relevant sectors</p> <p>Several NGOs, PAs, and unregistered, informal, community group, are either working or have field knowledge and experience in areas such as community development, extension services, water, micro-finance, diversification, improving the environment, and cultural heritage</p>	<p>Govt. focus on farm privatization; rural financial services & farm services; irrigation and drainage; rehabilitation of water and sewage facilities; upgrading and maintenance of roads and transport; urgent pollution issues; restoration of monuments</p> <p>UNDP involved in microfinance; IFAD, IsDB, Kuwait Fund in irrigation and drainage infrastructure and formation of WUAs; EBRD in water project; UNDP, EU, GEF in environmental rehabilitation, institutional capacity, and Caspian Environment; UNESCO in cultural heritage</p>	<p>Based on knowledge, experience, and outreach:</p> <ul style="list-style-type: none"> • inputs to policy dialogues and discussions • skills and experience related to land reforms, farm services, community organization, micro-finance, WUAs, privatization of utilities, pollution risks and environmental standards • outreach for messages related to rehabilitation of utilities and services, and improvement of the environment • inputs to extend the focus of cultural heritage to aspects of the living culture, beyond restoration of monuments • skills and outreach for design, implementation, monitoring, and evaluation of projects and programs in areas identified 	<ul style="list-style-type: none"> • share information in advance on all projects and policy dialogues; • invite appropriate organizations of civil society to participate in different stages of analytical, policy, and project work • clarify the purpose of engagement with key stakeholders, and work out productive forms of participation and partnership • allocate time and resources appropriate to build effective partnerships and implement programs in the specific areas identified

Key Development Sectors & Issues in CAS	Key Actors in CS and their Current Participation	Govt. Focus and Future Activities of other Partners	Potential 'Value Added' of CS in Implementation of CAS/CPS	Action Required (by the Bank)
IV. Human Capital Development				
<p>A. Education</p> <p>B. Health</p>	<p>Selected PAs, NGOs I and II working in relevant sectors</p> <p>Several NGOs, PAs, and other organizations of civil society have field knowledge & experience in education and health programs specially focused on IDPs</p>	<p>Govt. focus on maintaining achievements of Soviet period; reorienting the curriculum; ensuring appropriate infrastructure and materials; cost-recovery and self-financed facilities; private sector investment</p> <p>UNICEF, UNHCR, EBRD, UNDP, EBRD, ADB, IsDB, & Soros Foundation working on district pilot programs, curriculum development, community involvement, reproductive health, IDP services, and a private hospital</p>	<p>Based on knowledge, experience, networks, and outreach:</p> <ul style="list-style-type: none"> • inputs for analysis and policy • outreach to capture the scale and intensity of deterioration in education and health; • inputs to develop strategies, design, implement, and evaluate projects appropriate to the needs of local community groups; • outreach to utilize existing expertise in the new institutional set up 	<ul style="list-style-type: none"> • identify and invite appropriate organizations of civil society to participate in analytical, policy, and project work; • work out specific roles together with groups who have knowledge and experience in the sector • build on local knowledge and experience to search for and adapt local, traditionally sound solutions to current issues in the sector

Key Development Sectors & Issues in CAS	Key Actors in CS and their Current Participation	Govt. Focus and Future Activities of other Partners	Potential 'Value Added' of CS in Implementation of CAS/CPS	Action Required (by the Bank)
V. Targeting Poverty				
A. Social Protection	<p>PAs, selected NGOs and local community groups</p> <p><i>Frustration and confusion is expressed due to the crumbling systems of social protection</i></p>	<p>Govt. focus on individual pension accounts; systemic pension reform</p> <p>IMF, EU-TACIS involved in pension reform; ILO in social sector review; and UK-KHF for individual pension accounts</p>	<p>Based on organizational linkage, networks, local knowledge, and outreach with constituents:</p> <ul style="list-style-type: none"> • inputs to bring voice of different constituencies to the design of Systemic Pension Reforms; • outreach to learn from others and educate the public on the subject; • inputs to the Poverty Assessment update 	<ul style="list-style-type: none"> • invite discussion and open dialogue with PAs to understand the extent and intensity of the crisis; • work with the selected groups of PAs and NGOs to identify, implement, and monitor proposed solutions

Key:

NGO Intermediary organizations, community based organizations, grassroots organizations, groups not yet registered, NGO support organizations

NGO I Local / national NGOs

NGO II multi-country / international NGOs

NGO Networks

Formal coalitions or informal clustering of groups of NGOs I, II, or a mix of both; sharing a sectoral (e.g. education), geographical (e.g. Baku), or functional (e.g. service delivery) vision and mandate; and working together for a range of purposes.

PA Professional Associations linked to government, de-linked, registered as NGOs, or in transition between PA and NGO

Note: This consultation was World Bank policy related.

Source: "Memorandum of the President of the IBRD and the IFC to the Executive Directors on a Country Assistance Strategy for The Azerbaijan Republic"

[Click to return to the main table](#)

Bangladesh: Linking Local Input to National Level

In Bangladesh, two institutional arrangements in specific sectors offer examples on how input from local organizations can be linked to the national level. In both cases, civic engagement at the local level has resulted in government and civil society establishing policy development and policy review mechanisms jointly. This case also illustrates the connection of CBOs to the national level as facilitated by NGOs.

In the area of fisheries management, input from civil society has been made possible through the introduction of institutional innovations. Responding to a decline in fish stocks in inland floodplains, the Department of Fisheries introduced the practice of fish stocking, but the temporary ban on fishing while the fingerlings matured raised concerns by local fishermen that the ban would be permanent, and they would no longer be able to fish. In a pilot program, two NGOs were selected to organize fishermen in two floodplains. The NGOs allayed concerns and helped develop the local organizations' abilities to manage the stocked floodplains. At a later stage, the NGOs and local communities prepared lists of fishermen to be endorsed by the Department of Fisheries. A floodplains management committee was formed consisting of representatives from the Department of Fisheries and local government together with NGOs and representatives from local fishermen. This committee established a transparent system of licensing and regulation.

The government of Bangladesh, with assistance from the World Bank's International Development Association, has been upgrading its agricultural extension services. Not only has the effort been reaching a wider range of farmers, it has actively included participation and feedback in shaping the policy goals. After a pilot program in decentralization in one district, the government approved a New Agricultural Extension Policy which, among other elements, included establishing partnerships with NGOs and the private sector. To guide the process of change, an inter-ministerial task force under the Secretary of Agriculture was established, including NGO and private sector representatives, and similar coordination committees now exist at local and regional levels. An NGO liaison committee was also set up within the department to encourage and guide collaborative projects.

Note: World Bank partnered with the client to assist with follow up of this consultation.

Source: Adapted from: "Floodplains Fishery:

Community Participation that Works" and "Rejuvenating Agricultural Extension through Partnership," South Asia Rural Development Project Briefs

[Click to return to the main table](#)

Bosnia and Herzegovina: Social Policy, Protection and Practice Conference

Poverty in Bosnia and Herzegovina expanded dramatically due to the destruction during the war. However, lack of state capacity, due to the combined pressures of post-communist and post-conflict transitions, hampered efforts to address the needs of the most vulnerable in the population. Social policy had been a low priority. Although international aid agencies had intervened with humanitarian assistance, by 1997 the focus of assistance was shifting to reconstruction efforts. Many of the international aid agencies were also preparing for "turnover" of their functions to local organizations. This turnover, however, was complicated by the situation on the ground, including the division of Bosnia and Herzegovina by the Dayton Peace Accords into two poorly coordinated political entities, Republika Srpska and the Federation.

The European Community Humanitarian Office (ECHO) asked CARE to convene a forum for assessing existing poverty trends and vulnerability, discussing the funding possibilities for social assistance and social care programs, and evaluating policy options and priorities. This forum was intended as a step in the planning process for coordinating social protection policies. It was necessary for successful evaluation, as well as political acceptance, that representation occur from all ethnic groups.

Two months prior to the forum, CARE circulated a preliminary document, describing the focus and themes for the forum. At this initial stage, the areas noted by people as important shaped the agenda for the conference. Over one hundred follow-up meetings served the dual purpose of preparation for the conference and needs assessment. This extensive process informed the public of the upcoming conference, identified the relevant actors in a complex post-conflict situation, and laid the groundwork for subsequent policy debates.

A number of agencies were asked to participate in the conference and to ensure that the proposals and recommendations of the conference were implemented. From the local level, the final list of participants included representatives from: women's groups and

social workers' associations in addition to the municipal Centers for Social Work, universities in both entities, children's homes, youth centers, and geriatric centers. In raising awareness and attention regarding the importance of social policy, the organizers identified a special need to include policy makers, politicians, academics and practitioners in the conference. This was seen as a means of facilitating the interaction of policy makers and practitioners so that both could understand the issues and concerns of the other, at the same time incorporating the academic context to inform the decisions of the other players.

Government officials from both entities participated, sending deputy ministers of their analogous social policy departments. This, in itself, was an important signal in a country recovering from war in which national divisions were still critical and the two entities were functioning separately on most issues. From the Federation, cantonal level ministry officials also attended (Republika Srpska is not divided into cantons).

Among the international organizations were NGOs and aid agencies: UNICEF, UNHCR, CARE, Medicins sans Frontiers, World Food Programme, Norwegian People's Aid, and the Office of the High Representative (the UN coordinating body for Bosnia). Several embassies sent their representatives. World Bank, International Federation of the Red Cross, and Red Crescent Societies were also included in this process from the beginning and supported the conference.

Facilitators for the workshops were selected for their skills at group work as well as their knowledge of the field. All of the facilitators also worked in either an NGO or government social service and had an "on the ground" sense of what some of the discussions could mean in practice. Workshops were held on nine topics, and preliminary papers were circulated to serve as a starting point for discussion. Prior to the forum, there were some doubts among the "international community" about in-country capacity to contribute substantively to the forum. These doubts were thoroughly allayed by the caliber of the workshop discussions. The participant from the Red Cross/ Red Crescent alluded to this in the closing plenary when he referred to the technical discussion on pension reform in the workshop he attended and noted that he was "feeling increasingly unqualified to talk at this session."

The keynote speeches, workshop background papers, and the conference discussion were subsequently published in English and Bosnian to serve as a reference point and policy and practice document. This

forum played a defining role in the evolution of social policy issues in Bosnia, due in no small part to its inclusiveness. The Social Protection Task Force was formed out of this process, co-chaired by the relevant assistant ministers from both entities, to continue the discussion and develop the recommendations.

Note: World Bank was a participant in this consultation.

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

[Click to return to the main table](#)

Brazil: Planaflo, From Confrontation with Civil Society to Collaboration

Planaflo is an emblematic example of an overly complex and troubled project that was completely restructured and decentralized in a participatory fashion. Planaflo is a Bank-funded natural resource management project in the Western Amazonian state of Rondônia. Planaflo (Loan # 344-BR) was signed in 1992 at a total cost of \$229 million (of which \$167 million was the Bank's share), and became effective in 1993. In hindsight, it became apparent that the project design contained several flaws: too many sub-components (rain forest conservation, social development, road construction, indigenous health, and agro-forestry activities); a complex structure (involvement of 10 state and federal government agencies); over-ambitious and poorly defined sustainable development goals; and limited local ownership by both the state government and the society at large.

At the end of the fourth year of the project, few of the project goals had been met, stakeholder participation mechanisms were not working, and only 50 percent of the funds had been spent. The local NGO and Social Movement Forum, with approximately 35 organizational members (including agricultural workers' federations, indigenous organizations, rubber tapper associations, environmental NGOs, and urban educational groups) which had been established with the support of international NGOs (such as World Wildlife Fund /Sweden and OXFAM/UK) to monitor Planaflo, mounted an international campaign to suspend disbursement of project funds, and sent a request for inspection to the Bank's Inspection Panel.

The Bank took several steps to address the issue. First, it decentralized project supervision responsibility to the field office. Second, it decided to carry out a comprehensive and independent mid-term review of the project. Third, realizing that the project lacked

local ownership and support at the state and local levels, it insisted that the principal stakeholders take full responsibility for its restructuring. The mid-term review was conducted by a multidisciplinary team of Brazilian consultants. A stakeholder consultation workshop was organized in Porto Velho to discuss the possible reformulation of the project. Major stakeholders present at this workshop included the state and federal governments, the NGO Forum, international NGOs, UNDP, and the World Bank.

A formal agreement was reached between the state government and the CSOs that led to a complete restructuring of Planaflo. Project sub-components were reduced, the number of government executing agencies was cut back, and bureaucratic procedures were streamlined. A \$22 million demand-driven community projects fund (PAIC) was created and is today being co-managed with CSOs⁹. Equally important, long-standing mutual animosity and tension have given way to effective engagement. Once a policy of more open and frank dialogue began to be pursued, noticeably improved relations among CSOs, the state government and the Bank were established. Based on this positive momentum, a comprehensive strategic planning exercise (Umidas) geared to defining a sustainable development plan for the state until the year 2020, was carried out in 1998 involving the major societal actors of Rondônia.

Note: World Bank was a stakeholder in this consultation.

Source: Interview with John Garrison and "From Confrontation to Collaboration: Civil Society-Government-World Bank Relations in Brazil"

[Click to return to the main table](#)

Colombia: CAS- Consultation Dynamics and the Use of Information Technology

Among the events held in connection with preparing a participatory CAS for Colombia were a series of workshops held with representatives of civil society. The agenda of the workshops was to define development priorities which could be used by the Bank and the government as inputs in the CAS process. About 140 groups were invited to participate. Among the organizations invited were community groups, NGOs, religious groups, workers' unions, academia, media and private sector associations. The partici-

part selection process aimed to identify key leaders from a spectrum of civil society organizations whose opinions are respected, carry substantial weight, and transcend their respective organizations and can therefore be considered to reflect the prevailing views in Colombian civil society. Invitees were given a choice of selecting which workshop to attend, so that each workshop had a random mix of participants.

An innovative use of technology was adopted for this CAS, [GroupWare](#). This computer-based system allows individuals or small groups to express ideas and opinions using computer terminals or laptops linked to a central service. On a large screen, the ideas appear without identifications of the source. This method also allows participants to prioritize the lists easily, organize the ideas, and vote on options. Ideas stand on their own merit, regardless of source.

In a large group session, participants were asked to identify the main challenges Colombia faces in economic and social development and their reasons for those choices. Participants worked in groups of two or three per laptop in this brainstorming. The list developed was shown on the large screen as well as on the individual screens. Repetitive items were eliminated or combined.

Once the list was agreed upon, each small group then analyzed topics in greater depth. They reviewed the comments that had been made and discussed the relative roles of the different actors in the development challenges facing Colombia. An additional element of the exercise involved participants commenting on what they had learned that was innovative or surprising to them.

The computer system utilized in this consultation leveled the playing field for all participants. Since comments made by individuals from diverse social, economic and authority statuses were displayed anonymously, each was considered as valid as the next. This was especially true since no one could erase any of the ideas and all became part of the record. Finally, participants voted on the most important issues and identified who would be best able to carry out these priorities. Based on the voting results, an additional discussion was held on how the Bank could better respond to national priorities.

Note: This consultation was CAS related.

⁹The coalition of civil society organizations coordinated by the NGO Forum (FETAGRO, CUNPIR, OSR) are not only members of the PAIC Deliberative Council, which approves the projects submitted by the communities, but sit side by side with government technicians to analyse the project proposals. This participation has enhanced the selection process in two basic ways: the analysis is more complete, as CSO representatives have more local knowledge, and their presence has helped the state government avoid political pressures associated with the state-wide elections held in 1998.

Source: Based on an interview with Jairo Arboleda and his "Participatory Country Assistance Strategy in Colombia: A Case Study"

[Click to return to the main table](#)

Dominican Republic: Profile of Civil society and CDF Consultation

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

Scope: The civil society sector is largely unregulated. There is a proliferation of NGOs, many which are linked to individuals (politicians) and are not mission focused, but receiving assistance from the State. There is a national umbrella organization, Alianza. There seems to be good technical capacity in the international and national organizations, but the capacity seems weak among the smaller and rural groups.

Process: The Bank was called upon by the Dominican government and other key actors to assist in the creation of a broad-based consultation process that helps to build a consensus among the main political parties about development action plans and to help operationalize the agreements made. An independent forum, the Pontificia Universidad Católica Madre y Maestra (PUCMM - Catholic University) under the direction of a highly visible civil society leader, was identified and asked to coordinate the consultative process to ensure the active participation and endorsement of all three parties. (This individual is known for his background in conflict resolution and consensus building.) The Bank secured an IDF grant to finance the consultation process. Heeding lessons from previous consultative processes (including the Government's National Dialogue of 1997-98), this process aimed to involve all social and political forces that can give the outcomes high credibility and legiti-

macy, and focused on implementation. This was especially critical as this process took place during an election year.

Starting in September 1999, the PUCMM organized five mesas de trabajo (roundtables or working groups) with participation from three main political parties, and representatives from civil society. Civil society participants included representatives from trade unions, established NGOs, and academia, but not the smaller civil society groups. Congress was not represented. Some international donors (Germany, EU) participated and contributed funds. The topics of roundtable discussions were: Social Policies for Poverty Reduction, Economic Development Policies, State Reform, Environmental Policy and Management, and Frontier Development and Relations with Haiti. The roundtables met 2 to 4 times per month to discuss strategy, commission studies, and eventually reached consensus on areas of commitment for action. The coordinators of each roundtable met frequently. The Bank has followed the process, but has not taken an active, participatory role.

One successful outcome of the process was the inclusion of the five topics in all three political campaign agendas creating positive implications for the electoral process. The "Accord on Development Priorities for the Dominican Republic," findings from each roundtable were presented in December to the three presidential candidates in an official ceremony. The findings are still preliminary, but identify issues and general recommendations. Candidates included sections from the Accord in their campaign platforms. The opposition party, members of which showed great enthusiasm for the process, won the election in May 2000.

During the transition to a new government, a couple of the roundtables have been used as consultative groups to help shape government plans. Many of the participants of the roundtables have been nominated to key government positions and are seeking assistance from the roundtables to formulate their work plans. It is hoped that these roundtables will continue.

Note: In this consultation, World Bank organized the process.

Source: NGO/CS Unit's interviews with Marco Mantovanelli, Resident Representative, Dominican Republic (7/20/00) and John Panzer for the review, "Learning to Partner: Engaging Civil Society in the context of Country Assistance Strategies and the Comprehensive Development Framework." (11/16/99), and from background materials.

[Click to return to the main table](#)

El Salvador, Colombia and Peru: Comparison of Participatory CASs			
	El Salvador	Peru	Columbia
Preparation	<ul style="list-style-type: none"> (1) Led by Lead Economist (2) No Resident Mission (3) Delayed involvement of CSS (4) Limited Government involvement (5) No local Consultant (6) Consultation objectives defined, but no agenda (7) Questionable dissemination of info. 	<ul style="list-style-type: none"> (1) Led by CSO Networks (2) Resident Mission Involved (3) CSS involved (4) Limited Government involvement (5) No local Consultant (6) Consultation objectives and agenda not clearly defined (7) Some dissemination of information on Bank & CAS 	<ul style="list-style-type: none"> (1) Led by Resident Mission (2) EDI & LLC involved (3) CSS involved (4) Government involved (5) Local Consultant involved (6) Consultation objectives and agenda specified. (7) Some dissemination of information on Bank & CAS
Implementation	<ul style="list-style-type: none"> (1) Two-day seminar led by Bank staff (2) 40-50 urban CSOs participated, including membership organizations (3) No facilitation or consultation (4) Results not systematized. 	<ul style="list-style-type: none"> (1) CSO Networks carried out 23 Workshops (2) 530 urban and rural CSOs participated. (3) CSO Networks facilitated consultation (4) Networks summarized results with input from CSS 	<ul style="list-style-type: none"> (1) Two-day meeting led by Resident Mission staff (2) 50 urban CSOs participated (3) CSS and Local consultant facilitate consultation (4) Results captured by electronic technique called Group Ware
Results	<ul style="list-style-type: none"> (1) On CAS content, subtle but substantive enriching of existing issues and flagging of new ones. (2) Negative impact on Bank-CSO relations 	<ul style="list-style-type: none"> (1) On CAS content, deepened pre-defined issues. (2) Positive impact on Bank- CSO relations with the establishment of local working groups for further 	<ul style="list-style-type: none"> (1) On CAS content, strong impact of CSOs. CAS priorities set based on consultation (2) Positive impact on Bank- CSO relations & Government-CSO relations.

Table 6 Source: Katherine Bain and Estanislao Gacitua-Manio, "Promoting a Participatory Country Assistance Strategy: Lessons Learned from Colombia, El Salvador and Peru" in Thinking Out Loud

[Click to return to the main table](#)

Ghana: CDF- Building on Existing Processes

Ghana has developed a long-term, comprehensive vision for the development of its economy, Vision 2020. The Ghana Vision 2020 focuses on a participatory approach to, and ownership of, development policies and programs through national consensus building on strategic development issues. More recently, more elaborate sector strategies have emerged, as the government of Ghana has developed its Medium Term Expenditure Framework (MTEF). Each ministry, in detailing its current budget and proposing its indicative budget for the following two years, outlines its sector policy and targets to be achieved. The existence of a medium and long-term strategy provides the foundation for a comprehensive poverty reduction strategy.

The Structural Adjustment Participatory Review Initiative (SAPRI) involves engagement with a wide range of civil society organizations and works with linkages between national and local levels. The objective of SAPRI is to improve understanding about the impacts of adjustment policies on the people and about how the participation of local, broad-based civil society can improve economic policy-making. The process also provides a building block for strengthening the poverty focus of the national development strategy.

In 1997, a civil society organization took the lead under SAPRI in convening dialogue processes with several NGOs and labor unions active on areas linked to structural adjustment. NGOs from all over the country attended a three-day national workshop in April in Accra. This launched the outreach process that popularized SAPRI with the help of the media. Ten regional workshops, held with over 170 CSOs, identified priority issues and led to a national conference. A civil society steering committee (Civil Society Co-ordinating Council or CivisoC), representing a broad spectrum of CSOs, was established. The Tripartite Steering Committee, which includes government representatives, civil society, and the World Bank, meets on a regular basis. Since the steering committee's inception, civil society has been working fairly independently in selecting researchers, carrying out methodological workshops, and developing the research design for SAPRI in Ghana.

The SAPRI process has served as an entry point for the CDF. Two-day workshops were organized in six regions. The participants were drawn from civil society groups (including CBOs, NGOs, trade unions, teachers' groups, nurses and midwives' associations)

and local government units. Participants identified priorities and discussed issues relevant to development. World Bank representatives attended these workshops only to clarify policies. Following the workshops, an in-country Consultative Group meeting was held and civil society observers were permitted to attend for the first time.

Note: This consultation was CDF related.

Sources: World Bank website on SAPRI in Ghana and CDF; Papers: "The Ghana CDF Pilot: The First Steps, a Progress Report to the World Bank's Executive Directors and "A First Draft Comprehensive Development Framework Towards Ghana Vision 2020 Tenth Consultative Group Meeting, November 23-24, 1999, Accra"; and NGO/Civil Society Unit interviews with Country Director Peter Harrold and Social Development Specialist Kofi Marrah for review, "Learning to Partner: Engaging Civil Society in the context of Country Assistance Strategies and the Comprehensive Development Framework."

[Click to return to the main table](#)

Hungary: Civil Sector Conference

A two-day conference organized by the Association of Nonprofit Human Services and the Civil Society Development Foundation, Hungary, in cooperation with the World Bank Regional Office in Budapest in April 1999 aided in mapping the civil society sector as well as identifying issues to be addressed by the World Bank and the government. Five working groups were organized to prepare for the conference, and an agreement was also reached with the government's Department of Civil Relations. Originally planned for 100 participants, the conference was expanded to accommodate more of the 450 applicants.

Recommendations developed at the conference were presented to the government. Participants proposed more uniformity of laws governing the NGO sector and voiced concerns about the administrative costs of regulated compliance. Taxation and funding issues were also handled in detail.

Another major substantive area addressed by CSO participants was "the social dialogue system." This refers to integration of CSOs into governmental policy formulation. Many of the recommendations reflect the principles on consultations found in the guidelines presented here. CSOs recommended transparency concerning which organizations are participating by establishing clear selection standards or criteria and letting CSOs choose their own representatives for participation in decision-making fora. This proposed integration would also take place at the regional and local level through mutual co-

ordination boards. These boards were created to integrate social welfare activities of CSOs with local governance.

The Hungarian government has established the Department of Civil Relations within the Prime Minister's Office as a step towards partnering with civil society in a systematic manner. For Hungary, the issue of accession to the European Union is a crucial political question that also has an impact on support for CSOs.

Note: In this consultation, World Bank was a co-organizer of the process.

Source: Interview with Tunde Buzetzky and summary of "Dialogue for the Civil Hungary"

[Click to return to the main table](#)

Kyrgyz Republic: CDF

The Kyrgyz Republic participated in the CDF pilot process and has extended that process into formulating their National Strategy for Poverty Reduction. The CDF process engaged a number of stakeholders as active participants. This participation has generated strong interest and growing demands for involvement.

To formulate the Vision 2000-2010 (as the Kyrgyz plan for long-term sustainable development is known), the Core Group was created, headed by the Prime Minister and including the Minister of Finance. Four working consultative groups were formed, comprised of representatives from Parliament, government agencies, NGOs and the private sector. In addition to these groups, the CDF process introduced a number of consultative mechanisms. The Counterpart Consortium (a USAID initiated foundation which supports local NGOs) organized oblast-level roundtables for NGOs prior to the CDF workshops. An initial CDF workshop was held in February 2000 and three additional thematic workshops (on poverty alleviation, sustainable economic growth, and good governance) were held in May-July 2000. Prior to each workshop, government participants and NGO participants in the roundtables were asked to respond to a set of six questions asking them to rank priorities. At each workshop, a matrix was presented comparing the responses of NGOs to the response of the government. Following the workshop on poverty alleviation, large oblast-level assemblies were held. As of October 2000, the CDF was being drafted, and the inputs from the consultative mechanisms are expected to be reflected in the draft.

Note: This consultation was CDF related.

Source: Interview with Stan Peabody, draft of "Learning to Partner: Engaging Civil Society in the CAS/CDF" and material from the Kyrgyzstan Development Gateway website

[Click to return to the main table](#)

Niger: CAS- Facilitation and Handling Consultation Issues

The 1996 CAS for Niger was prepared in a participatory manner, with consultations held in the country's eight regions. The process was initiated with support from the Prime Minister's Office and subsequently received support from other government agencies, including the Ministry of Planning. The first pilot exercise was held in the Tillabery region, an impoverished area approximately 100 kilometers from the capital. Prior to the workshop, an information gathering session also served to publicize and explain the reasons for the workshop.

As the workshop began, it became apparent that local government staff were overshadowing community spokespersons and civil society representatives with their tendencies to interject their views into the discussion. The workshop was then split into two groups, 1) those representing local community-based perspectives, including traditional and religious leaders, women's groups and local associations and 2) those representing local government, technical and administrative perspectives.

The CS specialist facilitated and moderated the community group debate, which was held in local languages. He noted that by working without language barriers, community representatives expressed their concerns on a number of issues freely and became engrossed in the discussions, to the extent that keeping track of time was a problem.

Although the debates had occurred in the local languages, the groups' reporters (technical specialists who work in the regional government) wrote the draft of the proceedings in French. More of the reporters' views and concerns slipped into the draft, making it inconsistent with the views expressed by the community group participants. When participants read the draft proceedings, by way of translation, they objected, saying that it was a paternalistic expression and did not reflect their discussion, but rather the recommendation of the reporters. Despite the late hour and fatigue of the participants, the debate reopened.

Participants made the following comments on the consultation process:

- "You, the World Bank, you should be consistent and keep to what we are actually telling you- our preoccupation, our concerns. In the future, you should come directly to us for information like you did this morning."
- "You have seen that if it hadn't been required to translate and distribute the materials, our views could have been misrepresented."

Note: This consultation was CAS related.

Source: Adapted from Abdoul-Wahab Seyni in *A Tapestry of Hopes*

[Click to return to the main table](#)

Peru: Rural Roads Project

By using a consultative process, a rural road improvement project in Peru was itself improved to meet the true needs of local communities. Rather than simply creating or reconstructing roads belonging to the network of road of the mountainous Sierra region, needed footpaths were incorporated in to the design. Many pathways and roads had become impassable and dangerous, reducing travel and subsequently villagers' opportunities for trade and socializing. The project was created to give isolated towns better access to market centers and social services; help create jobs; and improve the maintenance of rural roads through community-based initiatives.

When the project was being prepared, leaders of local communities, road officials, and non-governmental organizations participated in consultative workshops to agree on key aspects ranging from the project design to its implementation. Since then, about 43 workshops have been held with local communities to make sure that the priorities are in line with travel and transport needs as perceived by the communities, e.g., which roads and paths (or tracks) to select for repairs and in what order of priority.

Participants in the workshops, including both men and women, discussed preferences for pathways over roads in certain areas, describing usage patterns which the original project had not encompassed. "We would never have known the extent to which people needed safe paths, rather than roads, had we not held these very inclusive workshops," says Jose Luis Irigoyen, a highway engineer with FPSI (Finance, Private Sector and Infrastructure network) in charge of the Bank project, now preparing the second phase.

Gender roles and relations played an important part in the consultations. Initially, the team had expected to be working with a very homogenous region. In fact, there were many differences in the communities, particularly where the roles of men and women were

concerned. Gender relations in the largely indigenous southern communities are distinct from those in the largely Spanish-influenced north. Women in the south are accustomed to participating in discussions and working alongside men. Traveling outside their communities was not as great a lifestyle change as in the towns to the north. In the north, women traditionally did not participate in discussions and decisions, and their freedom to travel to other towns is of concern to the men.

One outcome of the workshops was the creation of community-based micro-enterprises for maintenance of roads and pathways. With the help of local non-governmental organizations, members of the community were trained in basic bookkeeping and other skills and were assisted in getting identification cards needed to get small bank loans. The micro-enterprises were also a catalyst for new income-generating activities, such as van services to bring men and women into town, where they could trade or sell their wares, visit health services, and socialize.

Relationships were also changed, as the trust levels between local communities, non-governmental organizations, and Peruvian government officials increased in part, at least, because of the road improvement project and the consultative process. In particular, government officials came to recognize the value of NGOs that were most familiar with local communities and environment, and on whom they relied to play a key coordinating role.

Note: In this consultation, World Bank initiated the process.

Source: Interview with Elizabeth Dasso and "Peru's Rural Roads" (Today article)

[Click to return to the main table](#)

Philippines: CAS- Partnering with a Civil Society Network

Philippines possesses a large and advanced civil society. Not only is their NGO network large and active, but also includes an organization named CO-TRAIN. CO-TRAIN (Community Organizing Training and Research Advocacy Institute) focuses attention on capacity-building and training of CSOs. The CAS consultations in the Philippines were facilitated through a partnership formed with CO-TRAIN and representatives from other networks.

Overall, the CAS consultation built on established good relations and previous consultative processes. The plan for consultations was initially discussed with a small group of NGO representatives, which later became an informal advisory body for the CAS

consultation. Rather than an isolated act, the CAS consultation deepened and broadened the experiences of consultation in a supportive political environment. For example, the consultation plan was discussed and approved by the government. Good political timing also benefited the process as the consultation was held when the new administration was drawing up its Medium Term Plan for Development.

One-day consultation workshops were held in Manila and in three other strategic sites to represent the three major groups of islands. NGOs, people's organizations, trade union members, and representatives of indigenous groups participated in the workshops. Separate consultation meetings were held with government (both at the national and local level), donors, academe and the business community.

Together with the World Bank and the informal group of NGO advisors, CO-TRAIN identified the objectives and the expectations for the exercise. Co-Train's assistance in organizing and facilitating the consultations extended to documenting and translating World Bank information into Filipino and into a more "friendly" format. They also documented the issues and recommendations raised by the participants and these were responded to by the Bank staff. (These were all incorporated in one of the annexes of the CAS document.) They subsequently disseminated the CAS draft program matrix throughout their networks, providing wider coverage than was possible through the consultations themselves. After the consultations, the government also requested that the CAS be made a public document. With the CAS made public, the Bank again held another round of meetings with the participants in earlier consultations, giving them copies of the CAS and further feedback on the issues they raised during CAS formulation.

Note: This consultation was CAS related.

Source: Interview with Leonora Aquino-Gonzales, External Relations Officer, World Bank Office Manila

Senegal: Sustainable and Participatory Energy Management Project

The Sustainable and Participatory Energy Management Project (SPEMP) in Senegal focuses on sustainable management of forest resources, including identifying alternative employment for people dependent upon commercial sales of wood and charcoal, both scarce natural resources that serve as primary sources of fuel. The project is being implemented by the Ministries of Energy and Environment. This project demonstrates that without local level participation, priorities of local communities may be overlooked. It has been improved in order to help connect

community organizations to the planning of projects. A local NGO, selected by the government, is working with the World Bank project team at the level of communities and civil society organizations. The team formulated a Community and Civil Society Participation Plan, with the help of the NGO Liaison Officer/Participation Specialist at the resident mission who also trained team members in participatory rural appraisal (PRA) methods.

As with many forest projects, the SPEMP recommended that villagers plant species for which the project team had resources to develop the seedlings. However, matrix scoring exercises in the nine villages in which research was conducted revealed that these species did not match the priority of the communities. Interest was higher in local species which have other applications. Results also showed the need to incorporate gender differences in priorities. Women were interested in trees producing leaves for cooking to improve the nutritional status of households. Men were more interested in forage producing trees for feeding cattle, goats, and sheep during the long dry season.

Based on preliminary findings of the PRAs, the project team also changed its approach with respect to local institutions. Initially, the project team had planned to create forest management committees in each village. The PRAs revealed a significant potential for existing youth and women's associations to carry out the activities of the project. Rather than creating new structures whose existence is solely dependent on the project and transitory resources, the team decided to rely on existing groups to ensure sustainability of the new initiatives.

Note: In this consultation, World Bank was a co-organizer of the process.

Source: Interview with Demba Balde and his paper "Senegal: A New Participatory Approach to Energy Management" in [A Tapestry of Hopes](#)

[Click to return to the main table](#)

Ukraine: Broadening the Process of Consultation

The Ukraine 2001-2003 CAS extended the process of consultation from in-country roundtables to a web-based discussion forum. The approach adopted in Ukraine offers a model of how to integrate on-line consultations with other methods. A Bank mission, led by the country director, held an initial round of meetings in April with parliamentarians and NGOs. During a later mission, Bank officials held thematic roundtables on environmental issues, poverty reduc-

tion, private business development, anti-corruption, and energy sector reform. Consultations were held not only in the capital of Kyiv, but also in Zhytomyr, Dnepropetrovsk, and Donetsk. The mission met with more than 200 civil society organizations including NGOs, local civic associations, business groups, professional associations, media representatives, and think-tanks. Sector managers and task team leaders briefed participants on their respective sector strategies and on-going projects and programs.

The consultations allowed the Bank and the government to gather responses to the draft CAS and also allowed participants to exchange views. Of the follow-up meetings held with parliamentarians, one (a videoconference linked with WB headquarters) focused on anti-corruption and good governance and also included members of the presidential administration and the government. Another meeting on the same theme brought together donors with NGOs. Representatives from other IFIs and other donors, potential investors and industry professionals exchanged views on reforms in the energy sector. An NGO Contact Group of 11 members was established to serve as an advisory body to the resident mission, to help organize future consultations.

The next stage of CAS consultations was initiated with the resident mission launching its Discussion Forum, some two months after the formation of the contact group. The resident mission website posted key documents in Ukrainian and English language, including the draft CAS and background notes. The website allows readers to review comments posted by others as well as the proceedings of previous consultations. These documents were posted in Russian, Ukrainian and English. Comments on the CAS range from a general discussion of the priorities for development and how growth can be stimulated in the economy, to a line-by-line, specific critique of the draft CAS document.

The discussion forum also established ground rules for participation which recognize issues specific to an on-line forum, i.e., that material can easily be reposted to other discussion groups and that others may establish links to the discussion. Particularly, participants in the on-line forum were informed that their contributions are assumed to be their personal opinion, unless they clearly state that their contribution represents the viewpoint of their organization. Participants were asked not to quote an opinion as being held by an organization unless it is indicated as such.

The 2001-2003 CAS was approved by the Board on September 12, 2000. The final document includes an

attachment entitled "CAS Consultations with Stakeholders" which outlines the process and summarizes the observations and responses received by topic. One attachment to the CAS document consists of recommendations for improved outreach to civil society organizations that emerged during the CAS consultation process.

Note: This consultation was CAS related.

Source: Interview with Dmitro Derkach, Ukraine resident mission's website, and Today articles

[Click to return to the main table](#)

Zambia: CAS Consultations

CAS Consultations for FY 2000-2002 in Zambia were organized around the theme: "Realizing the Promise of Prosperity in Zambia." NGO consultations were moderated by a member of the NGO community with input from consultants to the World Bank.

Participants were given the following documents in advance: development objectives and policies of the government of Zambia, World Bank's preliminary assessment of the 96-99 CAS, a listing of the World Bank's active projects, and a note on the World Bank lending program.

When participants arrived at each NGO workshop, short versions of the documents previously distributed were displayed on notice boards as a focus for the morning's discussion. They were also given the World Bank Group's Mission Statement and James Wolfensohn's draft of "A Comprehensive Development Framework." The workshops were introduced with opening statements from Zambia's Secretary of the Ministry of Energy and Water Development and from World Bank representatives.

The independent facilitator then introduced the agenda, first asking participants to introduce themselves, their organizations, and the field in which they worked. Discussion began with the policies and strategies of the government. Participants prepared note cards with their comments regarding each of the four policies identified and on cross-cutting issues. Some general comments were made about their own lack of knowledge of government strategies and policies. Criticism was also directed at the extent to which funds were used for setting up government (salaries, expenditure on vehicles) and not implementation of projects. Later sessions involved small groups working on issues of six priority areas established in the earlier discussions. Outputs from these discussions were presented to the plenary.

With respect to the Bank's work, NGO participants suggested that the Bank increase allocations to directly affect poverty and to listen more to the poor. It was also recommended that NGOs should be involved from the early stages of project implementation.

After the Consultative Group meeting for Zambia concluded the country director for Zambia returned to lead a series of feedback sessions, inviting participants in the original CAS consultations to participate in these feedback sessions.

Note: In this consultation, World Bank was a co-organizer of the process.

Source: Interview with Helen Mbao and her synthesis report on the CAS consultations

[Click to return to the main table](#)

Pakistan: Left Bank Outfall Drain project

Context: The Left Bank Outfall Drain (LBOD) project of Pakistan was to provide a range of drainage infrastructure consisting of wells, interceptor drains, and tile drains to remove saline groundwater from an area of 1.3 million acres and to evacuate it to the Arabian Sea through a network of surface drains. The Drainage Advisory Service (DAS) has provided liaison between the Water and Power Development Authority (WAPDA), the implementing agency of the LBOD project, and the range of communities, organisations and groups which are directly affected by, or involved with, the project. With the sophisticated pumps and electronic controls provided at LBOB drainage facilities, the involvement of both the managing agency responsible for the operation and maintenance (O&M) of the pumpsets and the direct beneficiaries of drainage is required.

In order to increase the chances for success of this project, a communication strategy has been put into place that will allow for all parties to learn to work together. One component of this strategy involved consultations with the beneficiaries: farmers.

The consultative process : A variety of consultation methods have been developed depending on the particular purpose to be achieved.

- Farmer gatherings and orientation meetings
- Farmer exhibitions
- Consultation workshops
- "Walk-throughs" with farmers
- Farmer exchange visits

These consultations events were initially held as independent events but increasingly, DAS staff chose to combine, consultation workshops with exhibitions.

Consultations and extension methods or techniques are used to both inform farmers about the project as well as elicit from them their ideas and willingness to support different aspects. As a result of farmers having little involvement in the construction phase of the first project facilities, farmers identified ways in which communities in new construction areas can assist the project. These include: i) conducting baseline surveys, ii) refining design maps and plans, iii) prior to construction, identifying appropriate local contractors, and making arrangements where possible for use of local manpower, iv) resolving crop and land compensation disputes and v) assuring security for project field personnel.

From these suggestions, farmer exhibitions and consultation workshops were organized. The purpose of these meetings has been to: i) raise farmer awareness about LBOD and provide information about the project and its benefits, ii) identify ways in which the community may participate in the project, iii) assess the feasibility of an organisation to represent local farmer interests, iv) encourage the formation of a farmer organisation to represent their interests in project dealings, v) identify a group of farmers to represent community interests prior to the establishment of a formal organisation, and vi) discuss the prospective role of farmers in safeguarding and maintaining project facilities.

The format of the meetings evolved due to circumstance. Since there are relatively few senior staff within DAS who have both a broad understanding of the project and facilitation skills, early meetings placed the focus on 10-15 dignitaries on a platform. A loudspeaker system was provided for speeches by the visitors, which were then followed by a short question and answer session during which the farmer-participants identified issues of local concern in English, in honour of the guests. A new approach put the community – its interests, views and opinions – first and has external agents such as project staff, play a facilitative, supportive role rather than a directive one. Though the focus was now in the right direction, still there problems to be ironed out. After a few meetings, organizers learned the way to ensure that future meetings would not be dominated by vocal minorities and opinionated individuals, was to introduce a new format. Meetings held in autaks (community halls) with

fewer participants divided into small workgroups enabled a more constructive discussion to result. Based on the experience, a streamlined approach to field consultation and extension activities has evolved, which includes the following steps:

- Preliminary reconnaissance visits by junior DAS field staff
- Exhibitions to inform the wider community about the works
- Consultation workshops to establish local issues and priorities
- Informal women's meetings
- Visits by farmers to an operating system to witness benefits
- Joint tours (or walk-throughs) along the route of the proposed drainage channel to assess the implications of design changes with landowners and operators.

Formal Consultation Meetings and Exhibitions For several days in advance of formal meetings and exhibitions, mid-level and junior field staff of DAS establish contact with the host community, establishing details of land use, social data, irrigation issues and drainage priorities. They explain the purpose of the exhibition-workshop, and agree on a convenient venue and time. The host community is encouraged to take a lead role in the organisation of the meeting and invite farmers from surrounding villages. Senior DAS staff then led meetings of 100 to 200 farmers and community leaders.

Women's Meetings A number of different types of meetings to familiarise women with the project activities have been tested within rural communities. Female WAPDA extension workers held six formal women's exhibitions to inform women about the project. Later, female extension workers visited villages without advance notice and spoke to smaller groups of women in their houses and in the field. In cases where the community was sufficiently large and the women at the informal gatherings were keen that their friends and neighbours also had the opportunity to hear about the project, follow-up visits were arranged so that longer and more formal extension programmes could be held.

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

In one community, informal meetings were held to publicise to women the plans for construction of tile drainage facilities. Over 2,783 women were visited in their homes by DAS female extension workers; 15 women visited a working tile drainage installation; a further 15 visited a community based organisation (CBO) formed and supported by the National Rural Support Programme, a national NGO. Presentations were also made by DAS female extension staff to women in various other NGO/CBO forums.

Exchange visits In early years, exchange visits were used to demonstrate operating scavenger wells to groups of 100 to 150 farmers. As farmers became more familiar with project technology, visits by smaller groups of carefully selected community representatives from new areas of construction were facilitated by DAS so that the visitor-farmers could witness the benefits of drainage and the organisational arrangements required for sustainable operation at successful operational wells

Informal Meetings Informal farmer meetings have also been carried out in advance of construction with the aim of informing farmers about the project and welcoming their questions and opinions. Field assistants gather 10-15 farmers to discuss the project and canvas farmer opinion, leaving project leaflets for the farmers to discuss with other colleagues.

Final Acceptance Tests (FATs) Final acceptance tests have been undertaken in Saghar where project staff, the contractor, farmers and DAS are represented at the final testing of scavenger wells. The purpose is to demonstrate the proper functioning of the drainage system and to gain the support of the farmers for shared operation and maintenance of the well. The need for farmer involvement in FATs arose because of complaints about the construction work. By correcting mistakes identified by farmers, there is a better prospect of farmer support for shared O&M. The FAT programme also requires farmers to agree on the numbers and locations of structures along the disposal channel and to remove all other obstructions.

Source: Adapted From Main Report of LBOD Communication Strategy, Chapter 3: Farmer consultation processes: methods and Experience, Government of Pakistan Water and Power Development Authority

[Click to return to the main table](#)

EU- ACP: Lomé IV Convention

The negotiations for a Convention to succeed the Lomé IV Convention began in September 1998 and

included a range of civil society consultations. Lomé Convention, originally signed in 1975 between the European Community and former colonies in Africa, Caribbean, and the Pacific (ACP), expired in February 2000. The Lomé Convention included aid support and special trade provisions for the 71 ACP countries. In renegotiating Lomé, the European Commission's mandate explicitly expanded the dialogue, stating the intent to "extend the partnership beyond the government and its agencies as hitherto, to encompass a wide range of non-governmental actors."

Prior to the renegotiations of Lomé, several Caribbean NGOs began organizing and holding regional meetings with other CSOs, government ministers or National Authorizing Officers, and the EU Delegations. The Caribbean Policy Development Centre was then asked to facilitate the discussions with the Caribbean Community Secretariat (CARICOM) and with Cariforum (the group tasked with disbursement of EU funds). As a result of these efforts, the Regional Indicative Plan was modified to include a budget to support participation, and some national plans were developed with civil society inputs.

Beginning October 1997, organizations from the ACP countries met on several occasions to discuss ways of improving dialogue with the EU, and established the ACP Civil Society Forum. In some cases, an umbrella or network organization took the initiative on organizing consultation meetings. In Southern Africa, an NGO support organization, the Reflection and Development Centre for NGOs in Eastern and Southern Africa (MWENGO), organized national and regional meetings. In Uganda, the meetings were organized in 1997 by the Development Network of Indigenous Voluntary Associations (DENIVA). The National Authorizing Officer (government minister) and desk officers attended this meeting, providing information and answering questions. Follow-up meetings included a National Forum (in which the EU Delegation actively participated) and an ACP NGOs meeting (that was opened by the Ugandan minister of planning).

Elsewhere, joint or national committees were established. The Tanzanian Consultative Group on the Lomé Convention comprised of government officials and representatives from civil society organizations, academia, and the private sector. In South Africa, an interdepartmental governmental Lomé Convention committee was established and this committee organized seminars in cooperation with civil society.

Northern civil society partners supported the consultations. The European Center for Studies, Information and Education on Pacific Issues (ECSIEP) which focus-

es on networking and information dissemination, partnered with the Pacific Concerns Resource Center (PCRC, a Fiji based network of approximately 150 Pacific NGOs). In 1997, they held meetings in eight Pacific ACP countries and three French territories, determining that there was little knowledge of or interest in the Lomé Convention. These findings determined their subsequent information dissemination strategy. Elsewhere, the Northern organizations of Interchurch Organization for Development Cooperation in the Netherlands and SOS-Faim in Belgium provided funding for seminars.

Sources: Grauman, A. "Experiences of Dialogue between Civil Society and National Governments in the EU-ACP Partnership, INZET and INZET, "Civil Society Participation in a New EU-ACP Partnership," Workshop report.

[Click to return to the main table](#)

Organization of American States (OAS): Development of Inter-American Strategy

In 1997, the OAS began the process of formulating the Inter-American Strategy for the Promotion of Public Participation in Decision-Making for Sustainable Development (ISP). The process involved consultations in all OAS member states on the Policy Framework and Recommendations for Action which are now under consideration for adoption. A key component of the ISP was "the testing, using the inputs from other activities, of pilot models of consultative approaches to build public-private partnerships for policy-making, including their institutionalization in relevant bodies of the OAS." Each OAS member state designated National Focal Points to serve as in-country liaisons with the OAS for the process. In addition, a Project Advisory Committee, consisting of seven representatives each from government and from civil society, provided strategic guidance and advice. Each National Focal Point organized the consultative process for that country.

National Focal Points received a Consultation Kit which included an executive summary of the ISP process and documents; a recommended consultation process and schedule for action; and consultation guidelines and tools. This last item was divided into materials for outreach, meetings and reporting. Samples of a distribution letter, press release, meeting agenda, and meeting aids were provided. Information dissemination occurred through umbrella organizations who would then distribute the draft documents to their members. In Peru, for example, approximately 700 organizations were eventually reached in this manner as organizations continued replicating and sending on the documents. Through

V. Definitions and Typologies: Analyzing the Civil Society Sector

Terminology

The principal terms and acronyms used in discussing the civil society sector include: non-governmental organizations (NGOs), private voluntary organizations (PVOs), non-profit organizations (NPOs), and voluntary development organizations (VDOs.) Size and/or social proximity are criteria that are widely used to differentiate these organizations from community-based organizations (CBOs) or grassroots organizations (GROs). Increasingly, civil society organizations (CSOs) is used by practitioners to encompass different levels of organiza-

The UNDP Civil Society Organization and Participation Program Frequently Asked Questions on CSOs uses this definition: "Civil Society Organizations (CSOs) are non-state associations whose main aims are neither to generate profits nor to seek governing power. CSOs unite people to advance shared interests and agendas ranging from ephemeral and parochial to enduring and universal. They may be described as individuals grouped privately to pursue a mutual or public good. CSOs are extraordinarily diverse, reflecting the societies in which they are rooted. Environmental groups, think tanks, trade unions, religious congregations, grass roots and indigenous movements and even sports clubs are examples of CSOs. Such groups may be divided into membership associations organized for mutual support, often based on traditional forms of voluntarism and self-help based on social ties, and those which deliver goods and services to others. Many CSOs in both categories are expanding their objectives and capacities to include policy analysis, advocacy and the ability to provide information for-- and serve as partners in-- development policy formulation. Many networks, coalitions and alliances are formed to achieve common objectives, reflecting considerable overlap among CSOs' areas of engagement, and their growing role in building social awareness and consensus."

Box 14 UNDP Definition of CSOs

tions, but this term has not yet been adopted widely in academic literature.

Within the World Bank, usage of the term focuses on the distinction between local and non-local organizations. GP14.70 (Involving Non-Governmental Organizations in Bank-Supported Activities) defines NGOs in the following terms.

The term "NGO" refers to a myriad of different types of organizations. At its broadest, it includes all groupings of individuals that fall outside the public and for-profit sectors, whether legally constituted or informal, established or transient. The term also includes both community-based organizations (CBOs), usually formed to serve the interests of their own members (or community), and intermediary organizations, normally established to serve either the interests of a particular target group (e.g., CBOs, poor communities) or the common good (e.g., the environment). "Civil society" is the space between family, market, and state; it consists of not-for-profit organizations and special interest groups, either formal or informal, working to improve the lives of their constituents. Civil society organizations (CSOs) include local and international organizations, business and professional associations, chambers of commerce, groups of parliamentarians, media, and policy development and research institutes. The interests of the Bank coincide with those of many NGOs and CSOs that work in the field of economic and social development, welfare, emergency relief, and environmental protection or that comprise or represent poor or vulnerable people.

The 1999 OED review "Non-governmental Organizations in World- Bank Supported Projects" refers to operational differences between the NGOs and CBOs by noting that

In Bank-supported projects, NGOs are most likely to be contracted to help design projects, deliver services, or conduct research and training. CBOs, which are likely to include groups of project beneficiaries, are consulted to ensure that beneficiaries' interest are reflected in project design.

Definitions

The literature on civil society produced by scholars, development practitioners, activists, and government observers has generated a whole range of definitions. This proliferation of definitions has led

some analysts to develop typologies of definition to help clarify the subject (see box 15) and to assess the uses of each type. Some of the definitions are specific to a particular study or institutional use. Most definitions employ the following elements: civil society occupies the space between the state and the family or household; it is distinct from the market in its absence of profit motive and its voluntary and associational character; and it is based in common interest and/or benefit. Some definitions exclude religious organizations or unions. Others emphasize one element over another; e.g., the absence of a prof-

Types of Definitions

The definitions analyzed here refer to non-profit organizations, a somewhat broader category that still encompasses NGOs but may exclude CBOs.

Legal- the definition provided for a country's legal code

Economic/Financial- primary source of income for the organization is dues and contributions of members and supporters, used by UN System of National Accounts

Functional- functions organizations carry out promote the "public interest" or a set of group interests and concerns

Structural-operational- sector that is organized, private, non-profit distributing, self-governing, and voluntary

Adapted from Salamon and Anheier, *Defining the Nonprofit Sector: A Cross-national Analysis*

Box 15 Types of definitions surround NGOs

it motive by characterizing civil society organizations as the "non-profit sector" or the distance and autonomy from both state and the market by referring to it as the "third sector." Although many definitions characterize civil society as voluntary (meaning that activities are undertaken voluntarily and not for remuneration and/or that there is some degree of voluntary participation) as the civil society sector has become professionalized, "volitional" has been increasingly employed. "Volitional" refers to the extent that the organization is established and maintained out of the free will of its members.

The Role of Civil Society in Democratic Consolidation

Recent literature has also addressed the role of a vibrant civil society as a requisite for democracy. Diamond (1994) defines civil society as "the realm of organized social life that is voluntary, self-governing, (largely) self-supporting, autonomous from the state, and bound by a legal order of set of shared rules. It is distinct from "society" in general in that it involves citizens acting collectively in a public sphere to express their interests, passions, and ideas, exchange information, achieve mutual goals, make demands on the state, and hold state officials accountable." This perspective is also reflected in aid programs (e.g., USAID on democracy and governance) which have targeted CSO development. Carothers (1999) evaluates the success of these programs.

Box 16 Role of civil society in democratic consolidation

While the criterion of distance from local community is commonly applied to categorize NGOs and other civil society organizations, these organizations have also been classified along other dimensions. The box below lists five of these, with examples:

Dimensions for Classifying Civil Society Organizations

1. Objective
 - Collective self-interest (occupational unions, professional associations, credit associations)
 - Public interest (environment, family planning, human rights)
2. Geographic range
 - Community-based organizations
 - National organizations (Grameen Bank)
 - Regional organizations (Africa Watch, South-South Solidarity)
 - International organizations (most based in the North, but operating worldwide, World Vision, Transparency International, Civicus)
3. Mode of operation
 - Operational organizations (concerned with design and implementation, Oxfam, CARE)
 - Advocacy organizations (concerned with lobbying and consciousness-raising, Transparency International, Amnesty International)
 - Funding organizations (Ford Foundation, Gandhi Peace Foundation)
4. Service rendered
 - Disaster relief
 - Welfare (charitable work on a sustained basis)
 - Development (capacity building, enabling indigenous organizations)
 - Public awareness and education
5. Governance
 - Participatory (democratic)
 - Charismatic (populist)
 - Autocratic (command management)

Box 17 Source: "Nurturing Civil Society at the World Bank."

Another widely used distinction is between Northern NGOs and Southern NGOs. These terms are sometimes used to imply a range of characteristics beyond geographical location. Northern NGOs are characterized as having more resources (or access to them), more frequently international in scope and with a tendency towards advocacy as well as operational work. Southern NGOs are seen as better connected to the grassroots, more country-specific and more focused on the operational side.

A frequently cited and thorough review of efforts to define and classify the civil society sector notes that the classification issue is of concern to practitioners as well as scholars. Vakil observes that lack of clarity in classifying NGOs obstructs the process of knowledge transfer and experiential learning, making it difficult to determine the extent to which lessons from a particular

One proposed framework for understanding NGOs

A proposed framework for classifying NGOs focuses not on organizational types, but on organizational attributes. Two levels of descriptors are used, essential and contingent. Essential descriptors establish the broad parameters of attributes through which most NGOs can be classified. Contingent descriptors may be useful for certain debates, but do not apply to all classes. Essential descriptors are:

Orientation- welfare, development, advocacy, development education, networking, research (many have more than one)

Level of operation – international, regional, national and community-based

Contingent descriptors:

Sectoral focus (ICNPO recommended- see box below)

Evaluative attributes- accountability, efficiency, participation, gender equity
 Source: adapted from Vakil, "Confronting the Classification Problem: Toward a Taxonomy of NGOs"

Box 18 Classification of NGOs

International Classification of Nonprofit Organizations: A Sectoral Focus

In their analysis of the non-profit sector, Salamon and Anheier propose a classification system based on their evaluation of three international standards. This work has been widely cited; the system does not, however, offer a means of distinguishing when an organization is involved in multiple activities as to which constitutes the defining characteristic. It divides the nonprofit sector into 11 major activity groups (plus a twelfth residual) which are then further subdivided. These divisions are:

- culture and recreation
- education and research
- social services
- environment
- development and housing
- philanthropic intermediaries & voluntarism promotion
- law, advocacy and politics
- health
- international activities
- religion
- business and professional associations, unions

Source: Salamon and Anheier, *Defining the Nonprofit Sector: A Cross-national Analysis*

Box 19 International Classification of Nonprofit Organizations

setting can be usefully applied in another. Vakil's review also refers Salamon's and Anheier's proposed classification (the International Classification of Nonprofit Organizations) which divides organizations into 12 major groups based on "primary economic activity." Although not focused on development issues, this classification is useful for comparing NGOs across regions based on sectoral activities. (see box 19).

In addition to the typology schemes discussed here, selection criteria for partnering with NGOs aid in classifying development-oriented NGOs with whom the Bank may effectively work. In "The Bank's Relations with NGOs: Issues and Directions" selection criteria are identified as the following:

- **credibility:** accountability to relevant stakeholders, focus on development objectives
- **competence:** relevant skills, experience, and track record
- **local knowledge:** proven high-level understanding of country context
- **representativeness:** community ties, accountability to members/ beneficiaries, gender sensitivity
- **institutional capacity:** sufficient scale of operations, human resources, and facilities

Finally, many civil society organizations are associated with or form their own umbrella organizations or networks. Donor agencies and foundations have, in some cases, encouraged the establishment of such networks through conferences, networking activities and technical advice in capacity-building. In other cases, a group of organizations may come together for advocacy purposes and discover that the network formed has certain advantages for co-ordination of other efforts. Other networks have been formed gradually over time by organizations working on common issues.

LINK: [click here](#) for an example of network formation from the EU-ACP Lomé IV convention in CASES (now replaced by the "Cotonou agreement").

Acronyms

CBOs- Community Based Organizations
GROs- Grassroots Organizations
GRSOs – Grassroots support organizations
NPOs- Non-profit or not-for-profit organizations
POs- People's organizations
PVOs- Private voluntary organizations
VOs – Voluntary organizations

[Click here](#) to return to table of contents.

and a lack of resources. While infrastructure (poor quality phone lines, insufficient computers) is a problem, most of the issues that they have identified involve lack of knowledge of potential uses. Their analysis has been summarized in the LAC Civil Society Team's *Food for Thought*.

Resources available for CSOs with information technology capacity

- **Subscription lists**

Listserv technology may be usable by CSOs who have email, but not web access, by sending regular messages on a particular topic. The Development Forum listservs at the Bank offer focused and moderated discussions on particular topics, lasting several weeks at a time. CSOs have participated actively in many of these discussions.

USAID sponsors a listserv, the Global Participation Network (GP-NET). While half of its subscribers are USAID employees, subscribers are also from the Bank, CIDA, IDB, UNICEF, ADB, FAO, UNDP, the Peace Corps, Save the Children, and InterAction. Topics range from broad-based themes to focuses on specific programs. The listserv can be accessed through the USAID website. at www.info.usaid.gov/about/part_devel/gpnet.html.

- **Creating new lists through chatrooms**

In addition to pre-existing lists, changes in information technology have made it much easier to establish a list or group that is specialized. Several websites facilitate the process of forming chatrooms or other forms of on-line fora. These are similar to newsgroups (discussion groups on the Usenet), but are easier to form, use and control. Generally, chatrooms have more tools connected with them. On-going discussions are threaded to allow participants to focus on a theme; there are usually some form of limited archiving available for discussions. Some feature a calendar where upcoming events can be posted.

Most are free and just require that participants register basic information. The tradeoff is that such websites usually have extensive advertising and/or may send email to participants. In registering a chatroom or forum, there is usually a choice between making it open to any participants who find it and keeping closed and by invitation only. The process of establishing a chatroom is slightly different for each site, but all walk the participant through a step-by-step process.

Geographically-scattered CSOs with web access can use such forums to exchange information, co-ordinate

activities, and hold meetings in a conference call format. If CSOs working on a particular project or engaged in a consultative process all have web access, Bank staff can easily create an on-line forum as a means of sharing experiences and information.

Some chatroom/ On-line forum locations:

www.delphi.com
www.egroups.com
www.listbot.com
www.clubs.yahoo.com

Websites with information on CSOs are so extensive that only a few key ones are listed here. Most of the ones listed here are portal websites which offer live links (connections you can click directly to access) to other websites.

www.civicus.org Civicus is a umbrella organization of NGOs which includes country profiles on the sector in many countries. These profiles are clearly organized and relatively short and offer useful background information.

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

www.undp.org/csopp/CSO/NewFiles/docemppeople6.html The UNDP Civil Society Organizations and Participation Program's "Empowering People: A Guide to Participation" (1998) has a Resource Guide at the end which consists of an extensive bibliography divided by topic, a list of organizations working with participatory methods (including contact information), and a list of internet resources and websites. While very well-organized and annotated, the website links are not live.

www.info.usaid.gov/about/part_devel/docs/webguide.htm This USAID link on participation offers an annotated list of useful live links, including participation guides and other portals. Another USAID link offers connections to the websites of some NGOs in the form of a list of organizations with no explanatory material. www.info.usaid.gov/about/resources/#non-govt

www.ids.ac.uk/eldis/eldis.html Eldis, the portal at IDS on development offers a searchable list of major sites with links to resources, bibliographic material, discussion lists, contact information of organizations and networks. This portal link has notes on the different links provided, allowing quick and efficient browsing. The participation link is

www.nt1.ids.ac.uk/eldis/pr/pr.html

Political Economy of Information Sharing

A recent article links the decline in costs of transmitting information with the expansion of the NGO sector, arguing that an important function of NGOs as producers of information goods. Drawing on cases in Latin America, the author analyzes information sharing inputs and outputs. She identifies the following as outputs: education and training, research, capacity building and institutional strengthening, networking, awareness raising and social change. Inputs are characterized as: donations of information, sharing of information inputs through networks, barter relations, joint projects, and communication feedback.

Source: Meyer, "Political Economy of NGOs and Information Sharing" *World Development* 25, no. 7:1127-1140

Box 19 Political Economy of Information Sharing

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[Click here to return to table of contents.](#)