FOREWORD

"Through participation, we lost 'control' of the project, and in so doing gained ownership and sustainability, precious things in our business."

From a World Bank Task Manager

Participation is a rich concept, meaning different things to different people in different settings. For some, it is a matter of principle; for others, a practice; and, for still others, an end in itself. There is merit in all these interpretations. However, the Sourcebook follows the definition of participation adopted by the Bank's Learning Group on Participatory Development.

"Participation is a process through which stakeholders influence and share control over development initiatives, and the decisions and resources which affect them."

What we wanted to discover in writing this Sourcebook was how this could be achieved. To do so, we turned to our colleagues who contributed their experience and advice. It is this experience, its successes and frustrations, which we have tried to capture for Bank staff.

The Sourcebook is not a policy document on participation; nor is it for cover-to-cover reading. It does not seek to persuade anyone (other than through example) to use participatory approaches. In preparing it, we are assuming that the people reading this Sourcebook have already decided to use participatory approaches in their professional work.

How you read the Sourcebook is up to you. Once you have done so, however, we hope you will find it has strengthened your ideas about participation and about the ways you do your work. We also hope you agree that these new ways of working can improve projects, contribute to the development process, and help reach the poor.
# TABLE OF CONTENTS

## Acknowledgments

## Introduction

### Chapter I: Reflections: What is Participation?

- What is Participation .................................................. 3
- Participatory Stance ................................................... 3
- External Expert Stance ............................................... 4
- Listening and Consultation ......................................... 4
- Expert Learning ...................................................... 4
- Social Learning and Invention ................................... 5
- Commitment ................................................................. 5
- Popular vs. Stakeholder Participation ............................ 6
- Reaching the Poor ..................................................... 6

### Chapter II: Sharing Experiences

1. Guide to Sourcebook Examples .................................. 10

2. Albania: Rural Poverty Alleviation Pilot Project ............... 13

3. Benin: Health Project .................................................. 18

4. Brazil: Municipalities and Low Income Sanitation ............. 24

5. Chad: Education V .................................................... 29

6. Colombia: Electricity Sector Reform ................................ 33

7. Egypt: Matruh Resource Management Project ................. 40

8. India: Andhra Pradesh Forestry Project ......................... 45

9. Lao PDR: Health System Reform and Malaria Control ....... 53

10. Mexico: Hydroelectric Project .................................... 59


12. Mozambique: Country Implementation Review ................. 75

13. Nigeria: Women in Agriculture ..................................... 81

14. Pakistan: Sindh Special Development Project ................ 87

15. Philippines: Integrated Protected Areas Project ............ 95

16. Philippines: Communal Irrigation Projects ..................... 101

17. Yemen: Education Sector Credit .................................. 109

### Chapter III: Practice Pointers: Participatory Planning and Decision-making

113
A  Getting Started  113
   When to Start  113
   Getting Government Support  114

B  Identifying Stakeholders  116
   Who is a Stakeholder?  117
   Identifying Stakeholders  118

C  Involving Stakeholders  120
   Building Trust  120
   Involving Directly Affected Stakeholders  121
   Seeking Feedback  122
   Involving the Voiceless  123
   Involving the Opposition  125

D  Participatory Planning and Decision-making  126
   What Do Participatory Techniques Achieve?  126
   Creating a Learning Mood  127
   What Does the Learning Mood Produce?  128
   Strategic Planning  128
   Tactical Planning  129

E  Task Manager Roles  130
   Initiating  131
   Facilitating  131
   Participating  131
   Sharing Expertise  132
   Observing  132
   Navigating  133
   Nurturing  134

Chapter IV: Practice Pointers: Enabling the Poor to Participate  135

A  Learning From the Poor  135
   Learning What Poverty Means to the Poor  136
   Providing Incentives for the Poor to Participate  138

B  Facilitating Women's Participation  139
   Barriers to Women's Participation  139
   Seeking Women's Views 140 Working with Women's Groups  141

C  Building Community Capacity  142
Understanding Community Organizations
Building the Capacity of Community Organizations

**D Intermediary NGOs**

- NGOs as Intermediaries
- Intermediary Roles
- Understanding the NGO Sector
- Identifying Appropriate NGOs
- Bridging the Gap
- Strengthening NGO Capacity

**E Financial Intermediation**

- Fiscal Decentralization
- Social Funds
- Sustainable Financial Systems
- Group-Based Approaches
- Building Capacity of Groups

**F Crafting Responsive Institutions**

- Characteristics of Responsive Institutions
- Strengthening the Capacity of Government Institutions

**G The Enabling Environment: Legal Issues**

- Right to Information
- Right to Organize
- Impact of Borrower's Financial and Other Regulations

**Annex I: Methods and Tools**

- Introduction
- Guide to Methods
- Appreciation-Influence-Control
- Objectives-Oriented Project Planning
- PC/Team UP
- Participatory Rural Appraisal
- SARAR
- Beneficiary Assessment
- Systematic Client Consultation
- Social Assessment
- Gender Analysis
INTRODUCTION

"It is not that we should simply seek new and better ways for managing society, the economy and the world. The point is that we should fundamentally change how we behave."

Vaclav Havel

Using the Sourcebook

We have written the Participation Sourcebook for World Bank Task Managers -- and those who work with them -- to help them support participatory processes in economic and social development.

The Sourcebook is not for cover-to-cover reading. Instead, it has been formatted so that a busy person can pull it off the shelf, consult the Table of Contents, and quickly turn to the section they need. To facilitate this, the chapters of the Sourcebook are set up in modular form, with reference headings which should allow the reader to dip in and out according to individual interest and need. Readers may also wish to supplement the contents of the Sourcebook with more detailed information on methods and tools (Annex I), or with information from the background paper summaries (Annex II).

What's in the Sourcebook?

Reflections on Participation

Chapter I brings together the key themes and common elements on participation. It contains our reflections on what we have learned from the stories in Chapter II. In this opening chapter, we explore what participatory development is, and what it means to use participatory processes to plan and implement Bank operations. We
also discuss the importance of using participatory approaches in reaching the poor. This is not an executive summary, but an invitation to explore the cases which follow.

**Shared Experiences**

Chapter II contains examples, told in the first person, of how World Bank staff used, or helped others use, participatory approaches in Bank supported operations. We identified these examples through the work of the four-year Bankwide Learning Group on Participatory Development. In making selections, we attempted to cover a variety of countries, sectors and types of activities. We recognize however, that we have not even come close to capturing the vast, rich, and varied experiences in participatory development, even within the Bank.

In compiling these case studies, it became evident that each example is context specific. Therefore, applying what you find useful in these examples to other situations will no doubt require some interpretation and adaptation. You may also wish to browse through several of these experiences to see what your colleagues are doing, before settling on a final approach.

**Practice Pointers**

Chapter III draws largely upon Chapter II experiences to guide the reader through the various steps of participatory planning and decision-making. These practice pointers provide answers to questions Task Managers may have about using participatory approaches in Bank-supported activities. Given the context specific and multi-dimensional nature of participation, we have developed the practice pointers in a way that gives the reader a menu of options for each stage of the participatory process based on actual Bank experiences. This leaves readers free to decide for themselves which examples are most relevant to their own situation and adapt the ideas accordingly.

The practice pointers in Chapter IV focus on one particular group of stakeholders -- the poor -- and some of the common barriers to their participation. Chapter IV presents the experience of Bank staff and their government counterparts, and shares approaches to strengthening the financial and organizational capacities of the poor. It also discusses ways of creating an enabling environment for the participation of all stakeholders, including the poor.

**Participatory Techniques**

We have included an annex describing a range of participatory methods, some of which have been used in the Chapter II examples. We have borrowed techniques freely from those who "invented" them, and have modified them, when necessary, to fit into the context of Bank operations.

**Technical Paper Summaries**

Steering committees comprised mostly of Bank operational staff prepared background papers on participation for the Sourcebook. The eighteen paper fall into three categories: (i) Bank supported activities and operational tasks, (ii) sectors; and (iii) cross cutting issues. Annex II contains summaries of these papers and their main findings for readers who may want to explore a specific area or issue in greater depth.