



ASIA-PACIFIC
RIGHTS AND JUSTICE INITIATIVE

**GUIDELINES FOR PARTICIPATORY
CONSULTATIONS ON ACCESS TO JUSTICE**



Participation

June 2003

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GUIDELINES FOR PARTICIPATORY CONSULTATIONS ON ACCESS TO JUSTICE¹

1. Background

The **Asia Pacific Rights and Justice Initiative** operationalizes the notion of a “Community of Practitioners” in UNDP’s sub-practice development. A Community is composed of *people with adequate knowledge, tools and networks, who work together towards a common goal*. The initiative’s main goal is to develop UNDP’s capacity to contribute to access to justice by poor and disadvantaged groups in Asia and the Pacific, as a means to address the incidence of poverty and violent conflict.

Access to justice is defined as “*the capacity of people from poor and disadvantaged groups to prevent and overcome human poverty by seeking and obtaining a remedy, through the justice system, to grievances in accordance with human rights principles and standards*”. For an overview of the framework and its main areas of focus see the Visioning Workshop Report, pages 6-17)

2. What are the objectives of the Participatory Consultations activity?

Within the framework of the Asia Pacific Rights and Justice Initiative (see above), participatory consultations have four specific objectives:

- a. **To develop and test methodologies** for participatory processes through a rights-based perspective.
- b. **To promote the inclusion of participatory components** in projects and programmes.
- c. **To capacitate a number of UNDP practitioners** as organizational resources on participatory processes.
- d. **To expand UNDP’s and other stakeholders’ networks and strategic information** for access to justice programming at the country level.

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3. What are the objectives of these Draft Guidelines?

- These guidelines aim to provide UNDP practitioners with an **indication of strategies and techniques** for participatory processes through a rights-based perspective.
- They **should not be taken as a template or “model”**. The form of participation depends highly on the circumstances and the unique social context in which it takes place. These guidelines outline a process, rather than a specific strategy – although a sample strategy is included for explicative purposes.
- They refer to “*participatory consultations*” – as different from simply consultations or other types of participatory processes². rather than “*participatory assessments*” or simply “*consultations*” because:
- The main **users** of these guidelines are UNDP justice practitioners, although they may also be useful to other practitioners – in official positions and in civil society alike.
- These guidelines will be **tested and redefined** during the drafting process. The final tool will be finalized by the Access to Justice community of practice at a regional workshop scheduled to take place in October 2003.

² Not all consultations are participatory – that is, **actively involving perspectives of those with major rights and responsibilities on the issue**. **Participatory consultations** occur at a **small, manageable scale**. Consultations bring essential information to programme development, although they cannot provide an in-depth assessment by themselves. However, they may be **useful in a context of limited time and resources**, in which Country Offices normally operate. Depending on the circumstances, other participatory practices can also be used (instead or simultaneously). An overview of practical considerations of different methods and techniques is presented in Annexes 1 and 2..

4. Applying a rights-based approach to participation

These guidelines attempt to apply a rights-based approach to participatory processes. **“Rights-based programming” incorporates elements of “good programming” and adds a human rights dimension.** It considers participation as a key programming component, and as a right in itself. The approach underlines that participation should be free and meaningful, involving those with major rights and responsibilities on the issue, especially poor and disadvantaged people.

These guidelines incorporate human rights and good programming elements, such as:

“Good Programming” components	Human rights components
<ul style="list-style-type: none"> • Problem analysis • Strategy setting • Transparency • Accountability 	<ul style="list-style-type: none"> • Involving those with major rights and responsibilities on the issue • Analysis of capacities to claim and exercise human rights, and fulfil human rights obligations. • Ensuring non-discrimination and focus on poor and disadvantaged groups

5. A Participation Plan

5.1. Begin with the problem.



The problem should be consistent with the access to justice framework established within the community of practice, and respond to strategic considerations of opportunities and risks³. A rights-based perspective would require the decision itself to be the result of a participatory process. Participation breeds participation – if people is genuinely concerned with the problem, they will be more willing to participate in the assessment. Participatory assessments facilitate in turn ownership in implementation, and this strengthens sustainability.

*What
access to
justice
issue needs
to be
assessed?*

UNDP should be committed to follow-up action on the issue.
Expectations that consultations will lead to action are an important incentive for participation.

³ For drafting purposes, the subject will be one that responds to the immediate needs of Country Offices willing to participate in this process (e.g. an issue where the country office is currently involved or plans to support in the immediate future, or an issue that needs to be assessed for CCA purposes, etc).

5.2. Build a network

Establish a think group:

Contact 5-6 different stakeholders that can be involved more intensely during the process, and who also have an interest in assessing the issue, e.g.:



Convene a think group of stakeholders interested on the issue

For the think group, what matters is the experience and the networks of the person, rather than his/her range.

Interest on the issue is an important added value.

- Someone in a relevant government agency
- Someone in an NGO with relevant experience and extensive networks,
- Someone in a donor agency with experience on the subject (e.g. ADB, World Bank, Asia Foundation, etc)
- Someone in a UN agency with experience (e.g. UNICEF, ILO, etc.).

You will need to explain clearly the purposes of this process to your “think group” of stakeholders.

You should find ways to ensure they can also benefit from learning throughout the process. For instance, you may invite them to attend all meetings, and discuss with them periodically the new insights consultations bring to the problem.

5.2.1 Introductory Meeting

Explain the framework for consultations, the objectives and steps of the process and what participants can gain from being involved

This meeting's purpose is to bring stakeholders together, introduce them to each other and explain the purposes of the participatory consultations. Participants should be provided an overview of the access to Justice framework⁴ and why the subject of consultation has been chosen.

You will need to explain clearly the process and the purposes ahead, especially the objectives and time demands of the next meeting (brainstorming meeting). People need to obtain a picture of what they can gain by participating in the process, e.g. expanded networks, range of information, learning, etc. **Providing the right incentives for participation is a key question (see point 5.5 for possible incentives)**

⁴ You can use a copy of the A2J Visioning Workshop Report (May 2003) as background material to the meeting, or bring the SURFs into the meeting to provide additional information on the Rights and Justice initiative.

5.2.2. Brainstorming discussion

The brainstorming discussion aims to outline a general picture of the problem, and define the process of consultations.

If participants have further queries on the rights-based approach and the access to justice framework presented at the introductory meeting, these need to be clarified before brainstorming.

The **outputs of the discussion** should include:

- a) An **initial picture of the problem**: One suggestion is to apply empowerment and accountability analysis⁵ through the following questions:
 1. Situate the problem in the context of the access to justice framework? (e.g. existence of remedy, capacity to seek a remedy and/or capacity to provide effective remedies – see access to justice conceptual framework in the Visioning Workshop Report pages 6-17)
 2. Who are the claim holders and the duty bearers, and what are their specific rights and responsibilities on the issue?
 3. What type of capacity problems do they face to claim such rights/exercise such responsibilities?
- b) An **outline of the process and who to bring** to the different meetings (for a sample strategy, see below – point 5.2)
- c) **Type of information** being sought at the end of the process and at each meeting – see sample in point 5.2.a)
- d) A **workplan** for the conduction of meetings.



Begin with the problem – define it and identify the key dimensions to be addressed.

Practical tips for the brainstorming meeting(s):

- *Ensure participants understand the access to justice framework in which UNDP operates before brainstorming – make a brief presentation of the framework of analysis.*
- *You can adopt a facilitating role during brainstorming, or ask someone else outside the group as a facilitator.*
- *Participants should be encouraged to be open, to participate actively and not to judge each other's opinions.*
- *Encourage short responses.*
- *The number of ideas is important, but silence is appreciated for reflection.*
- *All participants' inputs need to be displayed in a place they all can see (materials can be provided such as pens, cards and a board, etc.)*
- *The meeting can be held in a 3- 4 hour session or can be split into several days.*
- *Choose an adequate venue, and allow for meeting breaks.*
- *Keep the time so discussions can reach outputs a, b, c, and d.*

⁵ You may find examples of this type of analysis in Annexes 4 and 5 of the Visioning Workshop Report (May 2003).

5.3. Establish a consultation strategy

Objectives of the consultation strategy

Any consultation process should have a clear strategy of **what needs to be achieved and how this will be done**. The specific **consultation strategy** will depend on the circumstances, but it generally should accomplish **three major purposes**:

- 1) ***To obtain claim-holders and duty bearers' inputs and reflections on the problem.***
- 2) ***To provide opportunities for dialogue and exchange of perspectives in examining the problem.***
- 3) ***To expand UNDP's networks at the national level***

The adequate strategy depends highly on the situation and the social context in which participation occurs⁶. The sample strategy presented in Figure 1 has explanatory, rather than prescriptive purposes. In this imaginary context, consultations refer to a particular issue where people perceive substantial obstacles (cultural, political, gender-related, etc.) to communicate freely their views to other stakeholders.

After the definition of the problem, the strategy expands the assessment in two stages:

- a. Parallel involvement of different stakeholders in assessing the issue – using panels and focus group discussions. This strategy aims to facilitate openness within the obstacles of the sample context.
- b. Sharing of results – overview of different perspectives of the problem through consolidation workshop. The objective is to provide opportunities for dialogue to complete the perspective



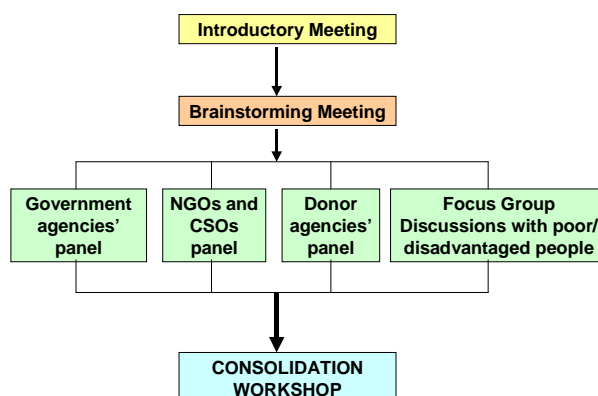
Have a strategy to meet the consultation objectives in that particular context

Practical considerations in designing a consultation strategy for assessment purposes:

- ***Who are the main actors that must be involved early in the process if they are to be critical to subsequent phases?***
- ***Should consultation occur in a joint setting, or with individual participants and stakeholders separately?***
- ***Who is likely to be difficult to involve? How will this be done?***

⁶ Annex 1 to these Guidelines provides a summary of different participation methods and techniques, which can be combined depending on the context. Annex 2 provides a design model to facilitate choices and assess the challenges presented by different options.

Figure 1: Sample Strategy for Participatory Consultations on Access to Justice



a. Sample profile of process and type of information being sought:

	COMPOSITION	OBJECTIVES (Type of information being sought)
GOVERNMENT AGENCIES' PANEL	<ul style="list-style-type: none"> ○ Six to ten government partners in institutions with major duties on that issue. ○ Whenever independent bodies are involved, additional meetings with these could be useful. ○ Interviews with key informants can be important 	<ul style="list-style-type: none"> a. What are the perceived rights of poor and disadvantaged groups on that issue? What perceived obstacles they have to claim/ exercise their rights? b. What are government agencies' duties on the issue? c. What are their capacities⁷ (strengths and weaknesses) to fulfil their duties? d. What types of strategies have been used to develop their own capacities?
NGOs AND CIVIL SOCIETY ORGANIZATIONS' PANEL	<ul style="list-style-type: none"> ○ Ten to fifteen members of NGOs, civil society organizations, community-based groups, media and academe with relevant experience on the issue under consideration. ○ Interviews with key informants can also be useful. 	<ul style="list-style-type: none"> a. What are the problems experienced by claim holders and government duty bearers on that issue? b. What are NGO and CSO duties regarding the problem, and what type of capacities they have to address them? c. What types of strategies have been used to develop their own capacities?
DONOR'S PANEL	<ul style="list-style-type: none"> ○ Six to ten programme specialists of donor agencies involved on access to justice/ justice sector issues, including staff from other UN agencies with experience on the subject (such as ILO, UNICEF, OHCHR, etc.) 	<ul style="list-style-type: none"> a. What are donor's current programmes and planned strategies to address (directly or indirectly) that access to justice issue? b. What types of problems were encountered in programme implementation and sustainability? c. What type of strategies could best complement current donor's efforts?

⁷ Capacities include not only human, financial and technical resources, but also issues such as mandate, motivation, political commitment, fear, etc.

	COMPOSITION	OBJECTIVES (Type of information being sought)
FOCUS GROUP DISCUSSIONS WITH POOR AND DISADVANTAGED GROUPS	<ul style="list-style-type: none"> ○ What types of problems they face to claim and exercise their rights on that particular issue? ○ How they have tackled them? ○ Their proposals for gaining more control and influence over access to justice initiatives 	
CONSOLIDATION WORKSHOP	<ul style="list-style-type: none"> ○ “Think group” ○ Participants to different panels ○ Facilitators of consultations with disadvantaged groups ○ Representatives of disadvantaged groups themselves 	<ul style="list-style-type: none"> a. Present participants with an overview of other stakeholders’ perspectives (results of previous processes) b. Attempt to reach conclusions on problem assessment. c. Reveal contradictory perspectives

5.4. Involving poor and disadvantaged people

Participatory methods that have been used successfully to involve government officials and other stakeholders in the assessment of the problem (e.g. panels) may be inappropriate or inadequate for reaching poor and disadvantaged people. Incentives for participation may be different, and obstacles are usually higher.

Generally, the following elements need to be taken into account:

- Adequate skills and networks at the grassroots level

Facilitating participation of poor and disadvantaged groups requires **specific skills and experience, and generally a relation of trust**. Reaching out to one or more civil society organizations for this purpose may be effective. These should have adequate networks at the grassroots level, and experience in methodologies for interacting with poor and disadvantaged people. UNDP officers in charge of the assessment need to attend some of these meetings.

- Non-discrimination

The process should ensure that **most disadvantaged members among the target group are reached (non-discrimination)**. This will require first identifying who are those, and also specific strategies and techniques to reach them, as added obstacles for participation should be taken into consideration (e.g. domestic workload in women, language barriers, etc).

- Expectations

Facilitators need to understand the framework and the objectives of the consultation clearly so they can **manage the level of expectations among participants**.

Seek adequate skills and networks at the grassroots level, and ensure non-discrimination



Type of information required on poor and disadvantaged groups:

- *What type of problems do they face (to claim and exercise their rights on that particular issue)?*
- *How they have tackled them?*
- *Their proposals for gaining more control and influence over access to justice initiatives*

Table: Some obstacles faced by disadvantaged groups in participatory processes and strategies to overcome them⁸

OBSTACLE	STRATEGY
Lack of outreach/ access	o <i>Building rapport with trusted/ credible partners</i>
Groups may feel intimidated or may fear reprisals	o <i>Assurances of confidentiality</i>
Narrow/ localized understanding/ awareness	o <i>User-friendly approach</i>
Negative previous experience with participatory processes may discourage	o <i>Promote participatory involvement in design of projects</i>
Institutional bias (depending on local partners)	o <i>Sensitise local partners/ institutions on participatory processes</i>
Socio-economic condition/ status	o <i>Highlight participatory process is empowering and allows advocating for problem recognition</i>

5.5. Ensuring dialogue and exchange of perspectives

Participatory consultations have three major objectives (see 5.1): (1) To ensure inputs from major claim-holders and duty-bearers, (2) to facilitate dialogue and exchange of perspectives, and (3) to expand/ strengthen UNDP networks at the country level.

Within the sample strategy, parallel discussions (panels and focus groups) seek the first and third objectives. The consolidation workshop seeks the remaining goal of **ensuring dialogue and exchange of perspectives**.

Without exchanging perspectives, different stakeholders' inputs provide an incomplete picture of the problem. The assessment requires also **identifying points of consensus and disagreement**, and **people's perspectives may evolve as a consequence of exchanging information**.

If points of **conflict** arise, these should be approached directly. Development problems have complex dimensions, and contradictory perspectives among stakeholders reveal new insights into the problem. Conflict is part of reality and can be managed in a constructive manner, highlighting its contribution to the understanding of the problem and monitoring conflict risks.

Conflict is part of the process and can be managed constructively



⁸ From the results of the Rights and Justice Visioning Workshop (see Workshop Report, pages 25-26)

5.6. Facilitating adequate participation

Ensuring adequate incentives

- *Be aware that people will not participate actively unless they believe it is in their interest to do so. Be clear in presenting incentives for participation, e.g. explain to them that participation may help them to*
 - obtain a better picture of the problem,
 - expand their networks,
 - expose their perspectives to other stakeholders
 - suggest ideas for specific strategies,
 - define a development programme to address their problems, etc.
- *Provide participants with a picture of the whole process and the specific value of their participation at the meetings. Make sure they are able to assess the costs – e.g. time, of participation.*

Adequate participation requires a combination of factors, including information, incentives, physical environment and social and political context. These issues need to be addressed as core elements in any consultation strategy.

Be transparent about the objectives, processes, incentives and costs of participation

Ensuring incentives for participation is a key question.

People will not participate unless they believe it is their interest to do so.

Transparency on possible gains and costs of participation is a way to facilitate people's decisions and achieve quality results.

Assumptions on representation should be realistic. Participatory consultations aim to reflect a wide range of views, but they cannot be strictly "representative". For instance, in this example, panel selection will necessarily suffer from selectivity bias towards those most interested in the project. **Participatory consultations reflect views on the issue based on personal experiences and circumstances.**

Attendance and facilitation are key elements to reach the consultation goals

Practical tips for consultative sessions:

- *Participants should have a similar level of understanding of the problem*
- *You may present the think group's picture of the problem to kick-off discussions. Participants can complete/modify the picture with their own perceptions.*
- *Establish clear information objectives per session and ensure effective facilitation.*
- *Minimize presentations – make sure participants obtain sufficient information beforehand.*
- *You may use external facilitation, to avoid participating the discussions*

Recommendations to ensure attendance:

- *Contact potential participants a month in advance and inform them on the context and objectives of the meeting, including possible incentives, by writing and also verbally if possible. Provide them with a picture of the whole consultation process.*
- *Reconfirm their participation a week before the meeting.*
- *Have alternative participants at hand in case you cannot reach a satisfactory attendance to the meeting – i.e. reflecting major claim holders/ duty bearers involved.*

4. Providing feedback

After the consolidation workshop, UNDP officers need to:

- Consolidate a **report** and provide it to the stakeholders as a feedback, informing them of immediate plans of action.
- Extract **lessons learnt**⁹ from this process
- Suggest **recommendations** on the Draft Guidelines to the Rights and Justice Network.

5. Resources

Conducting participatory consultations require **financial and non-financial resources**, and both **are equally important**.

- *Non-financial resources* include sufficient **staff time**, adequate **organizational support**, and **access to strategic networks**.
- *Financial resources* are needed to cover **travel and logistical costs**, **facilitation** for disadvantaged groups and at meetings, and **process documentation** for quality reporting.

6. Incentives for testing the guidelines

- **Country offices** participating in this process will obtain essential information for programme development, and expand/ strengthen their national networks on access to justice. The Asia Pacific Rights and Justice initiative will provide financial and non-financial resources to support the process.
- **Programme Officers** involved in drafting and testing the guidelines will be duly recognised as organizational resources on participatory processes.

7. Responsibilities of main parties involved

- UNDP Programme Officers: To coordinate the participatory process at the country level, ensure adequate reporting and provide recommendations on the guidelines. Programme officers may need to join practitioners for 2-3 days in other Country offices to get first-hand experience on participatory processes.
- SURFs Advisors/ Task Facilitator: To provide facilitation and technical support throughout the process.

⁹ The Guidelines for case study write-ups of the Asia Pacific Rights and Justice initiative can be used to facilitate the extraction of lessons.

- DRR/RR: To provide staff time, leadership and ensure logistical support.
- IDG/ PARAGON/ HURIST: To ensure dissemination of lessons within UNDP globally.

8. How to get started

➤ If you have already volunteered to participatory consultations

- Inform the SURFs of the issue for consultations, the work plan and estimated resources (financial and non financial).

➤ If you would like to conduct participatory consultations and contribute to the drafting of these Guidelines

- Suggest the subject of consultation to the Asia Pacific Rights and Justice Network (ap-a2j@groups.undp.org) - you may want to look at the Visioning workshop report (pages 21-24) for suggested areas where knowledge is needed, or suggest a different area. These requests can only be accommodated within the scope of available resources.

USEFUL RESOURCES ON PARTICIPATION

- **Inter-America Development Bank, “Resource Book on Participation.**

<http://www.iadb.org/exr/english/POLICIES/participate>

This Resource book presents an overview of some of the most frequently used and successful participatory methodologies and techniques. Section 2 ‘*Consultation Process A Regional Approach Stressing Partnership*’ is especially helpful as it goes through how such a process should work, the different phases that exist, what the key elements of the process should be. Section 5 ‘*Open Space: a Better Place to Meet (an Empowering Approach)*’, Section 6 on ‘*Participatory Action Research*’. There are also additional models which one may find helpful, all of which analyse strengths, weaknesses and techniques involved.

- **The World Bank’s Participation Source Book**

Chapter II: This chapter contains examples of how World Bank staff used or helped others use participatory approaches in Bank-supported operations. <http://www.worldbank.org/wbi/sourcebook/sb02.htm>

Chapter IV: The practice pointers in Chapter IV focus on one particular group of stakeholders--the poor--and some of the common barriers to their participation. It presents the experience of Bank staff and their government counterparts and shares approaches to strengthening the financial and organizational capacities of the poor (or other marginalized groups, which most often are ‘the poor’). It also discusses ways of creating an enabling environment for the participation of all stakeholders, including the poor. It discusses ways in which participation can be enhanced and community capacity built up. <http://www.worldbank.org/wbi/sourcebook/sb04.htm>

Refer to the other chapters as well which are accessible through <http://www.worldbank.org/wbi/sourcebook/sbhome.htm>

- **“Democracy at the local level: The International IDEA Handbook on Participation, Representation, Conflict Management and Governance”, 2001.**

Annex 1: Commonly used Participatory Techniques*

The following is a brief description of some of the techniques used in participatory processes. The list is simply to introduce the reader to the subject, choosing a specific technique will depend on the nature of the group and the objectives of the participatory process.

Techniques can be classified into four main types:

1) Meetings

a. Large scale and/or public meetings

- i. Public Meetings
- ii. Conferences and Seminars

b. Working meetings

- i. Focus groups
- ii. Workshops
- iii. Roundtables

2) Standing bodies

- i. Advisory Committees and Task Forces

3) Information giving

- i. News Media
- ii. Open Houses
- iii. Site visits and demonstrations

4) Participatory data gathering

- i. Social Profile
- ii. Community Mapping
- iii. Interview

* This annex is excerpted from the “Resource Book on Participation” of the Inter -American Development Bank (IADB). The book can be accessed at <http://www.iadb.org/exr/english/POLICIES/participate>

TECHNIQUE		HIGHLIGHTS AND USES
MEETINGS	Large Scale and/or Public Meetings	<p>* Public Meetings</p> <p>These are sometimes mandated by government regulations or donor policy. While they can be valuable and sometimes necessary, they tend to give a platform to the most passionate and vocal, extreme differences, and not be entirely representative of majority views.</p>
		<p>* Conferences and Seminars</p> <p>These are formal events where experts and learners come together. They may be used to disseminate or exchange information (often technical) and to clarify issues. Although they involve discussion, examination and exchange, the component of expertise tends to dominate. Depending on the purpose of the conference and its composition, workshops and other techniques can be incorporated into the design.</p>
	Working Meetings	<p>* Focus Groups</p> <p>Focus Groups are a common choice for many development practitioners. Focus Groups are small, often informal, discussion groups whose participants are usually selected to reflect a cross-section of the various project stakeholders. Through a series of questions and guided discussions, the group facilitator draws out reactions to various aspects of the proposed project from each of the participants. The interests and concerns of the members of the group are then recorded and summarized. Often more than one Focus Group session is held (with different individuals) to ensure that a realistic sample of stakeholders was selected. The Focus Groups technique is often used in the project planning phase and also in the evaluation and monitoring phase to allow feedback and to maintain the momentum of participation.</p>
		<p>* Workshops</p> <p>Practitioners often refer to these as "planning workshops". The workshop is a gathering of those likely to be involved in the project, (stakeholders and interest groups) who often represent a diversity of views and perspectives. The participants work together to understand an issue, share information, establish decision-making criteria, resolve differences and seek solutions. The workshop works on the matter at hand; it does not just study it.</p>
		<p>* Roundtables</p> <p>Unlike workshops, the roundtable places emphasis on the equality of all present and on reaching agreement, consensus or jointly-taken decisions</p>

<p>STANDING BODIES</p>	<p>* Advisory Committees and Task Forces</p> <p>These may review the participation process, act as a "watchdog", generally keep the process honest, receive community input, and exercise other functions as their mandate provides. A taskforce has a more specific and time-limited mandate than a committee. For the sake of credibility, the advisory body needs: a proper degree of independence; to comprise people of known integrity and judgement; and, have the resources required to generate the information they need to do their job.</p> <p>The members may be selected in a variety of ways, from appointment to election, depending on the degree of independence, expertise and representation required</p>
<p>INFORMATION GIVING</p> <p><i>These involve providing information that might be useful in promoting participation. Although they tend to be "one-way"(giving) techniques, if provision is made for exchanging views and seeking public input, they can become less of a one-way dissemination, and more of participatory exchange or communication technique.</i></p>	<p>* News Media (newspapers, radio, television)</p> <p>News media may be used to disseminate details of proposed projects. The media used must insure that it will actually reach the intended target group.</p> <p>* Open Houses</p> <p>Members of the public may visit a designated site to acquire written and verbal information.</p> <p>* Site Visits and Demonstrations</p> <p>The project proponents may take groups of stakeholder representatives to one or more proposed sites for an on-site examination of what exactly is being proposed, the technical and social problems attached to it, and potential solutions.</p>
<p>PARTICIPATORY DATA GATHERING</p>	<p>* Social Profile</p> <p>A social Profile is a summary of the socio-economic characteristics of a community. It is usually prepared by professionals with training in the social sciences. However, if participatory assessments techniques are utilized, community stakeholders can prepare and analyse their own social profile with the assistance of facilitators.</p> <p>* Community Mapping</p> <p>Community mapping and related techniques are associated with, but not restricted to, participatory assessments.</p> <p>* Interview</p>

Annex 2:

Practical considerations on participatory practices*

The following is a **Design Model for Collaborative Civic Engagement** elaborated by **IDEA** (Institute for Democracy and Electoral Assistance). It aims to offer practitioners the opportunity to assess what types of participatory practices may be useful in various phases of the policy process. It is in essence a questionnaire that allows the reader to make his or her own assessment of the challenges they face and evaluate for themselves the technique that appears to be most suited in responding to the challenges.

Although the Model has been designed for the local level, it can also be applied to collectives at regional and national levels.

Design Model for Collaborative Civic Engagement (IDEA)

Participatory Practices	Phases of Policy Process		
	Planning	Finance and Budgeting	Implementation
Information Gathering and Sharing	<ul style="list-style-type: none"> ▪ What types of information are needed to effectively begin a planning process? ▪ What do the communities need to know about the planning process? ▪ How can communities make systematic input into the planning process? 	<ul style="list-style-type: none"> ▪ How can complicated aspects of the financing and budgeting process be best explained to the various communities? ▪ What ideas can emanate from community sources on revenue generation and expenditure? ▪ How can a process of community priority-setting be launched? 	<ul style="list-style-type: none"> ▪ What does the public need to know about implementation? ▪ How can we gather information on what implementation options are feasible and those that are not? ▪ How can the public help with information that will make implementation more effective?
Consultation	<ul style="list-style-type: none"> ▪ Who are the main actors that must be involved early in the process if they are to be critical to subsequent phases? ▪ Should consultation occur in a joint setting, or with individual participants and stakeholders separately? ▪ Who is likely to be difficult to involve? How will this be done? 	<ul style="list-style-type: none"> ▪ Should a community budgeting process be considered? ▪ How can the process engage those whose priorities are reflected or not reflected in the budgeting phase? ▪ What is the role of local, regional and national officials in the formation of a budget? 	<ul style="list-style-type: none"> ▪ Which elements in the community have the capacity to enable implementation of policy decisions, and which elements can block implementation? ▪ How can these elements be systematically involved in implementation efforts?

* Excerpted from “Democracy at the local level: The International IDEA Handbook on Participation, Representation, Conflict Management and Governance”, 2001.

Participatory Practices	Phases of Policy Process		
	Planning	Finance and Budgeting	Implementation
Decision-Making	<ul style="list-style-type: none"> ▪ What forum will work best to make definitive decisions on strategic planning? ▪ Will it help the community buy in to the revenue and implementation phases of the project? 	<ul style="list-style-type: none"> ▪ How can a community budgeting process be structured so that decisions on priority-setting are made by the community? ▪ How can these decisions be reconciled with the budgetary realities? 	<ul style="list-style-type: none"> ▪ How can communities be empowered to spend their own allocations of the budget themselves?
Community-dispute resolution procedures	<ul style="list-style-type: none"> ▪ How all the affected parties be engaged early on in a conflict resolution/disputes management process? ▪ How can those who refuse to participate be engaged? ▪ What are the potential benefits, and risks, of any given approach? 	<ul style="list-style-type: none"> ▪ How can ad hoc and ongoing dispute resolution processes be financed? ▪ Can training of facilitators and mediators be afforded? ▪ What are the costs of not launching a dispute resolution process? ▪ Can this procedure help resolve conflicts over the budget? 	<ul style="list-style-type: none"> ▪ Is it possible to envisage a process whereby agreements among disparate communities are implemented by themselves? ▪ What backup mechanisms exist if such implementation efforts fail?