

Consultations with Civil Society

A SOURCEBOOK

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produced by:



CIVIL SOCIETY TEAM

WORLD BANK

Contents

Acknowledgments	i
Preface	ii
Abbreviations & Acronyms	iii

SECTION ONE: WHY TO CONSULT

Consultations with Civil Society

Definition of Civil Society Organizations	1
Definition of a Consultation	2
World Bank Role in Consultation	3

Types of Consultations

Global Consultations	4
Regional or Multi-Country Consultations	4
Country/National Consultations	5
Project Consultations	7

Consulting Stakeholders:

Listening to the Poor	9
Partnering with Indigenous Peoples	10
Enlisting Women's Participation	11
Engaging Young People	12
Consulting with Unions	14

SECTION TWO: HOW TO CONSULT

Designing the Consultation

Key Consultation Principals	17
Clarifying Objectives and Parameters	18
Ensuring Commitment and Fostering Ownership	19
Defining Roles and Responsibilities	19
Understanding the Political Landscape	20
Budgeting Resources and Allocating Time	21
Allowing Adequate Preparation Time	22
Building on Existing Foundations	23

Developing Profiles

Identifying Stakeholders	25
Selecting Participants	26
Sharing Information with Stakeholders	27

Contents continued

Tools & Methodologies

Expert Assistance	30
Front-Loading knowledge	31
Providing Training, Soliciting Feedback	31
Public Disclosure	32
Interviewing Multiple Sources, Focus Groups	33
Workshops, Roundtables, Public Feedback	33
E-Discussions	34
Public Gatherings, Hearings, Handling Logistics	35
Recording and Incorporating Inputs	36
Providing Feedback	37
Acknowledging the Participants	38

Evaluating the Process

Going Beyond Consultations	39
Tips for Effective Consultations	40

ANNEXES

ANNEX A: CONSULTATION EXAMPLES

FOREST POLICY: Global Consultations	41
POLAND: Country Assistance Strategy	45
GEORGIA: Consultation Communications	49
BOSNIA AND HERZEGOVINA: Post-Conflict Consultations	53
ARGENTINA: Resolving Community Tensions	55
BRAZIL: Overhauling Project Implementation	57
PAKISTAN: Ensuring Community Participation	59

ANNEX B: CIVIL SOCIETY ORGANIZATION PROFILES

Civil Society Organization Profiles	62
SRI LANKA: Elements of a Profile	65
CAMBODIA: Civil Society Assessment	67
Websites on Civil Society	70

ANNEX C: CONSULTATION DESIGN

WDR: Designing Consultations (example)	71
YEMIN: Beneficiary Assessment (example)	75
References on Consultations	78

REFERENCES	79
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FOOTNOTES	84
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Acknowledgments

THIS SOURCEBOOK is the result of a common effort by different individuals and teams from across the Bank who have contributed in the last decade to build a body of knowledge and expertise on how to engage civil society and promote participatory development. As such, this sourcebook reflects the practices of World Bank staff working in developing countries throughout the world and in Washington. It also incorporates the experiences of Civil Society Organizations (CSO), governments, and other donor agencies.

The first version of the Sourcebook was published in 2001 and produced by the NGO Unit in the Environmentally and Socially Sustainable Development (ESSD) Network. It has evolved and been revised over time as a result of being presented and discussed at numerous Stakeholder Consultations training courses from 2002 through 2006. The following Bank staff have contributed to earlier versions of the sourcebook: Barbara Mascarenas, Carolyn Reynolds, Cecilia Verzosa, Jan Pakulski, Janiece Gilbreath, Jeff Thindwa, John D Clark, Karolina Ordon, Larry Salmen, Najma Siddiqi, Nightingale Rukuba-Ngai-za, Paul Mitchell, Shawn Miller, Shelton Davis, Soniya Mitra, William Reuben, and Yumi Sera. This current version was prepared by John Garrison of the Civil Society Team with the editing and design assistance of Celeste Bernard.

Preface

The “Consulting with Civil Society” Sourcebook is geared to providing a practical source of advice for improving the way the Bank engages in effective policy and program consultations with civil society. Its underlying purpose is to provide guidance for Bank staff, governments, and other stakeholders who lead and organize these consultations.

The Sourcebook provides an overview of what constitutes consultations and guides Bank staff in designing consultations for civil society organizations on a variety of instruments and activities such as development strategies, policies, research, and projects. The Sourcebook recognizes the great diversity of country contexts and experiences, as well as the broad variety of consultation approaches. It does not attempt to provide a single blueprint for consultations, but rather seeks to offer methodologies and tools which can be used in different contexts and with distinct actors.

The Sourcebook was prepared in response to requests from Task Team Leaders and other Bank operational staff who need specific guidance and support to undertake consultations with civil society organizations. The Sourcebook is also used as the key reference for the Civil Society Engagement training course for Bank staff. The Civil Society Team invites readers to send feedback and suggestions on how to improve the breadth and quality of the sourcebook. **Please send your input to: civilsociety@worldbank.org.**

Using the Sourcebook

The Sourcebook is designed to be a useful resource for consultations. Readers are urged to use it according to their particular needs or learning styles. Some may wish to read it from beginning to end. Others may prefer to begin with a specific section, box, or annex and to use the references find additional materials.

MORE INFO

Training and advice is available from the Civil Society Team by sending an email to:

civilsociety@worldbank.org

SECTION ONE provides an overview of consultations with civil society that are drawn from World Bank staff, CSOs, governments, and other donor agencies. It is intended to provide the overall rationale and framework to guide Bank consultations.

SECTION TWO provides a step-by-step approach to designing consultation processes. It is not intended to be a blueprint for the consultation process, but rather a menu of options from which to consider depending on the type of consultation that is envisioned. It emphasizes the importance of a systematic approach to consultation design, including careful documentation of lessons learned, so that others who follow may be able to conduct successful consultations.

Abbreviations & Acronyms

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

SECTION ONE

Consultations with Civil Society

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, when properly organized, 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 that is vital to the policy process and that gives voice to the opinions and experiences of the poor. These contributions, recognized in the Bank's Comprehensive Development Framework and the Poverty Reduction Strategies Papers (PRSP), place partnerships among governments, civil society, and the private sector at the center of policy design and development planning. CSOs also play increasingly important roles in influencing policies and policy-makers at the global level.

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

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

Civil society consultation is a complex process that the Bank and client governments must handle with sensitivity. Poorly planned consultations can lead to poor results, frustration on all sides, and "consultation fatigue." However, with a commitment to making the process work and a modest investment of time and resources in properly designing and conducting consultations, these processes can yield constructive inputs that improve policies, strategies, and projects.

Definition of Civil Society Organizations

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

rations may be included.

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

Source: The World Bank, "Issues and Options for Improving Engagement Between the World Bank and Civil Society Organizations," EXT, ESSD, OPCS, March, 2005.

Definition of a Consultation

Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. It is a deliberation, discussion, and dialogue. Consultations are more formal and interactive than dialogue, and generally vary from consultations on global policies – such as social safeguards and adjustment lending – to local consultations on Bank-financed projects. The objective of a consultation is to seek information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The organizer seeks to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented. Providing and sharing information is seen as the foundation of an effective consultation process.

CONSULTATION OBJECTIVES

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

World Bank Role in Consultations

Understanding the role of the Bank – as a facilitator, convener, or decision maker – is a crucial element to any effective consultation. Often, the Bank's role dictates the objectives of the consultation and processes or methodologies used.

FUNCTIONS AND SKILLS OF BANK STAFF

FACILITATOR

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

CONVENER

- Informing, listening, clarifying, recording
- Reporting to decision makers and participants

KEY POINTS

- Consultations are about active listening, not negotiating
- Providing feedback to participants is key to successful consultations
- Lessons from one consultation build into the next
- The subject matter may be emotionally close to you – separate personal from business

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

When a government is the decision-maker, the Bank may act as a facilitator for the consultation process, convening the relevant actors, assisting governments and CSOs in the consultation process, and ensuring that relevant inputs from CSOs are adequately incorporated. It is appropriate for the Bank to advocate to member governments that they use participatory approaches in the selection, design, implementation and evaluation of development programs, on the grounds that such participation enhances development effectiveness. It also is appropriate for Bank staff to advise governments to allow and foster a strong civil society that can participate in public affairs.¹ As the facilitator, the Bank recognizes its accountability, but not as the owner of the consultation process. The Bank plays the role of a facilitator in government consultation efforts to

design and implement investment projects, policy-based operations, reform programs, and Poverty Reduction Strategy Papers (PRSPs). In these cases, the Bank usually remains in the background while supporting a healthy dialogue among governments, business, and civil society.

When consulting on World Bank policies, however, the staff takes an active role in convening and participating in the consultations. As convener, the Bank recognizes its ownership and, therefore, its full accountability for the consultation. The Bank plays the role of a convener in consultations for developing a Country Assistance Strategy (CAS), in economic sector work, Bank policies, and sectorial strategies.

Types of Consultations

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

Global Consultations

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

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

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

SNAPSHOT: WORLD DEVELOPMENT REPORT

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

Regional or Multi-Country Consultations

Development issues are not necessarily seen as single-country issues. As a result, strategies and projects often encompass multiple countries, and some global consultations encompass consultation strategies at the regional level. Depending on the objective, consultation processes take on different forms, time periods, and institutional arrangements.

The Bank may be an initiator or a partner in these consultations, and in most cases, civil society is actively consulted. Consultations often occur when the Bank develops subregional strategies, reports, issues, and regional sector strategies.

REGIONAL NILE BASIN INITIATIVE

The Nile Basin Initiative, launched in February 1999, is a partnership among Nile basin countries to jointly develop and manage Nile waters based on the members' shared vision for the region. It is comprised of a government representatives from the 10 riparian countries, Council of Ministers of Water Affairs of the Nile Basin, Technical Advisory Committee, and a Secretariat located in Uganda.

To ensure development strategies reflected input from multiple civil society constituencies, a structure for governance was proposed to include a General Assembly – the major Nile Basin Discourse body - that would meet approximately every 2 years to approve an overall program and to discuss general policy issues. The General Assembly consists of 30 elected civil society representatives - three from each country – as well as five international representatives from donor agencies and co-conveners and core donors.

The World Bank's role in the project began two years earlier – in 1997 – when the Nile Council of Ministers requested assistance coordinating donors and financing cooperative projects. The Bank agreed to support the Nile Basin Initiative in partnership with the United Nations Development Program and the Canadian International Development Agency, organizations that had long been active in the region. The Bank emphasized the need for all riparian countries to actively pursue ideas anchored in a shared vision for the Basin.

The Bank's efforts assisted in the development of the governance structure proposed for the Nile Basin Initiative. It serves as a model for technical projects for effectively involving civil society in government decision making and by strengthening the capacities of neighboring countries in the technical, cultural, and social realms.

Sources: Nile Basin Initiative website, www.nile.basin.org; and interview with Paula Donnelly-Roark, Africa Region, The World Bank, Washington, D.C., 2003.

Country/National Consultations

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

COUNTRY ASSISTANCE STRATEGIES (CAS)

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

Civil society involvement has been considered increasingly important in this process. The percentage of CAS documents prepared with civil society participation improved substantially soon after the Bank's CAS disclosure policy went into effect in 1998. In fact, civil

society involvement in CAS consultation increased from 20 percent in fiscal year 1998 to 80 percent or more in each of fiscal years 2000 and 2001.

Some of these consultations have been quite extensive, involving a broad range of people. Various participatory tools have been used to assess developmental priorities for the CAS (see “*World Bank-Civil Society Engagement: Review of Fiscal Years 2005 and 2006*” for a listing of CAS documents prepared with civil society participation²).

CASE STUDIES: COLUMBIA AND THE PHILIPPINES

Key factors for a successful participatory CAS consultation process included:

COLUMBIA (1996-97)

- **Planning:** A carefully designed plan of action to carry out the collective construction of the CAS.
- **Teamwork:** Working together in an environment of open dialogue and democratic, responsible coordination.
- **Inclusion:** Key stakeholders were included - national and regional governments, representatives from eight segments of civil society (community organizations, unions, NGOs, churches, the media, business associations, political representatives, and academics) - and the World Bank.
- **Clear Expectations:** The consultation included the identification and definition of roles and expectations.
- **Methodology:** Each of the workshops and follow-up sessions were tailored to for the objective and participants. A common feature was allowing every participant to directly express personal views and ideas.
- **Experienced Facilitators:** Experienced trainers and facilitators designed and conducted each event.

PHILIPPINES (1999)

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

Sources: Arboleda, Jairo, “Participatory Country Assistance Strategy in Colombia: A Case Study,” Social Development Department, The World Bank, Washington, D.C., October 1999. Lytle, Paula, “Consultations with Civil Society: A Sourcebook Working Document,” Social Development Department, The World Bank, Washington, D. C., August 2001.

POVERTY REDUCTION STRATEGY PAPERS (PRSP)

Consultations involving Poverty Reduction Strategy Papers (PRSPs) are country-driven, and therefore, intended to be managed and owned by the country. They are developed with the participation of civil society, including private businesses. The participatory process envisaged for PRSPs is extensive, involving civil society in the diagnosis of poverty, the choice of public action to address that poverty, and the monitoring and evaluation of poverty reduction outcomes. Consultation plays a substantial role in this process.

Although there is no blueprint for a PRSP consultation, certain common elements exist. For example, a country obtains adequate participation of key stakeholders, including government and nongovernmental groups, the private sector, parliamentarians, and local leaders.

A civil society consultation strategy for PRSP should include:

- 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
- A discussion of the role of civil society in the implementation, monitoring and evaluation of poverty reduction strategies

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

PRSP CASE STUDY SNAPSHOT: GEORGIA

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

Project Consultations

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

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

COMMUNITY CONSULTATION FOR DEVELOPMENT PROJECTS

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

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

ENVIRONMENTAL ASSESSMENTS

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

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

Consulting Stakeholders

STAKEHOLDERS ARE DEFINED as those parties interested in or affected by Bank policies and work. They can be individuals, communities, and organizations such as governments, CSOs, business and donor agencies. Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (for example, those involuntarily resettled). Secondary stakeholders are the intermediaries in the aid delivery process, such as CSOs. This definition of stakeholders includes both winners and losers, and those involved or excluded from decision-making processes.³

It is important to elicit the participation of as many groups as possible who may have a stake in a consultation. It is particularly important not to overlook those who are often a silent majority or whose populations have been traditionally excluded (the poor, disabled, women, youth and indigenous peoples) as well as other groups (such as trade unions and social movements) that may also have a high stake in the end-results. To that end, it is also important to have an awareness of the relative power (or kinds of power) that various groups possess to ensure that less powerful stakeholders receive the benefits of any project or policy.

Understanding the values and cultures of stakeholders influences how outreach and consultations are conducted. Tailoring the consultation according to specific focus groups requires an understanding of context and the innovative use of various methods. Be aware, too, that consultations can entail a number of costs and risks to both the Bank and stakeholders, including:

- **Inefficiency** and grid-lock, and financial, time, and **opportunity costs** of identifying and engaging with stakeholders
- Difficulty in ensuring stakeholder groups are **representative** and are expressing the **real priorities** of the people they are meant to represent
- Generating or aggravating **conflicts** among stakeholders with different priorities and interests
- Raising **expectations** which may prove impossible to fulfill
- **Cooptation** of the process by powerful and more articulate elites to the **exclusion** of the poor and disadvantaged

Listening to the Poor

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

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

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

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

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

Partnering with Indigenous Peoples

The World Bank recognizes that indigenous peoples are commonly among the most marginalized (and therefore vulnerable) of populations and it seeks to engage Indigenous Peoples Organizations (IPOs) as partners who can make substantial contributions to local and global development.⁴ As such, the Bank also recognizes that the identities, cultures, lands, and resources of indigenous peoples are uniquely intertwined and especially vulnerable to changes caused by development programs.

Indigenous Peoples often have limited economic, social, legal, and political clout which in turn limits their ability to defend their rights to land and other resources. Cumulatively, these deficits severely restrict the ability of Indigenous populations to not only participate in, but to benefit from, development initiatives.

Consultations with IPOs and affected community members are critical steps for both the borrower and the Bank during project preparation. To facilitate meaningful consultation, it is important to establish consultation methods appropriate to the social and cultural values of indigenous peoples, inclusion of organizations representing their interests, as well as analyze local conditions. Such consultation methods, including the use of indigenous lan-

guages, allowing time for consensus-building, and selecting appropriate venues, facilitates the ability of indigenous peoples to articulate their views and preferences. Special attention is given in designing these methods to the concerns of women and their children and their access to development benefits and opportunities.

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

RESOURCES ON INDIGENOUS PEOPLES ISSUES

The World Bank Indigenous Peoples Website includes the Draft Operational Policy (OP) 4.10 on Indigenous Peoples and the Consultation Process:
www.worldbank.org/indigenous

The World Bank Participation Sourcebook, contains a note, "Participation and Indigenous Peoples," based on a paper written by Shelton H. Davis and Lars T. Soeftestad: www.worldbank.org/wbi/sourcebook/sba212.htm

The International Work Group for Indigenous Affairs
 This is an independent international membership organization that supports Indigenous Peoples' struggle for human rights, self-determination, right to territory, control of land and resources, cultural integrity, and the right to development:
www.iwgia.org/

Enlisting Women's Participation

Making an effort to engage and involve women can bring significant returns. Increasingly, the development community has found that women's groups have proved to be one of the most effective entry points for initiating activities and reaching poor households.

Therefore, in efforts to reach the poor, it is important to recognize that some issues and constraints related to participation are gender-specific and stem from the fact that men and women play different roles, have different aspirations and needs, and face different constraints on a number of different levels.⁵

BANK GENDER RESOURCES

Gender Net:
www.worldbank.org/gender
 (see also: Policy document, BP and OP 4.20, "Gender and Development")

Gender and Social Assessment:
<http://www.worldbank.org/gender/assessment/>

Social Analysis Sourcebook:
www.worldbank.org/socialanalysis/sourcebook/

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

CONSTRAINTS TO WOMEN'S PARTICIPATION

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

- **Socio-cultural constraints:** Sensitivity is needed on the social and cultural barriers that may inhibit women's participation. There may be power imbalances in communities that affect who participates in specific meetings and outside officials may only invite male community leaders to participate. Some women may also find it difficult to speak in front of their husbands or fathers.
- **Time and mobility constraints:** Men and women have different responsibilities and work loads, with women often having less time to devote to new activities. Women's domestic responsibilities often require them to stay close to home and lack of mobility may also be a constraint.
- **Legal and regulatory constraints:** Legal restrictions in some countries prevent women from joining formal labor markets or holding certain jobs.
- **Capacities and abilities:** Given gender biases in some educational systems, women and men often have varying literacy levels. Men and women may also have different levels of confidence in putting ideas forward, negotiating or dealing with new ideas and people.

Often the first step toward supporting women's participation is obtaining good information on gender roles, needs, activities, resource access, institutions, and the cultural constraints operating against women's participation. This can be done through gender analysis, which, if effective, elicits the views of women and often involves gender awareness training for facilitators or interviewers. Some practical measures to facilitate women's participation include:

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

Engaging Young People

Engaging youth in a meaningful way can increase their understanding of what impact

YOUTH RESOURCES

- The World Bank:
World Bank Children and Youth site, search:
www.worldbank.org
- United Nations Youth Unit:
<http://srch1.un.org/esa/socdev/nyin/links.htm>
Contains links to youth by country and region
- Youth ActionNet:
www.youthactionent.org
Site is designed to inspire youth leadership and participation around the world

them and build the capacity of youth to play an effective role in future development processes.⁶ The Bank is currently undergoing a consultation process to develop a Bank-wide Children and Youth Strategy.

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

The statement indicated that meaningful engagement includes:

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

BE CREATIVE

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

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

Within a specific country, consultation planners can use several sources to identify relevant

youth groups, including government-sponsored youth websites, youth ministries, inter-governmental youth-related organizations, youth-related organizations, United Nations agencies, youth information or research centers, youth voluntary service agencies, and youth-serving foundations.

Consulting with Unions⁷

TRADE UNIONS DEFINED

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

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

- **International Trade Union Confederation (ITUC-CSI)**

The International Trade Union Confederation (ITUC) is the main international trade union organization, representing the interests of working people worldwide. It was established in 2006 with the merger of the International Confederation of Free Trade Unions (ICFTU) and the World Confederation of Labor (WCL). It has 304 affiliated member organizations in 153 countries and territories, with a total membership of 168 million workers. These organizations represent the trade union movement within regional and intergovernmental bodies. They also maintain relations with CSOs and other groups. *More information can be found on their homepage: www.ituc.org.*

- **Global Union Federations**

Global union federations have as members national unions, which represent workers from a specific sector, industry or occupation. While national union federations affiliate to the International Trade Union Confederation or the World Labor Congress, national unions organized by sector are affiliated to the Global Union Federations.

THE BANK'S RELATIONSHIP TO TRADE UNIONS

Trade unions are involved in the Bank's work in many ways – as workers and stakeholders in particular projects; as members of civil society concerned about social policy; and as voices in the global debate about poverty and development. The World Bank engages with trade unions in numerous ways – through consultations with union members who are stakeholders in Bank projects; national consultation with unions as members of civil society; international policy dialogue on economic and social issues; research on the economic effects of collective bargaining, and training programs for both Bank staff and trade unions. Meetings between the international trade union movement and the Bank have traditionally been held in Washington D.C.

World Bank relations with the international union movement has increased over the past ten years. The Bank conducts regular policy dialogue with the International Trade Union Confederation (ITUC), as well as with the Trade Union Advisory Committee to the Office of Economic Cooperation and Development, and several global union federations organized by sector, such as Public Service International. Relations with the ITUC intensified in 2000, as the Bank and the International Monetary Fund decided to jointly establish a platform for ongoing dialogue with them. It has included the following activities: senior leadership meetings every two years in Washington, D.C.; technical level meetings on policy issues of mutual interest such as pension policies, PRSPs, and privatization; and staff secondments. *For more information, go to www.worldbank.org/labormarkets.*

BENEFITS IN CONSULTATIONS

Unions add value to the consultation process because meaningful dialogue enables workers to articulate their positions, provide policy alternatives and potentially minimize the threat of strikes or contract rejections. Other benefits include:

- Trade unions contribute to the Bank's **poverty reduction** goal through various actions
- **Collective bargaining** for productivity-related wage increases, thus aiding poverty reduction
- **Shared principals.** Union priorities include labor rights, employment generation, social justice, gender equality, good governance, social protection, and decent wages

CHARACTERISTICS OF UNION CONSULTATIONS

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

- **Bank-supported adjustment programs have significant impacts on union membership.** Many unions remain critical about the Bank due to their continued disagreement with adjustment policies and their inability to change these.
- **Trade unions are accustomed to bargaining.** Bank officials should be ready to negotiate. Unions present their views in a firm and persistent manner based on their experiences with collective bargaining, but they are also cognizant of the

“give and take” principle.

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

SECTION TWO

Designing the Consultation

THIS SECTION DISCUSSES the key elements required to design a consultation process. It is not intended to be a blueprint for the consultation process, but rather a menu of design options from which to choose. What is important is to be strategic and consistent about the approach to be used and to analyze and document the lessons learned from the consultation process in order to learn and improve the approach for next time.

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

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

Key Consultation Principles

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

An ongoing process of consultation can build civil society capacity for participation, but this should not be confused with shared control over either the process or the outcomes.

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

Clarifying Objectives and Parameters

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

When developing objectives for a consultation:

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

Stating objectives from the start helps manage CSO expectations by detailing how views are incorporated; how participants can comment; and how the final product will be shared with stakeholders. Clarifying objectives is important since some CSOs could have unrealistic expectations or expectations that do not match the objectives of the organizers.

PROCESS-DEFINING QUESTIONS

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

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

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

A CONSULTATION PARAMETERS RESOURCE

The 2004 *World Development Report's* "Process Note on Consultations" outlines a series of consultation parameters designed to create a common platform of understanding within the World Bank and with other stakeholders. Although this is a Bank-led global consultation process, the information is valuable for consultations undertaken by other organizations. *For more information, go to: www.worldbank.org/wdr*

Ensuring Commitment & Fostering Ownership

A critical factor in consultations is ensuring that genuine commitment and ownership exists among all participants. This is accomplished by securing consensus to the rationale, objectives, and key messages developed in a consultation. Equally important is the client government's commitment and understanding of its role in implementation.

Key internal decision makers or opinion leaders should become involved early in the consultation process as they supply information vital to the planning effort, including: identifying stakeholders, setting timelines for making decisions, and developing arguments likely to be persuasive in bringing stakeholders together.⁹

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

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

THE POWER OF PERCEPTIONS

The presence of a senior government official can emphasize the importance of a consultation. The presence of ministers from appropriately targeted government entities at public consultations may also serve to signal to staff of their respective ministries about the importance of public consultations. In some cases, however, agreement on CSO involvement is reached at senior levels of government but is not always followed through at the lower levels. Active participation by officials in a public forum sends a stronger message than memos about expected compliance with participatory methods.

The presence of a senior government official can also have a dampening effect on CSOs, especially for grass-roots organizations not used to interacting with government or are easily intimidated. This may be a particular concern in a country in which public criticism or opposition to the government is not well tolerated.

Defining Roles & Responsibilities

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

One or more CSOs may be asked to organize the logistics or provide input to the design of the consultation in partnership with the Bank or a national government. The role of CSO partners should be decided early in the design of a consultation process, and in-depth discussions should be held with prospective external partners. In some cases, governments that are sponsoring consultations have chosen to identify an external facilitating organization to carry out the consultation process. Additionally, CSOs can be chosen to assist in developing a methodology for soliciting and analyzing community input on a consultation. (See *ANNEX A for examples using external partners*).

Important resources for these consultations will be Bank civil society focal points based at the country-level or in Washington, D.C.. These staff can provide both in-depth knowledge of the civil society sector at the national, regional, and global levels, as well as continuity of relationship management from one consultation to the next. They also can offer advice based on earlier consultations that may be relevant. The Civil Society Team has experience providing advice and assistance for global consultation processes.

Understanding the Political Landscape

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

Some country environments are not 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, technology, and methods for consultation. The factors that influence the overall environment include historical trends in the relationship among the public and private sectors and the civil society; existing legal, fiscal or socio-political conditions, ethnic conflicts, or polarized political environments.

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

Budgeting Resources & Allocating Time

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

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

SAMPLE BUDGET OUTLINE

PROJECTED COSTS	ACTUAL COSTS	SOURCE OF FUNDS
• Staff costs per person		
• Tools, such as survey instruments, training workshops		
• Preparation and dissemination of materials		
• Communication Telephone Radio Print Advertisements		
• Travel/Accommodations reimbursement for participants • Staff travel		
• Child care, accommodations for people with disabilities		
• Consultants Logistical support Facilitator Rapporteur Interpretation/translation Other		
TOTAL		

Allowing Adequate Preparation Time

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

Civil society specialists generally recommend two- to three-month lead times for planning and preparation. The consultation plan should allow time for:

- Generating a **design** and identifying methodologies
- Inviting the participants to a consultation with enough **lead time**, as short notice creates ill-will and promotes the impression of not taking them seriously
- Developing and **disseminating information** at least three weeks or more before the deadline for comments
- Consulting the stakeholders, possibly using a variety of **input methods**, including face-to-face meetings, electronic communications, large plenaries, or small workshops (the Bank may need to provide funds to facilitate CSO participation)
- Time for **translating** documents into local languages
- **Analyzing** stakeholder comments, writing a report and providing feedback
- Bringing CSO constituencies together to provide an **appropriate response** (CSOs may need time to educate their constituencies about an issue)

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

Building on Existing Foundations

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

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

MECHANISMS FOR COLLABORATION

The Bank, governments, or CSOs may have established mechanisms for interactions that provide insight for targeting new consultations. The process of developing a profile of civil society will help to identify these mechanisms or structures. These may be:

- Mandating civil society **representation** on committees or management councils
- **Establishing units** in the government or legislature to interact with CSOs
- Having units or individuals within a specific ministry who **handle CSO relations** with organizations working in a particular sector
- Developing **working groups**, task forces, or committees developed in the context of a specific project or issue
- Hosting **legislative hearings**
- Holding **town hall meetings** with elected officials or village leaders
- Implementing **constitutional reforms**¹²
- Placing individuals in **field offices** of the government agencies

COLLABORATION TACTICS IN BRAZIL AND THE PHILIPPINES:

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

HIV/AIDS in BRAZIL

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

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

PHILIPPINES: MONITORING POVERTY PROGRAMS

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

- Community based organizations in Mt. Banahaw Quezon province joined a federal agency tasked with protecting the environment to develop a protected-area management plan. These organizations continue to be represented and to participate in the Protected Area Management Board, a governance mechanism in the province, to monitor the implementation of the plan.
- Peasant organizations belonging to the Agri-Aqua Development Coalition in Mindanao are monitoring municipal budget expenditures in selected areas. These organizations were able to negotiate for a portion of the budget to be allocated for programs in infrastructure development and delivery of basic services needed in their villages.
- The Department of Agrarian Reform mobilized the Presidential Agrarian Reform Council, consisting of representatives from farmers' and landowners' organizations as well as the federal government, to conduct an audit on the utilization of the Agrarian Reform Fund. The fund consisted of about \$50 billion Philippine pesos to be used over a 10-year period.
- The Special Zone for Peace and Development Social Fund conducts beneficiary assessments of the infrastructure projects that it had funded. It is a demand-driven fund with a continuing effort to involve the communities in monitoring the quality of the infrastructure as well as the use of funds by the proponents and the contractors.

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

Developing Profiles¹³

DEVELOPING CIVIL SOCIETY AND SOCIO-CULTURAL PROFILES helps ensure that proposed projects, policies, and methods of consultation are both culturally and socially appropriate. The profiles also identify stakeholders, especially those that are traditionally weak within a given society, and offer ideas on tailoring specific projects or policies that are the subject of consultations (*see Annex B for Sri Lanka example*).

WORLD BANK RESOURCE

Visit the Bank's Social Development website for Social Analysis tools and methodologies at:

<http://web.worldbank.org/SOCIALDEVELOPMENT/>

Civil society and socio-cultural profiles help to identify important stakeholders in the consultation process. It is important to consult selectively. Plan and coordinate all public consultations to avoid raising false expectations or fears within the local population. For example, it

may be advisable to talk first to local representatives and key people within the area when considering options for consultation venues, methodologies, and formats to be used in the design of the consultation. Such an assessment was conducted recently to help strengthen the dialogue with Cambodian civil society.

CAMBODIA CASE STUDY: CIVIL SOCIETY PROFILE

A team of Bank staff, including the social development specialist and communications officer conducted a civil society assessment of Cambodia in 2001. The purpose of the assessment was to ascertain how the World Bank could assist in strengthening dialogue and interaction between the government and civil society. The terms of reference included: 1) examining and reporting on the current status of interaction between civil organizations and the government, 2) identifying the areas of neglect and need, and 3) making recommendations as to how the World Bank Group might contribute to increasing the effectiveness of the dialogue between the government and civil society.

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

Identifying Stakeholders¹⁴

Stakeholder identification is undertaken to determine who will be directly or indirectly affected, either positively or negatively, by a project or policy. This process also identifies those individuals and organizations that can either contribute to or hinder the success of a consultation. It is important for the manager of the consultation to be comprehensive in identifying and prioritizing all stakeholders, including the disadvantaged, voiceless, and marginalized. Those identified will need to be consulted to varying degrees, depending on level of impact, at strategic points during the life of the project or policy. Remember that stakeholder identification and involvement are often context-specific. What works

with one consultation may not be appropriate for another.

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

QUESTIONS FOR STAKEHOLDERS REPRESENTATIVES

Identifying and consulting with stakeholder representatives, especially community leaders, can be an efficient way for the consultation organizers to disseminate information to a large number of stakeholders, and receive information from them. However, it is essential that these people are genuine advocates of the views of their constituencies. Verify that the appropriate representatives have been selected by talking directly to a variety of organizations and collecting a broad swath of views.

SAMPLE SURVEY

Some questions that may assist identifying stakeholders and designing the consultation process:

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

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

Selecting Participants

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

The process of selection of participants is best carried out by CSOs themselves through their own umbrella or apex body. These umbrella groups might consist of networks or

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

MANAGING BIAS

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

SELECTION CRITERIA

Bank staff should be transparent in the criteria used to select CSO participants. The Bank has identified the following criteria for selecting those CSOs that can be valuable participants in consultations¹⁵:

- **Credibility:** Acceptability to both stakeholders and government
- **Competence:** Relevant skills and experience, proven track record
- **Local knowledge**
- **Representation:** Community ties, accountability to members or beneficiaries, gender sensitivity
- **Governance:** Sound internal management, transparency, financial accountability, efficiency
- **Legal status**
- **Institutional capacity:** Sufficient scale of operations, facilities, and equipment

Participants can be selected for consultations in the following ways:

- **Directly** by CSOs and their networks
- **Recommendations** from civil society networks
- Through Bank or government staff **suggestions**

Sharing Information with Stakeholders

Ensure that adequate information is provided well in advance of the consultations, and in a language and style that is appropriate for the stakeholders. Texts should be simplified, jargon should be avoided, and text translated into local languages. If strategy or other draft documents cannot be shared in their entirety, a summary should be prepared and the consultation should start with a verbal briefing. Staff should be as open and transpar-

ent in their interactions as possible, and provide stakeholders with enough information to participate in an informed manner, without jeopardizing negotiations with governments or other entities.

Staff with experience in organizing consultations should clearly communicate the purpose for which civil society input is being sought and the concrete output that is expected. In some cases, emphasizing the purpose can overcome potential suspicions, focus a consultation, and manage expectations. The timely distribution of information – especially in local languages – has proven particularly successful with non-technical audiences.

INFORMATIONAL SHARING TIPS

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

INFORMATION DISCLOSURE

In 2001, the Bank's disclosure policy was updated to allow more documents to be shared publicly. Staff should be familiar with the new policy before proceeding with consultations and may contact the Bank's Disclosure Help Desk for help determining what can be disclosed. Documents are also more likely to be available in multiple languages. In July 2003, the Bank Board approved an expanded framework for translations.

For more information, go to: www1.worldbank.org/operations/disclosure/

TOOLS FOR CONVEYING INFORMATION

TYPE	KEY POINTS	ADVANTAGES	DISADVANTAGES
Printed materials, bulletins, brochures, reports	<ul style="list-style-type: none"> • Text should be simple, non-technical and in local languages. • Provide clear instructions on how to get more information 	Imparts detailed info and provides additional means of reaching stakeholders. Yields a permanent record of communication	Demands specialized skills and resources and is not accessible to the poorly educated or illiterate
Displays, posters and exhibits	<ul style="list-style-type: none"> • Can be designed to inform and collect comments • Should be placed where target audience gathers/passes regularly 	May reach previously unknown parties and places minimal demands on the public. May have strong impact if well-designed	Involves preparation and staffing costs. Insufficient without supporting tools. Demands specialized skills and resources
Print media	<ul style="list-style-type: none"> • Press releases or conferences can be tied to key events • Identify publications likely to take interest and able to reach the target audience 	Can disseminate a large amount & variety of material. Can provide detailed information. Offers both local and national coverage. Able to reach literate adults	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 poor.
Electronic media	<ul style="list-style-type: none"> • Determine level of coverage, types of viewer, perceived objectivity and type of broadcast offered 	May be considered authoritative. Reaches broadest possible audience. Many people have access to radio	Time allocated may be limited. May be costly
Advertising	<ul style="list-style-type: none"> • Requires good preparation and targeting 	Retain control over presentation. Useful for announcing public meetings or other activities	May engender suspicion. May be costly
Information sessions	<ul style="list-style-type: none"> • Can be arranged by request for a particular group 	Useful for groups with specific concerns. Allows for detailed discussions of focused issues	May raise unrealistic expectations. Attendance may be difficult to predict.

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

Tools and Methodologies

The most effective consultations are custom-designed to place and purpose, using a variety of tools and methods to ensure information is rigorously gathered and fairly presented. As such, these tools vary substantially and are dependent not only on the scope of a consultation, but by the expertise of the participants and target audiences. What works for one consultation may not work for another. Consideration for the participants is tantamount and all methods used and reporting channels developed should be explicit and agreed to by consultation members in advance. Timetables for providing feedback are also important to share with participants so they can see how their comments were taken into account in the final document or product of that was the subject of consultations.

Expert Assistance

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

WORKSHOP FACILITATOR ROLE

- Helps develop the **agenda** before the meeting
- Helps groups define or redefine and achieve desired **results**
- Remains **neutral** and do not provide personal views on content
- Creates a **safe environment** for open discussion
- Seeks appropriate **participation** from group members
- Ensures that everyone has opportunity to speak and that **views are respected**
- Keeps group **focused** on desired outcomes
- Guides the process and makes suggestions for **alternatives**
- Makes sure the **recorder** captures all valuable information
- Designates someone to keep **track of time** and helps to stay on time

CHARACTERISTICS OF A GOOD FACILITATOR

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

Front-loading Knowledge

Providing orientation or an introduction to the Bank, a particular subject, project, or policy under discussion at the beginning of the consultation process will ensure that all participants have the same basic information and understanding of the subject. This may be done during information dissemination or at the beginning of a meeting.

Providing Training

Skills training or some type of learning activity may be required for organizers and participants. The Bank's Social Development and External Affairs Departments have jointly organized multi-stakeholder consultation training courses for Bank staff and clients to enhance the skills and knowledge on conducting consultations. The World Bank Institute and other Bank departments also organize multi-country workshops relating to implementation of PRSPs to share lessons learned among Bank staff, clients, and other stakeholders. (*See example in Annex A on Resolving Community Tensions in Argentina*).

Soliciting Feedback

Questionnaires, surveys, or public opinion polls are useful when specific responses are required on certain issues. These tools can rapidly show who is interested and why. The results could be used to provide a framework for the consultation process. Experienced firms familiar with the tools and with the issues could be utilized for this aspect. (*See example in Annex A on Using Diverse Methodologies in Poland*). The following case on El Salvador shows how the Bank country team used technology, called "Option Finder," for a survey questionnaire in the consultation process.

EL SALVADOR CASE STUDY

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

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

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

Public Discourse

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

Interviewing Multiple Sources

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

BENEFICIARY ASSESSMENT

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

For more examples of beneficiary assessments, see Salmen, Lawrence F.:

- “Implementing beneficiary Assessment in Education: A Guide for Practitioners (with examples from Brazil),” Latin America and Caribbean Regional Series, Paper 25, Environmentally and Socially Sustainable Development Network, The World Bank, Washington, D.C., September 1998;
- “Beneficiary Assessment for Agriculture Extension, A Manual of Good Practice,” Good Practice Note, Rural Development Family, Agricultural Knowledge & Information Systems, The World Bank, Washington, D.C., October 2000;
- “Beneficiary Assessment, An Approach Described,” Social Development Paper 10, Environmentally and Socially Sustainable Development Network, The World Bank, Washington, D.C., August 2002.

Focus Groups

Focus groups may be used to brainstorm or test possible objectives and scenarios among a cross-section of interest groups in order to assist in planning the consultation process. Focus groups are small meetings of people chosen among stakeholders. The mix of people will depend on the purpose of the consultation. These small groups are designed to gen-

erate qualitative insights rather than quantitative information. The number of participants should be restricted to 15 or less. Focus groups generally last about 2 hours and the discussions among participants are guided by a skilled facilitator.

For more on Social Analysis, go to: www.worldbank.org/socialanalysis

Workshops

Workshops are seminars or series of meetings for intensive study, work, or discussion in a particular field. Workshops may be designed to achieve specific outcomes, brainstorm issues, and analyze past challenges and achievements. They may also be designed to envision a future scenario or enhance understanding of a certain subject. For example, in the Colombia Country Assistance Strategy, a series of workshops were conducted with stakeholders. Each workshop had different objectives and used appropriate methodologies – including the logical framework and consultation software – that were suited to the specific consultation objectives and target audiences. One of the workshop models envisioned the future and analyzed the past and present. Each of the workshops was sequenced to build on the information from the previous workshops.

Roundtables

Roundtables are focused on specific issues and is a methodology geared to encourage dialogue on specific topics. The participants of a roundtable are usually experts or practitioners on a specific topic. Roundtable discussions are used when all participants have an equal status in addressing a particular issue.

Public Feedback

Call for written comments can be made to the public. The consultation should define a reasonable period of time for receiving comments and select the methods for submitting comments, such as, via email, letters, or phone. The call should be clear about how the public will be informed about the actions taken. Synthesis of the comments and responses may, for example, be posted bi-weekly on the Internet.

CALL FOR ISSUE PAPERS

Issue papers or concept notes are often helpful in disseminating background information on subject specific areas. Written comments can be requested for these papers .

E-discussions

Electronic discussion (e-discussions) should be used as a complement to other consultation methods. Web-based discussions can be a moderated discussions on specific topics. They may be held through list-serves, blogs or on a website in which comments on specific document are posted. E-discussions can be an electronic mailing list that connects people who wish to discuss a particular development topic, document, or policy. The advantages to these discussions include lower costs and the ability to reach larger audiences. The disadvantage is that access to the Internet may be limited in some countries. Thus, electronic means are best used as a tool complementing other consultation methods, such as face-to-face interviews or other events.

ONLINE VENUE: WORLD BANK DEVELOPMENT FORUM

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

For more information, go to: www.worldbank.org/devforum

Note: The Development Forum 'Tool Kit' is an excellent resource for organizing electronic discussions.

POLICY BRIEF: ENGAGING CITIZENS ONLINE

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

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

The document is available at www.oecd.org/dataoecd/62/23/2501856.pdf.

Source: Organization for Economic Cooperation and Development, Engaging Citizens Online for Better Policy-Making, OECD Policy Brief, March 2003.

Community Gatherings

Large forum or community meetings are useful for imparting information to large groups. However, they are not always effective as a method of gathering information or soliciting inputs. These types of events need careful preparation and guidance to make sure they do not go off track. A strong moderator and skilled facilitator are essential to keeping the discussion focused on the issues. A well-designed and clearly communicated process is necessary to ensure that input is well informed and that each participant has the opportunity to comment. Make sure that the methods fit the subject, the audience, and the scope of the issue.

Public Hearings

Public hearings are formal meetings before which evidence is presented or testimony is heard. They are open to all who want to attend, but invitations may be issued to honorary guests. These could be chaired by a government official and may include a panel of

FOR MORE INFORMATION

World Bank websites on participation and civic engagement:
www.worldbank.org/participation.

Tools and methods for participation:
World Bank Participation Sourcebook.

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

experts. (See *Argentina example in Annex A*.) Public hearings are based on documents that are more readily available to the public. A country director or task team leader may feel it is appropriate to share draft materials during a consultation. This has been done in consultations for drafting the Bank's country assistance strategies.

Both national and international CSOs have a wealth of experience in community consultation, and can serve as an interface between communities and institutions. CSOs also offer expertise in conducting participatory methods and skills in facilitation.

Additionally, government departments within countries may have already established guidelines and mechanisms for multi-stakeholder consultations.

Handling Logistics

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

A neutral location is often appropriate for consultations. Meetings conducted at a Bank

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

See Annex A for an example from Pakistan in which a part of the consultation occurred at the sites of proposed water drainage systems in order to solicit farmer opinion about the technical design of the equipment to be installed.

Recording and Incorporating Inputs

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

TIPS FOR ANALYZING FEEDBACK

Based on a report by Richard Krueger and Mary Anne Casey¹⁶:

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

In incorporating the input from the consultation into a project or policy, participants should be asked if their views are accurately reflected. This is part of the feedback process to a consultation and it also serves as a check for accuracy. During the consultation process, any given activity can conclude with a summary of what was heard during the process. This allows participants to respond to the accuracy of the summary and can help to incorporate their inputs accurately into the reports. If a synthesis draft is prepared, the reasoning for omitting certain viewpoints should be made clear. If this

does not occur, many participants may become reluctant to engage in further consultations.

Providing Feedback to Stakeholders

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

GUIDELINES FOR FEEDBACK

Feedback from consultations should include the following:

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

METHODS FOR FEEDBACK

Shared communications could include a combination of:

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

Acknowledging the Participants

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

Evaluating the Process

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

EVALUATION OBJECTIVES

The evaluation process should help to:

- **Determine if the consultation was successful.**

This determination should be based on the answers to these questions:

Were the desired outcomes reached?

Were stakeholders given the opportunity to have their views heard?

Were all stakeholders involved, including marginalized and vulnerable groups?

How were the comments incorporated?

Did the stakeholders' views influence the issues and key decisions?

- **Evaluate the impact on the issues.** After a consultation, one of the key issues is to decide whether the consultation process acted to improve Bank or government decision making, and whether the process resulted in improvements to project design or implementation. Beyond a simple yes or no, this type of evaluation should include a discussion of how and to what extent the consultation made a lasting contribution, and whether the process also served to alter the views or activities of CSOs involved in the subject matter of the consultations.

- **Learn from experience.** Evaluating and sharing results enable the organizers to learn from the activities and to improve future consultations.

Going Beyond Consultations

Beyond participating in consultations, civil society organizations remain key stakeholders as well as a significant factor in development. They participate in the design, implementation and monitoring of 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.

TIPS FOR EFFECTIVE CONSULTATIONS

- Ensure consultation is a **two-way process** in which the Bank, governments, and CSOs all benefit from new information.
- **Plan well**, and make sure adequate time and resources are available.
- **Work in partnership** with governments or keep the governments fully apprised of the process.
- Give CSOs and civil society networks 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. Demonstrate respect for the views of all parties and for cultural and social diversity of participants. Value all participant's knowledge and skills.
- Use **country staff**, such as civil society or social development specialists, as sources of local knowledge.
- Make sure **adequate information** is available in advance, in the appropriate language and style. This should include background information on key issues and on the parameters of the consultation process.
- Receive as well as transmit: **listen carefully** and note CSO experience and opinions.
- Use a **professional facilitator**, when appropriate, who can encourage relevant dialogue and use creative strategies to explore areas of disagreement.
- Focus on **future actions** where possible.
- Send participants a **summary note** of the meetings shortly afterwards, inviting corrections and omissions of the proceedings.
- Give **feedback** on which inputs have been accepted and which were not accepted. Explain the decisions made.
- **Follow-up** after the process concludes, especially if it is possible to offer opportunities for collaboration.
- Maximize **transparency**: make available as much documentation as possible.
- Encourage “**trialogue**.” This means engaging governments to the fullest extent possible in Bank consultations and encouraging a positive environment for government and civil society partnerships.

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

ANNEX A: CONSULTATION EXAMPLES

Global Consultations: Forest Policy

Objectives

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

- Identify key forest-related **constituencies** from the private, public, and voluntary sectors
- Consider all key forest-related constituencies and ensure **broad involvement** in the policy review and strategy development process
- **Identify key impacts** of forest policy in Bank client-countries and related sectors, and develop alternatives for addressing potential conflicts
- **Build consensus** on a global strategy – involving all stakeholders – to preserve and manage forests sustainably and economically
- **Assess stakeholder perspectives** on the advantages and disadvantages of the Bank's role in forest sector development

Process

The process was designed as a two-way consultation in which information was disseminated and gathered through clear channels, which ultimately ensured the Bank's forest strategy complemented other Bank activities and provided a basis for consensus-building among stakeholders.

Three types of consultations were utilized – issue-based, regional, and global – within this process. Consultations occurred in a variety of ways: public meetings, regional workshops, and ad hoc presentations tailored for non-Bank forest-sector meetings.

Consultation Methods Utilized

- **Issue-based:** Organized meetings of forestry experts to seek input on specific analytical studies related to proposed forestry policy implementation strategy.
- **Regional:** Nine regional consultations were convened to assess proposal's findings. These meetings specifically aimed to examine areas in which the Bank should focus its efforts and/or enter into partnership with other entities.
- **Global:** Convened a technical advisory group to advise on its forestry strategy. The group was comprised of participants from regional consultations and other field experts.

The process was managed by the forest team within the Bank's Environment and Socially Sustainable Development Network. The team worked closely with regional counterparts and they were aware of existing forest-sector policies and stakeholder meetings sponsored by the Bank as part of its regional assessments and consultations within client countries.

High-level participation in these Bank activities enhanced the forest team's analysis on particular subtopics of interest. These discussions were reinforced through the formation of a Technical Advisory Group that was drawn from stakeholders active in these various efforts.

Participants

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

To provide some assurance that the consultation process remained open and transparent, the entire Forest Policy Implementation and Review Strategy was undertaken along side the World Conservation Union – a Bank-supported partner that provided an important bridge to other stakeholders.

Lessons Learned

In general, the consultations helped to validate existing ideas, identify priorities and build consensus among stakeholders. These meetings allowed community activists to interacted at length with World Bank staff and enhanced CSO networks. Many participants decided to form their own alliances to continue working together on issues of mutual concern.

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

One of the most valuable outcomes of this consultation resulted from the formation of the advisory group. Because that group was drawn from international, regional and country-level experts (and because these specialists represented diverse backgrounds), the Bank was able to provide high-level recommendations to the global community. This advisory committee also served as a bridge to bring stakeholders into the global policy debate.

- **Participant selection process**

The Bank identified three sectors from which consultations participants should be drawn: public, private, and voluntary. The primary lessons learned from this experience is two-fold. While key participants should be identified before consultations begin, all meetings should be open to all who wish to attend. To that end, Bank staff formally invited some to attend meetings and then set up a registration process for others able to participate at their own expense. This system worked well, although it caused some logistical problems. An advance registration process helped reduce but did not eliminate this uncertainty.

- **Potential pitfalls**

Nongovernmental and indigenous peoples groups should be selected separately. Do not assume that the process used or representatives selected from nongovernmental organizations will be the same as those for the representation on indigenous peoples groups.

Funds must be provided to the focal points to conduct a self-selection process; and ample time (about 3-to-4 months) should be allocated for this process.

Civil society leaders can be identified through existing networks and groups that are organized around the topics to be discussed in consultations.

Self-selection reduces the Bank's involvement (and thus potential criticism) in the participant choices for meetings. But self-selection also means there is no control over the selection of individuals.

The Forest Implementation and Review Strategy team aimed to obtain the participation of a variety of nongovernmental organizations, but actual participation came primarily from environmental groups. Few of these participants had expertise in social development, human rights. If a broader range of organizations is needed for consultations, this goal must be clearly specified at the outset and taken into account when working with focal points.

- **General Communications**

The exchange of information with stakeholders must begin early and Internet communications must be carefully designed for those with limited computer capacity. Other lessons learned:

- **Develop a clear consultation plan after initial discussions.** This allowed Bank staff to communicate the objectives and to clearly show stakeholder input would be considered
- **Provide process overviews and timelines.** Disseminating information – including when key meetings were to take place, key documents that were distributed, and the ways in which feedback are provided – proved useful
- **Set realistic expectations.** Relations with stakeholders were enhanced when stakeholders understood what to expect from a consultation process

- **Limits of Online Communications**

The Forest Policy Implementation Review Strategy team, as part of the consultation process, created an external website to post related documents. The site was designed to solicit feedback from participants and used logical registration procedures for regional consultations and it contained a blog so dialog could occur among participants.

However, the blog was never used and the website was not fully utilized. From this, the Bank drew the following preliminary conclusions:

- **Website designs** should be kept simple, with limited graphics (faster download)
- **Internet access** may not be available to many and online materials must also be distributed through other channels
- **Little interest** may be generated in an online discussion forum
- Actively **monitor online queries** and emails to promptly answer questions

Working with External Organizations

Bank consultations were conducted while working closely with the World Conservation Union (WCU). The WCU advised the team on aspects of the process, helped to design the consultation, and helped to ensure activities were open and transparent. Both advantages and disadvantages to this collaboration were evident. While the collaboration provided the Bank with a unique perspective, the WCUs close involvement in this process generated much debate among other CSOs, Bank staff, and the staff of the World Conservation Union.

Comparing Consultation Approaches

Issue-based, regional, and global consultations were designed to assist in the forest policy debate and provide contextual depth for the Bank's policy review. Each type of consultation style yielded different outcomes, summarized as follows:

- **Issue-based consultations:** Venues brought together divergent opinions on key subjects and allowed participants to identify and address areas of agreement and disagreement. Thus, these consultations added to the consensus-building model.
- **Regional consultations:** Value of this format was debated in relation to country meetings, however, it proved useful in gauging emerging trends within regions. The regional meetings brought together participants who might not otherwise collaborate, helping to create informal networks. Regional meetings also provided an opportunity for local concerns to be raised and elevated to global-level discussions.
- **Global consultations:** Bank engagement at issue-based and regional-levels more effectively positioned it to act as a conduit on international issues relating to forestry. Specifically, the Bank was able to more actively engage in the Intergovernmental Forum on Forests and the Inter-Agency Task Force on Forests.

For the complete report in PDF format, go to:

[http://lnweb18.worldbank.org/ESSD/sdvext.nsf/60ByDocName/ForestPolicyImplementationReviewandStrategyConsultationProcess/\\$FILE/ForestPolicyImpement.pdf](http://lnweb18.worldbank.org/ESSD/sdvext.nsf/60ByDocName/ForestPolicyImplementationReviewandStrategyConsultationProcess/$FILE/ForestPolicyImpement.pdf)

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

POLAND: DIVERSE METHODOLOGIES

Country Assistance Strategy

Background

Poland participated in a Country Assistance Strategy for the first time in 1997, when Bank staff held public consultations. The consultation did not produce the desired outcomes of a broad-based process. After analyzing the shortfalls of this earlier process, the Poland country team launched an improved program of CAS consultations with representatives of the Polish civil society in 2001.

Objectives

The country team used the 2001 consultations as an opportunity to solicit the respondents' views on a set of wider topics such as the awareness level about the Bank in Poland, the respondents' perception of the key developmental challenges faced by the country, as well as their opinions about the functioning of the Bank's office in Warsaw.

Process

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

TIMETABLE

- **June 2001:** Polish households surveyed
- **January to February 2002:** In-depth interviews with 58 national opinion leaders
- **February to May 2002:** Electronic consultation via the Poland Country Office website conducted
- **April 2002:** Multi-city consultation meetings conducted in three major cities: Gdansk, Warsaw and Katowice
- **August 2002:** Two meetings conducted with local political figures and representatives of the City Council of Szczecin, neighboring regions and business community

Planning the Consultations

To obtain unrestricted feedback, the baseline survey and the in-depth interviews were conducted by external contractors. The material obtained from these proved useful background for the CAS and for the consultation meetings. The public meetings were

organized by the Bank's Warsaw Office, but they were prepared and facilitated by two professional moderators from Poland, who ensured that the consultations proceeded in an informal yet structured fashion. The list of invites was drawn by the Warsaw Office with input from three local CSOs that circulated the information about the CAS consultations and the forthcoming meetings among their contacts. These CSOs also provided a list of civil society representatives to be included in the consultation meetings. Additionally, the information about the public consultations was placed on the Country Office website.

Baseline Survey

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

Internet Consultations

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

Consultation Meetings

Each consultation meeting consisted of two parts: gathering information about the country's social and economic situation, and the key challenges the Bank should address as part of its CAS. Participants were encouraged to review the proposed CAS and comment on issues participants considered either poorly addressed or missing from the analysis.

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

Targeted Interviews

A series of in-depth interviews, targeting a spectrum of civil society representatives (politicians, scholars, NGO representatives, private entrepreneurs, and journalists), provided useful information about the country's economic priorities and the role of the Bank in ad-

addressing these priorities. These interviews revealed that many community leaders believed the Bank played a valuable role as a catalyst in facilitating dialogue among government, civil society, and other international donor agencies operating in Poland. Results of the in-depth interviews also highlighted the professionalism and competence of Bank staff, with praise for the Bank's office in Warsaw.

The interviews also revealed strong support for the EU accession process to provide economic growth for Poland. Interviewees placed top priority on addressing key social issues such as unemployment and poverty, and a majority said these should be addressed by both the government and the World Bank. The Bank was criticized, however, for its bureaucratic procedures, communication barriers, and lack of sensitivity to local conditions, excessive use of foreign experts and the failure of those experts to understand local issues. Many interviewees expressed a preference for the Bank to use more local specialists in their operations.

Participants

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

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

Lessons Learned

In general, the Bank's second series of consultations on the Poland CAS were considered a "good practice" process. The multi-dimensional strategy involving CSOs, community leaders, individual Polish households and academic researchers provided the Bank with representative opinions of a broad spectrum of Polish society.

The Bank's extensive consultation process did result in a number of modifications to the CAS draft document (i.e.: analysis of Polish poverty was substantially changed as a result of these consultations). The Bank's staff also made modifications to its analysis of gender

issues, labor markets, education, health, infrastructure, and environment. Although not all stakeholder comments could be incorporated into the CAS document, a broader array of comments from civil society were submitted to the Polish government. In addition, the full text of all the comments was placed on the Bank's Warsaw Office website.

As part of the Polish CAS consultation process, Bank staff learned the importance of having a country team integrate results into its work, as well as recognizing the benefits of gathering quality of information from the process.

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

Several "good practices" facilitated this consultation strategy, including:

- Securing the support of the Bank's **Country Director** of Poland early
- Beginning the **planning process** very early in the CAS planning stages
- Using a **variety of consultation strategies** and sequencing those strategies
- **Sharing management** of the process with CSOs
- Using external, skilled **facilitators**
- Providing timely **feedback** to participants in the consultation process.

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

GEORGIA: DEVELOPING A FRAMEWORK

Consultation Communications

Objectives

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

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

The Interim PREGP document was approved by the President of Georgia in November 2000 and by January 2001, it was approved by the Executive Boards of the World Bank and the International Monetary Fund. In September 2001, a framework for assistance was developed by Georgia's donor community to support coordination efforts for the final PREGP, which began in January 2002. The initial draft of the final document was produced in October 2002. The final draft was subjected to comprehensive discussions not only within the government, but also within civil society and the international community.

Process

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

The Secretariat of the Commission encouraged the participation of civil society through discussions organized with community-based organizations, mass media, and universities. These discussions were held in the four regions of Georgia: Shida Kartli, Mtskheta-Mtianeti, Kakheti, and Imereti. Concurrently, OXFAM arranged a meeting of CSOs with the representatives of the Secretariat to discuss the draft. As a result, a group of CSOs, – PRSP Watchers Network – was formed for consultation on the PREGP. The government, in conjunction with the Partnership for Social Initiatives, began the process by developing a master plan in consultation with key stakeholders, such as the Secretariat of the Governmental Commission, representatives of civil society, and the donor community.

A communications strategy for Tbilisi and various regions of Georgia was also developed. It relied heavily on media coverage of dialogues among the Georgian government, local governments, and civil society. The Secretariat organized a 3-day workshop in Bakuriani with roughly 30 media representatives to advance the PREGP strategy and assure more participation of mass media. The partners developed the communications strategy to encourage public participation in the general campaign, enabling certain groups of civil society to focus on the improvement of the PREGP document in the preparation phase.

An advertising campaign was also conducted by disseminating a brochure about the consultations. It was disseminated mostly through email and the postal system. The general population received brochures together with census materials that were distributed in January 2002. In addition, a web page was created to extend the discussions to a wider variety of Georgian poverty specialists.

A number of different meetings were convened to review the PREGP policy options and strategies drafted by the sub-commissions. A total of 10 participatory workshops, four consultative meetings and two debates were conducted as part of this review process.

CSO Training

The communications strategy for public consultations on the PREGP contained a training element, with some meetings tailored to enhance the capacity of both CSOs and the business community in dealing with social issues associated with poverty reduction in Georgia. One nonpartisan organization, New Movement, held a meeting in December 2001 to identify links between poverty reduction and economic growth for the Georgian business community. The U.N. also dedicated one day of a three-day NGO human rights training course to a discussion of the PREGP.

Debates

Public debates were conducted over several months in 2002 with representatives of CSOs, business groups, and trade unions to build a consensus among stakeholders on poverty problems and solutions using an integrated ‘problem tree’ that expanded as each debate took place. This device aimed to make the proposal more visible, identify gaps, and propose strategy changes.

Other Fora

In addition to the debates, a wide variety of meetings with civil society and government officials started in 2001 and lasted through much of 2003. These meetings focused on a broad selection of social issues, including:

- **December 2001:** The Bank office in Tbilisi convened a meeting on environment and poverty reduction.
- **January 2002:** The Alliance for Business Environment Development and the Center for Training and Consultancy of Tbilisi organized a meeting on project cycle management as related to PREGP development.
- **February 2002:** The Secretariat, along with local CSOs, organized a meeting on creation of a social security system as a component of the poverty reduction and economic strategy in Georgia, attended by community activists and business leaders.

Technical Workshops

Building on the consultation meetings, a series of technical workshops were also conducted for high-level poverty specialists from the Georgian government, the Secretariat, CSOs, academic institutions, and business organizations. Sixteen workshops were conducted by two different coalitions of civil society organizations. The PRSP Watchers Network conducted some of the workshops. This network, supported by Oxfam Georgia, is comprised of seven local CSOs. The Alliance for Business Environment Development (ABED) also conducted workshops. ABED membership comes from more than 20 CSOs, including business associations, think tanks and research institutions.

Donor Community Outreach

The Georgia government also drew into the consultation donor organizations. As a result, key donors in Georgia sponsored a support project for the PREGP in October 2001. This project was designed to maximize and intensify civil society involvement in the preparation of the PREGP final document, which was presented in November of 2002.

Editorial Board

A 20-member Editorial Board was established by the Secretariat that included state and CSO representatives as well as technical experts. The board integrated comments provided by participants into policy options presented to and endorsed by relevant governmental sub-commissions. The final draft was again reviewed by the editorial board in close cooperation with the donor community. The editorial board then incorporated areas of consensus into the final version of the PREPG, which was adopted by the government.

Participants

The diverse methodologies employed for public consultations drew participants from many sectors of civil society, including social activists, politicians, business leaders, academics, and technical specialists from international institutions like the U.N.

Outcomes

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

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

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

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

Sources: Government of Georgia, Secretariat to the Government Commission for Elaborating Poverty Reduction and Economic Growth Program of Georgia, May 30, 2002, Tbilisi, Georgia, “Progress Report on the Elaboration of the Poverty Reduction and Economic Growth Program of Georgia,”; World Bank, “The Conceptual Framework of the Participation in the Preparation of the Poverty Reduction and Economic Growth Program in Georgia, 2002; and David Gzirishvili, World Bank, “Participation Master Plan, The Preparation of the Poverty Reduction and Economic Growth Program in Georgia,” Feb. 21, 2002

BOSNIA AND HERZEGOVINA

Post-Conflict Consultations

Background

Throughout the 1990s, poverty in Bosnia and Herzegovina expanded dramatically in the wake of a regional war brought about by the breakup of Yugoslavia. However, for many years, the combined pressures of post-communist and post-conflict transitions hampered efforts to address the needs of the most vulnerable segments of the population. Although international aid agencies had intervened with humanitarian assistance, by 1997 the focus of assistance shifted to reconstruction efforts. Many of the international aid agencies present were also preparing to turn over their functions to local organizations, a process that was complicated by the unstable political situation in the region and the division of Bosnia and Herzegovina into two poorly coordinated political entities: Republika Srpska and the Federation.

Objectives

In 1998, the European Community Humanitarian Office asked CARE (one of the world's largest private international relief and development organizations) to convene a national forum to:

- Assess existing poverty trends and vulnerabilities
- Discuss funding possibilities for social assistance and social care programs
- Evaluate policy options and priorities

The forum was intended to inform the planning process for coordinating social protection policies for Bosnia and Herzegovina.

Process

Preparations for the forum was based on nine large workshops with active participation both from local groups and international development organizations. The planning for the workshops served as a mechanism for undertaking a “needs assessment” and as a method of matching donor organizations to those needs.

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

Facilitators for the workshops were selected for their skills at managing large groups as well as knowledge of the issues. All of the facilitators were selected from nongovernmental organizations or government social service organizations and had an extensive understand-

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

Participants

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

At the local level, the final list of participants included representatives from women's groups and social workers' associations, in addition to the municipal Centers for Social Work, universities in both Bosnia and Herzegovina, children's homes, youth centers, and geriatric centers. To raise awareness on 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 they could understand each other's issues and concerns. The inclusion of academic material also informed the decisions of other players.

Government officials from both Bosnia and Herzegovina participated, including deputy ministers. This high-level participation was an important signal in a country recovering from war in which national divisions were still critical and the two entities were functioning separately on most issues.

Outcomes

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

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

ARGENTINA

Resolving Community Tensions

Background

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

Problems

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

Resturcturing the Project

The municipal government used an external partner, Citizen's Power, to organize a public consultation on this contentious issue. Citizen's Power served as the Argentinean chapter of Transparency International. This CSO not only had experience in conflict resolution, it also had credibility among local citizens. Its past experience was an important factor because time was limited by construction deadlines, and a decision on bridge construction had to be reached within 20 days.

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

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

Citizen's Power organized two additional workshops – one with each group 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 in the public hearing itself, attended by more than 450 local residents, the mayor, and senior officials from the Secretariat of Transportation, and the World Bank. For the participants, the presence and participation of the mayor, as the president of the public hearing, confirmed the commitment of local authorities to resolve the neighborhood conflict.

Participants

More than 60 speakers participated in a public hearing that lasted over four hours. During the 20 days that preceded the hearing, a list of speakers was selected to ensure 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 to explain the improvements that had been made to the original project and the results of different environmental impact and feasibility studies. A Bank representative 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 via a self-administered poll. A total of 77 percent of those polled claimed to be highly pleased with the public hearing process; 57 percent indicated that its organization was very good; and 76 percent claimed that the hearing allowed them see the issue from a new perspective.

Outcomes

The public hearing produced two outcomes: an improved original project (several modifications were introduced to address the concerns by residents who opposed the bridge) and reduced tensions within the local community. The hearing did not completely resolve the conflict, however. Many of the residents of La Serna Park continue to oppose the project. But among these residents, recognition grew that the hearing did address some of their concerns.

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

BRAZIL: RESOURCE MANAGEMENT (PLANAFLORO)

Overhauling Project Implementation

Background

The state of Rondônia in Brazil's western Amazon, was characterized by large areas of untouched rainforest until the 1970s when a process of rapid change began with a plan by the military regime to populate the state with outside settlers. By the early 1990s, Rondônia had a population of 1.2 million and some of the worst social indicators in the country. In just 30 years, Rondônia lost more than 25 percent of its native forest. As a consequence, the state is today burdened by a concentrated and confused land ownership situation that has fueled conflicts and predatory economic activity such as illegal logging, wildcat mining, and drug smuggling. In many ways, Rondônia represents a microcosm of the Amazon's major economic, social, political, and cultural problems.

Within this setting, the Bank financed the Rôndonia Natural Resource Management Project (Planaflo) which was geared to addressing many of the environmental and social ills of the state. The project, approved in 1992 at a cost of \$229 million (\$167 million being the Bank's share) encompassed rainforest conservation, infrastructure development, delivery of social services, agricultural production. By 1996, though, few of the project's goals had been met, stakeholder participation was largely absent, and only 50 percent of the funds had been spent.

Problems

It became clear that the Planaflo project contained several structural flaws which made implementation difficult and fostered local conflict. These included: too many and overlapping development subcomponents; a complex management structure involving 10 state and federal government agencies; overly ambitious and poorly defined sustainable development goals; and limited local ownership by both the state government and the society at large.

In addition to these implementation problems, in 1996 the Brazilian NGO and Social Movement Forum, (a group of 35 organizations including agricultural workers' groups, Indigenous Peoples' Organizations, rubber tapper associations, environmental NGOs, and church groups) mounted an international campaign to suspend disbursement of Bank funds to Planaflo because they argued that the project was harming rural populations and the environment. This campaign also included an inquiry request sent to the Bank's Inspection Panel, which sent a fact-finding delegation to Rondônia and proposed a series of actions to improve project implementation.

Project Re-structuring

The Bank determined that several steps were needed to address the perceived project flaws and civil society complaints. These included: decentralizing project supervision to the field office, commissioning an independent mid-term review of the project, and holding a workshop with CSOs to listen to their views. Realizing that the project lacked ownership and support at the state and local levels, Bank officials also insisted that the state government take full responsibility for its restructuring.

The project review was conducted by a team of Brazilian consultants composed of anthropologists, environmentalists, economists, and management experts. A major stakeholder conference was organized to discuss the possible reformulation of the project. Major stakeholders present at this workshop included the state and federal governments, NGO Forum, U. N. Development Program, World Bank, and international CSOs such as Oxfam and Environmental Defense.

Outcomes

A formal agreement was reached between the state government and the CSOs, leading to a complete restructuring of Planaflo. Project subcomponents were reduced, the number of government agencies was cut back, and bureaucratic procedures were streamlined. In addition, the creation of environmental reserves throughout the state was accelerated, and a \$22 million demand-driven community projects fund was created to ensure that project funds reached the hundreds of intended communities. As part of this effort, NGO forum representatives joined government technicians to analyze and approve the community development projects.

Once a policy of more open and frank exchange began, relations improved among CSOs, state government, and the Bank. Relations between these actors improved to the point in much that they were able to collaborate on a statewide participatory planning process held in 1998 geared to formulating development policy for the State of Rondônia through 2020.

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

PAKISTAN: MANAGING A PROJECT

Ensuring Community Participation

Background

The Left Bank Outfall Drain Project (LBODP) is an environmental improvement project conceived in the 1960s as a response to the problem of rising water tables and resulting waterlogging and salinity. The project area included some of the hardest-hit areas along the Indus River in the arid zones of Pakistan's Sindh Province. The project's primary function was to safely redirect saline water to the sea through a network of drains. The project provided for the integrated development of irrigation and drainage, phased construction of three drainage sub-areas (in Nawabshah, Mirpurkhas and Sanghar), remodeling of the Nara/Jamrao Canal system, and watercourse improvement in Sindh Province.

By 1997, waterlogging and salinity remained Pakistan's top environmental challenge and the principal threat to its vitally important irrigated agriculture. However, the project demonstrated the tremendous positive impact of drainage in tackling waterlogging and salinity. Additional drainage work was urgently needed, and the World Bank committed \$150 million to help finance a \$900 million improvement project. The Asian Development Bank, the Islamic Development Bank, Canadian International Development Agency, Saudi Fund for Development, OPEC Fund for International Development, Swiss Development Corporation, UK Department for International Development, the Government of Pakistan, and the Government of Sindh also helped finance the project.

A preliminary study of land use in the project drainage area revealed a significant increase in cropping intensity and use of previously abandoned land for agriculture. Not surprisingly, there was a significant increase in yields of two main crops: cotton and wheat.

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

Objective

After the 1960s, managing project facilities – with increasingly sophisticated pumps and electronic controls constantly in use – became quite complex. For success, a consultation strategy was needed to teach all parties to work together more effectively.

Process

A variety of consultation methods were developed. These consultations were initially held as independent events, but increasingly, the Drainage Advisory Service (DAS) staff chose to combine, employ new methodologies, which included the following:

- **Exchange visits:** Early on, exchange visits were used to demonstrate well operation to groups of 100 to 150 farmers. As they became more familiar with the technology, visits by smaller groups of carefully selected representatives from new areas were facilitated by Drainage Advisory Service. Visitor-farmers could then witness the benefits of drainage and the requirements necessary for sustainable operation.
- **Informal meetings:** Informal farmer meetings were held in advance of construction at different phases to inform farmers about the project and welcome their questions and concerns. Field assistants gathered 10 to 15 farmers for project feedback, leaving leaflets to discuss with other colleagues.
- **Final acceptance tests:** Tests were undertaken in Saghar where project staff, the contractor, farmers and Drainage Advisory Service were represented at the last stage well testing. The purpose was to demonstrate the proper functioning of the drainage system and to gain the support for shared operation/maintenance. By correcting mistakes identified by farmers, there was a better prospect of support for shared operations and management. The program also required farmers to agree on the numbers and locations of structures along the disposal channel and to remove all other obstructions.

IMPROVING COLLABORATION

Consultations were used to both inform farmers about the project as well as elicit their ideas (and willingness) to support various aspects. Although farmers had little involvement in the construction phase of the first project facilities, in subsequent efforts farmers identified ways in which communities could assist the project, including:

- Conduct **baseline surveys**
- Refine **design maps** and plans
- Identify appropriate **local contractors** before construction
- Make arrangements where possible for use of **local manpower**
- Resolve crop and land **compensation** disputes
- Assure **security** for project field personnel

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

- Raise farmer **awareness** about the project and its benefits
- Identify ways in which the community could **participate** in the project
- Assess the **feasibility** of an organization to represent local farmer interests
- Encourage the **formation** of an organization to represent farmer interests
- Identify farmers to **represent** the community
- Discuss prospective role of farmers in **safeguarding** and maintaining project facilities

PROJECT REDESIGN

The format of the meetings evolved as circumstances warranted. Relatively few senior staff members within the Drainage Advisory Service had both a broad understanding of the project and facilitation skills. Thus, early meetings involved participation from large numbers (10 to 15) of officials. In advance of formal meetings, mid-level and junior field staff of the DAS, reached out to the host community, discussing details of land use, social data, irrigation issues, and drainage priorities. Senior DAS staff led meetings of 100 to 200 farmers and community leaders.

Participants

Participants consisted primarily of farmers, however, specific efforts were made to include women so that they would be familiar with project activities. Female extension workers visited villages without advance notice and spoke to smaller groups of women at their houses and in the field. In cases where the community was sufficiently large and the women wanted others to hear about the project, follow-up visits were arranged. Presentations were also made to female staff of CSOs and female trainees of the Agricultural Extension Training Institute at Sakrand. The staff spent considerable time working with the women of six communities where action groups were formed. Complementary training was provided to women in areas surrounding exhibitions attended by men.

DAS female extension workers visited more than 2,783 women in their homes. In addition, 15 women visited a working drainage installation and another 15 spent time with a community organization formed and supported by the National Rural Support Program. Female extension staff also made presentations to women in other CSO forums.

Outcomes

A new approach to joint cooperation in the implementation of the project placed emphasis on the community's interests and opinions first. External agents, such as project staff, played a facilitative, supportive role rather than a direct one. After a few meetings, organizers introduced a new format to ensure vocal minorities did not dominate discussions. Meetings, which were held in community halls with fewer participants, and who were divided into small work groups, generated more constructive discussions.

This experience generated the following field consultation lessons:

- Begin project with **preliminary reconnaissance** visits by junior Drainage Advisory Service field staff
- Offer **exhibitions** targeted at a broad community surrounding the public works project
- Establish local issues and **priorities** via consultation workshops
- Hold informal **women's meetings**
- Encourage **visits by farmers** to witness benefits
- **Conduct tours** along proposed drainage channel to assess implications of design changes with landowners and operators.

Sources: Adapted From Main Report of Left Bank Outfall Drain Project Communication Strategy, "Chapter 3: Farmer Consultation Processes: Methods and Experience," Government of Pakistan, Water and Power Development Authority, 1998; also World Bank Press Release, "Left Bank Outfall Drain Project Tackling Pakistan's Waterlogging and Salinity Problems"

ANNEX B

Civil Society Organization Profiles

Definitions and Classifications

There are many definitions of the term “civil society.” Civil society comprises a wide variety of private organizations that have a role in public life for expressing the interests and values of their members or others, based on cultural, economic, ethical, political, scientific, philanthropic, or religious considerations.¹⁷ Civil society represents a broad arena containing an array of interests, associations, and expressions of values, some of which will necessarily conflict with the others.

CSO FUNCTIONS

Civil society organizations are classified in many different ways – by sector, focus of work, origin, scale, level of formality, values, or theoretical perspectives. No universally accepted schema exists, and the details of each typology always needs 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:** Aggregate and present voices of groups of citizens
- **Technical expertise:** Carry out research and provide advice
- **Advocacy:** Advocate on particular issues
- **Capacity-building:** Provide support to community groups and other CSOs to strengthen their capacity to function and mobilize resources
- **Service-delivery:** Support the implementation of development projects or provide services directly to the public
- **Social functions:** Foster collective recreational and other social activities

Many CSOs serve more than one function, and it is helpful to specify their primary function so as to match organizations with the purpose of a consultation. Many large international CSOs are involved simultaneously in advocacy, capacity building, and service delivery. Other functions are included in a table on the following page.

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

Enabling Environment

When conducting consultations, it is important to consider the overall institutional environment in which organizations operate to ascertain the extent to which it permits people to associate, mobilize resources, articulate voice and express opinions, access information, and negotiate. Some cultural environments are more conducive to consultations than others. For example, CSOs operating in a restricted environment may find it difficult to associate

and participate in consultations. However, these CSOs may be identified for possible consultation through their existing networks.

Another important factor in this environment is the impact of economic pressures on CSOs, which could significantly effect their ability to take part in consultations and exert their influence on policies, programs or projects. Information on the financial situations CSOs can help pinpoint any capacity needs these groups may have that limit participation. Identification of capacity needs enables managers to identify appropriate sources of funding for these organizations. Task managers should be aware that Bank funding of CSOs can also pose a measure of risk to these organizations if they do not have the needed absorptive capacity.

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

Historical Perspectives and Trends

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

Characteristics of Civil Society

The size, geographic coverage, presence of umbrella organizations or networks, nature of representation and constituency, and the scope and focus of action are characteristics of civil society organizations that should be profiled. This information is used to design the consultation. The information also helps determine the consultation methods to be used, the geographical focus of the consultations, the target audiences, how best to disseminate information about the consultations, and other factors. For example, if CSOs focusing on the environment are concentrated in one region, a special consultation could be held on issues of interest in that region. Organization with similar interests can communicate and coordinate their inputs. In areas where there are fewer organizations, outreach efforts for a consultation could include informational meetings and workshops for CSOs.

FUNCTIONS OF CIVIL SOCIETY ORGANIZATIONS

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

SRI LANKA

Elements of a Civil Society Profile

AS ONE EXAMPLE, a profile of civil society of Sri Lanka was prepared in October 2002 for a rural poverty reduction project in Sri Lanka. It was prepared through literature research and interviews with international, national, and local CSOs and academics.

The profile showed that CSO strengths included flexibility for quick, timely, and decentralized decision making and proximity to communities or target groups that the CSOs served. The challenges to these CSOs included an instable funding base that only funded projects (not the organizations themselves), a lack of coordination between government and CSOs, and a lack of CSO expertise handling major projects.

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

CHARACTERISTICS OF CIVIL SOCIETY

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

CAMBODIA

Civil Society Assessment

Background

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

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

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

Objectives

The purpose of the assessment for Cambodia was to ascertain how the World Bank could assist in strengthening interaction between the government and civil society. The specific goals were:

- Examine and report on the current status of interaction between civil organizations and the government
- Identify the areas of neglect and need
- Make recommendations on how to increase the effectiveness of the dialogue between the government and civil society

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

Field Visits

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

Participants

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

Outcomes

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

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

The World Bank was criticized for the lack of participation policies, structures, standards, support, and indicators. While guidelines are important, the lack of capacity to support the government to actually implement a participatory approach remained a concern. There was also a demand from civil society for the Bank to share information about its mission and operation in a less complex manner.

BANK OPPORTUNITIES

A post-consultation assessment of key opportunities for the Bank to take a strong role in strengthening relations with Cambodian CSOs, included:

- Facilitating **dialogue** and strengthening **capacity** of development partners
- Enhancing dialogue and **knowledge sharing** through established working groups
- Simplifying and **translating information**
- **Documenting** successful efforts at mainstreaming participation and dialogue
- Making use of **information** facilities
- Forming strategic **alliances** for information sharing

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

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

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

Websites on Civil Society

www.civicus.org

Civicus is an umbrella organization of CSOs that includes many country profiles by sector. These relatively short profiles are well-organized and offer useful background information.

www.uia.org

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

www.undp.org/csopp/CSO/NewFiles/docemppeople6.html

The United Nations Development Program's Civil Society Organizations and Participation Program published a guide, "Empowering People: A Guide to Participation" contains a resource guide with extensive bibliography divided by topic, a list of participatory consultation methods used by various organizations, and non-linked Internet resources and websites.

www.info.usaid.gov/about/part_devel/docs/webguide.htm

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

www.eldis.org

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

www.ids.ac.uk/ids/

The Institute of Development Studies at Sussex University, UK, is a leading global organization for research, teaching and communications on international development and civil society.

www.ips.jhu.edu/index.html

The Johns Hopkins Institute for Policy Studies (IPS) sponsors two programs geared to the civil society sector. The Center for Civil Society Studies which seeks to improve understanding and the effective functioning of not-for-profit, philanthropic, or civil society, organizations in the United States and throughout the world. The International Society for Third-Sector Research (ISTR) which promotes research and education in the fields of philanthropy, civil society and the nonprofit sector.

www.lse.ac.uk/collections/CCS/

The London School of Economics' Centre for Civil Society (CCS) is a leading, international organization for research, analysis, debate and learning about civil society. Established initially as the Centre for Voluntary Organization, the Centre has for over 20 years pioneered the study of the voluntary sector in the UK, development NGOs and civil society organizations throughout the world.

ANNEX C

WDR: Designing Consultations

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

Introduction

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

Objectives

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

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

Focused Topics of the Reports

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

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

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

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

Target Audiences

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

Research Methodology & Style

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

Consultations for the Reports

A range of consultations tools bring alternative perspectives to the World Development Report each year. These tools include both information gathering on operational experi-

ences and comments on the various stages of draft documents. The Bank's management encourages the World Development Report team to consult with a variety of relevant stakeholders and experts during the preparation of the report, including those inside and outside the Bank. The final report, however, incorporates these divergent views based on the judgment of the World Development Report team. Inevitably, disagreement occurs over some aspects of Bank staff reports, even within the Bank. What is important is to emphasize the continuation of dialogue with stakeholders over time.

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

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

Lessons Learned

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

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

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

Timeline

This is a suggested timeline for consultation process within a typical WDR:

September-November:

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

November-December:

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

January-February:

- Consultations on draft.

March-April:

- Dissemination of second draft and final consultation.

September:

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

YEMIN

Reference for Beneficiary Assessment

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

Background

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

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

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

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

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

ground over the past two decades, having seen their economic opportunities and public roles diminish.

Objectives

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

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

Consultant Tasks

Focusing on Aden, the consultant shall:

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

METHODOLOGY

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

DELIVERABLES

Within one week of the contract signature date, the consultant is expected to present a work plan to the World Bank. Two missions will be undertaken for research purposes.

One will take place at the beginning of the assignment, and the second one will occur at the end of it. The consultant is to submit information for research methodology, research instruments (including interview questionnaires) to World Bank staff for review.

SPECIFIC CONSULTANT DELIVERABLES

A diagnostic study of the role of women in Aden's economy;

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

CONSULTANT QUALIFICATIONS

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

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

References on Consultations

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

- Asian Development Bank NGO Center website, “Toolkit for Managing Workshops,” 2004.

- Doing Better Business Through Effective Public Consultation and Disclosure, A Good Practice Manual, 1998.

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

- Engaging Citizens Online for Better Policy-Making, 2003.

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

- Public Consultation in the EA Process: A Strategic Approach, 1999.

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

- Thinking Out Loud Innovative Case Studies on Participatory Instruments, 1999-2002.

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

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Footnotes

- 1 The World Bank, General Counsel (1995).
- 2 World Bank – Civil Society Engagement: Review of Fiscal Years 2002 – 2004, Washington, February 2005
- 3 Overseas Development Administration, (1995).
- 4 Interview with Navin Rai, Social Development Department, The World Bank, March 2003.
- 5 Adapted from many publications of The World Bank’s NGO/Civil Society Unit, Social Development Department, including The World Bank Participation Sourcebook, (1996).
- 6 Adapted from several sources, including the personal experience of Yumi Sera, Social Development Department, The World Bank.
- 7 Interview with Lawrence Egulu, International Confederation of Free Trade Unions, Washington, D.C., while on secondment to The World Bank from January to December 2003.
- 8 John M. Bryson, (1988).
- 9 International Finance Corporation (1998).
- 10 Shelton Davis and Nightingale Rukuba-Ngaiza, (1998).
- 11 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.
- 12 Adapted with permission from Paula Lytle (2000) and International Finance Corporation (1998).
- 13 International Finance Corporation (1998).
- 14 Adapted from The World Bank, Operations Manual (2000).
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- 16 Richard Krueger and Mary Anne Casey (2001).
- 17 William Reuben (2000).

